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# ESPON project 2.3.2

## **Governance of Territorial and Urban Policies from EU to Local Level**

### **Final Report** **Part I**

### **Summary**

# I

# ESPON project 2.3.2

## Governance of Territorial and Urban Policies from EU to Local Level

### Final Report

***The Final Report of the ESPON project 2.3.2 "Governance of Territorial and Urban Policies from EU to Local Level" was delivered on the 31<sup>st</sup> of May 2006. The Final Report comprises three main parts:***

***Part I: Summary***

***Part II: Results of the Project***

***Part III: Annexes***

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INSTITUTO INTER-UNIVERSITARIO *de* DESARROLLO LOCAL



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

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## Foreword

This is the fourth and Final Report of ESPON Project 2.3.2 "Governance of Territorial and Urban Policies from EU to Local Level" that has been co-ordinated by the Instituto Interuniversitario de Desarrollo Local (IIDL) of the University of Valencia.

Governance is a complex, polyhedral, but also very sensitive concept, usually and partially focussed on the polity dimension of political activity. In turn, 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 that is used in this ESPON 2.3.2 project. Here it is to be seen not only as a governance process applied to urban and territorial policies, but as a process that has a specific character deriving from its object, the territory, helping to achieve the broad objective of territorial cohesion. This focus extends the meaning and understanding of the governance concept itself, and places spatial policies as a very appropriate field for the development of governance practices and principles.

Governance is not a policy as such, but it has to be understood better as process, a process related to the elaboration and implementation of policies. This focus was in fact recognised as a difficult challenge for the project itself, representing an additional challenge to the research team, both from a methodological (because of the lack of clear theoretical foundations, also of data and indicators, that leads mainly to the use of inductive and qualitative methods, combined with quantitative ones) as well as, in consequence, regarding to the limits (lack of full 'universality') of the provided results, and the applicability of standard models of Territorial Impact Analysis.

Despite this, it was considered the right way to contribute to an understanding of territorial governance from a 'territorial' point of view, contributing in this sense to reinforce intellectual capital. In this sense this project presents a 'pioneer' character. It presents for the first time an operational definition of territorial governance and, through the identification and analysis of "good governance" practices (through Cases Studies, each one in their specific framework -pre-conditions- characterized through National Overviews), looks forward to identify (qualitatively) some positive impacts of governance (ex-post) and the elements (in pre-existing regional contexts, and

governance trends and practices) that could lead to “good governance” (ex-ante). This required the development of new methods, combining qualitative and quantitative approaches, as well as new hypotheses for investigating the field.

For these reasons one can expect from the ESPON 2.3.2 project not only conclusions but also new questions which have to be considered as starting points or starting hypotheses for future research in the field. This has to be kept in mind. Please open your mind, overcome limited expectations and accept the challenge of considering different pictures and results of ESPON space. Give us the benefit of the doubt when reading this Final Report and, finally, let us know your criticisms and opinions in order to improve the results.

This Final Report of ESPON Project 2.3.2 “Governance of Territorial and Urban Policies From EU to Local Level” document contains three parts:

#### Part I: Summary

The Summary, presents the main findings, scientific and policy conclusions of the project in a short format, synthesising findings from the core text. This document includes an executive summary as well as a scientific one in accordance with the ESPON guidance papers. It also includes a short section on further research issues and data gaps to overcome and furthermore it also presents a short report on networking with other ESPON projects.

#### Part II: Results of the project

The core text of this Final Report presents the final findings and conclusions of the project in more detail. According with the operational definition of territorial governance presented by 2.3.2 part 2 is divided in four sections. Section one defines the theoretical and methodological background of the project. The second section focuses on territorial preconditions, both on context and on policies. In this chapter the reader will find a characterization of ESPON space regarding vertical/multi-level, horizontal (cross-sectoral, among territories, among actors) and participation relationships; and more spatially oriented conclusions on the second, were new images about spatial planning in Europe are drawn, policy packages identified and analysis on situation in ESPON space regarding OMC done. The third chapter focuses on Territorial Governance Actions as result of the

exploitation of Case Study section. Here governance trends tools and practices, models of governance by type of territory, favourable pre-conditions and best practices are analysed leading to a model of territorial governance that closes the circle the project started following an inductive approach.

### Part III: Annexes

The third part of the report presents the annexes, here the studies/analysis behind the results can be found. There is a total of 6 annexes focussing on the; methodology, synthesis of all National Overviews, synthesis of all Case Studies, multi-level/vertical dimension of territorial governance, horizontal dimension of territorial governance and trend in spatial planning styles among and within Espon 29 countries.

In this project 24 institutions have been involved. The institutes are listed below, followed by a list of staff involved in the project. At this stage the Lead Partner would like to take the opportunity to thank all TPG members for their work and co-operation. The project itself, the work done by all the people who were involved in it, the process of making it succeed, demonstrated in its own way that the principles of good governance are of big importance.

The list of members of the trans-national project group (TPG), the largest one in a ESPON project in terms of partners and subcontractors involved, is as follows<sup>1</sup>:

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<sup>1</sup> Project functions: MA=main/analytical part; NO=national overview; CS=case studies; OT=other

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More information about the ESPON programme and the project as a whole can be found on the ESPON web page [www.espon.eu](http://www.espon.eu).

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# 1. Executive Summary

## 1.1 Setting the Scene

Even though governance refers jointly to the three dimensions of political activity (that is, the making of the Polity, Politics and Policies), the emphasis is usually placed mostly in the first of these, as an expression of the 'soul' and 'proud' of each country. Despite this, Territorial Governance, a broader concept that also integrates these three dimensions of political activity, focuses more on the third dimension, the Policies, for which the other two have to be adapted, in order to achieve the goal of sustainable spatial development and the objective of territorial cohesion.

Territorial governance can be seen as a simple application in the urban and territorial field of general principles of governance. In this view territorial governance, unlike economic governance, confronts, or should do so, the interests' representation problem, thus considering among its objectives the specific social and political dimension of collective action. Nevertheless, in the more complex and interesting way that it is used in this ESPON 2.3.2 project, territorial governance can be seen not only as a governance process applied to urban and territorial policies, but as a process that has a specific character deriving from its object, the territory. Within this perspective, the complexity of territory not only allows us to consider territorial dynamics as one of the most interesting tests in order to verify the effectiveness of the general principles of the governance approach, but also gives a specific character to territorial governance.

The different objectives that characterize a territorial governance process, which comes from the different role played by the territory in the process, can be summarized by considering *territorial governance as the process of territorial organisation of the multiplicity of relations that characterize interactions among actors and different, but non-conflictual, interests*. This organisational dimension refers to the construction of a shared territorial vision, based on the recognition and valorisation of the territorial capital needed to create sustainable territorial cohesion at different levels. In other words, territorial governance is the *conditio sine qua non* to guarantee more balanced development across Europe and to achieve *territorial cohesion*.

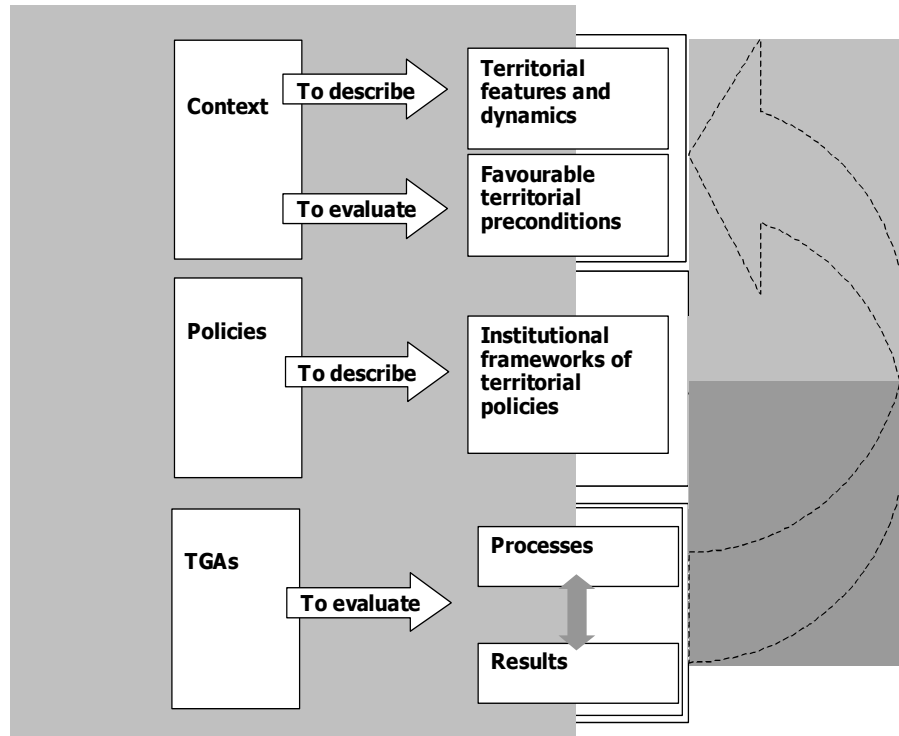
Territorial cohesion can be considered as the result of processes that integrate policies at different levels, through the active participation of public, private and mixed actors operating at different scales. Making particular reference to this last conception, the key challenge of territorial governance is to create the conditions that allow territorial collective action to take place in order to improve the competitiveness potential of territories and to achieve territorial cohesion at different spatial scales.

The policy of territorial cohesion is *"...a dynamic policy that seeks to create resources by targeting the factors of economic competitiveness and employment especially where unused potential is high..."*, *"...the objective is to help achieve a more balanced development by reducing existing disparities, avoiding territorial imbalances and by making both sectoral policies which have a spatial impact and regional policy more coherent..."* (CEC, 2004, Third Report on Economic and Social Cohesion, p. 21 and p. 27). Territorial cohesion is then realised, at any territorial level, by the implementation of inter-sectoral, or integrated, policies. If the objective of territorial cohesion is to complement the sustainability agenda and to promote greater coherence and co-ordination of policies that have a substantial territorial impact, it needs to be combined with sustainable development to achieve the objectives of the Lisbon and Gothenburg Strategies.

**To summarise, we define territorial governance as a process of the organization and co-ordination of actors to develop territorial capital in a non-destructive way in order to improve territorial cohesion at different levels.**

From this understanding of territorial governance the overall project, and the structure of the core text of this Final Report, has been organized (see figure below).

This focus was in fact recognised as a difficult challenge for the project itself. Despite this, and even though it could lead to less developed, or concrete, results because of the lack of clear theoretical foundations (as well as data and indicators) in order to test governance features and their impact on economic performance indicators and on social or environmental indicators, it was considered the right way to contribute to an understanding of territorial governance from a 'territorial' point of view. In this sense one can expect from the ESPON 2.3.2 project not only conclusions but also new questions for further research.



One of the most important issues in relation to the definition of a territorial model is the vertical organization (structure) of each country and also the relationships between the authorities and stakeholders at different levels. Some ideas, understood as fixed pictures, are well established in the common subconscious, but it has to be noted that in reality governance practices are in evolution, and pictures change (see maps 2.1.1.1 and 2.1.1.2 in this FR). This has to be kept in mind, helping to overcome limited expectations, to lose the fear to know and change accepted, contributing in this sense to reinforce intellectual capital, a very strategic but difficult issue to improve territorial governance.

Governance is not really a question of what kind of model of state is the most appropriate. Governance, as has been said for technology, cannot simply be imported, but must be adapted according to individual circumstances. The spectrum of cooperation arrangements at all territorial levels is not necessarily correlated with particular national constitutional forms. These can be found equally in federal, unitary decentralized or regionalized countries; which proves that governance is not the monopoly of a particular form of government, a conclusion which is true with respect to several aspects of governance

that we examined. This does not mean, however, that there are no particularities associated with specific government systems. In this sense the results of the project (see sections 2.1.1 and 2.1.2) help to reduce the suspicions regarding the 'forced' changes on polity and politics on Polity and Politics for governance, misunderstood as opposite to current government practices. However, a clear statement that has to be made is that government and governance should be interpreted not as two opposite concepts, but as closely related in a progressive-incremental process (see Figure 1.2.1).

An additional key question is that of the relations between governance and the role of the State, in two senses: firstly, the maintenance (Neo-institutionalism) or substitution (New Public Management and Social Constructivism) of public powers representing the different levels of the State (representative vs. participative democracy), and more specifically the impact of new governance on central government (on a post-Westphalia model of the state). The results of the project demonstrate again that logic imposes itself over wild, radical or unsuspected changes. As well as a main role for the Central/Federal State as a coordinator -particularly in a non-hierarchical way- as there is always the role supplier of funds -a very interesting situation that relates to the debate on the relations between the principles of subsidiarity and proportionality, and between competencies and resources.

Despite all these conflicting relations, the project allows us to conclude that changes in the vertical/multi-level dimension of territorial governance have evolved much more than those related to the horizontal dimension. The coordination of policies (cross-sectoral practices and the presence of policy packages) is less common, and a clear recommendation to improve this needs to be made. Strategic spatial planning policy could be an interesting way of achieving this through the definition of shared spatial visions that combine policy coordination and new participative multi-level governance practices. However, and despite the progressive mix in styles of planning, the map of types of spatial planning practices is diverse both between countries and inside each State, as one can see in section 2.2.1 and in Annex F of this Final Report.

History and tradition have important roles to play in territorial governance practices, not only with regard to spatial planning, but also good governance principles, especially regarding openness and



participation. Multi-channel relations, the formation of partnerships and the participation of non-public actors are very closely related to national traditions. Here the starting points are very different, but from a dynamic point of view one can detect clear processes of catching up due to specific factors such as the influence of EU funding. This process is especially visible in the new member states<sup>2</sup>. The situation is different where the relations among groups are very conflictual, especially regarding the uses of land. This is particularly so in Mediterranean countries characterized by a tradition of urbanism. Here, the limited participation of non-public actors is not perceived as a barrier for territorial governance. Given the sensitive character of land property and development rights, and of the special social importance of land ownership, it is not surprising that in some situations constitutional and legal provisions may be an inhibiting factor if certain key governance principles are to be adhered to (openness, transparency, accountability). Chaotic legislation results in ineffectiveness and may breed corruption. However, the recent reactions of citizens to the speculative management of land, particularly in coastal areas, which has a very direct impact not only on natural and cultural heritage but also in relation to social rights to housing access because of the continuing and rapid increase in house prices, can change the situation.

The European Union is creating its own distinctive profile, rightly, and hopefully, building on European traditions. But similarities should not conceal its enormous diversity, especially after, and because of, its recent enlargement, which will be even greater after the next round of enlargement. This diversity, also emphasized in documents such as the European Spatial Development Perspective, is apparent in ESPON 2.3.2. Diversity exists in national attitudes and policies in other sectors too, but governance is a case of a policy (not the only one) where

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<sup>2</sup> In a number of countries there was already a governance tradition, albeit without reference to the term, long before the White Paper on European Governance. The characteristics of these countries were probably the prototype the authors of the White Paper had in mind. Are the laggards to emulate the governance pioneers? Is this prototype to become the benchmark for other countries too? If it was like that countries with less advanced forms of governance would be judged by the standards attained by others, and then encouraged to achieve them themselves, but in a totally different historical juncture, hampered by economic globalization and uncertainty. Undoubtedly, valid objectives implied by the term "governance" may be achieved by individual countries, not necessarily by importing institutional forms and administrative practices, but by building on their own traditions and advantages.

national cultures and traditions play a very significant role. Individual aspects of governance are understood, let alone implemented, in widely different ways, especially when their application touches on everyday social interests and practices.

## **1.2 Main Concepts**

### **- Governance of Territorial and Urban Policies:**

Governance is an ambiguous concept, with several uses and understandings. The operational definition that we will use in the framework of this project is:

The governance of territorial and urban policies is the capacity of actors, social groups and institutions (public, private and third sector) to build an organisational consensus and to agree on the contribution of each partner, such as on a common vision. As we deal here with **territorial governance**, we are referring to a '**spatial**' vision, and have further refined the definition with the addition of aspects concerned with the outcomes of governance processes: these should be aimed at helping **territorial cohesion** and **sustainable and balanced spatial development**.

It represents an evolution from "government to governance" - two concepts that are not opposites - characterized by the involvement of multiple actors and the modification of policies and intervention objectives. It reflects a change from growth management to promoting development and collective action, from authoritarian decision-making to negotiated consensus-building.

In governance models, multi-actor interactions are regulated by a wide set of social modes of coordination rather than by a limited set of hierarchically defined organisational procedures. A governance process involves by definition a complex set of public and non-public actors, and is based on flexibility, partnership and voluntary participation that represent diverse social interests.

### **- Territorial Governance:**

In general terms, territorial governance could be defined as the process of the coordination of actors in order to develop social, intellectual, political and material capital, and of territorial

development based on the creation of sustainable **territorial cohesion** at different levels.

In a more operational definition, territorial governance can be seen as an organisational mode of collective action based on partnerships between public and private actors and coalition-building, oriented towards a commonly defined objective. Unlike economic governance, it confronts the problem of the representation of interests, thus considering among its objectives the specific social and political dimension of the collective action. It sees the territory not as a static and passive space, but in a dynamic and active context, as an actor itself in the development process, stressing particularly the role of proximity, sense of place and territorial identity to promote the collective action of local coalitions and their capacity to organise relations with other territories.

The key challenge for territorial governance is in creating the conditions that allow for collective action. Those conditions are linked to the concept of **territorial capital**.

***- Territorial Capital:***

The notion of territorial capital refers to the potential of a territory and is the summation of six other forms of capital: 1) Intellectual capital (socially constructed knowledge resources), 2) Social capital (nature of relations among actors), 3) Political capital (power relations and the capacity to mobilise other resources to take action), 4) Material capital (financial and other tangible resources, including fixed assets and infrastructure), 5) Cultural capital (material and immaterial heritage), 6) Geographical capital (natural features, constraints/opportunities).

In order to use and develop this territorial capital a key challenge for the territorial governance process is to create horizontal and vertical cooperation/ coordination between various levels of government (multi-level governance, vertical relations), between sectoral policies with territorial impact, between territories - neighbouring or not - as well as between governmental and non-governmental organizations and citizens (multi-channel governance, horizontal relations); and to achieve integration and coherence between disparate responsibilities, competences and visions of territories, in order to help territorial cohesion in a sustainable way (non-destructive use of territorial specificities).

### - **Territorial Governance Actions:**

Territorial governance actions are the outcome of a complex negotiated process in which resources are exchanged and partly shared, objectives are defined, and consensus is sought. Territorial governance actions are actions that, at different geographical levels: a) guarantee vertical (multi-level) and horizontal (among territories, actors, policies) coordination and cooperation, b) allow participation and, as a result, c) promote spatial sustainable development. Hence, territorial governance is related to the concept of **spatial development** and, also, strongly related to **territorial cohesion**.

### - **Spatial Development:**

Spatial development requires agreement between stakeholders (public and private alike) to ensure the *spatial coherence* of different actions. Therefore, it implies a degree of decentralisation and *multi-level governance*. Also, it needs leadership ('pilotage') to manage the territorial and multi-actor dynamics because of the specific character of a territory. In this sense, governance is not opposite to government. Space, land or territory is an exhaustible resource (public good), and the use and planning we make of it limits its potential for future development and therefore has a strategic character.

### - **Territorial Cohesion:**

There is not yet an agreed common understanding for Territorial Cohesion. However the Third Cohesion Report (CEC, 2004) defines it as the synthesis of economic and social cohesion, the safeguard of natural and cultural patrimony, and the balanced competitiveness of the European space. According to the *Conclusions of the EU informal ministerial meeting on territorial cohesion –Rotterdam, 29.11.2004*, territorial cohesion is both a cross-sectoral and multi-level concept. The governance issue underlines the central importance of institutional structures in delivering the public goods and services that determine the competitiveness of each territory and, in turn, national economic performance.

Each region and Member State should identify their unique development potential and their position in the EU territory and place

spatial development strategies in a trans-national and European development context.

Territorial cohesion builds upon the notion of economic and social cohesion, in particular the aim of contributing to the harmonious and balanced development of the EU as a whole, an aim that the ESDP also embraces. Territorial cohesion is associated with the political aim of reducing inequalities and disparities between the different parts of the European territory, but also brings into focus development opportunities to encourage co-operation and networking, and pays more attention to the strengths of areas and better targeting of policy instruments. This is a clear reference to the Lisbon Strategy to turn Europe into the most competitive area of sustainable growth in the world. Territorial cohesion has to complement the sustainability agenda and to promote the greater coherence and co-ordination of policies which have a substantial territorial impact. In this sense it is also related to **territorial governance**.

#### - **Spatial Visions:**

Spatial Visions are understood as *Spatial Planning Strategies (Lignes directrices en matière de développement spatial*, in the French version of the ESDP document). The purposes of spatial visions are diverse: a) to understand long-term spatial development trends, b) to develop options for the development of the territorial structure of an area, c) to inspire and guide the spatial planning process, and d) to assist in spatial planning programmes and the selection of projects.

As important as visions themselves is the *visioning* process. According to Nadin (2000), it is possible to identify at least four aims of *visioning*: 1) to identify priority issues for spatial development in an integrated and long-term perspective, 2) to generate solutions for existing problems and challenges, 3) to generate partnerships and bring about consensus among diverse interests sharing the same goal, 4) to enhance the participation of citizens and interest groups.

If governance is mainly understood as process, then the main purpose for spatial visions is c) and aims for visioning are 3) and 4).

## - **Balanced and Sustainable Development:**

Sustainable Development is a concept defined by the Brundtland Report *Our Common Future* (WCED, 1987), as "...development that satisfies the needs of the present without compromising the needs of future generations".

According to the ESPD this conservationist dimension of sustainability has to be complemented with one of **balanced spatial development**. That implies reconciling the social and economic demands of land uses in each territory, and as contributing to balanced sustainable spatial development among territories.

The goal of balanced spatial development results from the union of three objectives: economic and social cohesion, conservation of natural resources and cultural heritage, and the balanced competitiveness of European space. Considering these three objectives and their interrelations in the context of the particular conditions of each territory and its territorial capability is the best way of achieving sustainable and balanced spatial development at the EU level.

## **1.3 Key messages and findings**

### **1.3.1 Identification of governance trends – overall comments**

- In ESPON project 2.3.2 territorial governance has been defined as a process of the organization and co-ordination of actors to develop territorial capital in a non-destructive way in order to improve territorial cohesion at different levels.
- Territorial cohesion can be considered as the result of processes that integrate policies at different levels, through the active participation of public, private and mixed actors operating at different scales. Making particular reference to this last conception, the key challenge of territorial governance is to create the conditions that allow territorial collective action to take place in order to improve the competitiveness potential of territories and to achieve territorial cohesion at different spatial scales.
- Key challenges for territorial governance are to create horizontal and vertical cooperation/coordination between (i) various levels of government (multi-level governance, vertical relations); (ii) sectoral

policies with territorial impact and (iii) governmental and non-governmental organizations and citizens (multi-channel governance, horizontal relations between actors and their territories). Vertical and horizontal coordination leads to integration and coherence between disparate responsibilities, competences and visions of territories.

- On-going changes within territorial governance are linked to an increasing shift towards multi-level modes of governance.
- Another change relates to an increasing number of actors and interactions involved from outside the government system; actors from the private sector, the voluntary sphere, and social movements.
- Several territorial governance practices have a fairly long history, relying on social, political, intellectual (finally territorial) capital. Some of them are a consequence or natural evolution of pre-existing practices. Changes in territorial governance have to be considered as part of a long-term process that has to be gradual, avoiding radical changes, and requires time and resources. Improving governance has to be considered as a long-term and continuous process of learning by doing.
- Certain tensions and contradictions exist between the prevalent nature of governance/government and emerging new practices: whilst a lot of expectations and assumptions found in the literature on territorial governance are connected to more network-based, flexible and less hierarchical modes of governance, the picture emerging from the case studies is one where the central government/federal states and its regionalised authorities, as well as local authorities, still play a major role and where hierarchical relations still determine many of the preconditions and parameters for decision-making, problem-solving, management and conflict resolution.
- Participation, openness, effectiveness, and accountability seem to be the central elements of 'good governance' in urban and territorial policies. These factors re-emphasise so to say the favourable pre-conditions for governance, as expressed in the 'good' governance characteristics.
- What seem to be favourable pre-conditions for governance are experiences (and experiments) with participation processes and

partnership formation, combined with processes of devolution of powers or general decentralization conducive to strong and competent local and regional actors, which also command a matching set of resources.

- EU policy and national policy dominate as favourable. This can be interpreted as a success of the new models and requirements for projects and strategies. The latter is repeated by the importance of 'access to funds'.
- EU has greatly improved vertical coordination policies: this is clear in the case of trans-national and cross-border regions, where the formation of Euro-regions or the implementation of Interreg programmes have played an important role in strengthening multi-levels relations.
- The EU has acted as a stimulus for innovation and change in several ways, from practical to 'psychological'. European Union policies, principles and processes of integration have been the dominant force (the referent), which has been operating in favour of the adoption of governance approaches.
- Also, a more deliberate and targeted integration of policy interventions within the context of broader EU strategies (Lisbon Strategy or ESDP) improves coherence.
- In terms of favourable pre-conditions for, and effectiveness of, territorial governance, the suggested hypothesis is that the presence of 'state' (equating a high value for Number of Public Employees –NPE- with that of 'government') seems not to be 'detrimental' to GDP development. Equally, the absence of 'state' as expressed in the number of public employees does not automatically contribute towards GDP increase. Of course, the state and its employees contribute part of the GDP. In addition, according with the results coming from CSs, State and public actors can play a fundamental role, as catalysts (clearly in the case of the national level), promoting governance principles and practices. These results refuse the idea that governance and State follow opposite directions; instead, the project seems demonstrate just the opposite.
- In Territorial Governance Actions –TGA- the State has a stronger role as long as it is capable of developing coherent frameworks, in terms of policies and rules, and of favouring sub-national or trans-



national development strategies through the availability of financial resources.

- Legislation in a country can also have a big influence on the importance or priorities of the various dimensions of governance.
- Together with the maintenance of the State, in governance processes it is the policy makers that are still mobilizing the territory. In this sense territorial governance asks for Politics to come back. Governance has become synonymous with steering, and the public subject guides the transformation dynamics and processes rather than having direct control over them (from a regulative role to that of 'pilotage').
- Integrated frameworks are a matter of vertical coordination, while integrated policy packages owe more to horizontal relations among actors that need to give coherence to a multiplicity of ongoing processes. Coherence, surprisingly the least recognized good governance principle, is interconnected with horizontal coordination.
- This also means that horizontal coordination will probably most frequently be achieved from the regional to the urban levels, thus confirming the division between the levels where frameworks are designed and the levels where coherent policies should be implemented.
- New forms of governance are usually partnership-based (first public-public, and then the possibility of being extended to public-private) and seldom oriented towards wide and comprehensive participatory mechanisms.
- More resources are needed to sustain partnership solutions as well as facilitate communication between actors in order to overcome current general communication problems and support territorial intelligence development.
- It is likely to be counter-productive to involve actors in processes that are by definition open, negotiated, and flexible if these words could be easily misunderstood for opaque, unclear, and loose.
- The role of "resisting initiatives" to policies which have not been based on consensus building, proper information and consultation strategies and other forms of mild participation, should be further considered and analysed as a tool to redefine participative policies in a broader sense.

- From the Case Studies, nevertheless, it has been possible to see that participation is mainly a matter of direct involvement in clear and often “urgent” issues. It is possible, then, to achieve a high level of involvement of private actors and stakeholders at any level as long as the benefits are clearly recognizable. Less prevalent seems to have been widespread participation in the core object of the TGA.
- The importance of public participation seems to be increasing. Public participation is also related to openness and informal ways of informing stakeholders as well as more formal processes.
- The openness dimension is mainly connected to the informal ways in which the public and different stakeholder groups are informed.
- Innovative mechanisms were most often related to participation and consultation processes. In some cases they referred also to plans, planning models, information and marketing tools or other working practices. Innovative practices were mainly taking place in processes prior to the implementation phase.
- According to the Case Study results, TGA seem in particular to achieve positive outcomes when looking at planning integration, the coordination of territorial policies, and the integration of diverse interests.
- According to the best practices from the case studies, spatial planning plays a key role as a nexus between cross-sectoral coordination and coherence. Best practice examples relating to horizontal relations are often related to spatial planning processes where cross-sector interaction is promoted and more coherent policy packages are developed as a consequence.
- For cross-sector interaction new interesting communities of interest between experts and citizens have been promoted, also contributing to improve coherence.
- Policy coherence is most often promoted through a more evidence-based approach, where academic or other professional expertise is more actively utilised as a means to improve coherence of interventions.
- The relationship between the governance process and the territory could be considered as the basis for any improvement in territorial cohesion. Many of the successful cases of increased collaboration

resulting in joint spatial development plans or visions are generated through a pragmatic need for closer functionally based co-operation and interaction in functional regions covering increasingly large geographical areas.

- Macro, meso and micro define in a certain way a territorial level, but more precisely they refer to similar spheres of intentions, behaviours, procedures and processes, especially for the case of territorial governance processes. What changes is that there are conditions that filter up and down the levels, making possible a good, or bad, TGA and thus territorial governance process.
- The open method of communication (OMC) needs refinement and adjustment to meet the needs of territorial planning so as to enjoy broader use in this field. It seems potentially very useful because it could contribute to overcoming constraints to vertical as well as horizontal territorial coordination/cooperation, and contributing in this way to territorial governance from the EU to the local level.

### **1.3.2 Governance trends –comments regarding territorial categories**

- The **cross-border case studies** tended to be based on voluntary collaboration between local authorities across national borders, with an overall lack of participation of civil society and stakeholders. In addition to this horizontal collaboration, the vertical relations to the nation states are of importance particularly in relation to their role as providers of legal frameworks etc. The case study areas can also be characterised by their Europeanisation, both in terms of EU funding and EU programme frameworks such as Interreg. Cross-border collaboration are the laboratories through which trans-national ideas on governance can be channelled and tested.
- The **national case studies** are a heterogeneous collection of cases which makes it very difficult to draw conclusions from the group. Three case studies deal with devolution or decentralisation regarding local and regional development strategies. The devolution case has not proved successful, while the other two were regarded as comparatively positive developments. Three case studies entail the development of national spatial plans in states that have historically been centrally planned. All these seem to be, at least partially, success stories regarding governance processes, reflecting

greater vertical and horizontal collaboration. There is a limited trend among the national case studies towards greater participation and openness.

- The '**Regional, polycentric, urban networks**' case studies are also a heterogeneous group. However, the increasing importance of the regional level of governance is clear, both in terms of decentralisation trends and particularly regarding increased horizontal collaboration. At the same time, the central state retains a strong role. Too little seems to be done to involve civil society in the governance processes, and collaboration is mainly achieved between different public actors. Many of the successful cases of increased collaboration resulting in joint spatial development plans or visions are generated through a pragmatic need for collaboration as the functionality and interaction in regions cover larger and larger areas.
- There are 13 case studies in the group '**Functional urban areas and metropolitan regions**', representing a wide variety of urban areas in all different types of national contexts. Bottom-up mobilisation and consensus-building in the case studies are important steps forward in governance terms. Several of the case studies remain conflictual. Openness is quite well catered for, but participation less so. Due to the large number of public actors involved in most of the case studies, it seems more difficult than in earlier cases to identify who is accountable.
- The analysis of the **urban-rural** case studies clearly indicates a shift in governance trends towards a more integrated approach for urban-rural relationships. The case studies are considered fairly successful in terms of achieving agreements, developing shared views, and the continuation of projects, but there is still more to do with regard to governance processes. There is an overall trend of decentralisation, and in most cases new forms of regional governance have appeared between the central state and the local level (or between the regional state and the local level in the federal cases).
- All five **intra-city** case studies are subject to quite radical changes regarding their respective national political frameworks. Territorial governance is highly diversified within the case studies, but one shared characteristic is that the role of governmental actors in all five case studies remains significant, particularly at the municipal

level. Non-governmental actors also seem to be increasingly present within the governance processes.

### **1.3.3 Good governance factors**

The question of good governance and the definition, criteria and operationalisation selected is a complex question with many alternative theoretical roots (see section "Governance: Definitions and criteria" from Annex B). The capacity of Governance initiatives to achieve a common goal to make a difference depends on the character and quality of three forms of capital and the ways these interact (Intellectual capital including knowledge resources, Social capital referring to trust and social understanding, and Political capital, i.e. the capacity to act collectively).

Partnerships and networking are the keys to success. The United Nations Centre for Human Settlements (UNCHS) defines Good Governance as "an efficient and effective response to urban problems by accountable local governments working in partnership with civil society" (in BSFH, 2002)<sup>3</sup>. According to the above definition the main characteristics of Good Governance are: Sustainability (balancing the social, economic and environmental needs of present and future generations), Subsidiarity, Cooperation (developing collaboration between spheres of government and shared competencies), Equality of access in decision-making, Efficient delivery of services, Transparency and Accountability, Civic Engagement and Citizenship.

In a similar way, the White Paper on European Governance (CEC, 2001)<sup>4</sup> proposes the five principles of good governance that were the main policy source and inspiration for this project:

- Openness: enhanced communication and information about EU actions and decisions, using a language accessible to and understandable by the general public. The Institutions should work in a more open manner, they "should actively communicate what they do and the decisions they take. They should use language that is accessible and understandable for the general public. This is

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<sup>3</sup> BSFH (Building and Social Housing Foundation), 2002, *New Frontiers in Good Urban Governance*, Consultation, 28-30 June 2000, St. George's House, Windsor Castle, London.

<sup>4</sup> Commission of the European Communities, *European Governance: A White Paper*, COM (2001) 428 final, 25.7.2001.

of particular importance in order to improve the confidence in complex institutions”.

- Participation: from conception to implementation. “Improved participation is likely to create more confidence in the end result and in the Institutions which deliver policies”.
- Accountability: so that the roles in the legislative and executive processes become clearer. Each Institution must explain and take responsibility for what it does.
- Coherence: presupposing political leadership and a strong responsibility on the part of the institutions to ensure a consistent approach within a complex system.
- Effectiveness: “Policies must be effective and timely, delivering what is needed on the basis of clear objectives, an evaluation of future impact and, where available, of past experience. Effectiveness also depends on implementing... in a proportionate manner and on taking decisions at the most appropriate level”.

“Each principle is important for establishing more democratic governance. They underpin democracy and the rule of law in the Member States, but they apply to all levels of government – global, European, national, regional and local” (CEC, 2001, p. 10).

Main conclusions regarding these principles are the following:

- **Participation** is often not very actively promoted. The new forms of governance are more inclusive in the sense of being partnership-based, but are still weak concerning participatory mechanisms. The most common type of public participation involves *organised actors* who are often from the *public side*, and in most cases through processes of consultation.
- Most of the mechanisms and practices promoting **openness** were related to information activities.
- The various forms of national, regional and local governance reflect very different ambitions and aims, as well as traditions, when it comes to **accountability**. In many cases the clarity of roles and division of responsibilities is much more difficult to ensure in the new governance models emerging across Europe today than in traditional models of government.
- Strategic visions and plans can be tools for improving **effectiveness**, but many new governance models emerge first as

projects or connected to projects and are not necessarily long-term initiatives. Political support and commitment allows for accountability but also entails shorter time perspectives, and here the challenge is that what are essentially long-term strategic issues such as spatial and territorial development do not fit very well into an election-cycle timeframe.

- **Coherence** can be assessed in relation to clarity of individual policies, of coherence between policies, and of co-ordination and integration of interventions across sectors. Coherence is also connected to the way in which broader policy-level themes and objectives (e.g. the ESDP, etc.) are integrated into territorial initiatives. Sector barriers are a major bottleneck to coherence, and efforts towards more horizontal integration and a more integrated approach to territorial policies are therefore of key relevance.

#### **1.3.4 European policy impacts**

The European policy influence has been one of the under-lying themes of the whole ESPON-process, i.e. European spatial policy being an area where national and European policies are mutually dependent and influence each other. The theme of territorial governance is in itself an issue that has emerged largely influenced by the EU agenda, as well as the agenda of other international organizations (e.g. OECD). In this sense the European impact of policy discourse and principles is inherent to the project as a whole. An important theme within territorial governance is the Europeanisation of policies, i.e. the influence that policy on the EU level has both nationally and regionally. Policy areas and initiatives, where special attention was paid to in the analysis included the ESDP, sustainability, Structural Funds (in particular Interreg) and the Open Method of Coordination.

- Increased collaboration may not first and foremost stem from the European policy documents themselves, rather it has in many cases grown out of a bottom-up need to cooperate, though it is then also in line with EU objectives such as those of the ESDP.
- Interreg projects have been influential in some cases. Interreg is often seen as a main driver of integration on European spatial policy, as far as the dissemination of ideas and policy thinking within national, regional and local territorial planning is concerned.

The Open Method of Coordination was investigated in all the case studies, but proved to be a non-issue in the territorial policy and spatial planning field. However, as has been stated above, it could contribute significantly to overcoming constraints to vertical as well as horizontal territorial coordination/cooperation, contributing in this way to territorial governance from EU to local level.

## **1.4 Key maps and figures**

The maps presented in this section have been elaborated using mainly own sources of this ESPON project 2.3.2, generated through the National Overviews and Case Studies, or through the elaboration of own synthetic indicators combining other external sources, as displayed in each map and explained in detail in the respective annexes.

The main conclusion extracted from below map, related to the changes in State structures in ESPON 29 Space, is that the models of State are not a static and permanent 'photograph'. There are several processes and changes in some countries that allow thinking that in a near future the territorial model of those countries will change.

Belgium is a federal country as other federal countries, but an asymmetric federalism.

Some changes related to a transition to another model of state are taking place in Italy, Finland and Sweden. In the first case, we are referring to the approval of the reform of the Senate, in the direction of a progressive 'federalisation'. The two latter countries are immersed in an important process of regionalisation, although the local levels are still the real motors of this process, without a clear explanation for this: to promote the regional level or, instead, to control it.

There are several regions marked in some countries. Those regions have a special status within their countries, as is explained with great detail in the section of "Typology of Regionalisation" in the Annex D of this Final Report (see p 21 and on).

In the new and future member states of the EU significant political and territorial changes are taking place very rapidly.



## Changes in State Structures in ESPON 29 Space



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Regional level: NUTS 2

Source: ESPON 2.3.2. National  
Overviews and ESPON Project 3.2.



- Centralised Unitary
- Decentralised Unitary
- Regionalised Unitary
- Federal
- Federal Assymmetric
- Composite
- Regionalised towards federal
- Decentralised towards regionalised
  
- Regions with special status
- Important changes

Selected **indicators of multi-level relations** for the map 'performance of the countries for the multi-level structure and multi-level relationships' have been grouped in three categories:

- '*Political system of the State*', is related to the current national frameworks through two points of view:
  - *State Structure*, refers to the current status of a country, i.e. if a country is considered unitary or federal and, within these categories, of which kind.
  - *Typology of Regionalisation*, is focused on the process; that is, what kind of decentralisation at the regional level exists in each country.
- '*Spatial planning powers*':
  - *Allocation of spatial planning powers* talks about the tiers of governments which have competencies in matters of spatial planning.
  - *New spatial planning powers (innovative)* makes reference to the existing initiatives for co-operation or the creation of metropolitan areas as intermediate sub-regional levels, in order to elaborate spatial plans, schemes or strategies.
- '*Role of sub-national governments within the States*', tries to explain the real weight of the sub-national levels in the State:
  - *Existence in each country of National Territorial Chambers or Senates*, where the territories or the regional governments are represented.
  - *Regular multi-level governmental meetings*, refers to the existence of Conferences of Presidents or permanent meetings between the Prime Minister and the Presidents of the regional governments.
  - *Extent of financial dependence of local governments on central government*, that is, the degree of economic dependence of the local governments with regard to the central government.
  - *Existence of Constitutional regions*, regions with legislative powers.
  - *Devolution to 1<sup>st</sup> tier local authorities*.

For the definition of the **multi-level relationships**, three categories of indicators were considered:

- *'Forms of cooperation between agencies, departments and authorities'* refers to the existence of initiatives or procedures related to multi-level governance:
  - *Organisms that act as frameworks for the co-ordination of the relationships at different levels.*
  - *Cooperation only for making a plan or some plans.*
  - *Encouragement by central government to establish linkages between local and regional partners.*
  - *Problems with relationships between different government levels:* a negative indicator with a negative value only applicable, however, to some of the indicators within this category.
  
- *'Approaches for vertical cooperation and coordination'* refers to the attitudes, wishes, emphasis and current progress towards the improvement of vertical relationships:
  - *Positive attitudes or positive evolution of attitudes.*
  - *Weak attitude.*
  - *Priority emphasis on vertical co-ordination objective.*
  - *Progress towards vertical co-operation and partnerships.*
  
- *'Integrated spatial planning'* refers to multi-level co-ordination in the field of spatial planning using the indicators established for the different degrees of integrated spatial planning developed in Annex F of this ESPON 2.3.2 Project Final Report:
  - *Strong Vertical and horizontal coordination.*
  - *Mainly vertical coordination.*
  - *Mainly horizontal coordination.*
  - *Both weak vertical and horizontal coordination.* <sup>5</sup>

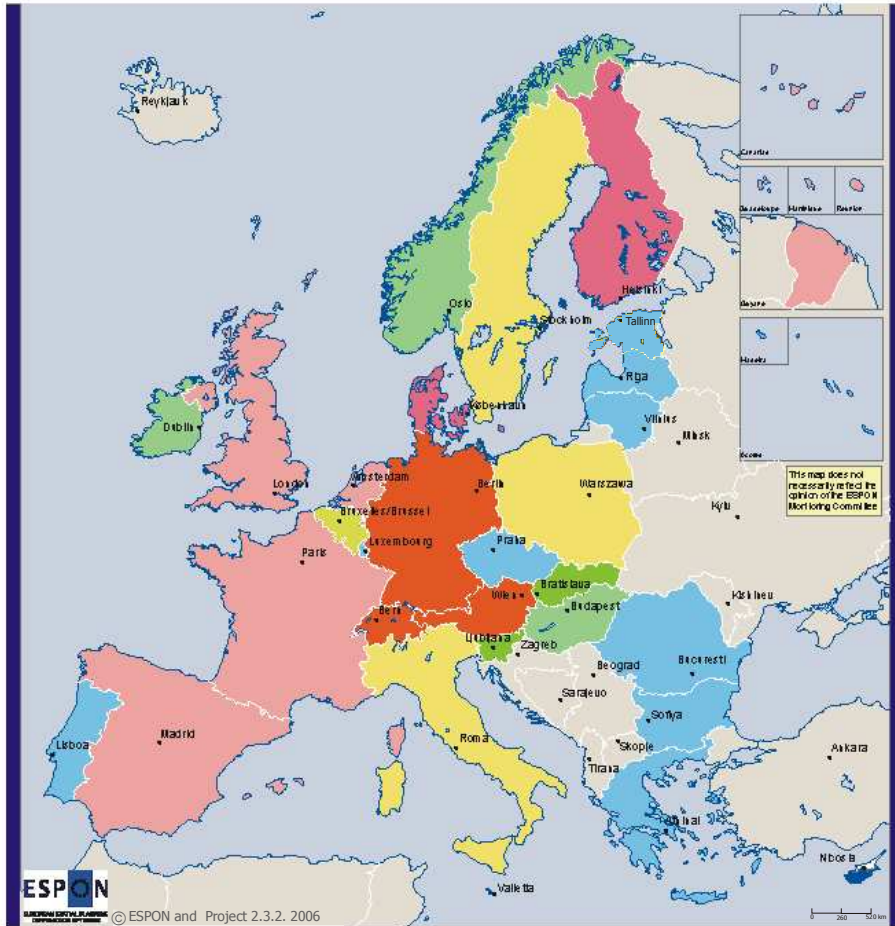
The dispersion diagram locates each country according to its score on multi-level structure (in the vertical axis) and on multi-level relationships (in the horizontal axis). From the arithmetic mean the graphic has been divided into four groups, which are also divided into other four sub-groups. The red group involves the countries with a

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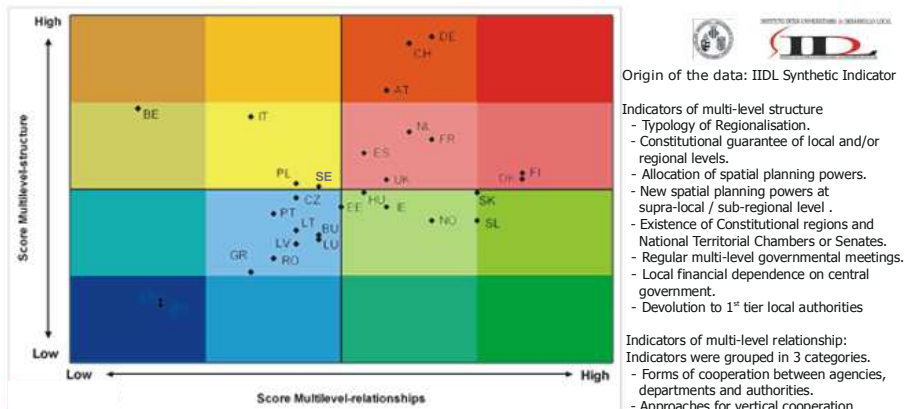
<sup>5</sup> For more details regarding sources and indicators for the elaboration of the map can be found (see p 9-20).

high score, both on multi-level structure and relationships. In the yellow group the countries with a relatively good multi-level structure but less good relationship mechanisms, tools and attitudes are clustered. On the opposite side there are the countries in the green group, with a weak developed multi-level structure, but a well established understanding between the different levels. Finally the blue group gathers the countries which still have undeveloped multi-level structures and relationships.

# Performance of the countries for the multi-level structure and multi-level relationships



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Regional level: NUTS 0



The classification is based on the calculation of national scores ranging from 0-2 for each indicator in multi-level structure and each category in multi-level relationship.

Origin of the data: IIDL Synthetic Indicator

- Indicators of multi-level structure
- Typology of Regionalisation.
  - Constitutional guarantee of local and/or regional levels.
  - Allocation of spatial planning powers.
  - New spatial planning powers at supra-local / sub-regional level .
  - Existence of Constitutional regions and National Territorial Chambers or Senates.
  - Regular multi-level governmental meetings.
  - Local financial dependence on central government.
  - Devolution to 1<sup>st</sup> tier local authorities

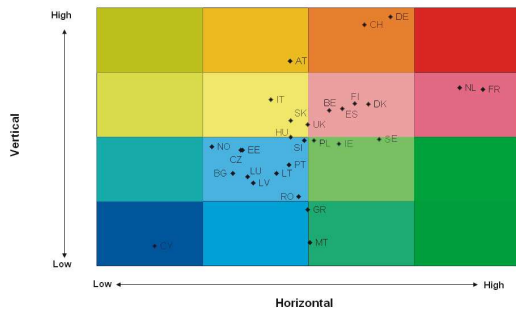
- Indicators of multi-level relationship:
- Indicators were grouped in 3 categories.
- Forms of cooperation between agencies, departments and authorities.
  - Approaches for vertical cooperation and coordination.
  - Integrated Spatial Planning.

Source: ESPON Project 2.3.2.

# Performance of the countries for horizontal and vertical dimensions of territorial governance



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Regional level: NUTS 0



Origin of the data:  
IIDL Synthetic indicator  
(See map 2.1.3.)  
Categories for horizontal  
governance (see maps 2.1.4 -  
2.1.7.)



- Pre-conditions to horizontal coordination and cooperation.
- Multi-channel.
- Territorial co-operation.
- Cross-sectoral co-operation.

The above map on 'Performance of the countries for horizontal and vertical dimensions of territorial governance' is a translation of the results of the dispersion diagram to a map. The countries are spread out around the quadrants divided into four colours. The horizontal axis is a translation of the score for the horizontal dimension, meanwhile the vertical axis is related to the vertical dimension (see indicators in the above map).

**Selected indicators for the horizontal dimension** were the following:

- *Pre-conditions to horizontal coordination and cooperation, according with the results of the National Overviews:*
  - Priority emphasis on horizontal co-ordination objective as indicated in national overview.
  - Partnership formation and co-operation: Number of Barriers.
  - Partnership formation and co-operation: Number of Catalysts.
- *Multi-channel co-ordination, cooperation and relationships, mainly in relation with the establishment or the development of partnerships, but also the rest of forms of horizontal co-ordination and co-operation:*
  - *Experience in working with partnerships* of each country.
  - *Forms of horizontal co-operation* those take place in each country.
  - *Specific direction in case of progress towards horizontal co-operation and partnerships.*
- *Territorial co-operation;* initiatives of horizontal co-operation carried out by the different governmental levels within a country and with other stakeholders from other neighbour countries:
  - *Reconnaissance by the national Basic Laws of the right of association between local, sub-regional and/or regional territorial bodies.*
  - *Participation on Interreg IIIB projects (Number of Projects / 100.000 inhabitants).*
- *Cross-sectoral co-operation:*
  - *Existence of National and/or federal agencies, councils and/or committees for spatial development.*

*- Existence of Policy Packages.* <sup>6</sup>

The countries within the red quadrants are the ones which have the best performance for both dimensions. The yellow zone gathers the countries with a good vertical/multi-level response but less good approach for horizontal co-ordination, the opposite happens with the countries in the green quadrants. The blue quadrant shows the countries located below the mean for both dimensions. The general impression is that the colours are so clear in almost the whole map due to the fact that there are no big disparities in countries' performances for both vertical and horizontal dimensions objectives. Another important issue is that there is no country located in the red quadrant of the best performance for both dimensions. This means that there is not even one country which achieves the perfect score and thus could have been an example to follow.

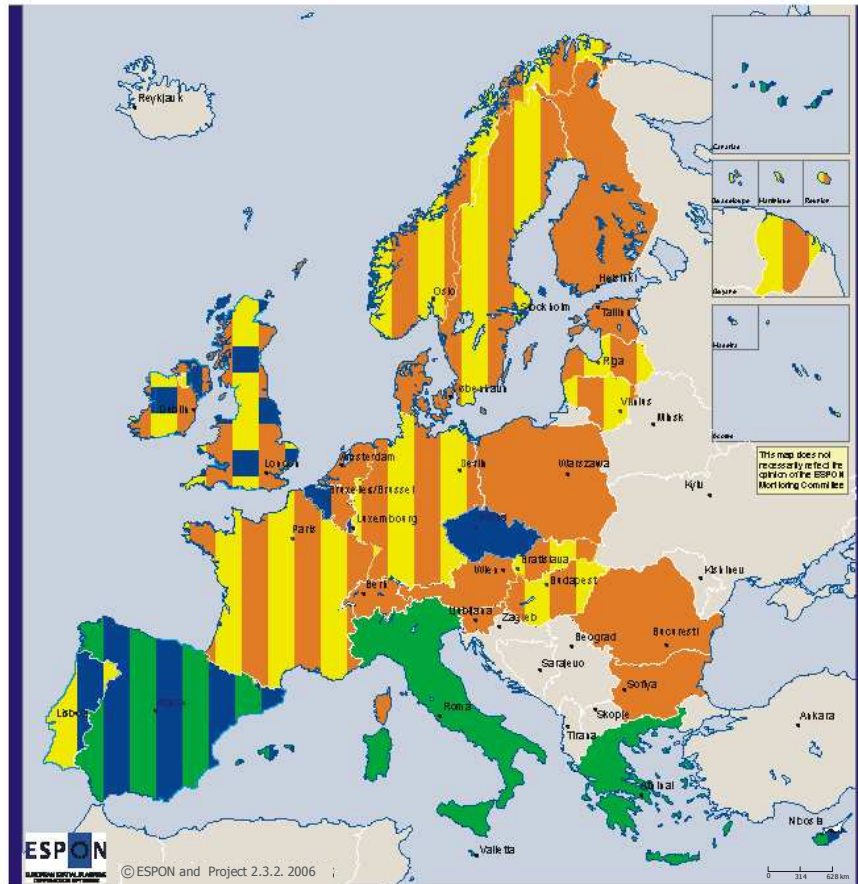
The map below on 'Movement within the EU 15 between the Styles of spatial planning and characterisation of New Member States + 2 +2' represents two things. First of all it shows the movements that took place within the EU15 between the four styles of planning. Secondly it offers a first characterisation of the New Member States +Switzerland and Norway +Bulgaria and Romania. This classification is based on the typologies of planning styles offered by the European Compendium of Spatial Planning for the EU 15 Member States. It is an upgrade of that classification with the inclusion of combined planning style within a country and with the addition of the rest of ESPON 29 countries.

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<sup>6</sup> In Annex E more details regarding sources and indicators for the elaboration of the map can be found (see p 9-14).



## Movement within the EU 15 between the Styles of spatial planning and characterisation of New Member States + 2 +2



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 Regional level: NUTS 0



Source: ESPON 2.3.2. National Overviews

- Comprehensive Integrated approach
- Regional Economic approach
- Land Use planning
- Urbanism tradition

The planning systems in the countries are not static, but borrow and mix elements from the other styles of spatial planning and thus are dynamic, as the previous map shows. The dynamics within the system have several causes like for instance the development of the ESDP and other European policies such as the Structural Funds. In the old Member States the ESDP had an impact during the process of making it. The movement that took place is mainly towards the comprehensive integrated and regional economic approach.

When it comes to the movement towards the comprehensive integrated approach it can be broken down into several sub-issues and thus the movement towards it too. Vertical (between levels with competences in spatial planning) and horizontal (between policies with territorial impact) coordination together make up the level of comprehensiveness. This allows a classification of the different countries which shows more details of the actual situation.

The map below is based on *table 4: classification of countries based on level of comprehensiveness* which can be found on p. 70 of Annex A.

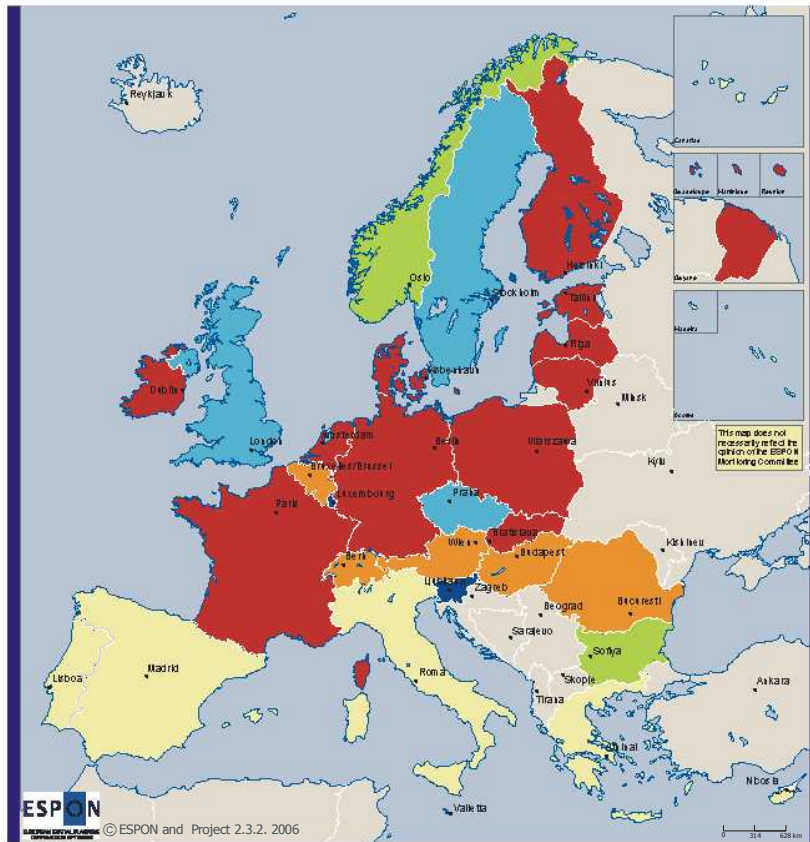
Generally four groups of countries can be distinguished in the table:

1. Countries in which there is both horizontal as well as vertical coordination (Denmark, Finland, France, Germany, Ireland, Netherlands, Estonia, Latvia, Lithuania, Poland, Slovakia) (A)
2. Countries with mainly vertical coordination and weak or no horizontal coordination (Austria, Belgium, Hungary, Romania, Switzerland) (B)
3. Countries with mainly horizontal coordination and weak or no vertical coordination (Sweden, UK, Luxembourg, Malta, Slovenia) (C)
4. Countries with a weak horizontal and vertical coordination (Bulgaria, Norway) (D)

This can then be refined some more by taking a look at the addition of + and - to the letters.

If maps of planning styles are observed (see maps 2.2.1 and 2.2.2 in part 2 Results of Project), it can be observed that countries with an urbanism tradition in planning are not classified in the comprehensive integrated planning style.

## Level of development of the comprehensive integrated approach in spatial planning



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Regional level: NUTS 0

Origin of the data: IIDL Synthetic Indicator



- Strong vertical and horizontal coordination (A)
- Mainly vertical coordination (B+)
- Mainly vertical coordination (B-)
- Mainly horizontal coordination (C+)
- Mainly horizontal coordination (C-)
- Both weak vertical and horizontal coordination
- Not classified in the comprehensive integrated approach

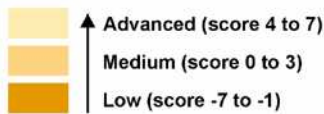
Source: ESPON 2.3.2. National Overviews

# Governance in urban and territorial policies

## Governance in urban and territorial policies



**Degree of shift from government to governance 2006**



The classification is based on the calculation of national scores, ranging from -7 to +7. Each country was given a score on 10 indicators: IRPUD Qualitative S1-S3b, S5; S7-S11.

© EuroGeographics Association for the administrative boundaries  
Regional Level: NUTS 0

Origin of data: IRPUD Qualitative [S1-S3b; S5; S7-S11]

- Official acceptance of governance 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
- Devolution of powers to 1st tier local authorities
- Centralization / decentralization / devolution
- Number of conditions leading to shifts towards governance
- Number of factors operating in favour of adoption of governance approaches
- Number of forms of cross-border cooperation

Denmark: Average calculated on the basis of only one indicator.  
Cyprus: Data for government controlled areas only.

**Source: National Overviews ESPON 2.3.2**

The map on governance in urban and territorial policies above is the result of the performance of countries in various governance indicators (for more details see section 3.3.1 in the core text and the Annex A, p 13-16). Those indicators are:

- Acceptance of governance
- 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
- Devolution of powers to 1st tier local authorities
- Centralization / decentralization / devolution
- Number of conditions leading to shifts towards governance
- Number of factors operating in favour of adoption of governance approaches
- Number of forms of cross-border co-operation.

## **1.5 Key policy recommendations**

As general key recommendations, for all three levels (macro, meso and micro), the project proposes the following:

- Territorial governance has to be '*democratic governance*'; that is, it has to involve all constellation of actors, and not only partial interests. (The White Paper on European governance recognized each principle of good governance as important for establishing more democratic governance).
- Public authorities, at any level, still play a central role, and hierarchical relations determine much of the preconditions and parameters for decision-making, problem-solving, management and conflict resolution.
- Central governments and the EU, and regional levels to a lesser extent, should strengthen their role in establishing the framework, that is, to set preconditions for territorial governance actions and processes.
- However, the object of participation risks being exclusively formal if it is not considered as one of the main issues of TGAs. Citizens,

stakeholders and organized interests *can get tired of getting involved* in participative processes in which they can have their say on marginal issues, while the central issue is out of their reach.

- A distinction should be made between the involvement of organized interests and stakeholders and the widespread participation of less well-represented and non-organised interests.

This distinction is due both to the territorial aspect and to the outcome of the participation/involvement. Regarding territorial aspects, it is easier to achieve wider participation on issues that can mobilize various interests, even through conflict and resistance, in processes focused on territorially specific problems. Organized interests can be involved at any level, even in more “general” processes, if benefits are evident and somehow granted. Regarding the outcome of the participation/involvement, participation should be concerned with the concrete/effective results of the process and not only with the benefits that each actor will achieve (common versus private).

- There are three categories of best practice for territorial governance: a) experimenting and learning with regional, national and local pilots; b) promoting policy learning through new spatial policy ideas; and c) reform of structures, planning instruments and methods.
- In the dimension of coherence the best practices see a more evidence-based approach, where academics or other professional expertise is more actively utilised as a means to improve the coherence of interventions.
- The dimensions of good governance are very much intertwined, for example effectiveness is difficult without coherence, which is in turn related to horizontal and vertical coordination; public participation is difficult without openness, openness is related to accountability, etc. Therefore they should all be included and work together.
- One would expect that the best case practices would represent the perfect situation in which all dimensions of good governance were present. However, this is not the case. When good governance can start with only a partial application of good practices and principles, then an adequate combination of them is all that is necessary.

- The vertical, horizontal and public participation dimensions of territorial governance seem to be the minimal requirement, as these are the common features in all examples of best practice studied. Perhaps they can be seen as the necessary basic requirements, while the other dimensions of good governance can improve the situation further.
- Governance is a context-specific and path-dependent process that requires time, and one where the local, regional and national specificities have to be considered closely. Hence, 'best practice' approaches and examples of 'good governance' from other countries, regions and localities should be used only as inspiration.
- Territorial governance actions and processes need to be territorialized, i.e. to refer to the territorial capital recognized and available at each level, in order to strengthen territorial cohesion (economic and social cohesion, safeguarding and valorisation of the natural and cultural patrimony, promotion of balanced competitive strategies with reference to the wider European space). This requires a (re)valorisation of territory and the improvement of a public (in the sense of common) *new territorial culture*, for which the role of public actors is crucial.
- In this sense more attention should to be paid to spatial planning policy, mainly to strategic/participative spatial planning as far it is the main nexus that has been observed for coordinating policies to make actions more coherent (especially at the micro level). Better coherence relates to effectiveness. Horizontal integration, however, takes time, and it is therefore necessary to be realistic regarding goals in terms of scope and time frame.
- Together with ESPON and the Committee of the Regions, thought should be given to the way in which an observatory and/or a coordinated network of local/regional observatories on territorial governance could/should be developed in order to harmonize data and criteria to define good governance preconditions and practices and to promote their application.

For more details regarding policy recommendations for each territorial scale and diverse aspects of governance, see section 4.2 in the core text. As an example, some of them are the following:

From a macro level point of view, Interreg projects have been a major instrument in disseminate best practice in spatial development and

strategic territorial programme work. More programmes of this type may contribute to better practices in territorial governance.

At the meso level, central governments have a special role to play regarding clarity on accountability and conflict resolution.

- They can contribute too with a suitable regulative framework and information management.
- Central government and its authorities can also take the lead on openness and participation by being a good example in their own practices.
- Central government could legislate to guarantee practices of participation, openness and other innovative practices.
- New and diverse instruments and methods should be introduced to mobilize the “voiceless citizens” and generate wide participation.

To micro level, additional policy recommendations are:

- New bodies at the regional level seem to have one way of introducing more integrated territorial practices, and in this sense to be considered as potential good practice. However it is necessary to strike a balance and design any new regional bodies in a transparent way with clear coherence and accountability.
- Cross-sectoral collaboration at micro level promotes horizontal integration, hence efforts have to be made to facilitate relevant actors to cooperate and manage practices which enable better sector co-ordination locally
- Continuous efforts should be made to cooperate with a broad range of actors, including NGOs, universities and citizen groups.

## **2. Scientific Summary**

### **2.1 Main Methodologies**

Urban and territorial governance represents a very particular field of research because it depends on the specific character of each territory. It is an ambitious aim of the research to exactly define relations between territorial governance and territorial cohesion, improving territorial capital, a precondition also as a result of territorial governance actions. In addition, the project has to deal with the



challenge of considering all levels, from EU to local, and their interrelations; it has to combine ambitious objectives with limited resources and a scarcity of directly related data and indicators.

In territorial matters correlations, or relations between cause and effect, can 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. This particular condition, as well as the objective of benchmarking in order to learn about reasons for successful and failed examples and their possible transferability within ESPON space, makes an inductive/qualitative approach especially appropriate. We use *inductive methods* instead of deductive methods 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. From this point of view the National Overviews and the Case Studies constitute, as sequential steps, the way in which we have tried to understand territorial governance in its three dimensions: as structure (or preconditions for governance), as process, and as results.

The scarcity of data and indicators referred to above, as well as the specific nature of territorial governance, made it necessary to explore new methods and ways of collecting qualitative data (through the national overviews –NO- and the case studies -CS).

Guidelines and structure for NOs were specifically designed in accordance with the Terms or Reference document in order to make a characterisation of the situation in the ESPON space (29 countries) and to test the hypothesis of a possible and convenient review of the *European Compendium of Spatial Planning* Document (ECSP). As a starting point, it was accepted that an updated report of the actual situation on territorial governance was not available. Thus we start from an unknown reality to each country that TPG members should try to scan through a clear definition of the objectives for this comparative research, in order to extract some conclusions and try to find States classification criteria in accordance with this information.

29 National Reports, divided into two parts, were produced following a pre-determined structure. Part I relates to the Institutional Context (country profile, general institutional structure of government, the general system of governance – with a total of 10 sub-headings) and 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)<sup>7</sup>.

In order to be able to analyse and compare this vast amount of data (36 first level sub-headings) the project defined 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. As a result a Synthesis Report was elaborated (structured the synthesis of national overviews in the following 23 sections –see core text section 1.4.3) and finally national information (tested in a second round with national experts) was placed by countries into a matrix (that also circulated amongst TPG members until obtain a final common agreement on characterization of each country). This matrix, where qualitative information was transformed in numeric one through 'yes/not' test, was the starting point to produce maps representing the existing regional structures and aspects, relevant for governance (i.e. see map on "Governance in urban and territorial policies").

In addition, the deep knowledge of the national experts on each national situation was considered the best guarantee to propose a list of Case Studies covering all geographical scales (transnational/cross-border, national, regional and local levels – intra-urban, also between city and its hinterland) and policy tradition styles. In this sense TPG researchers became, in different ways, the helping hand 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 biggest ESPON project in terms of partners and subcontractors involved.

If National Overviews allow description and hypothesis formulation, with the Case Studies we want to find some explanations or shine some light on the causes and the impact of 'good' governance in the field of urban and territorial policies. The project analyses examples of governance practices and processes from two different points of view: the vertical and the horizontal relations at work. We will take the institutions and formal structures into account, but we will mainly

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<sup>7</sup> See ESPON 2.3.2 FIR, Chapter 4, p. 84-97.

focus on the understanding of relations and interconnections between level and actors. In order to clarify the type of territories on which we will focus, and the main aspect of governance we are interested in, a matrix (see table below) was elaborated. There each partner should introduce two case studies (in total 53 CSs). The selection of cases, and the selection of boxes should be explained in relation to their interest for the 232 project: example of successful or faulty territorial governance, a help to identify governance trends and prerequisites and to propose recommendations for better territorial governance. The template of the guidelines includes all possible boxes, but depending on each case study only some subsections of the template had to be filled in.

### Overview of Case Studies

| <b>Governance dimensions:</b><br><i>Geographical dimensions:</i> | <b>Vertical: Multi-level relations, and decentralisation, devolution, and regionalization. Open method of coordination (OMC)</b> | <b>Horizontal: 'Multi-channel' Territorial co-ordination</b>        | <b>Public Participation and openness, and innovative and/or interesting tools, practices and mechanisms</b> |
|--|--|---|---|
| <i>Transnational/cross-border</i>                                | 1.1, 8.1, 12.2, 13.1, 14.2, 17.2, 23.2, 27.1, 28.2   | 1.1, 8.1, 12.2, 13.1, 14.2, 17.2, 27.1, 28.2                        | 12.2, 13.1, 14.2, 17.2, 23.2, 27.1, 28.2  |
| <i>National</i>  | 2.2, 4.1, 9.1, 11.1, 15.2, 18.1, 21.1, 26.1  | 2.2, 4.1, 9.1, 11.1, 15.2, 18.1, 26.1                               | 2.2, 4.1, 9.1, 11.1, 15.2, 18.1, 21.1   |
| <i>Regional, Polycentric, Urban Networks</i>                     | 3.1, 10.1, 12.1, 15.1, 16.1, 16.2, 17.1, 19.2, 22.1, 28.1  | 3.1, 10.1, 12.1, 15.1, 16.1, 17.1, 19.2, 22.1, 22.2, 28.1           | 3.1, 10.1, 12.1, 15.1, 16.1, 16.2, 22.2, 28.1   |
| <i>Functional Urban Areas, Metropolitan Regions</i>              | 1.2, 4.2, 6.1, 7.1, 7.2, 9.2, 10.3, 11.2, 14.1, 19.1, 20.1, 24, 25, 27.2   | 1.2, 4.2, 6.1, 7.1, 9.2, 10.3, 11.2, 14.1, 19.1, 20.1, 24, 25, 27.2 | 1.2, 4.2, 6.1, 7.1, 7.2, 9.2, 11.2, 14.1, 19.1, 20.1, 24, 27.2  |
| <i>Urban-Rural</i>   | 2.1, 3.2, 20.2, 26.2, 29.2   | 2.1, 3.2, 5.3, 10.2, 20.2, 26.2, 29.2                               | 2.1, 3.2, 10.2, 26.2, 29.2  |
| <i>Intra-city</i>  | 6.2, 18.2, 21.2, 29.1  | 5.1, 18.2, 21.2, 29.1   | 5.1, 6.2, 18.2, 29.1  |

According to guidelines for the case studies, developed in co-operation by the TPG, each of the case studies were organised under the following analytical dimensions and headings: Part I: Context for the Case Studies, Part II: Thematic Sections: Key Aspects of Governance Identified in Case Studies, including\_1) Vertical relations during processes of public decision making in the case study (involving effectiveness, coherence, accountability and subsidiarity principles), 2) Horizontal relations during processes of public decision-making in the case study (effectiveness, coherence, accountability, openness), 3) Participation, openness, 4) Innovative tools, practices and

mechanisms, and 5) Outcomes (policies, strategies, and aspects of 'integrated policies'). And Part III: Governance failures and successes.

In order to ensure comparability of the case studies on a more quantitative basis, each of the research teams was asked to follow a 'numeric approach' by which the qualitative analysis of the case studies is supplemented by a ranking of the importance of the themes related to part II and part III (see table 4 in Annex A).

All this qualitative information, from national overviews and case studies, was transformed and combined with quantitative indicators (see figure below). In order to avoid inaccuracies, the result of this process was checked using other indicators from external sources (Eurostat, Eurobarometer, World Bank, Committee of Regions...-see Table 3 in the appendix of Annex A) as well as other ESPON projects, such as 1.1.1, 2.4.2 and 3.3. As Maps 3 and 4 in Annex A demonstrate, results from qualitative indicators coming from different sources agree.

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

These external sources were combined with qualitative information from the National Overviews, in order to define the pre-conditions for territorial governance -vertical and horizontal- and context -political context and nature of territorial policies- and to consider these preconditions in relation to some indicators, such as GDP. In addition,

deeper analysis is developed in the Case Studies, focused on territorial governance actions; both in the policy design and implementation phases, and at different geographical levels. This was considered the best way to identify the reasons for success –also for failures- and learn about best practices, extracting conclusions on such territorially based actions.

In particular, one of the most important constraints for data collection was the difficulty in obtaining data and developing indicators on territorial governance at lower than NUTS 0 level. In practice, it was possible to characterize the processes of regionalisation and types of regions, as well as spatial planning styles and competences at different levels, but it was not possible to cover the full variety of indicative cases and types of governance actions throughout ESPON space. Each case study is characterized by a series of pre-conditions (on context and policies). It should be noted that case study selection was not random, but focussed on successful practices. In fact, this strategy should not only allow the analysis of territorial trends but also the development of a qualitative territorial impact assessment.

The ESPON 3.1 project (Final Report, part C, section 9.3, p. 396 and ff.) elaborated a common methodological approach to be applied to the different areas of concern in specific ways (the TIA manual). However, at the same time it was recognized that “the diversity of features and types of effects do not admit to cover the whole range of EU policy issues by one common assessment methodology” because of their different spatial dimension and implications, and also because of the different theoretical state of the art of applied research and planning in different areas. This is the case for territorial governance where the proposed model does not really suit our purposes and it needs adaptation.

Most of the dimensions of the ESPON TIA model have been addressed in the questions posed in the case studies (see Annex C for the template for case studies). We have thus addressed issues relating to governance form, impact, success, references to the past and the future, relevance of different territorial interventions and effects where identified, and policy goals referred to (e.g. polycentric spatial development, cohesion – in economic terms, as well as social and territorial). Equally, we have investigated the various applied meanings of ‘spatial/territorial’ and the territorial dimension.

Due to the nature of governance, as well as the type of material that these types of qualitative case studies contain, we have tried to give indications of best practice and good examples. One of the selection criteria, that the case studies should include some elements of innovative mechanisms, processes or tools, makes the TIA approach difficult as impacts are not yet there to be assessed. Thus, the project follows a step-by-step integration of results generated by different work packages trying to identify favourable preconditions for governance and best practice.

As a final recommendation, and in order to enable other TIAs, more work on data collection and development of specific indicators for territorial governance at sub-national level appears very necessary. The specific collection of data and the generation of indicators for the various governance aspects should be considered in future ESPON rounds.

## 2.2 Main Indicators

The ESPON 2.3.2 project followed the approach outlined in the FIR and refined in the SIR and displayed above in Table 1.5.1 for the 'quantitative' part of the TIA. The work on data and indicators continued (documentation is provided in Annex A of this FR) and the project was partially successful in substantiating the more abstract work with the existing data.

### Domains and Features of Governance represented by INDICATORS

|         |               | Domain       |                |                       |              |
|---------|---------------|--------------|----------------|-----------------------|--------------|
|         |               | State<br>(S) | Economy<br>(E) | Civil Society<br>(CS) | Space<br>(T) |
| Feature | Structure (S) | <b>ISS</b>   | <b>IES</b>     | <b>ICSS</b>           | <b>ITS</b>   |
|         | Process (P)   | <b>ISP</b>   | <b>IEP</b>     | <b>ICSP</b>           | <b>ITP</b>   |

Source: IRPUD 2004

When looking at the above table the indicators/data included are:

- Indicator describing State Structures (ISS) – In the end, for this typology, data on Nace L-P per inhabitants were used as an

indicator on state structures (taking the employment numbers as an indicator of the presence of the state in the regions, NUTS 2 level)

- Indicator describing State Processes (ISP) –concentrated on the delta values for Nace L-P employees.
- *Indicator on Territorial Structures (ITS)* –data on FUA were chosen for ITS.
- *Indicator on Territorial Process (ITP)* –based on data on lagging regions, multi-modal accessibility, and MEGAs.

[NB: Using the indicators on spatial aspects – in italics – for a further differentiation of the regional situations proved only partially possible.]

- Indicator on Economic Structures (IES) –taken as the GDP in PPS per capita, to describe the situation in various regions.
- Indicator on Economic Process (IEP) –constructed as the delta of GDP in PPS per capita.
- Indicator on Civil Society Structures (ICSS) – comprising data on legal systems, government, national democracy, parties and national parliaments (derived from Eurobarometer).
- Indicator on Civil Society Process (ICSP) – developed using the Eurobarometer data mentioned under ICSS, as they come in time-series and can be used to construct a delta.

Again, the original idea was to integrate the indicators ISS, IES, ICSS and IST and to interpret them as indicators on structural aspects, differentiating the regions.

Indicators ISP, IEP, ICSP and ITP can be interpreted as indicators on dynamic aspects (e.g. pointing in the direction of governance), introducing a development perspective.

All in all, the available data, the coverage, and ultimately the theoretical foundations are still too weak to achieve the objectives. The last of these is particularly important for a systematic test of the features of governance and their impact – not only on economic performance indicators but also on social and environmental indicators. Having stated this, the current project has tested some of the data and it can be used to define a route into an extended study of

governance impacts at a regional level, that is probably feasible in a future round of ESPON.

## 2.3 Main Typologies

2.3.2 ESPON project was partially successful to substantiate the – abstract – work with the existing data at different level than NUTS 0. The original idea thought to integrate the indicators ISS & IES & ICSS & IST and to interpret as indicators on structural aspects, differentiating the regions. Complementary Indicators ISP & IEP & ICSP & ITP can be interpreted as indicators on dynamic aspects (e.g. pointing into the direction of governance), introducing a development perspective. The coverage to apply the intended synthesis to a full extend was difficult with the available data.

| <i>Data on</i>         | <i>Indicator on</i> | <i>Result</i>     |
|------------------------|---------------------|-------------------|
| ISS & IES & ICSS & IST | → <b>Structure</b>  | → <b>Typology</b> |
| ISP & IEP & ICSP & ITP | → <b>Dynamics</b>   |                   |

(IRPUD 2005)

The current project has tested some of the data and can be used to define a route into an extended study of governance impacts at a regional level, probably feasible in a coming round of ESPON.

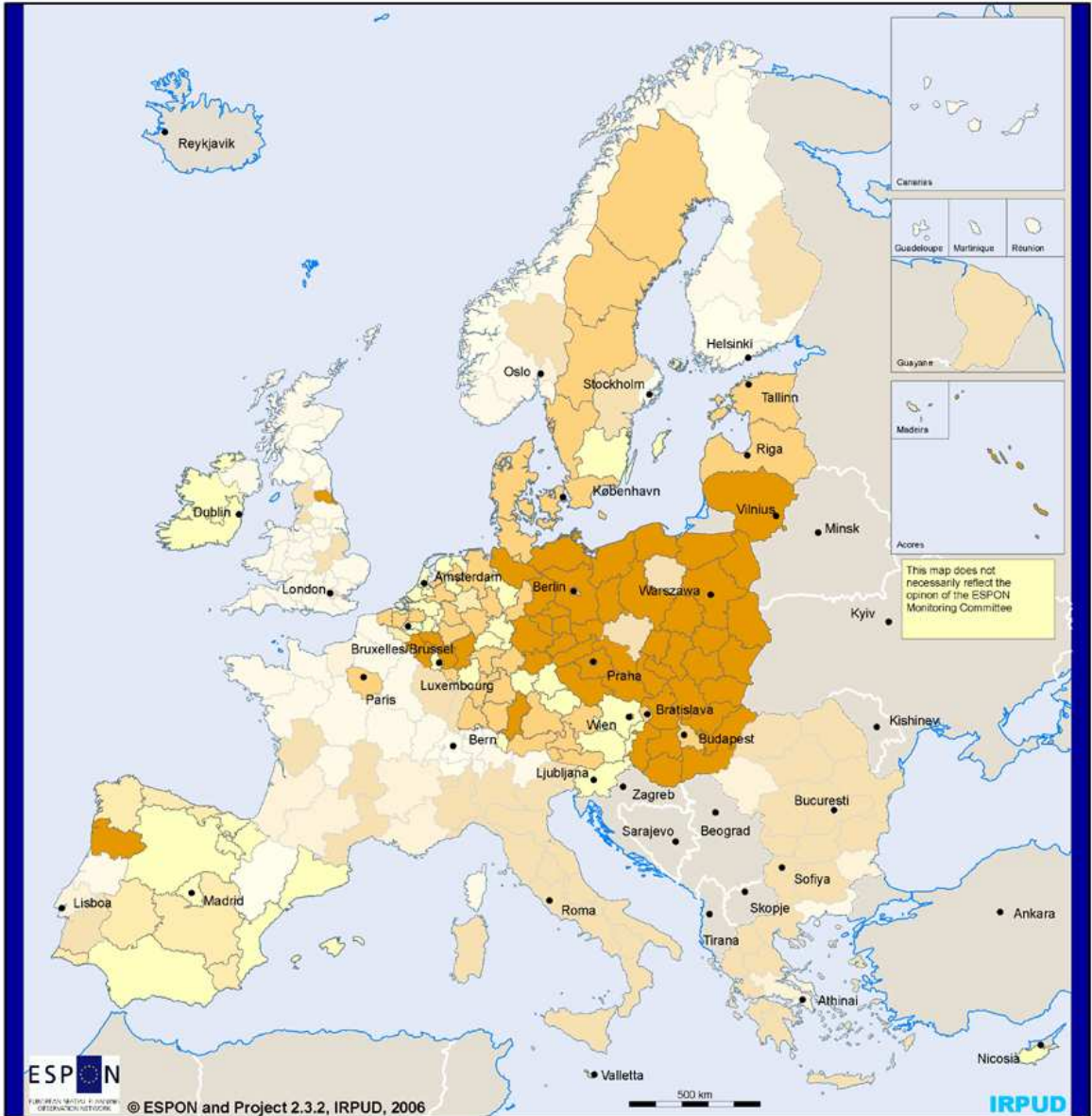
The synthetic indicator results in a regional typology as displayed in the following Typology of regions map in this Summary document. Typology of regions map marks only a starting point to further inquire the reasons behind these differences and potential cause and effect chains, binding specific structural and procedural features of cities and regions with governance characteristics. It does in no case address failures or success of government or governance or gives a hint towards positive combinations, alluding to a sort of bound to be successful combination.

The typology depicts against an average those regions, which are less advanced, and those, which are more advanced as the map 'typology of regions' shows.

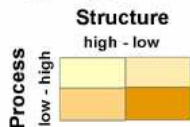


# Typology of regions

## Typology of Regions and Governance



### Typology 2006



Transparent Regions: indicative only

© EuroGeographics Association for administrative boundaries  
Regional Level: NUTS 2  
Origin of data: IRPUD synthetic indicator

Cyprus: Data for government controlled areas only.

Source: ESPON database  
EUROBAROMETER  
EUROSTAT

- Regions with high scores in both, structural and procedural data - about 20 % fall into this category; these regions are above Typology of regions average regarding the structural and procedural domains and features of governance;
- Regions with low structural and high procedural data - about 22% fall into this category; these regions show below average indicators in the structural domain of governance, e.g. in the field of state and economy;
- Regions with high structural but low procedural data - about 19% fall into this category; these regions are less dynamic compared with all other regions e.g. in the field of state and economy;
- Regions with low structural and low procedural data - largest share of regions with about 39%; all domains and features of governance are under average.

As said before, this approach towards a typology of regions in terms of governance characteristics makes us aware about some broad brush differences between states but also in terms of regions. Currently it is possible to analyse the design of governance on the NUTS0 level, the State level. Also an analysis by geographical levels was made (see Annex C): at Trans-national / cross-sectoral, National, regional / polycentric urban networks, FUA / metropolitan regions, Urban-Rural and Intra-city levels. However to analyse the NUTS2 level properly is still very difficult. So what this analysis did is basically set the first step on the NUTS2 level. The analysis of the NUTS2 and lower levels however remains still very difficult.

Further research in this area should be done so a foundation can be laid for future exploration of these levels. What the project also did is to analyse the data through a representative selection of items. Mainly Annex D, E and F tried to come to several typologies using different criteria. On the vertical level typologies were made based on; the political system of the State, spatial planning powers, the role of sub-national governments within the States, forms of cooperation between agencies, departments and authorities, approaches for vertical coordination and integrated spatial planning. In the horizontal level also several typologies were made based on; pre-conditions to horizontal coordination and cooperation, multi-channel, territorial co-operation, cross-sectoral co-operation, style of spatial planning and level of comprehensiveness. Further exploration of typologies was

done in Annex B where a characterisation was made based on a vast set of possibly relevant items.

As already experienced in this project governance is hard to analyse directly as it is more of a collection of aspects that together makes up governance. Currently there is still a lack of clear theoretical foundations –ESPON 2.3.2 project is a step in this sense - which is particularly important for a systematic test of features of governance and their impact – not only on economic performance indicators but also on social or environmental indicators. Having stated this, the current project has tested some of the data and can be used to define a route into an extended study of governance impacts at a regional level, probably feasible in a coming round of ESPON.

### **3. Networking Activities**

- *Networking undertaken with other ESPON projects:*

Efforts on coordination mainly have been undertaken among 2.3.2 and other ESPON projects such as 2.3.1 on application and effects of the ESDP in Member States, 2.4.2 on *Integrated Analysis of Trans-national and National Territories Based on ESPON Result*, 3.3 on territorial dimension of the Lisbon Strategy, 1.1.3 on EU enlargement and polycentrism, as well as with 3.2 on spatial scenarios. A very intense coordination took place in the case of 2.3.1 and 2.4.2, because of the closely related issues and because the LP was also involved in these two projects. More specific attention is paid to 2.3.1 because of a partially coinciding TPG composition in each project. In order to avoid overlapping and generate positive synergies, cooperation between 2.3.2 and 2.3.1 projects were based on different aspects:

- Shared composition of team members between 2.3.2 and 2.3.1. Some of them are responsible for related WP in each project; i.e. Polito, IRPUD and Nordregio.
- Starting before 2.3.1, 2.3.2 supplied useful previous resources, as results of National Overviews, on governance processes for 2.3.1, focused on the application of ESDP at National level, which is on the degree of ESDP explanations on changes in governance processes.

- The list of potential case studies for 2.3.2 and 2.3.1 share geographical scales of research (trans-national, regional and local) and specific issues (procedural aspects regarding policy formulation). In order to avoid overlapping as well as to reinforce complementarities, LP of 2.3.2 and 2.3.1 projects have been exchanging information about case study proposals along the process of configuring a final list of proposals (longer in 232 project). While 2.3.2 tries to identify and analyse these changes as a result of an evolution to successful governance practices, or the reason of failure, 2.3.1 specifically focusses on to which extent these changes are a consequence of the application of the ESDP in Member States.
- 2.3.2 and 2.3.1 LPs have maintained updating each other about the progress of each project and this will continue after this FR in order to achieve more complementarities for the future.

In the remaining projects coordination consisted of a review and/or discussion on governance aspects tackled by them as is the case in "Multi-level coordination methods" in 1.1.3 project, "Governance examined with regard to cohesion and sustainable objectives" in 3.3 project and "Issues of territorial governance" for 3.2 project.

A basic framework for discussions and exchange of ideas have been along the project the different LP meetings and ESPON Seminars. Especially useful in this sense have been LP meetings promoting a closer exchange and the feedback that followed after the meetings, usually by e-mail and through a close look on the materials and results. Also the LP has attended other core meetings, as in the case of 2.4.2 project in Berlin, as well as to other activities, among others:

- international seminars organized by the projects in order to present and discuss results of the project, i.e. project 3.3 in Rome
- other meetings specific issues related to territorial governance, i.e. OMC meeting in Bonn, Interact meeting on spatial Scenarios in Milano, European South East ECP meeting in Athens, West Mediterranean ECP networking activity in Madrid...
- LP also participate actively in the 1<sup>st</sup> ESPON Scientific Seminar held in Luxembourg

- *Cooperation with/among TPG members*

2.3.2 ESPON project presents a particular feature as it is the longest list of partners and subcontractors involved (24 teams, see the foreword). This represents an important added value regarding the knowledge and representativeness of each territory of ESPON space, but also a challenge in terms of the coordination task. Cooperation inside TPG has been developed mainly through an e-mail based network, through working group meetings, but also making good use of LP meetings and past ESPON seminars.

Also cooperation inside TPG has been developed mainly through an e-mail based network. Even though e-mail among LP and all team members is fluent and direct, there is a differentiated register for core team and TPG members responsible for key tasks in each Working Package involved in project organization and preparation of Interim and Final reports. Cooperation among these TPG members has been very fluent, especially when affronting conceptual, methodological and practical challenges for the project, usually inside each WP but also between WPs when necessary. This cluster has been open to the rest of TPG members in WP2 (National Overviews) and WP4 (Case Studies) in order to test guidelines and to ask for additional information needed. As a consequence, coordination in this broader and multiple context appears more complex and laborious but finally reasonably successful (the 29 NO and 53 CS). Despite usual problems that occur in such large groups and along almost two years of work, the project can feel reasonably satisfied due the general degree on involvement and commitment of experts.

## **4. Further Research Issues and Data Gaps to Overcome**

### **▪ Further Research Issues**

- Production of an updated EU Compendium of Spatial Planning Systems and Policies, with a territorial governance focus. A very interesting point is that due to the increased number of Member States the differences between European regions grew deeper and the whole situation is more heterogeneous. However, due to the convergence

that is taking place within the planning 'families', the differences are slowly start to decrease again.

- Development of a series of demonstration projects of trans-frontier cooperation to investigate "barriers and catalysts" of cooperation.
- Systematic research into "trans-frontier identities" to investigate cultural, environmental and man-made unifying factors, conducive to cooperation.
- Research into the special problems of applying governance processes in isolated, remote and resource-deficient areas.
- Investigation of the diverse national/ local cultural conditions which can provide support for future governance cooperation, networking and policies.
- Study of participation practices in the spatial planning processes of member states and their governance value.
- Study at national level of intra-state differences in territorial governance practices. Variations may be due to practical reasons (see section 6 conclusions in Annex B -Synthesis on National Overviews). A fundamental division is urban-rural differentiation.
- The degree of involvement in all case studies shows that vertical relations are mainly characterised by local and regional actors. Further research into these relations seems to be a promising field, mainly at the regional polycentric network and urban-rural scales, as well as in metropolitan regions where, contrary to the other two scales, relations are much more conflictual despite their strategic importance from a spatial and demographic point of view. More attention has to be paid to finding alternative solutions and learning from benchmarks.
- Also promising, and necessary, is the further exploration of territorial governance processes in rural areas, on how governance practices evolve in this context, where necessity sometimes leads to creative practices to territorial development.
- At the local level there are cooperation arrangements which do have an innovative character even if they do not produce spectacular results, like municipal development companies, public-private partnerships for land development, or quality agreements in certain economic sectors which are important in their national context. The most numerous examples are those focusing on cities, where one also finds the most numerous examples of policy packages. They often

exhibit experimental or innovative arrangements at the neighbourhood, city or urban region level, with the other levels usually aiming at economic development and urban regeneration. Their potential deserves further investigation to examine whether they can be exploited and extended in the future.

- The research project managed to probe into the field of territorial governance mainly with the help of qualitative methods. What has been obtained are mainly mental maps displaying the processes and structures of projects and experiments in the field of governance. The quantitative approach towards governance is far more difficult, as was experienced in the course of the project. Nevertheless, to address the effectiveness of governance structures across all EU member states and regions, the quantitative side of the research needs to be further developed, taking the preliminary approaches of the ESPON 2.3.2 project as a starting point.

#### ▪ **Data Gaps to Overcome**

As has been stated throughout the project, a number of types of data could be useful for future studies on governance and its impacts:

- Data on government structures in the European regions (e.g. regionally differentiated data on budgets; budget figures as such are available but they mainly relate to financial concerns and not regional ones); and on administrative structures, administrative processes (response times), e-government (the ESPON Database as an incomplete start).

- Data on civil society in the European regions (e.g. voting patterns can be a start and are available but have insufficient coverage; besides, as political scientists in the project team pointed out, their interpretation is open to debate). Also, ESPON 2.3.2 established a starting point regarding governance aspects in territories, i.e. with the qualitative indicators S1-S10. This work should be continued and systematically extended, e.g. with a targeted collection of these aspects across all EU regions.

- In particular, data on the potential impact side of governance beyond the economic are missing (e.g. the Eurostat data on social structures and characteristics address the welfare system [transfer payments] but are weak in other respects), as well as the environmental state of the regions.

As outlined in the case study analysis attached as an appendix to this final report, the changes taking place within territorial governance are linked to an increasing shift towards multi-level modes of governance, in a system of continuous negotiation and adjustment among governments and non-governmental actors at several territorial levels, from supra-national to sub-national (regional and local). This broad process of institutional adjustment and adaptation is shifting some previously centralized functions of the state to the supra-national level, whilst others are delegated or in some cases devolved to the sub-national tiers of government. Yet in other cases the adjustments taking place relate to actors, organisations and interactions beyond the government system, involving other actors and organisations than the governmental ones, from the private sector to the voluntary sphere, as well as to social movements and their mobilisation effects.





# ESPON project 2.3.2

## **Governance of Territorial and Urban Policies from EU to Local Level**

### **Final Report** **Part II**

### **Results of the Project**

# II

# ESPON project 2.3.2

## **Governance of Territorial and Urban Policies from EU to Local Level**

### **Final Report**

The Final Report of the ESPON project 2.3.2 "Governance of Territorial and Urban Policies from EU to Local Level" was delivered on the 31<sup>st</sup> of May 2006. The Final Report comprises three main parts:

Part I: Summary

Part II: Results of the Project

Part III: Annexes

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INSTITUTO INTER-UNIVERSITARIO *de* DESARROLLO LOCAL



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.

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

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## Foreword

This is the fourth and Final Report of ESPON Project 2.3.2 "Governance of Territorial and Urban Policies from EU to Local Level" that has been co-ordinated by the Instituto Interuniversitario de Desarrollo Local (IIDL) of the University of Valencia.

Governance is a complex, polyhedral, but also very sensitive concept, usually and partially focussed on the polity dimension of political activity. In turn, 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 that is used in this ESPON 2.3.2 project. Here it is to be seen not only as a governance process applied to urban and territorial policies, but as a process that has a specific character deriving from its object, the territory, helping to achieve the broad objective of territorial cohesion. This focus extends the meaning and understanding of the governance concept itself, and places spatial policies as a very appropriate field for the development of governance practices and principles.

Governance is not a policy as such, but it has to be understood better as process, a process related to the elaboration and implementation of policies. This focus was in fact recognised as a difficult challenge for the project itself, representing an additional challenge to the research team, both from a methodological (because of the lack of clear theoretical foundations, also of data and indicators, that leads mainly to the use of inductive and qualitative methods, combined with quantitative ones) as well as, in consequence, regarding to the limits (lack of full 'universality') of the provided results, and the applicability of standard models of Territorial Impact Analysis.

Despite this, it was considered the right way to contribute to an understanding of territorial governance from a 'territorial' point of view, contributing in this sense to reinforce intellectual capital. In this sense this project presents a 'pioneer' character. It presents for the first time an operational definition of territorial governance and, through the identification and analysis of "good governance" practices (through Cases Studies, each one in their specific framework -pre-conditions- characterized through National Overviews), looks forward to identify (qualitatively) some positive impacts of governance (ex-post) and the elements (in pre-existing regional contexts, and governance trends and practices) that could lead to "good governance" (ex-ante). This required the development of new

methods, combining qualitative and quantitative approaches, as well as new hypotheses for investigating the field.

For these reasons one can expect from the ESPON 2.3.2 project not only conclusions but also new questions which have to be considered as starting points or starting hypotheses for future research in the field. This has to be kept in mind. Please open your mind, overcome limited expectations and accept the challenge of considering different pictures and results of ESPON space. Give us the benefit of the doubt when reading this Final Report and, finally, let us know your criticisms and opinions in order to improve the results.

This Final Report of ESPON Project 2.3.2 "Governance of Territorial and Urban Policies From EU to Local Level" document contains three parts:

#### Part I: Summary

The Summary, presents the main findings, scientific and policy conclusions of the project in a short format, synthesising findings from the core text. This document includes an executive summary as well as a scientific one in accordance with the ESPON guidance papers. It also includes a short section on further research issues and data gaps to overcome and furthermore it also presents a short report on networking with other ESPON projects.

#### Part II: Results of the project

The core text of this Final Report presents the final findings and conclusions of the project in more detail. According with the operational definition of territorial governance presented by 2.3.2 part 2 is divided in four sections. Section one defines the theoretical and methodological background of the project. The second section focuses on territorial preconditions, both on context and on policies. In this chapter the reader will find a characterization of ESPON space regarding vertical/multi-level, horizontal (cross-sectoral, among territories, among actors) and participation relationships; and more spatially oriented conclusions on the second, were new images about spatial planning in Europe are drawn, policy packages identified and analysis on situation in ESPON space regarding OMC done. The third chapter focuses on Territorial Governance Actions as result of the exploitation of Case Study section. Here governance trends tools and practices, models of governance by type of territory, favourable preconditions and best practices are analysed leading to a model of

territorial governance that closes the circle the project started following an inductive approach.

### Part III: Annexes

The third part of the report presents the annexes, here the studies/analysis behind the results can be found. There is a total of 6 annexes focussing on the; methodology, synthesis of all National Overviews, synthesis of all Case Studies, multi-level/vertical dimension of territorial governance, horizontal dimension of territorial governance and trend in spatial planning styles among and within Espon 29 countries.

In this project 24 institutions have been involved. The institutes are listed below, followed by a list of staff involved in the project. At this stage the Lead Partner would like to take the opportunity to thank all TPG members for their work and co-operation. The project itself, the work done by all the people who were involved in it, the process of making it succeed, demonstrated in its own way that the principles of good governance are of big importance.

The list of members of the trans-national project group (TPG), the largest one in a ESPON project in terms of partners and subcontractors involved, is as follows<sup>1</sup>:

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<sup>1</sup> Project functions: MA=main/analytical part; NO=national overview; CS=case studies; OT=other

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- Marios Karojan (NO,CS), Costas Apostolides (NO, CS), Costas Ioannides (NO).
- Municipality of Nicosia, Cyprus: specific interview with the Mayor of Nicosia Michalakis Zambelas, Agni Petridou (CS).

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More information about the ESPON programme and the project as a whole can be found on the ESPON web page [www.espon.eu](http://www.espon.eu).

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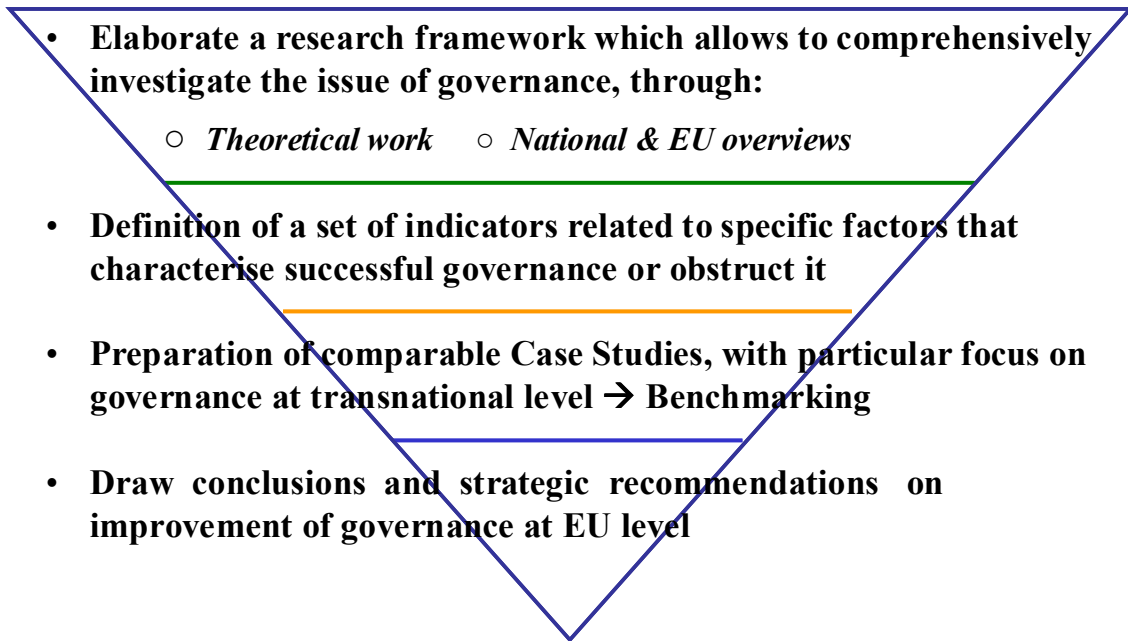


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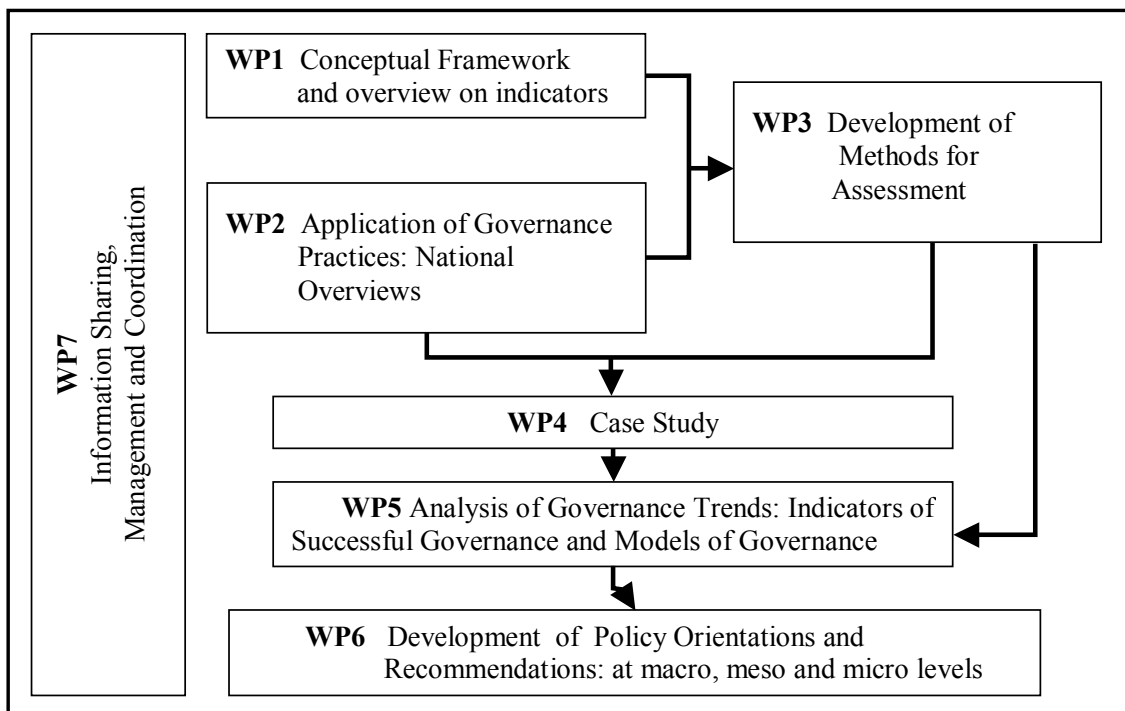
# 1. Framework of the Analysis

## 1.1 Project Design

- **General objectives for the project**



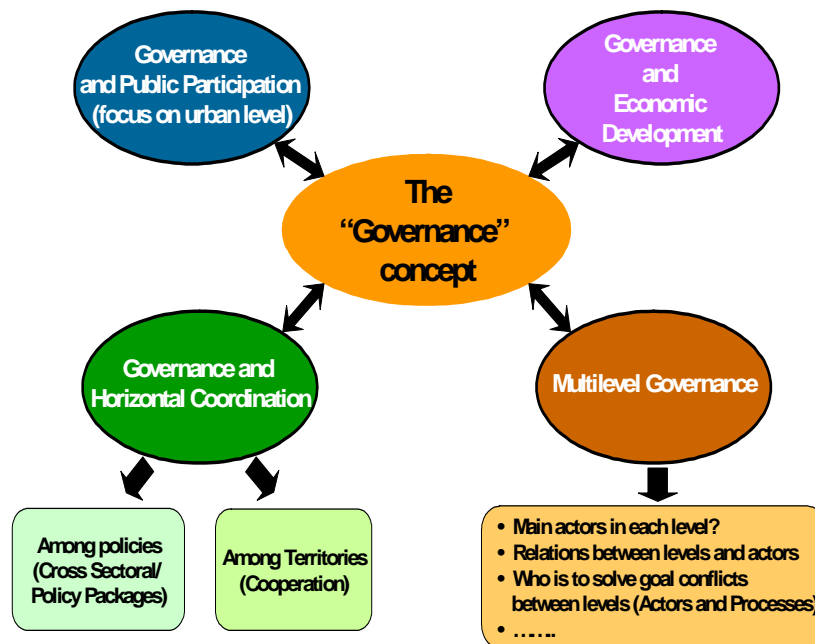
- **Work Plan: Working Packages organisation**



- WP 1: Conceptual framework and review of existing indicators

The first task of the project was to produce an operational definition of territorial governance. The first step done in that direction was to make a review of existing bibliography on this complex issue. Since the First Interim report, four dimensions for governance were recognized (Figure 1.1.1):

**Figure 1.1.1 Dimensions of governance**



Regarding to data and indicators, the project starts with a review of *existing* data, statistical sources and indicators. A central task in this review was to provide an analysis of the comparability at EU level of available data on different dimensions of governance.

- WP 2: Application of Governance Practices: An Overview at European and National Level

One of the primary issues envisaged for the project was to produce a comprehensive overview of formal and informal cooperation and coordination tools and mechanisms (institutional and instrumental approach) relevant for the management of territorial and urban policies in ESPON space.

It was considered, as premise, that an updated report of the current situation on territorial governance was not available. We depart, so, from an unknown reality of each country that TPG national experts should scan by answering some specific questions defined in the National Overviews guidelines. Finally 29 National Overviews (NO)

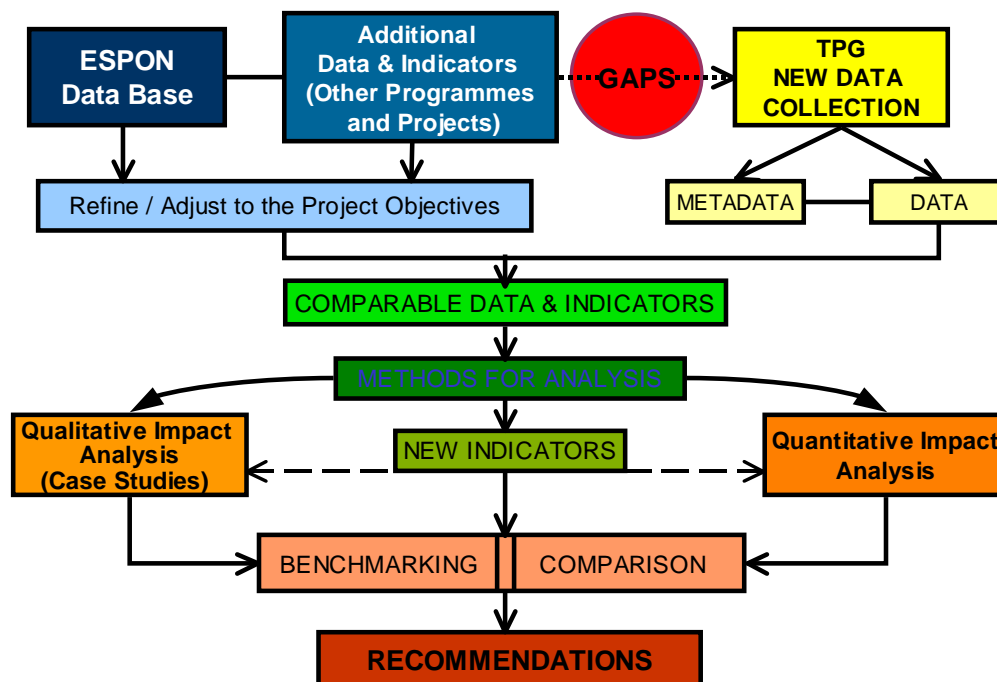
were produced in 2.3.2 ESPON project. Guidelines and structure for NOs were specifically designed in accordance with the Terms of Reference document, not only in order to collect the common information necessary to fill in the list of deliveries/contents that have to be included in the reports, but also in order to make a characterisation of the situation in the ESPON space (29 countries) and to test the hypothesis of a possible and convenient review of the *European Compendium of Spatial Planning* document.

In addition, the deep knowledge of the national experts on each national situation was considered the best guarantee to propose a list of Case Studies (CSs) covering all geographical scales (transnational /cross-border,national, regional and local levels – intra-urban, also between city and its hinterland) and policy tradition styles (in fact all countries will be represented). In this sense TPG national experts, in different ways became the helping hand 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 project presents the broadest TPG, with a total of 24 national teams, a very particular feature in the ESPON programme.

- *WP3: Data and Indicators. Development of methods for assessment*

After a precise analysis on the availability and comparability of data WP 3 aims at establishing a consensus on data and indicators needed also for the assessment (see Figure 1.1.2).

**Figure 1.1.2 Looking for common data and indicators for assessment**



- WP4: Case Study

If National Overviews allow descriptions and hypothesis formulation, with the Case Studies (CSs) 2.3.2 project searches for explanations and tries to shine a light on the causes and impact of 'good' governance in the field of urban and territorial policies. Through CSs the project analyses examples of governance practices and processes from two different points of view: the vertical and the horizontal relations at work. We will take the institutions and formal structures into account, but we will mainly focus on the understanding of relations and interconnections between levels and actors.

In order to clarify the type of territories on which we will focus, and the main aspect of governance we are interested in, a matrix was made (Figure 1.1.3). In this matrix each TPG member should introduce two case studies, keeping in mind that they should define a maximum of four boxes in the matrix per case study. The selection of cases (53 in total) and the selection of boxes should be explained in relation to their interest for the ESPON 232 project: examples of successful -or failing- territorial governance, contribution to identify governance trends and prerequisites, and to propose recommendations for better territorial governance.

**Figure 1.1.3 Case Study Matrix**

| <i>Governance dimensions</i>                           | VERTICAL RELATIONS   |  | HORIZONTAL RELATIONS                        |   |   |   |                            |
|--|--|--|---|---|---|---|----------------------------|
|  | Multi-level Cooperation  | Decentralizat./ Devolution / Regionalisat. | Multi-Actor/ Multi-Channel                  | Among Territories                           | Integrated Policies   | Participation of NGA/ Openness                            | OMC, Innovative Mechanisms |
| <i>Geographical</i><br>Trans-national/<br>Cross-border | 1.1, 12.2, 13.1, 14.2, 17.2, 23.1a, 23.2a, 27.1, 28.2                                | 13.1                                       | 1.1, 8, 12.2, 28.2                          | 12.2, 13.1, 14.2, 17.2, 27.1, 28.2          | (12.2), 13.1, 14.2, 17.2, 18.1, 23.2, 27.1,(28.2)                 | 13.1, 14.2, 17.2, 23.2, 27, 28.2                          | 8, 23.2                    |
| National   | 9.1, 11.1, 18.1, 21.1, 26.1  | 2.2, 18.1, 26.1                            | 2.2, 9.1,11.1, (16.2), 18.1                 | 2.2, 15.2, 18.1, 26.1                       | 2.2, 5.1, 9.1, 11.1, 18.1, 21.1                                   | 9.1, 11.1, 18.1   | 21.1                       |
| 'Regional'<br>Polycentric<br>Urban Networks            | 1.1, 3.1, 5.3alt, 8, 10.1, 15.1, 15.2, 18.1, 19.1, 28.1                              | 3.1, 5.3alt, 12.1, 17.1, 22.1, 26.1, 28.1  | 1.1, 5.3alt., 10.1, 12,1 19.1, 22.1, (28.1) | 3.1, 12.1, 15.1, 17.1, 19.1, 22.1, 25, 28.1 | 3.1, 10.1, 12.1, 15.1, 15.2, 18.1                                 | 8, 10.1, 15.1, 15.2, 18.1, 28.1                           | 10.1                       |
| Functional<br>Urban Areas,<br>Metropolitan<br>Regions  | 1.2, 4.2, 6.1, 7.1, 7.2, 9.2, 10.3, 11.2, 14.1, 16.1, 18.1, 19.2, 20.1, 24, 25, 27.2 | 16.2, 25                                   | 1.2, 4.2, 6.1, 7.1, 10.3, 11.2, 20.1, 24    | 9.2, 11.2, 14.1, 16.1, 19.2, 20.1, 25, 27.2 | 4.2, 6.1, 7.1, 7.2, 9.2, (14.1), 16.2, 16.1, 19.2, 24, 27.2, 29.1 | 1.2, 4.2, 6.1, 7.2, 9.2, 11.2, 14.1, 16.1, 20.1, 24, 27.2 | 7.2, (16.2)                |
| Urban – rural  | 2.1, 4.1, 18.1   | ×  | 2.1, 3.2, 5.3alt, 10.2, (16.2), 26.2        | 3.2, 4.1, 22.2, 26.2                        | 2.1, 3.2, 4.1, 10.2, 14.1, 22.2                                   | 2.1, 4.1, 26.2, 29.2                                      | 3.2, 22.2, 26.2            |
| Intra-city   | 18.1, 6.2  | 18.2, 21.2                                 | 5.1, 18.2, 21.2                             | 18.2  | 5.1, 6.2, 18.2  | 1.2, 5.1, 6.2, 18.2                                       | 6.2, 18.2, 21.2            |

*- WP5: Analysis of Governance Trends, favourable conditions for good governance and possible models of governance*

Having carried out the case studies, in a comparative basis, analysis of this vast amount of information will provide a comprehensive diagnosis of governance trends and disparities in order to develop typologies and identify favourable issues for good governance. This work package will also directly feed into proposals for recommendations on governance (procedures and institutions).

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. 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. We use *inductive methods* instead of deductive methods and 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.

*WP6. Development of Policy Orientations and Recommendations at macro, meso and micro levels*

As a final step and binding together the work carried out under this project, policy orientations and recommendations will be developed. These policy recommendations finally include recommendations for dissemination of good advice on governance, proposals for actions at different levels and governance dimensions, as well as orientations for a possible update or revision of the European Compendium.

*- WP7: Information sharing, management and coordination*

The overall aim of this work package is to ensure the smooth and effective running of the project, to co-ordinate working group meetings, and networking with other ESPON projects and institutions in neighbouring and candidate countries, and to discuss findings at the interim stage.

● **Time table**

| 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    📄 Interim Reports    📑 Final Report

WP 1: Conceptual Framework and Review of Indicators

WP 2: Application of Governance Practices: An Overview of European and State (Central and Non Central) Level

WP 3: Development of Methodology of the Impact Assessment Analysis

WP 4: Study of Cases

WP 5: Analysis of Governance Trends: Indicators of Successful Governance and Models of Governance

WP 6: Development of Policy Orientations and Recommendation: EU Role in Territorial and Urban Governance

WP 7: Information Sharing, Management and Coordination

## 1.2 The Theoretical Background

This section looks at the theoretical background to governance, by bringing together the main elements of the discourse of governance within the academic literature.

### 1.2.1 What is governance?

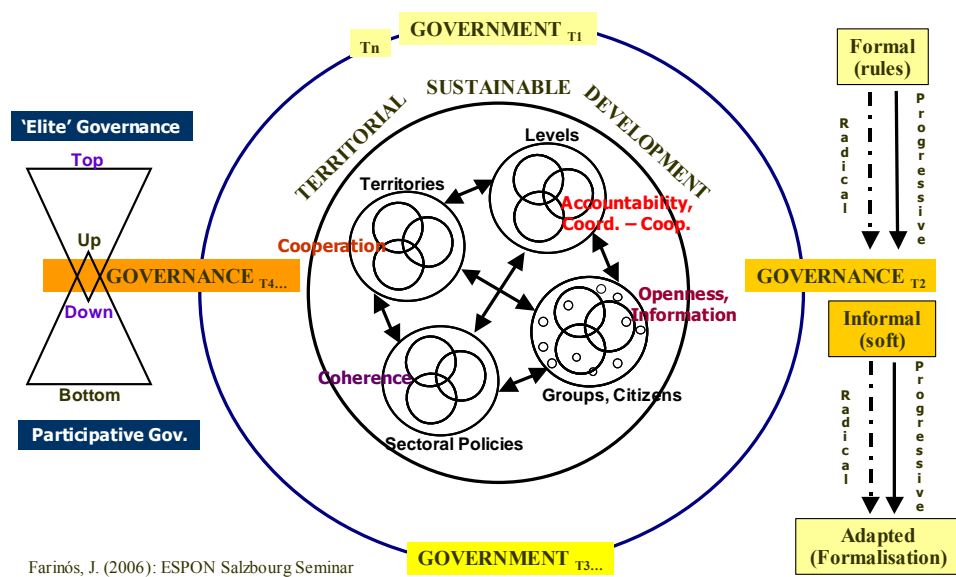
In the last two decades or so, the concept of governance has found a central place in recent social science debate, focusing in particular on the shift from *government* to *governance*. Here, *government* refers to the dominance of state power organised through formal and hierarchical public sector agencies and bureaucratic procedures, while *governance* refers to the emergence of overlapping and complex relationships, involving “new actors” external to the political arena (Painter and Goodwin, 1995). Governance is seen by Jessop as “horizontal self-organisation among mutually interdependent actors”

(2000, p.15), of whom government is only one and with only 'imperfect control' (Rhodes, 1997, p.8).

With urban systems today characterised by complex patterns of interdependencies, controlling, managing or even steering the complex, fragmented and often competing societal interests is beyond the capacity of the state as an agent of authority. Healey et al (2002), argue that governance, in its *descriptive* sense, directs attention to the proliferation of agencies, interests, service delivery and regulatory systems. While in its *normative* sense, governance is defined as an alternative model for managing collective affairs<sup>2</sup>.

Relations government – governance could be understood as incremental process (see Figure 1.2.1 below). Governance as way to improve defects and problems on more traditional governmental methods, even though has its own limits or open new matters.

**Figure 1.2.1 Relations between Government and Governance in an incremental process**



Farinós, J. (2006): ESPON Salzburg Seminar

<sup>2</sup> The DISCUS project (*Developing Institutional and Social Capacities for Urban Sustainability*) argues that *governing* encapsulates two related and intertwined processes, those of *government* and *governance*, where the former is regarded as “the sphere of local authority activity, the internal organization of local government, and the legal, financial and political processes therein” (*ibid*), and the latter as “the sphere of public debate, partnership, interaction, dialogue and conflict entered into by local citizens and organizations and by local government” (Evans, B., Joas, M., Sundback, S. and Theobald, K. (2005) *Governing Sustainable Cities*, Earthscan: London, p.3). *Governing* is the term used to describe the interaction between the two.



Various theoretical perspectives have tried to conceptualise this transformation and its outcome (Pierre, 1999 & 2000; Peters, 2000). For example, regulation theorists argue that the shift from government to governance is part of and a response to the wider process of socio-economic change manifested in a move away from a Fordist mass production system and an established Keynesian welfare state towards a 'post-Fordist' flexible specialisation (Piore and Sabel, 1984). Fiscal crisis in western democracies, with the definition of new strategies for services production and distribution, the need for public-private coordination, economic globalisation and the growing importance of trans-national political institutions are elements of these processes, as underlined by Pierre (2000b).

Jessop (1997) argues that, central to these developments is the profound restructuring of state and its changing role in governing the relationships between society and the economy. Related to this are the twin trends of 'globalisation' and 'localisation'. The 'denationalisation of the state', or the 'hollowing out' process, of the former leads to a continuing loss of state functions, while the process of the latter means localities are more able to develop their own trajectories of economic development within this global system.

However, some studies, also as this project finally has found, this process is not leading to a extinction of central State but to its adaptation in order to follow as pre-eminent actor.

The shift to governance has not only led to the fragmentation of local government, it has also led to disruption of established channels, networks and alliances through which local government linked to citizens and businesses. Hence, the challenge of governance is how to create new forms of integration out of fragmentation, and new forms of coherence out of inconsistency. As Stoker points out, governance is "a concern with governing, achieving collective action in the realm of public affairs, in conditions where it is not possible to rest on recourse to the authority of the state" (Stoker, 2000, p.93). It is about how collective actors emerge from a diverse group of interests (Le Gales, 1998).

### **1.2.2 Governance and local economic development**

In relation to Rhodes' (2000) identification of seven distinct definitions for the term governance (see First Interim Report, p.16), the last three definitions (that of governance as a *socio-cybernetic system*, as *new political economy*, and that of *network governance*) are of relevance here to economic development at the local level. The socio-cybernetic approach stresses how urban and territorial

transformation processes should be seen “as a ‘common’ result or outcome of the interacting intervention efforts of all involved actors. This pattern cannot be reduced to one actor or group of actors in particular” (Kooiman, 1993, p.258).

At the same time, the new political economy approach sees in governance the presence of organisational modes that overcomes the separation among the different economic and social dynamics among public, private and civil society. This acknowledgement favours the strengthening (not least institutionally) of organisational modes based on reciprocity and cooperation (Jessop, 1995). This interpretation has relevance for network governance too. In this model there is a “shifting from ‘hard governance media’ (such as money and law) towards ‘soft’ ones, i.e. negotiation, co-operation and discursive concordance; at the same time, substantial interventions are replaced by procedural mechanisms whereby the latter rely on and promote the auto-organizing capacities of network actors” (Perkmann, 1999, p.621).

In the context of local development, Le Galès and Voelzkow (2001) underline how the main task of governance is to provide *local collective competition goods*, that is those fixed assets (tacit knowledge, specialised know-how, services and facilities availability, institutional and social capital, etc.) that give competitive advantages to enterprises localised in a certain area. In this case, governance “refers to the entirety of institutions which coordinate or regulate action or transaction among (economic) subjects within an (economic) system” (*ibid.* pp.5-6). In this interpretation, governance is used to describe the internal functioning of local economies. Assuming that every society can be interpreted as a specific combination of regulation modes, Hollingsworth and Boyer (1997) identified five such modes (See First Interim Report, Figure 1, 1.2.3). These are the *market*, *firms* (enterprise organisations), the *state*, the *community* and *associations*.

These modes, in different ways, all exist in the governance of local economies, thus combining various regulation models. A governance approach allows us to identify “the variety of ways in which certain tasks (i.e. the production of collective competition goods) can be assigned to market, enterprise organization, community, government bureaucracy and association. What will be worked out through market exchanges in one local economy could be achieved by government entitlements in another” (Le Galès and Voelzkow, 2001, p.9).

Mayer (1995) writes about the growing importance assumed by policies that aim to promote local development and to define the

competitive profile of cities and territories by means of *pro-active* action strategies. Re-orienting urban and territorial policies towards the promotion of local development is seen by many authors as the rise of the entrepreneurial city or “turn” to the entrepreneurial mode of urban governance (Parkinson, 1991; Hall and Hubbard, 1996; Jessop, 1997). Fainstein (1991), debating the shift from regulative action modes to *pro-active* ones supporting development, stresses the relation that links the changes in urban and territorial policies to the current redefinition of the economic development model.

In this framework, changes in principles, methodologies and forms of collective action in the urban and territorial policy fields are closely linked to the transition towards a new capitalistic accumulation regime (Harvey, 1989b) and to the crisis of the Fordist model, considered not only as a model of production organisation, but also as an economic and social regulation model (Goodwin and Painter, 1996). Governance can then refer to a regulation model of local economies able to be compared to a post-Fordist accumulation regime and, specifically, to the new forms of institutions of economic and social regulation.

### **1.2.3 Governance as vertical coordination**

The vertical coordination dimension of governance is closely related to the concept of ‘multi-level governance’, defined by Marks as “a system of continuous negotiation among governments at several territorial tiers - supra-national, national, regional and local - as the result of broad process of institutional creation and decisional reallocation that has pulled some previously centralized functions of the state up to the supra-national level and some down to the local/regional level” (1993, p.392).

The State is more and more often called on to play the role of a “balance” between local and global dynamics, between globalisation de-territorialisation processes and the selective re-territorialisation it determines (Rhodes, 2000). In this framework, we can speak of the rise of the so-called *new institutionalism*, in which the State subsists in a context of institutional networks, confronted by new challenges of public management (less bureaucracy and more free market) and social constructivism (a multiplicity of actors taking part in public policy formulation). However, as Pierre (2000b, p.3) points out, it “should not be intended as a proof of the decline of the State, but rather as the capacity and ability of the State to adapt to external changes”, as the results of this ESPON 232 project demonstrate.

This changes the meaning and role of local autonomy, too, which no longer refers to a purely autarkical process (Brown, 1992), but a complex relation between the local and the global levels, in which the local “plays” its self-representation capacity and, simultaneously, its external openness to take part to supra-local levels of network relations (from the regional to the global levels) (Stoker, 2000).

In this view, territories are not only considered as spaces for the localisation of business and global level functions. Global networks do not only operate in a de-territorialized “spatial flux”, but need to be rooted in specific places, being interested in local resources and competitive advantages. This can stimulate new territorial cohesion able to produce such advantages or to foster resisting and reinforced local identities (Castells, 1997). According to this interpretation, relations among local territories and other territorial levels are defined in a transcalar perspective that needs to adopt multi-level action forms to pursue the collective interest (Dematteis, 2001). The concept of transcalarity implied in this governance vision emphasises the role of networks as organisational mode of collective action, stressing the different levels (local, regional, national, European) in which different actors interact through networks, and recognizes that relations between actors, within and among levels, give rise to problems of integration and cooperation.

The connection between the de-territorialisation process of globalisation and the territorial reconfiguration it determines, produces *re-scaling* processes (Brenner, 1999), that is re-organisation, re-articulation, and re-definition of the territorial scales and the corresponding government levels implied in the transformations.

The dispersion of authority from the central government towards supra- and infra-national authorities or public-private networks imply two contrasting, yet coexisting, visions of multi-level governance (Hooghe and Marks, 2001):

- the first model refers to a shared authority of the central government with a limited number of clearly defined and delimited, never overlapping, authorities. The model is that of the federal State and the analysis unit is the level of government rather than a policy;
- the second model refers to a fluid and complex system of authorities and bodies, partially overlapping. In this case the different authorities can act simultaneously on different levels

and are functionally specific (linked to some services supplying, for instance), rather than multi-task.

Within this framework, two coordination methods are possible. The first consists of a progressive and well regulated decentralisation process, with a defined list of competencies; the second is a contractual-type method. This contractual, auto-regulatory framework must be flexible and adapted to the capacities of the local and regional authorities while respecting the principles of subsidiarity and proportionality.

#### **1.2.4 Governance as horizontal coordination**

There are two aspects to this in relation to governance. One is governance as interaction between actors and policies in any given territory – multi-actor and cross-sector coordination. The other refers to territorial integration – coordination of policies and actors in different territories.

Governance, as previously stated, refers to an idea of public action and its organisational structures that is different to the traditional idea of government. Governance is then considered as a set of actions, practices and processes that regard governing, while government refers to political institutions and their organisational structures (Dente 1999, p.112). Using governance to describe governing allows, in fact, to consider not only formal government organisations, but informal mechanisms too, that see the participation of a multiplicity of actors that permit to take decisions and implement a policy. In reality, there is a continuum in which features of the government and governance models intersect. Imrie and Raco (1999), referring to urban and territorial policies see that governance theories and practices does not represent a radical change but a transition, partly following structures, political styles and action trajectories of government.

In governance actions, policies are not considered as the outcome of a single subject action or as something imposed from above. Rather, they come from the interaction and negotiation of a multiplicity of subjects and interests, which interact with different purposes, implementing a multiplicity of actions. A governance process involves by definition a complex set of public and non public actors. In any specific policy area, all the actors need all the others, since “no one has all the relevant knowledge or resources to make the policy work” (Rhodes, 1997, p.50).

In governance models multi-actor interactions are regulated through a wide set of “social” modes of coordination, rather than by a limited

set of hierarchically defined organisational procedures (Jessop, 1995). In this context, adopting an 'institutionalist' approach to governance, Healey (1997) stresses the role of social networks in building actions, where the emphasis is "not merely on the interactive nature of governance processes but on the way social networks weave in and out of the formal institutions of government and develop governance mechanisms within themselves, and through the recognition that reasoning is a much wider activity than is captured in the model of technical-instrumental rationality and rational planning process" (p.204).

In a governance model the role of the public subject changes with the shift from a more decision-making and regulative role to one of *pilotage*, setting the direction of the interaction between subjects (Jessop, 1995). Governance thus becomes a synonym of *steering*, that is, guiding the transformation dynamics and processes rather than having a direct control over them.

Peters (2000), however, underlines the difference between this 'traditional' conception of governance as steering, in which the State form of coordination of interaction among actors persists and the State defines the priorities in policies, mediates among different actors and interests, and is thus perceived as a 'guide' for society and the economy, and new modes of governance, whose distinctive character is a plurality of types of interaction and of regulation modes, formal and informal, among public and private subjects.

### **1.2.5 Governance and public participation**

Public participation is a fundamental tenet of the concept of governance. In the White Paper on European Governance, it is one of the five principles that underpin good governance, while it is also one of the five indices of UN-HABITAT's Urban Governance Index.

In the industrialised democracies, the primary device for enabling the public to voice their views has been through the channels of representative democracy by which the public elect politicians to represent their interests in local and central governments. The representative principle of government is based on the assumption that it is difficult, if not impossible, for the public to take part in making the day-to-day decisions in administration and government. This principle, seen as an advantage of representative democracy, was applied across public policy-making at least until the 1960s. The lack of public participation was partly a result of the post-war political consensus in many countries, and partly because of the trust accorded to experts and professionals. Spatial planners, like many

other professionals, were perceived as being the guardians of the general public interest. In the 1960s these ideas began to be challenged. By then the political consensus had largely broken down and people had become dissatisfied with the lack of direct access to decision-making and the distribution of benefits and power within society (Hill, 1970). In many European countries these challenges led to an increasing role for public participation in the planning arena and in the governance of citizens' lives more generally.

By the 1980s, Hamdi and Goethert argue there was a 'new realism' in urban planning, related to the orthodox paradigm of 'providing' being replaced by an alternative paradigm of 'enabling' which, amongst other characteristics, promotes self-sufficiency and sees community-based organizations and NGOs as prime actors, professionals as catalysts, and governments as enablers (1997, pp.25-27). This view is supported by Friedmann in his prescription for 'alternative development', which sees an increasing role for civil society, with the state playing more of an enabling role (1992: 160). Chambers, meanwhile, sees the paradigm shift as being from 'things' to 'people', with the keyword of 'participation' replacing that of 'planning', and 'bottom-up' replacing 'top-down' (1995, p.32).

The crucial question remains, however, of how we measure the effectiveness of a specific public participation exercise; how can we distinguish between 'good' participation and 'bad' participation?

A much-quoted article by American writer Arnstein, published in 1969, used the metaphor of a 'ladder of participation' to portray different levels of citizen participation in local planning (see First Interim Report, Figure 1, 1.5.5, p. 34). Implicit in Arnstein's choice of metaphor is an inherent preference for climbing to the top and aiming for the maximum degree of participation in all decision-making processes. Thirty years later, a much less quoted article by planners in Scotland pointed to the development of another metaphor, 'the Wheel of Participation' (see *ibid.*, Figure 2, p. 35). The wheel also identifies different levels of participation yet without implying preference to any specific one (Davidson, 1998).

Whilst the significance of public participation in spatial planning has waxed and waned over the last forty years, engaging the public in policy processes has remained a persistent concern. This has been accompanied by repeated dissatisfaction over the inadequacy of the way in which participation has been sought. Discussions about public participation are littered with references to distrust of professionals and their relationship with the public, despite the recent shift towards

more inclusive forms of urban governance with a focus on the involvement of all stakeholders.

The call for consensual decision-making processes has been given theoretical expression under the term 'collaborative planning' (Healey, 1997). It is clear that the traditional democratic institutions that were set up as part of the process of modernity are not capable of accommodating the growing forms of 'direct' actions. The recent emphasis on public participation as a fundamental part of governance has not only made us re-think the *outcome* of our decisions. It has also urged us to re-visit the *process* of making these decisions.

## **1.3 Concepts and operational definitions**

### **1.3.1 Territorial governance**

Territorial governance can be seen as a simple application in urban and territorial field of general principles of governance. In this view, unlike economic governance, territorial governance confronts, or should do so, with the interest representation problem, thus considering among its objectives the specific social and political dimension of the collective action.

Nevertheless, in a more complex and interesting way, territorial governance can be seen not only as a governance process applied to urban and territorial policies, but as a process that has specific characters deriving from its object, the territory. Within this perspective, the complexity of territory not only allows consider territorial dynamics as one of the most interesting test in order to verify the effectiveness of the general principles of the governance approach, but also gives a specific character to territorial governance.

According to a wide international literature (for instance, Raffestin, 1981; Cox, 1997; Storper, 1997a; Scott, 1998; Scott e Storper, 2003; Amin, 2002), territory is a complex concept. It can be considered as a complex set of values and resources, a common good of fixed assets, material and immaterial, an exhaustible resource, a political and economic "fact", a "social construction" deriving from the collective action of groups, interests and institutions. Different definitions highlight different concepts of territory that, though not exclusive, can be divided, at least from a theoretical-methodological point of view. According to the concept of territory that we support, in fact, we will face different concepts of territorial governance that imply specific features and evaluations. Be that as it may, the main definitions of territory that allow dealing with the issues highlighted in



the international debate on governance are: the territory as a “social and political construction” and the territory as “territorial capital”.

### **1.3.2. Territory as a set of actors: territorial governance as organisation and coordination**

According to Bagnasco and Le Galès (2000), the concept of the territory as a “social and political construction” mainly stresses the collective action, that is the actions, undertaken by a set of actors, that are related to the solution of a collective problem. The collective action springs from groups, organised interests and territorial institutions mobilisation, in a process in which actors’ interactions can lead to different results (confrontation, cooperation, conflict). If we consider this interactive process in the urban sphere, in it governance can be defined as a collective action mode in which “urban elites endeavour to make the city into a collective actor, a social and political actor possessing autonomy and strategies” (*ibidem*, p.25). This concept of governance can be generally considered, not only at the urban level, but taking into account the intentional function of macro-regional, regional and local level territories. In this perspective, territorial governance is what make possible to territories, at different levels (from the EU to the local level), to behave and act as a “collective actor”. In this context, governance is seen both as the capacity to integrate and shape organisations, social groups and different territorial interests in order to represent them to external actors, and to develop more or less unified (and unifying) strategies in relation to the market, the State, other cities and regions, other levels of government (Le Galès, 2002). This, then, is the capacity of public and private subjects to:

- build an organisational consensus involving the different actors in order to define common objectives and tasks;
- agree on the contribution by each partner to attain the objectives previously defined;
- agree on a common vision for the future of their territory.

These issues are based on an “organisational” concept of the territory in which public and private actors and their relations are the key elements. Therefore, territorial governance is an organisational mode of territorial collective action, based on openness and transparency of the process itself, on cooperation/coordination among actors (horizontally and vertically), in a framework of a more or less explicit subsidiarity. It implies relationships among actors and interests normally far, agreement between stakeholders and different

modalities of definition and implementation of policies. It is oriented towards a commonly defined aim of territorial development at different spatial scales in order to ensure the spatial coherence of the different actions. ***From this view, key challenges for the territorial governance are to create horizontal and vertical cooperation/coordination between (i) various levels of government (multilevel governance, vertical relations); (ii) sectoral policies with territorial impact and (iii) governmental and non governmental organizations and citizens (multi-channel governance, horizontal relations of actors and their territories). Vertical and horizontal coordination leads to achieve integration and coherence between disparate responsibilities, competences and visions of territories.***

### **1.3.3. Decentralisation / Devolution / Regionalisation**

When speaking about devolution, devolving power, decentralisation and decentralising power these terms should not be interchangeably used because they might refer to very similar things, but there are some important differences. While devolution implies a transfer of powers which entails constitutional or legal aspects, decentralization usually has a less stringent legal character and is more functional in nature. Whereas devolving means the passing on or delegating/transferring to another, devolution is the political process of dispersal of power from a superior to an inferior political entity, political and constitutional in its nature (thus can be overturned by a similar decision). Devolution thus is the delegation of central government powers to subordinate units, these powers being exercised with some degree of autonomy though ultimate power remains at the central government. Decentralisation refers to a less constitutional and deep-going functional process of delegating power to lower levels in a territorial hierarchy.

Regionalisation, meanwhile, refers to the strengthening of governmental/governance powers and responsibilities at the regional level as a result of decentralisation or the devolution of powers from the state level and/or the drawing up of responsibilities from the local or sub-regional level.

### **1.3.4. Territory as territorial capital: territorial governance as territorialized collective action**

The concept of territorial capital has been almost contemporarily introduced during the elaboration of the *Third Report on Economic*

*and Social Cohesion* of the European Commission and in the OECD's *Territorial Outlook 2001*.

It is a relational and functional concept at the same time (Zonneveld and Waterhout, 2005) whose elements are different but with common characteristics (Dematteis and Governa, 2005):

- they are a localised set of common goods, producing non divisible collective assets that cannot be privately owned;
- they are immovable goods, that is constantly part of specific places;
- they are place-specific, that is almost impossible to find elsewhere with the same features;
- they are heritage goods, that is they are stocked and sediment in a long period and cannot be produced easily in a short time.

Factors that compose territorial capital are, for instance, geographical location, the size of the region, natural resources, quality of life, local and regional traditions, mutual trust and informal rules, etc. These factors can be grouped, though partly overlapping, as:

- natural features;
- material and immaterial heritage;
- fixed assets (Amin, 2000) as infrastructures and facilities;
- relational goods (Storper, 1997a) as cognitive, social, cultural and institutional capital (Healey, 1997).

Elements of the first three classes are "first class equipments" (Rullani, 2005) that are partly recognizable and directly accessible to external actors; viceversa, relational goods, i.e. "second class equipments" that have the role to organise and link together the formers (ibidem), necessarily imply a local collective action mediation that can, in the same time, create and increase them.

Synthesizing, the notion of territorial capital allows to sum up the different forms of capital (intellectual, social, political and material capital) identified both by Innes et al. (1994) in a study of growth management through consensus building, and by Davoudi (2005), in order to describe the creation of new forms of governance and the development of strategic capacities to capture new opportunities.

Territorial capital can be considered as the *institutional* and *material thickness* (on institutional thickness, see Amin and Thrift, 1995), in which presence and role of institutional conditions is related with

physical, natural, social, economic and cultural features that refer to the territory (i.e. geographical location, natural resources, quality of life, local and regional traditions, mutual trust and informal rules, etc.).

According to Le Galès and Voelzkow (2001), the general objective of governance for local economies is to provide *local collective competition goods*, i.e. immovable local resources (tacit knowledge, specialised know-how, services, social and institutional capitals, etc.) that produce competitive assets to firms localised in a certain area. If we transfer this concept to territorial governance, the objective of the governance process become to provide *territorial collective goods*, that is to keep and reproduce the specific territorial capital of the different places. ***In this perspective, territorial governance can be defined as a process of actors coordination to promote territorial development at local-regional level through a sustainable exploitation of territorial capital, in order to recompose, at supra-local levels (i.e. the European level), the territorial fragmentation by boosting voluntary forms of transnational cooperation and by referring to the principle of subsidiarity at sub-national level.***

### **1.3.5 Principles of “good governance”**

The question of good governance and the definition, criteria and operationalisation selected is a complex question with many alternative theoretical roots. The capacity of Governance initiatives to achieve a common goal to make a difference depends on the character and quality of three forms of capital and the ways in which these interact (Intellectual capital including knowledge resources, Social capital referring to trust and social understanding, and Political capital, i.e. the capacity to act collectively).

Partnerships and networking are the keys to success. The United Nations Centre for Human Settlements (UNCHS) defines Good Governance as “an efficient and effective response to urban problems by accountable local governments working in partnership with civil society” (in BSHF, 2002)<sup>3</sup>. According to the above definition the main characteristics of Good Governance are: Sustainability (balancing the social, economic and environmental needs of present and future generations), Subsidiarity, Cooperation (developing collaboration between spheres of government and shared competencies), Equality

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<sup>3</sup> BSHF (Building and Social Housing Foundation), 2002, *New Frontiers in Good Urban Governance*, Consultation, 28-30 June 2000, St. George’s House, Windsor Castle, London.

of access in decision-making, Efficient delivery of services, Transparency and Accountability, Civic Engagement and Citizenship.

In a similar way, the White Paper on European Governance (CEC, 2001)<sup>4</sup> proposes the five principles of good governance that were the main policy source and inspiration for this project:

- Openness: enhanced communication and information about EU actions and decisions, using a language accessible to and understandable by the general public. The Institutions should work in a more open manner, they "should actively communicate what they do and the decisions they take. They should use language that is accessible and understandable for the general public. This is of particular importance in order to improve the confidence in complex institutions".
- Participation: from conception to implementation. "Improved participation is likely to create more confidence in the end result and in the Institutions which deliver policies".
- Accountability: so that the roles in the legislative and executive processes become clearer. Each Institution must explain and take responsibility for what it does.
- Coherence: presupposing political leadership and a strong responsibility on the part of the institutions to ensure a consistent approach within a complex system.
- Effectiveness: "Policies must be effective and timely, delivering what is needed on the basis of clear objectives, an evaluation of future impact and, where available, of past experience. Effectiveness also depends on implementing... in a proportionate manner and on taking decisions at the most appropriate level".

### **1.3.6 Territorial Cohesion as the horizon for territorial governance processes**

The different objectives that characterize a territorial governance process, and that come from the different role played by the territory in the process, can be summarized considering ***territorial governance as the process of territorial organisation of the multiplicity of relations that characterize interactions among actors and different, if not based on conflict, interests***. This organisational dimension refers to the construction of a shared territorial vision, based on the recognition and valorisation of the territorial capital to create sustainable territorial cohesion at different

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<sup>4</sup> Commission of the European Communities, *European Governance: A White Paper*, COM (2001) 428 final, 25.7.2001.

levels. In other words, territorial governance is the *condicio sine qua non* to guarantee a more balanced development across Europe and to reach the *territorial cohesion*.

The Third Report on Economic and Social Cohesion (2004) defines territorial cohesion as the synthesis of the three main aims of the economic and social cohesion, of the safeguard of the natural and cultural patrimony, of the balanced competitiveness of the European space. The policy of territorial cohesion is «a dynamic policy that seeks to create resources by targeting the factors of economic competitiveness and employment especially where unused potential is high» (CEC, 2004, p. 21). If territorial cohesion objectives are to complement the sustainability agenda and to promote greater coherence and co-ordination of policies with a substantial territorial impact it then needs to be combined with sustainable development to achieve the objectives of the Lisbon Strategy.

Nevertheless, the notion of territorial cohesion is and remains problematic for a lot of reasons. It is not clear what kind of policies have to be implemented to reach it and, in more general terms, whether territorial cohesion really is a panacea for the European spatial, economical and social structure. In fact, territorial cohesion is a rather ambiguous concept (Faludi, 2004; 2006), fluctuating between a “therapeutic” way of intervention on the regional disparities, as the territorial dimension of sustainability concerning the integration of territorial quality, territorial efficiency and territorial identity (Camagni, 2006) or a pro-active approach to the valorisation of regional and local resources (Dematteis and Janin, 2006). It is, then, possible to refer to territorial cohesion as a specific mode of economic and social cohesion that is shaped through the interaction with the territory, in which the latter is considered both as a relations integrator, as a container for territorial capital and as the common space for competition with other territories. If it is so, territorial cohesion can be considered as the result of processes which integrate policies at different levels, through the active participation of public, private and mixed actors that operate at different scales. ***From this last point of view, territorial governance key challenge is generate favourable conditions to develop territorial collective actions aiming to improve the competitiveness potential of territories and to reach territorial cohesion at different levels.***

The reorganization and redefinition of the territorial scales involved in the territorial transformations of the levels of government associated with them, has worked to the advantage of supra-national institutions, such as the EU, and infra-national ones, such as regions,

cities and other local systems that are now empowered by the principle of subsidiarity (Faure, 1997). Starting from local–regional level, and according to the multi-level governance approach, territorial governance processes build relationships, synergies and interactions between policies, plans and programs acting at different spatial scales, from local level to global one. In this view, territory is not considered as a static and passive space, but as a dynamic and active context, built during the governance processes, particularly stressing the role of territorial capability (i.e. the capacity of the territory to produce value and to compete at the global level; see ESPON 3.3 – Territorial dimension of the Lisbon/Gothenburg strategy), territorial capital and identity to promote the collective action of local coalitions, to improve territorial cohesion at different levels and to guarantee a more balanced development across Europe.

The territorial governance process is a particular process of governance:

- whose object is the *territory* (understood as a “*social and political construction*”, *common good* and *territorial capital*);
- whose means are the construction of relationships and partnerships among a multiplicity of actors and interest;
- where public authorities works as a “network manager” that stimulates the interaction, connects different actors, builds not hierarchical relations between them and enhances the auto-organizational capabilities of different local systems;
- with the aim of *improving territorial cohesion* and *sustainable and balanced spatial development* at different spatial scales (from local to supra-local ones).

**Synthesising, we define territorial governance as a process of actors organization and co-ordination to develop territorial capital in a non destructive way in order to improve territorial cohesion at different levels.**

### **1.3.7 Territorial governance actions: towards an operative definition**

According to this definition, the main aspects that define **Territorial Governance Actions** (TGAs) are:

- to be an organisational mode of collective action based on public and private actors partnerships and coalitions building, oriented towards a commonly defined objective;

- to be an outcome of a complex negotiated process in which resources are exchanged, shared (at least partly) objectives are defined, consensus is organised.
- to be a collective action in which territory is not view as a static and passive space, but as a dynamic and active context, a proactive subject rather than a passive object of policies, an actor itself in the territorial governance process (Cox, 1997).

In this view, TGAs should:

- *guarantee vertical and horizontal coordination and cooperation.* This issue deals with the subsidiarity and proportionality principles as it is considered in the main EU documents and reports, with integration of actors, policies, resources in shared development perspectives, with devolution and decentralisation policies;
- *allow participation.* A clear understanding of the differences among participation procedures, partnerships promotion, and networks creation in territorial policies is needed. The difference between 'good' and 'bad' participation, in particular referring to the difference between 'joiners' and 'non joiners' actors should be considered. The former include those who are members of organised groups and hence capable of making their voices heard in policy-making processes. The latter are those who could be often systematically excluded from participation" (232 FIR, 2004, p. 38). Finally, it is important to examine participation knowing that it can be considered both as a tool for governance and/or an objective of the governance action;
- *promote territorial development.* How territory is considered in TGA: a simple space, a complex set of actors and interests or a territorial capital, i.e. a set of resources and values.

### **1.3.8. Understanding of Innovative practices and mechanisms**

One of the aims of the guidelines for national overviews was to inquire whether "methods – forms of cooperation – instruments – processes – policy packages" exist, which promote the introduction of a governance approach. Their existence was interpreted as an encouraging step in the direction of governance. Their "innovative" character was to be judged in the context of each individual country, since innovations in some country may be routine mechanisms in others, for complex historical reasons.



The existing national culture of government is an advantage, which gives to certain countries a flying start in the governance race. In some cases, their past achievements are reported as far more advanced than the EU governance objectives, to the point that EU (e.g. sectoral) policies or their framing in strictly regional terms are considered as impediments. But there may be traditions in other countries too, even in protest movements and collective action, which could be successfully built upon to bring about a new governance culture. There are also issues around which new coalitions and partnerships can be constructed.

Undoubtedly valid objectives implied by the term "governance" may be achieved by individual countries, not necessarily by importing institutional forms and administrative practices, but by building on their own traditions and advantages. Innovations are not of a uniform character. What is innovative in one country may be regular practice in another, but must not be underestimated for this reason. Or, it may diverge from established practices but still be directed towards a similar aim.

Therefore, although the project was clearly interested in innovative practices and mechanisms, we were reluctant to limit our interest to the undoubted innovations introduced in more "advanced" member – states or promoted as a direct result of the White Paper on European Governance. In the Final Report there is however a special section (2.2.2) on policy packages with a high degree of synergy, where some of the most innovative practices and mechanisms are presented separately.

Innovative practices also were discussed in the guidelines to the case studies because they are particularly relevant for this research because of the shift from government towards governance includes the introduction of new practices. Furthermore, the five dimensions of good governance as identified in the WPG, openness, participation, accountability, effectiveness and coherence represent in many cases new ways of looking at governance practice and attempting at solving problems within forms of government and/or governance. To identify new ways of working with regards to these factors is therefore an important part of this ESPON project.

Again, the important factor regarding innovative practices is that they are place and context specific. They may be practices that are not new *per se*, but are new to the particular case study in question. It is therefore of great interest to identify how such practices can provide examples of good practice for other regions that may be inspired into using similar innovative practices in their own governance.

During the case study work it was noticed that the word 'innovative' could be interpreted as 'too grand' or too constraining and some respondents preferred the more 'modest' term of 'interesting' practice, which may not be as laden with pre-conceptions and connotations related to actual innovation activity (within industries, technology etc.). This is an example of the connotation of 'new' that 'innovative' carries. The introduction of practices that were already in operation in other regions where therefore felt to be 'interesting' practices rather than 'innovative' practices. In the report, these two concepts are therefore used together (see e.g. figure 1.4.3). ***What was referred to as 'innovation' was understood as forms of problem-solving, place- and context-specific mechanisms that were new to the case study.***

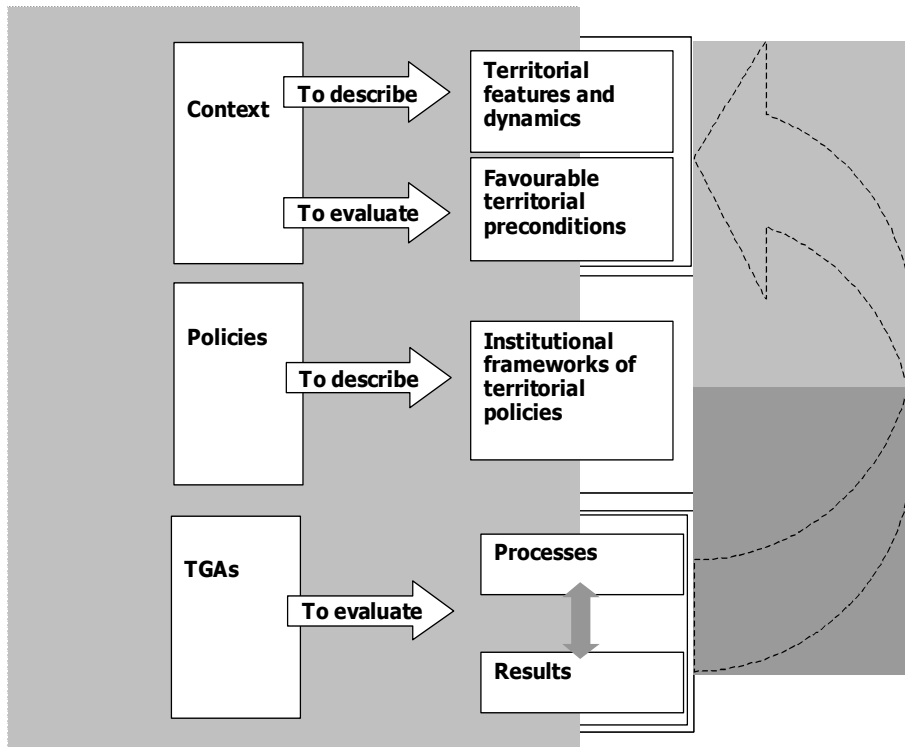
### **1.3.9. Evaluating governance**

If the key challenge of territorial governance is to create the conditions that allow collective action to take place, in order to create territorial cohesion at different spatial scales, the critical questions are: what are the key factors for creating such a condition? What are the key ingredients of a favourable climate in which territorial collective action can emerge? What relational qualities are required for creating a capacity to govern in the midst of diversity?

To analyse, describe, evaluate territorial governance actions (TGAs) we can consider 3 types of indicators/criteria (see Figure 1.3.1), each of one should be used for description and/or evaluation:

1. *indicators and criteria of context*: to describe the general structural conditions, features and dynamics of the territory. To describe favourable territorial preconditions to define and implement TGAs (institutional thickness, innovative milieu, territorial capital: SIR, 2005, pp. 33-34);
2. *indicators and criteria of policies*: to describe institutional frameworks of territorial policies, instruments and procedures for governance (i.e. to "govern" governance);
3. *indicators and criteria of TGAs*: to evaluate governance processes results, at different levels, considering both *process criteria* and *results criteria*, and their interaction (does a good process always correspond to a good result?)

**Figure 1.3.1 Types of indicators/criteria**



This framework is to be based on three assumptions that help to define a specific set of actions.

1. according to the principle of subsidiarity, the first assumption is that the local-regional level can efficiently promote and develop policies, thus giving these levels the same capability to implement TGAs as supralocal levels (seems to) do.
2. the second assumption refers to what is stated on territorial cohesion in the "Third report on economic and social cohesion": "the objective is to help achieve a more balanced development by reducing existing disparities, avoiding territorial imbalances and by making both sectoral policies which have a spatial impact and regional policy more coherent" (2004; p. 27). Territorial cohesion is then favoured, at any territorial level, by the implementation of intersectorial, integrated, policies.
3. according to the international debate on regional and local development (Cox, 1997; Madanipour *et al.*, 2001; Cars *et al.* 2002), the third assumption is that intersectorial policies, to be effective, need to be territorialized, i.e. to be based on the action of actors and the valorisation of territorial resources.

If it is so, referring to the wide debate in international literature previously described, territorial governance actions can be analysed and evaluated by paying attention to four issues: vertical coordination, horizontal coordination, participation and involvement of civil society and organised interest, territorialized actions. They will be used referring to CS to define a “model” of territorial governance that cross theory and practices.

#### *A) Vertical coordination*

Vertical coordination regarding actors and policies. It is linked with the principle of subsidiarity, of the so called re-scaling process (i.e. the reorganization and redefinition of the territorial scales involved in the territorial transformations and of the levels of government associated with them). Coordination among actors mainly refers to public actors in the process of “hollowing out” of the State.

These phenomena shape different processes. A first one in which the central/federal level is leaving empty power-spaces that can be filled by strong institutional actors. Another process occurs when the central/federal level drives and controls the whole devolution process. Devolution should be taken into account, almost everywhere in Europe, according to the proportionality between competences and resources transfers (i.e. is the State devolving powers and competencies while leaving infranational levels with appropriate financial resources?). According to Hudson (2005) “what is claimed to be new and qualitatively different about more recent regional devolution is that it encompasses the power to decide, plus resources (even though some times not sufficient) to implement decisions, at the regional level. Others, however, dispute this, and argue that what has been devolved to the regional level is responsibility without authority, power and resources” (pp. 620-621).

Vertical coordination among policies can be seen as the political translation of the subsidiarity principle, i.e. of the constitutional European Union principle that, together with the proportionality and necessity principles, defines the ways through which obtain the better allocation of powers to improve the efficiency and democratic basis of policies. In this view, vertical subsidiarity describes the criteria of competences distribution in the framework of definition and implementation of policies among the EU, the State and the local authorities.

## B) *Horizontal coordination*

Coordination regarding actors and policies.

*Horizontal coordination among actors:* it refers both to public actors and to public/private actors.

The *horizontal coordination among public actors* refers to more or less institutionalised/formalised forms of cooperation among local authorities (as for the case of *intercommunalité* in France) in which the voluntary participation is to be considered as an added value. A distinction can be made between 'management oriented' aggregations (e.g. municipalities aggregations that are created to have a joint management for public services such as transport or waste management) and "proactive aggregations" (e.g. municipalities aggregations that are created to promote a project, to answer to a EU or national call for development programmes, to define a strategic planning process). The capacity to produce and implement coordinated strategies and to reproduce them can then be considered as a added value of governance actions.

The horizontal coordination of public and private actors is linked to the subsidiarity principle too, in specific to horizontal subsidiarity that define regulative criteria of the relation among the State, the civil society and citizens (multi-channel governance).

*Horizontal coordination among policies:* it is possible to consider two partially different modes to evaluate this issue. The first regards policies coordination referring to three types of coordination:

- the first level is that of the integration of funds and resources that are already available and that can therefore be part of a coordinated strategy;
- the second level is that of policies designed as sectorial that are implemented as integrated defining through the definition of a common framework;
- the third level is that of policies that are defined as intersectorial from the start, thus defining a coherent programme and a coordinated strategy.

The second mode consider the continuum among ex-ante coordination of policies, even though developed in a sectorial way without changing administrative apparatus; policy packages, that implies coordination also in the implementation of policies with a same objective, and spatial visions.

### *C) Participation and involvement of civil society and organised interest*

Participative policies allow to include private actors in territorial governance processes. It is possible to say that there are two levels of participation. The first one regards the involvement of stakeholders and interests (public/private partnership), whose participation is necessary to the design and implementation of the process. The second regards a 'diffuse' participation of private actors (generally identified as "citizens"), which is advisable but has limits in practices, especially if we take into account the object of participation: Are they actors involved in participation processes that regard the core of the problem? Can they decide on real issues? Another point regards what seems to be the right level of participation: is it true that participative policies are more effective, if not only, at the urban/local level than at supra-local levels? In addition participation strategies need to distinguish between "the 'joiners' and 'non-joiners' public.

### *D) Territorialized actions*

Territorialized actions are not localized actions, since, as M. Storper says (1997b), there is a difference between an action that simply occurs in a certain place and an action that is based on the shared valorisation of local specificities. Territorial governance actions thus regard the latter and can be recognized according to three characteristics: they refer to the territory as a common good; they regard the identification and valorisation of the territorial capital potentialities; the territory itself is built during the action (government actions refers to an administrative territory while governance actions don't).

## **1.4 Methods in ESPON 2.3.2**

### **1.4.1 Lack of clear theoretical foundations advises for the inductive approach**

*Inductive methods* were used instead of deductive methods. We follow this approach as there is not enough theory to support this thematic. As a pioneering project it is our task to use the experience we are gaining as source and basis on which 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, we can just make a first exploration and explore a few new roads.

Urban and territorial governance, or in other words, the interpretation of urban and territorial policies as governance actions, represent a very specific field of research because they depend on the specificities of each territory. In territorial related issues correlations, or relations between cause and effect, could be re-interpreted, as was already recognized in Terms of Reference document for 232 ESPON project *"...In any case, good governance is partly to be assessed on a territory-basis. It cannot be done on the basis of one-size-fits-all model, but rather on the basis of existing situation. Each coordination/cooperation process has its underlying sectoral or territorial dynamic, logic, and constraints. In that respect, an efficient assessment implies to adopt in a certain measure a case by case approach."* (p. 12).

Certainly it is difficult to define an 'a priori' hypothesis, in the sense of cause-effect relations, for a thematic such as governance. It is not possible, and not even convenient, to 'encapsulate' governance 'a priori'. This peculiarity makes an inductive/qualitative approach especially appropriate, also because it allows learning in a comparative way about best practices, about the reasons of good examples, as well as of failures, and explores the possibility to transfer them to other ESPON spaces. From this point of view the NOs and CSs constitute, as sequential steps, the way in which we try to explore the three dimensions of territorial governance: understood as structure (or preconditions for governance), as process (governance actions) and as results of these actions.

If National Overviews allow description and hypothesis formulation, with the Case Studies 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.

#### **1.4.2 Integrating qualitative and quantitative methods**

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 aims to identify the positive and negative territorial effects of a policy, plan or programme and it should help to accentuate the positive and to reduce or avoid the negative ones. Therefore, it is necessary to establish quantitative and qualitative indicators and best practice benchmarks and tailored to the needs

and specificities of each territory. Data is an important issue in the TIA process as data is the basis for any assessment. In other words, it becomes impossible to measure concrete impacts on elements of territorial structures on the basis of vaguely formulated policies, even more in the case of processes as governance is.

In addition TIA covers different scales and aspects of decision-making: 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 agencies involved (horizontal or cross-sectoral); as well as the phases of policy design and application. 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 impact from a multi-level and cross-horizontal point of view.

There are no indicators or data available in ESPON addressing the research questions of the current ESPON 2.3.2 project. The list of core indicators and typologies do not provide ready information needed. These shortcomings in data availability make essential the use of alternative qualitative methods. That relates to the question of dominance or co-dominance, *integration*, of both methods. In this sense, the ESPON 232 project necessarily had to be innovative by combining quantitative and qualitative methods through positive feedback (see Figure 1.4.1). Three types of indicators/criteria were considered, to be used for description and/or evaluation: of context, of policies, and of territorial governance actions (see Figure 1.3.1 in previous section 1.3) <sup>5</sup>. The project had to collect and process proxy indicators coming from external sources <sup>6</sup>; extract indicators from the National Overviews regarding context for territorial governance actions (transforming qualitative in quantitative information - 'yes'/'not' and scoring techniques), relating this indicators on preconditions with the results of territorial governance actions through the Case Studies (see Figure 1.4.2).

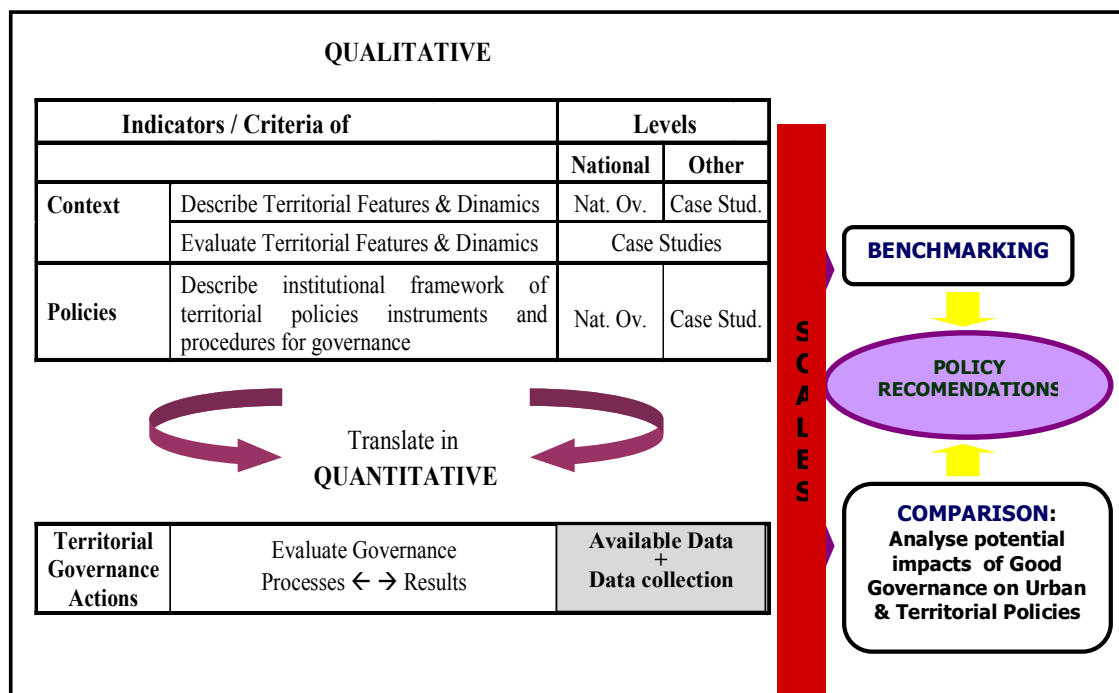
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<sup>5</sup> To describe existing governance systems at different spatial levels (national in the case of NOs, sub-national in CSs) and to evaluate the effectiveness of their actions (mainly at sub-national level, through CSs analysis) it was important to define new 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 these were the three types of indicators/criteria considered.

<sup>6</sup> A detailed list of general indicators (on state, economy and civil society, both referred to structure and process) have been elaborated (see section 1.5 and and Table 3 in appendix of Annex A).



**Figure 1.4.1 Combining Qualitative / Quantitative Approaches**



**Figure 1.4.2 Combining Qualitative / Quantitative methods & data**

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

Red arrows indicate relationships: from 'National Overviews + Case Studies Reports' to 'Statistical analysis...', from 'Data Collection in Case Studies' to 'Existing indicators', and from 'Data Collection in Case Studies' to 'Method: Standard statistics...'.

### 1.4.3 Analysis of the national overviews

As explained in Annex B, an important task of the project, included in Work Package 2, was the production of national overviews for 29 countries and then their synthesis, which now appears in Annex B of the Final Report. In this chapter we summarize the steps of this

process, i.e. the guidelines issued to all partners for writing the national overviews <sup>7</sup> and then of the guidance given to members of the research team of the National Technical University of Athens to help them analyze in a structured way the overviews and thus prepare the ground for the overview synthesis. Details on the process we followed can be found in Annex B.

The ESPON 2006 Programme, at its section on Action 2.3.2, includes among its “primary research questions” the “assessment of strategies for the update of the EU Compendium of Spatial Planning Systems and Policies”. It is clearly intended that the ESPON 2.3.2 project will be an important step towards an updated Compendium, conceived this time in a new perspective. This perspective will bear the influence of the Potsdam version of the European Spatial Development Perspective, the 3<sup>rd</sup> Cohesion Report and the White Paper on European Governance.

We made it clear from the beginning that one of the primary issues envisaged for the research is a comprehensive overview of formal and informal cooperation and coordination tools and mechanisms (institutional and instrumental approach), relevant for the management of territorial and urban oriented development policies. It was our intention from the outset to produce an overview of the great diversity of situations, through the elaboration of national overviews. Work Package 2 was designed with the aim of identifying at national level existing and tentative groupings of relevant territorial and urban oriented policies (cross-sectoral approach of territorial development) and of new ways of governance – including the level of implication of civil society.

It was with these initial binding intentions, which are only a part of the rich debate which grew later, that we proceeded to draft the guidelines <sup>8</sup> which were to be issued to all project partners to help them in their task of writing national overviews for 29 European countries. Having in mind existing constraints and future prospects, we insisted that far from exhausting all possible information, we should nevertheless capture the essence of the practices, processes,

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<sup>7</sup> These guidelines, with their annexes, were first presented in the 1<sup>st</sup> Interim Report.

<sup>8</sup> The guidelines were drafted by two of the project’s partners in close collaboration with the Lead Partner. They were the National Technical University of Athens (Laboratory for Spatial Planning and Urban Development) and the Delft University of Technology (OTB / Research Institute for Housing, Urban and Mobility Studies), and more specifically Louis Wassenhoven from NTUA and Dominic Stead and Bas Waterhout from OTB. L. Wassenhoven wishes to express his thanks to the NTUA research team (P. Sapountzaki, El. Gianniris, E. Asprogerakas, A. Pagonis and Ch. Petropoulou) for their assistance and observations.

mechanisms and agencies, which are akin to the spirit of governance. The guidelines, finalized in December 2004, encouraged the overview writers to throw light on the way the “governance debate” has generated positive and / or negative responses and on the factors that played a role in determining these attitudes.

In Annex B we included first of all a section with the guidelines themselves, which were deliberately kept concise and short. Overview writers were encouraged not to hesitate to report that no progress towards governance had been made. Instead they were asked not to evade answering all questions, but to provide answers which convey the prevailing climate, without excessive detail. The guidelines were accompanied by an annex, which was more extensive. This annex contained notes designed to help overview authors in their task. Naturally, both the guidelines and the explanatory notes aimed at making comparisons meaningful and feasible, to enable the compilation of a typology and classification, which also formed part of Work Package 2. It goes without saying, that the guidelines and the explanatory notes became the object of an intense dialogue, by e-mail, between the partners involved and the Lead Partner. They were also checked by members of the project core group. Even so, they were re-adjusted on the basis of comments received from some partners, after they had been disseminated to all of them.

There was a second annex<sup>9</sup> attached to the guidelines, which focused on definitions of the concept and content of governance. This theoretical text was by no means a substitute of a far more extensive effort by other partners to provide a theoretical input with a more structured approach to the subject. It was felt however that it was essential to send to all partners, and send it at an early stage, a support instrument which would be of assistance in collecting the information necessary for the national overviews and in clarifying the spirit of the task at hand.

In Annex B we also included a guidance note written<sup>10</sup> in February 2005 to help members of the research team of the National Technical University of Athens to analyze the national overviews, which had been meanwhile completed. This analysis followed 23 sections, each addressing a particular variable or parameter.

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<sup>9</sup> This annex was prepared by Popi Sapountzaki and Louis Wassenhoven of the NTUA team. A diagram was added by Joaquin Farinós of the Lead Partner.

<sup>10</sup> By Louis Wassenhoven and the research team of the National Technical University of Athens.

The variables analyzed subsequently in our synthesis of national overviews (see Annex B) may not present, in combination, a complete picture of the progression towards territorial governance in each country. But they reflect a multi-faceted situation from a variety of viewpoints. They were chosen on the basis of theoretical work undertaken in the project and of a survey of the relevant literature. The definition of governance adopted in this project, which appeared in the 2<sup>nd</sup> Interim Report, is that territorial governance is an organisational mode of collective action based on partnerships and coalition - building amongst public and private partnerships, oriented towards a commonly defined objective (see also Annex C).

In selecting the variables we dealt with in the present analysis, we relied also on a broad range of definitions and theoretical theses on governance. In the ESPON projects it is recognized that the concept of governance is a complex one. It involves working across boundaries within the public sector as well as between the public, private and community sectors. It is a process rather than a product. It operates at different levels and it is important to develop governance systems at the appropriate layer. Urban governance is not simply urban management and governance processes are not simply managerial processes; instead they are heavily politicized <sup>11</sup>.

Several authors throw light on the concept of governance in a way that has helped us to single out those aspects into which we were keen to delve in the overviews. According to Healey *et al.*, governance, in its descriptive sense, directs attention to the proliferation of agencies, interests, service delivery and regulatory systems which are involved in making policies and taking actions. In the normative sense, governance is defined as an alternative model for managing collective affairs <sup>12</sup>. It is seen as "horizontal self-organization among mutually interdependent actors" <sup>13</sup>. In such case, government is not the only actor and indeed has only imperfect control <sup>14</sup>.

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<sup>11</sup> ESPON Coordination Unit (2004), *ESPON 1.1.1, Potentials for Polycentric Development in Europe*, Annex Report C: Governing Polycentrism, Luxembourg.

<sup>12</sup> Healey, P., Madanipour, A. and de Magalhaes, C. (eds.), 2002, *Urban Governance, Institutional Capacity and Social Milieux*, Ashgate, Aldershot.

<sup>13</sup> Jessop, B., 2000, *Governance Failure*, in G. Stoker (ed.), *The New Politics of British Local Governance*, Macmillan, London.

<sup>14</sup> Rhodes, R., 1997, *Understanding Governance – Policy networks, governance reflexivity and accountability*, Open University Press, Buckingham and Philadelphia.

Gualini, in Salet, Thornley and Kreukels (2003) <sup>15</sup>, extends the meaning of governance: "Governance is – in general terms – a notion that deals with the reframing of both 'formal' and 'working' relationships between ideal types of social order in realizing governing effects". The key words are "state" (public interest, hierarchy, coercion, monopoly of legitimate violence, territorial sovereignty), "market" (private interest, competition, exchange, failure in producing collective goods), "community" ('commons', reciprocity, cooperation, trust, solidarity), "firms" (corporate interest, hierarchy, principal – agent relationships, instruction – based relations, vertical integration), and "associations" (concertation of collective interests, collective self – regulation, 'private government'). And Pierre adds that the shift from government to governance means a change in focus which is then placed more on processes and less on institutions. Hence governance may be defined "as a process through which local political institutions implement their programmes in concert with civil society actors and interests, and within which these actors and interests gain influence over urban politics" <sup>16</sup>.

More in particular, in connection with changes in the political / administrative system and structure, which signify a shift from government to governance, Herrschel and Newman refer to arguments, which examine "city and regional issues from a political and institutional perspective. Arguments here seek to clarify the complex relations between nation, region and locality and the changing relationships between public and private sectors in managing cities and regions. Core theoretical debates focus on a transition from government (concentrating on formal institutions) to governance (more flexible, networked arrangements, involving private as well as public actors) and on 'rescaling' of states that can be seen in both a weakening of the traditional roles of nation states and increasing importance of regional and local scales" <sup>17</sup>.

There are various approaches to the creation of governance structures, like those we tried to find in the overviews, and a variety of strategies. According to the report of an EU research programme, "the implementation of a strategy requires attention on three key aspects: (a) Governance context (governance system as it evolved

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<sup>15</sup> Salet, W., A. Thornley and A. Kreukels (eds.), 2003, *Metropolitan Governance and Spatial Planning: Comparative case studies of European city – regions*, Spon Press, London.

<sup>16</sup> Pierre, J. (ed.), 1999, *Governance*, Oxford University Press, Oxford; Pierre, J. (ed), 1998, *Partnerships in Urban Governance-European and American Experience*, London, MacMillan.

<sup>17</sup> Herrschel, T. and P. Newman, 2002, *Governance of Europe's City Regions: Planning, policy and politics*, Routledge, London.

through time, institutionalized or informal, liberal globalization, integration of strategies, articulation of metropolitan and local perspectives), (b) Governance forms (managing partnerships, citizen participation, projects and networks), (c) Development of underlying processes (leadership, decision making, building trust, managing power system, consensus building, conflict management, organizational learning, evaluation, monitoring)”<sup>18</sup>.

The essence of good governance and its underlying principles were a guide to our analysis and to the selection of variables. Partnerships and networking are widely perceived as the keys to success. The United Nations Centre for Human Settlements (UNCHS) defines good governance as “an efficient and effective response to urban problems by accountable local governments working in partnership with civil society”. According to the above definition the main characteristics of good governance are sustainability (balancing the social, economic and environmental needs of present and future generations), subsidiarity, cooperation (developing collaboration between spheres of government and shared competencies), equality of access to decision-making, efficient delivery of services, transparency and accountability, civic engagement and citizenship<sup>19</sup>.

Similar are the principles proposed by the White Paper on European Governance: Openness (enhanced communication and information about EU actions and decisions, using a language accessible to and understandable by the general public), participation (from conception to implementation), accountability (so that the roles in the legislative and executive processes become clearer), coherence (presupposing political leadership and a strong responsibility on the part of the institutions to ensure a consistent approach within a complex system), and effectiveness.

On the basis of this knowledge, we structured the synthesis of national overviews in the following 23 sections. The numbering of paragraphs follows the “Guidance for classifying information from national overviews”, an internal document used to help members of the research team to analyze the overviews.

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<sup>18</sup> Interact Network / Urban Governance in Practice, 2004, *Interact Guide*, A project of the 5<sup>th</sup> Framework Research Programme, European Commission.

<sup>19</sup> BSFH (Building and Social Housing Foundation), 2002, *New Frontiers in Good Urban Governance*, Consultation, 28-30 June 2000, St. George’s House, Windsor Castle, London.

- 1 Official acceptance of governance concepts and principles
- 2 Changes in formal government in the direction of governance
- 3 Criticisms regarding the lack of progress towards governance and / or the weaknesses of the present situation
- 4 Priority emphasis on governance objectives
- 5 Factors operating in favour of adoption of governance approaches
- 6 Internal variations within a country, in terms of acceptance of governance reforms
- 7 Use of methods (emphasis on OMC)
- 8 Experience with participation processes and partnerships
- 9 Forms of cooperation
- 10 Progress towards cooperation and partnerships
- 11 Partnership formation and co-operation: Barriers and catalysts
- 12 Policy sectors in which the pursuit of governance principles and practices is more promising
- 13 Basic laws regulating (a) urban development / land use and (b) regional development
- 14 Key spatial planning institutions - Presence of a dominant institution
- 15 Roles and responsibilities of governmental layers
- 16 Extent of financial dependence of local government on central government
- 17 Centralization / decentralization / devolution (devolution to regions and to 1<sup>st</sup> tier local authorities)
- 18 Involvement of politics in actual policy implementation
- 19 Forms of cross-border cooperation
- 20 Style of planning
- 21 Conditions leading to shifts towards governance
- 22 Factors which act as obstacles to progress towards governance
- 23 Key spatial problems

The full analysis of the national overviews, with respect to these variables, is presented in Annex B.

#### **1.4.4 Case studies: formulation of case study criteria, selection of case studies and analysis**

One of the main goals of this ESPON project is to shed light on important, current developments within the realm of urban and territorial governance in the ESPON 29 countries. This was to be carried out through comparative case studies. It was clear from the on-set that case studies would serve a particularly important purpose in this ESPON project (ToR p 13). The case studies were carried out in order to provide a "comprehensive analysis and diagnosis of governance trends, applications, mechanisms at EU, trans-national,

national and sub-nationals level, as well as the identification of existing territorial disparities and tentative outlining models of governance" (Tender, WP 5).

As argued through out this project, governance defies a simple, 'a priori' definition (cf. FIR). Within this ESPON project however governance is operationalised as the ways in which a capacity to build an organizational consensus, agreeing on the contribution of each partner, and agreeing on a common territorial vision, can be achieved.

Case studies can be researched by the use of either inductive or deductive approaches. A wealth of comparative case studies on urban governance and spatial planning has been carried out on an inductive basis, which has led to the acknowledgment of the variety of stakeholders and tools engaged in urban and territorial governance throughout Europe. There has however been an underlying ambition to achieve something more than simply highlighting best practice, which has been evident in the over-all explorative methodology of the project, stressing the advantages of combining quantitative and qualitative research methods.

Due to the ubiquitous and multi-faceted nature of governance, the case study selection process turned out to be a useful exercise in further clarifying the research questions, by the use of working hypotheses and a mix of quantitative and qualitative methods (see for an example Gissendanner, 2003). There was a particular attempt made to avoid the 'inductive trap'. This is done by linking the activities of various WPs, most notably the national overviews and the data collection (WP2 and WP4, respectively), and also by providing an analytical matrix, which was the basis for the elaboration of guidelines to be used in the analysis and synthesis of the case studies. The *analytical matrix* was developed in order to provide a systematic approach to the qualitative observations, for an example by referring to the observations in the (synthesis of the) national overviews, whilst at the same time seeking to ensure sufficient 'flexibility', enabling the national teams to include interpretations based on their insights in the institutional and historical legacies.

In order to ensure in-depth, qualitative case studies it was decided that each national team of experts should select a maximum of 2 case studies per country, including trans-national and cross-border regions. In most of the countries two case studies have indeed been carried out, whilst in the smallest countries only one case study has been completed. All in all, 53 case studies have been carried out (see map 1.4.1):



| <b>Country</b>        | <b>Case Study</b>   |
|-----------------------|---|
| <b>1. Portugal</b>    | 1.1 The Atlantic Axis (Eixo Atlântico)  |
|                       | 1.2 Metro do Porto  |
| <b>2. Austria</b>     | 2.1 Leoben  |
|                       | 2.2 Regional managements in Austria   |
| <b>3. Italy</b>       | 3.1 Mezzogiorno Development Programme – Integrated Territorial Projects (PIT) – Calatino Sud Simeto |
|                       | 3.2 Project of Promotion of Sustainable Development Processes in the Pinerolese (PPSP)              |
| <b>4. France</b>      | 4.1 The “Pays” policy <sup>20</sup>   |
|                       | 4.2 The analysis of the town planning instruments of the urban area of Lyon                         |
| <b>5. Germany</b>     | 5.1 The Socially Integrative City (Duisburg, Essen or Herne)  |
|                       | 5.3 New planning bodies (Hannover)  |
| <b>6. Belgium</b>     | 6.1 The development of Zaventem airport   |
|                       | 6.2 The project “Tour et Taxis”   |
| <b>7. Switzerland</b> | 7.1. Greater Zurich Area  |
|                       | 7.2 “Glow.dasGlattal”   |
| <b>8. Slovenia</b>    | 8.1 The influence of European corridors and displacement of Schengen borders on regional growth     |
| <b>9. Czech Rep.</b>  | 9.1. Brownfields  |
|                       | 9.2 Sprawl in Prague Metropolitan Area  |
| <b>10. Spain</b>      | 10.1 Pla Estratègic del Litoral Metropolità de Barcelona (PEL)                                      |
|                       | 10.2 Pla Director del Sistema Urbanístic Costaner (PDUSC)   |
|                       | 10.3 Pla Territorial Metropolità de Barcelona (PTMB)  |
| <b>11. Hungary</b>    | 11.1 The Process of Developing the National Spatial Plan  |
|                       | 11.2 The Process of Developing the Spatial Plan for the Agglomeration of Budapest                   |
| <b>12. Denmark</b>    | 12.1 The Triangle Area  |
|                       | 12.2 The Oresund Region   |
| <b>13. Estonia</b>    | 13.1 Via Baltica  |
| <b>14. Finland</b>    | 14.1 The Structural Land Use Plan of Lahti Region   |
|                       | 14.2 Haparanda-Torneå   |
| <b>15. Latvia</b>     | 15.1 Zemgale Technological Park   |
|                       | 15.2 Kurzeme Transport System Initiative  |
| <b>16. Norway</b>     | 16.1 Trøndelag counties: common regional development plan   |
|                       | 16.2 Enhetsfylke Hedmark.   |
| <b>17. Sweden</b>     | 17.1 Västra Götaland Region   |
|                       | 17.2 ARKO-collaboration   |
| <b>18. Lithuania</b>  | 18.1 Comprehensive plan of the territory of Lithuania, adopted in 2002                              |
|                       | 18.2 Vilnius city strategic plan 2002-2012  |

<sup>20</sup> Even though the ‘Pays’ is a subregional territory, this Case Study was considered as a national CS because it corresponds to a French national explicit policy of development of territorial cooperation between municipalities. This was the aim of the CS, and not the study of only one, or some, case of ‘Contrats de Pays’. The CS considers the situation of this policy at national level.

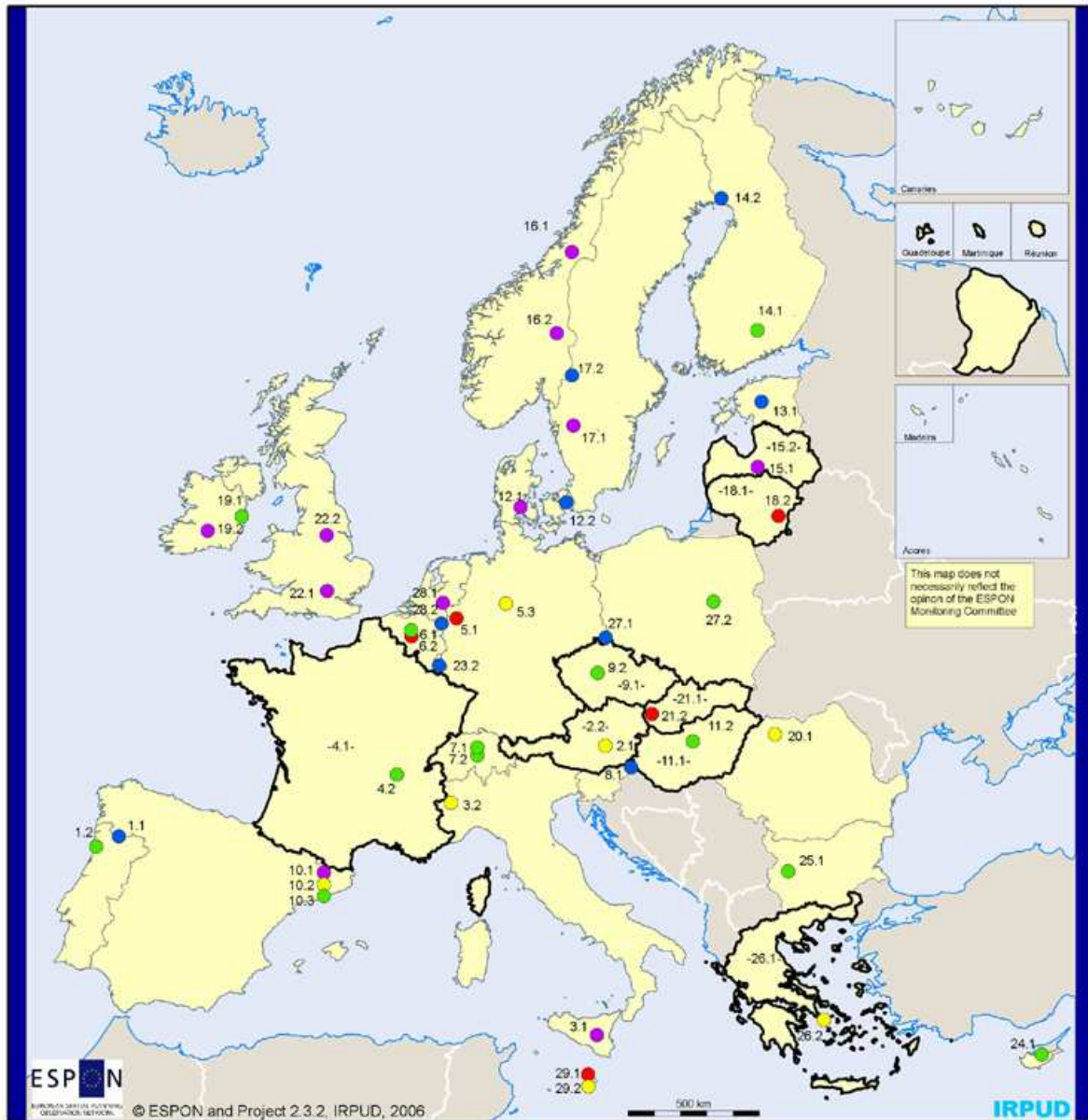
|                        |   |
|------------------------|---|
| <b>19. Ireland</b>     | 19.1 Greater Dublin GD  |
|                        | 19.2 Atlantic Gateways AG   |
| <b>20. Romania</b>     | 20.1 Development and spatial planning in the Tourism Development Micro-region "Gutin Mountains" |
|                        | 20.2 Prahova County – Ploesti Area  |
| <b>21. Slovakia</b>    | 21.1 Slovak Spatial Development Perspective 2001  |
|                        | 21.2 Pilot Study of the residential area Jánošíková, Malacky                                    |
| <b>22. U.K.</b>        | 22.1 Strategic Waste Management in England –SWM   |
|                        | 22.2 South Yorkshire Partnership (UK) Case Study  |
| <b>23. Luxembourg</b>  | 23.2 The "Pôle européen de développement"   |
| <b>24. Cyprus</b>      | 24. The "Greater Nicosia Development Plan"  |
| <b>25. Bulgaria</b>    | 25. Master Plan for the Metropolitan Area of Sofia  |
| <b>26. Greece</b>      | 26.1 Devolution of powers, regionalization and spatial planning                                 |
|                        | 26. 2 Prefectural development companies: An instrument for...                                   |
| <b>27. Poland</b>      | 27.1 Euroregion Nysa (Neisse)   |
|                        | 27.2 Transport Policy in a metropolitan area. The case of Warsaw                                |
| <b>28. Netherlands</b> | 28.1 Knooppunt Arnhem Nijmegen (KAN-region)   |
|                        | 28.2 "Het Drielandenpark" (Park of three countries)   |
| <b>29. Malta</b>       | 29.1 The Regeneration of Cottonera  |
|                        | 29.2 Garigue: A wasted land or a fertile land?  |

The guidelines developed to analyse the case studies, and the analytical matrix developed for case study synthesis, draws upon the observations from the national overviews, according to which the tools and mechanisms of cooperation and coordination in the 29 countries could be grouped according to geographical scale, or geographical dimensions – as was already envisaged in the tender. Hence, as shown in the summary analysis of the national overviews, main differences were found between (A) trans-national and cross-border regions, (B) national urban systems, (C) regional, polycentric urban networks, (D) functional urban areas and metropolitan regions, (E) urban–rural relationships and (F) intra-urban relationships. Furthermore, based on initial analysis of governance patterns (see SIR and ToR), it soon become apparent that further analytical dimensions of horizontal and vertical cooperation, coordination practices and tools (formal and informal, legal and non-statutory – including civil society participation) were of relevance. These were thus incorporated in the guidelines for the case studies, with the main aspects concerning our definition of governance, as follows:

- *Vertical co-ordination*; co-ordination among territories at different geographical levels, where the principles of multi-level governance is a key feature.

## Map 1.4.1 Case Studies Overview

### Case Studies overview



#### Level of Case Study

- National
- Transnational / Crossborder
- Functional urban areas / Metropolitan regions
- Urban-rural
- Regional polycentric urban networks
- Intra-city

© EuroGeographics Association for administrative boundaries  
Regional level: NUTS 0

Source: ESPON 2.3.2 Case Studies

- *Horizontal co-ordination*, seeking to respond to the challenge of effective governance, as well as to the coherence of policy action. At the root of the problem here is both the inability of co-ordinating territorial policies, i.e. interaction among policy sectors and actors (public/non public actors), and territorial relations that occur at the same territorial level.
- A third 'dimension' of importance for sub-national governance relates to the *quality of decision-making process* in terms of the principles included in the White paper on Governance. Public participation is seen as particularly important principle here, and is included, as well as 'openness' (again one of the five principles from WPEG), amongst the governance dimensions reported as a separate heading to be investigated in all the case studies. The remaining three WPEG-principles, i.e. accountability, effectiveness and coherence, were also included in the guidelines for analysis.

Amongst the themes addressed was the degree and nature of innovation, as well as the degree of success or failure, or rather, the problems of achieving the policy objectives set, as well as the reasons behind this. What was referred to as 'innovation' was understood as forms of problem-solving, place- and context-specific mechanisms that were new to the case study. These mechanisms or tools may already be in operation in other urban areas or regions. Here the temporal aspect was also of relevance, as some processes or practices were only being established, which meant it was still too early to examine the outcomes. The minimum criteria of success naturally included the final decision on implementation, but in some cases the examples provided interesting examples of governance process, even though the final decision was not reached and in this sense the governance process had yet to prove its effectiveness.

There was also an attempt to assess factors that characterize good governance ('prerequisites', 'mechanisms'), as well as the possible 'transferability' of such factors (transferability of conditions, but also transferability as the capacity of adaptation to solve specific territorial problems and assist decision making).

- *From case studies to WP 5: identification of governance trends, analytical framework for synthesis.*

In order to make full use of all the information included in the case studies, an analytical framework for synthesis was elaborated. In order to ensure the adequacy of the chosen strategy and to allow for

necessarily adjustments, a number of case studies were to be analysed on different geographical scale. A first step thus included a pilot experiment to formulate and test this *analytical framework* for synthesis, based upon the guidelines for case studies. In the analytical framework each question from the guidelines was still present, but the answers to the questions were now registered in a very synthetic way (in most cases yes or no). This synthetic way nevertheless still allowed for nuances to be expressed, and additional comments were included in cases where something particularly important was to be underlined.

The final analytical framework reflects the same horizontal geographical entrance points, from trans-national to intra city, while the vertical entrance points were simplified (see Figure 1.4.3).

**Figure 1.4.3 Analytical matrix for case study synthesis**

| Governance dimensions:                              | Context | Vertical: Multi-level relations, and decentralisation, devolution, and regionalisation | Horizontal: 'Multi-channel' Territorial co-ordination | Public Participation (ch.8.3.1) | Openness (ch.8.3.2) | Innovative and/or interesting tools, practices and mechanisms (ch.8.3.3) | 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)                                   |         |  |   |                                 |                     |  |                      |                           |                                   |

Two interrelated analytical processes were considered: a 'horizontal' synthesis, which was carried out by using a geographical grouping of the case studies, and a 'vertical' synthesis, which was primarily focusing on dimensions of 'good governance'.

The synthesis for each of the dimensions was undertaken in an inductive way, which means that the cases were 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 was done for each of the six geographical dimensions separately, and each of those six 'horizontal' syntheses has then fed into the separate 'territorial synthesis' chapters (chapters 2-7 of Annex C).

Similar process was also done on two specific governance dimensions, participation/openness and innovative mechanisms, which were analysed as separate issues of interest.

#### **1.4.5 Tentative qualitative Territorial Impact Analysis**

ESPON 3.1 project (Final Report, part C, section 9.3, p. 396 and ff.) elaborated a common methodological approach to be applied to the different areas of concern in specific ways (the TIA manual). However, at the same time it was recognized that "the diversity of features and types of effects do not admit to cover the whole range of EU policy issues by one common assessment methodology" because their different spatial dimension and spatial implications, also because of the different theoretical state of the art of applied research and planning in different areas. This is the case of territorial governance where the proposed model does not really suit our purposes and it needs adaptation.

Most of the dimensions of the ESPON TIA-model have been addressed in the questions posed in the case studies (see Annex C for the template for case studies). We have thus addressed issues relating to governance form, impact, success, references to past and future, relevance of different territorial interventions and effects where identified, policy goals referred to (e.g. Polycentric spatial development, Cohesion – in economic terms, as well as social and territorial). Equally we have investigated the various applied meanings of 'spatial/territorial' and the territorial dimension.

Due to the nature of governance, as well as the type of material that these types of qualitative case studies contain, we have sought to give indications of best practice and good examples. One of the selection criteria that the case studies should include some elements of innovative mechanisms, processes or tools, which makes the TIA approach difficult, as impacts are not yet there to be assessed. Thus the project follows a step wise integration of results generated by

different working packages trying to identify favourable preconditions for governance and best practices.

As a final recommendation, and in order to enable other TIAs, more work on data collection and development of specific indicators for territorial governance at sub-national level appears very necessary. The specific collection of data and the generation of indicators for the various governance aspects should be considered in future ESPON rounds.

## **1.5 Data and Indicators**

This chapter will provide an overview on the main data and indicators, which have been collected and used in the context of the ESPON 2.3.2 project. The chapter will also present some core findings of this work. (All details on data and indicators can be found in Annex A; further results are presented in Chapter 3.3 on favourable preconditions for governance.)

Throughout the project period, ESPON 232 has attempted to collect data on various governance (or governance related) aspects in a number of data bases. A complete list of data which has finally been included in the quantitative analysis is provided in the Annex A (List in Table 2).

These data have been used in several ways, as can be seen from this contribution to the final report, in particular

- thematic maps relevant for the governance topic have been produced;
- **the project tried to use the data to generate synthetic indicators to define typologies.**

As in previous reports 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. Having said this, also an assessment using more advanced statistical methods (as has been envisaged in the tender document) turned out to be not possible. The main reason for this being again the lack of data in an appropriate differentiation regarding regional, areal, time and quality aspects. These shortcomings will be addressed in the following sections, wherever appropriate.

Ultimately, the main approaches towards a quantitative analysis of governance aspects in urban and territorial policies were using

qualitative information, which have been transformed into various scores. The scores were either derived from expert views e.g. in questionnaires and reports, or some data (cf. synthetic indicator) were simply categorised using mean values as threshold and the categories under or over average.

#### ESPON DB, Eurostat, Eurobarometer

Table 2 in the Annex A shows, which ESPON dB, Eurostat, and Eurobarometer data have been explored in the course of the project. The results of this survey will be provided further down in Chapter 3.3. On a particular aspect which was looked at were the number of public employees (NPE, NACE category L-P (Q)).

In November 2005, 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 survey to generate data on the political governance in the ESPON 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, mainly due to lack of coverage but also due to the different focus (reflecting rather national issues in election).

#### 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, 29 altogether]. Part of the synthetic analysis of the NO resulted in tables which were used to generate scores on different governance aspects.

Out of this assessment which used more than twenty criteria, a set of tables was generated, which was more appropriate for various scoring methods (see annex with table <sup>21</sup>). Results of this exercise are fully covered in this report (Chapter 3.3).

The National Overviews were used as the main source to identify governance trends between the 29 European states included in the ESPON space. On the basis of ten indicators regarding: Acceptance of governance, Changes in formal government in the direction of governance, Experience with participation processes, Experience with

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<sup>21</sup> Observe that in previous reports only five indicators were used. They have been extended to ten.



partnerships, Extent of financial dependence of local government on central government, Devolution of powers to 1st tier local authorities, Centralization / decentralization / devolution, Number of conditions leading to shifts towards governance, Number of factors operating in favour of adoption of governance approaches, Number of forms of cross-border co-operation; a first attempt towards a typology was developed. Map 3.3.1 gives the result of this attempt (see section 3.3.1 of this Final Report).

### World Bank

IRPUD also collected data from the World Bank on governance effectiveness and regulatory quality or government effectiveness.

The World Bank data are the only ones, which have been collected consistently over many years of observation, across countries and following the same method – but they also have a number of restrictions:

- a specific interpretation <sup>22</sup> is attached to the scoring, e.g. effective government and regulatory quality are f.i. linked to a reduction of government acts;
- the data are based on quite a number of surveys, provided by as many different research, consultancy, or policy institutes (see example in Figure 1.5.1 below).

Be it as it may, comparing above data and the approach of ESPON 2.3.2 towards a 'soft' governance indicator seem to result in very similar pictures (see Chapter 3.3).

### Additional Sources

The Table 2 in the Annex A shows other additional data which were explored and finally used by the LP for the analysis of vertical/multi-level and horizontal dimensions of territorial governance (see also sections 2.1.1 and 2.1.2 of this core text of the FR document and their respective Annex D and Annex E). In short they were:

*For vertical/multi-level analysis:*

Models of State: based on three sources, 2<sup>nd</sup> Interim Report of this 2.3.2 ESPON Project; all ESPON 29 countries National Basic Laws;

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<sup>22</sup> The 'ideological' impact of these data have been discussed in the research team. In short, the team is aware about the bias towards market liberal approaches.

and the Committee of Regions' study about the process of the 'strengthen of regional and local democracy in the European Union'.

**Figure 1.5.1 Governance Effectiveness – Data Sources**

| N   | Source                                      | Publication                      | Type   | URL   |
|-----|---|----------------------------------|--------|---|
| 1.  | Business Environment Risk Intelligence      | Business Risk Service            | Poll   | <a href="http://www.beri.com">http://www.beri.com</a>   |
| 2.  | Columbia University                         | State Capacity Project           | Poll   | <a href="http://www.columbia.edu">http://www.columbia.edu</a>   |
| 3.  | Global Insight's DRI McGraw-Hill            | Country Risk Review              | Poll   | <a href="http://www.globalinsight.com">http://www.globalinsight.com</a>                                 |
| 4.  | Brown University's Center for Public Policy | Global E-Governance              | Poll   | <a href="http://www.insidepolitics.org/egovt04int.pdf">http://www.insidepolitics.org/egovt04int.pdf</a> |
| 5.  | Economist Intelligence Unit                 | Country Risk Service             | Poll   | <a href="http://www.eiu.com">http://www.eiu.com</a>   |
| 6.  | World Economic Forum                        | Global Competitiveness Report    | Survey | <a href="http://www.weforum.org">http://www.weforum.org</a>   |
| 7.  | Merchant International Group                | Grey Area Dynamics               | Poll   | <a href="http://www.merchantinternational.com">http://www.merchantinternational.com</a>                 |
| 8.  | Political Risk Services                     | International Country Risk Guide | Poll   | <a href="http://www.prsgroup.com">http://www.prsgroup.com</a>   |
| 9.  | Institute for Management and Development    | World Competitiveness Yearbook   | Survey | <a href="http://www.imd.ch">http://www.imd.ch</a>   |
| 10. | World Markets Research Center               | World Markets Online             | Poll   | <a href="http://www.worldmarketsonline.com">http://www.worldmarketsonline.com</a>                       |

- Typology of regionalisation: from the 2<sup>nd</sup> Interim Report of this 2.3.2 ESPON Project, from National Basic Laws, and from the Council of European Municipalities and Regions' web page.
- Constitutional guarantee of local and/or regional levels: based National Basic Laws.
- Allocation of spatial planning powers: based on available data (in Annex F of this Final Report).
- New spatial planning powers at supra-local / sub-regional level (innovative) (Hildenbrand, 2005).
- National Territorial Chambers: <http://www.senat.fr/senatsdu monde/pays.html>
- Regular multi-level governmental meetings: [http://www.cor.eu.int/es/documents/progress\\_democracy.htm](http://www.cor.eu.int/es/documents/progress_democracy.htm)
- Extent of financial dependence of local governments on central government: based on section 16 of Annex B of this Final Report.
- Devolution of powers to 1st tier local authorities: based on section 17 of the Annex B of this Final Report.

- Forms of cooperation between agencies, departments and authorities: from 2<sup>nd</sup> Interim Report of this 2.3.2 ESPON Project
- Approaches for vertical co-ordination and co-operation: from 2<sup>nd</sup> Interim Report of this 2.3.2 ESPON Project and Annex B of this Final Report.
- Integrated spatial planning: based on Annex F of this Final Report.

*For Horizontal dimension analysis:*

The main indicators are based on Annex B of this Final Report. These are the following ones:

- Priority emphasis on horizontal co-ordination objective: section 4.
- Partnership formation and co-operation: Number of Barriers: section 11.
- Partnership formation and co-operation: Number of Catalysts: section 11.
- Experience in working with partnerships: section 8.
- Forms of co-operation: section 9.
- Direction of progress towards horizontal co-operation and partnerships: section 10.
- National and / or federal agencies / councils / committees for spatial development: section 9.

The rest of indicators are based on information available at:

- Constitutional guarantee of territorial associations: National Basic Laws
- Participation in projects under the Community Initiative Interreg IIIB (from the ESPON Project 2.4.2 Final Report)
- Policy packages: 2.3.2 Project National Overviews

Case Study Data

In all the Case Studies for the ESPON 2.3.2 project (CS, altogether 53, see Map 1.5.2) have been mapped. The majority of cases have a clear territorial dimension. Eight case studies relate to national territories.

The case studies (see the synthetic overview in Chapter 3 of this FR core text, also as the Annex C for more extended details) 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 first the form of statistical data sheets, secondly the analysis of all regions.

The statistical Data Sheets (see Annex A) have not been filled in for all 53 cases. In addition, the specific results are not satisfactory. Again the degree of interpretation for what was required is immense when looking at answer patterns. Moreover there were many data gaps when looking at the different parts of the data sheets. Questions on "General information" and "Sustainability" were completed in most of the returned data sheets whereas the part on "Social questions" and "Budget figures" (concerning the latter especially the shares for the different territorial levels) were mostly missing. To attempt a harmonization of 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 has been looked for using the NUTS3 and NUTS2 codes for the CS to generate from official data sources a set data.

An approach was conceived, that wanted to compare structural and dynamic aspects of the case study regions with all other regions and to conclude (inductively) from the case studies to all other regions. In terms of governance characteristics, of course the main input needs to come from a systematic analysis of the cases (systematic in the sense of achieving a set of clear indicators characterising the respective governance situation).

Results of this attempt are documented in Annex A.

### Numeric Approach

Regarding data and indicators, the case studies were linked with one additional step: In an extensive Numeric Approach –NA- (see Annex A) case study authors were asked to assess various aspects of their cases with the help of scores.

The intention was to review the main points of the case studies with the help of answer categories. After having written the main text for the case studies the respondents were asked to bring out the main structural and procedural aspects of the cases and to translate them into scores. The scores used three classes, expressing a high, medium or low presence of the aspect under discussion. With the help of such scores it was possible to identify tendencies in the overall assessment of a specific aspect.

The NA included a number of tables focussing on different issues. Some of the tables were open for free format answers, where respondents were asked to list the main specific territories, actors or mechanisms applying to the case studies.

The data collection in the Numeric Approach turned out to be rather difficult on the side of addressees. 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 out<sup>23</sup>.

Finally for this report, 53 numeric parts were collected and further analysed. This means a return rate of 100 %. More detailed information on which of the CSs are included for the FR can be found in Table 5 of the Annex A.

### Pre-Conditions for Governance (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. Various parts of the FR address aspects of the aspects and methods, which can be used trying to identify 'impacts' of different modes of governance. The CS section f.i. provides best practices and innovative examples.

In a short meeting with all project partners in Valencia it was agreed, that the project will follow a step wise integration of results generated by different working packages. Instead of running a TIA, which is due to the 'nature' of governance and the complexities built into it the project team decided to try identify from the various quantitative approaches favourable preconditions for governance and identify good practices.

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; the statement of indicators (though 'efficient' governance will be difficult to assess).

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<sup>23</sup> To receive at least a valuable amount of numeric tables the deadline was extended three times and the addressees were contacted several times. For the FR also the geographical classification of the CS was adjusted again.

The opening section of this chapter introduced the various data sources which have been used in this respect. The results can be seen from chapter 3.3 on favourable pre-conditions for governance.

The last step was to try identifying a typology of regions, which are regarding the various domains and features of governance more or less advanced.

The responsible of WP3 in 2.3.2 ESPON project followed the approach outlined in FIR and refined in SIR and displayed in above Table 1.5.1 for the 'quantitative' part of TIA. The work on data & indicators was continued (documentation provided in the Annex A) - and results can be seen in this Final Report.

2.3.2 ESPON project was partially successful to substantiate the – abstract – work (again Table 1.5.1) with the existing data. All below outlined ideas have been at least partially applied to identify a kind of 'typology' on the basis of specific characteristics.

**Table 1.5.1 Domains and Features of Governance represented by INDICATORS**

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

Source: IRPUD 2004

When looking at Table 1.5.1, what sort of indicator/data have been included?

**ISS** – the Indicator describing State Structures, for this typology data on Nace L-P per inhabitants were used as an indicator on state structures (taking the employment numbers as indicator of the presence of the state in the regions, NUTS 2 level) –

**ISP** – the Indicator describing State Processes concentrated on the delta values for Nace L-P employees. –

*ITS* – the Indicator on Territorial Structures, data on FUA were chosen for ITS.

*ITP* – the Indicator on Territorial Process, was based on data on lagging regions, multi modal accessibility, and MEGAs.

[NB: To use the indicators on spatial aspects – italics – for a further differentiation of the regional situations proved only partially possible.] –

IES – the Indicator on Economic Structures was taken as the GDP in PPS per capita, to describe the situation in various regions. –

IEP – the composition of the Indicator on Economic Process was constructed as the delta of GDP in PPS per capita. –

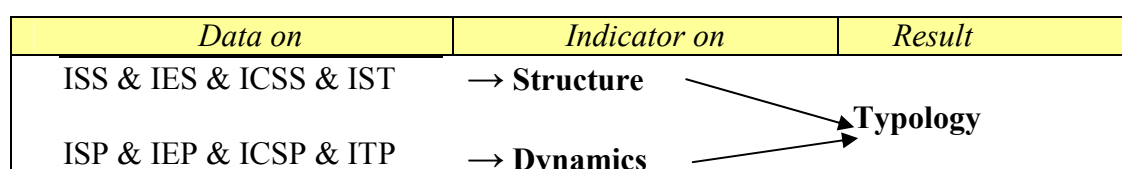
ICSS – the Indicator on Civil Society Structures was constructed with data on legal systems, government, national democracy, parties, national parliaments, coming from Eurobarometer. –

ICSP – the Indicator on Civil Society Process could be constructed using the Eurobarometer data mentioned under ICSS, as they come in time series and can be used to construct a delta.

Again, the original idea thought to integrate the indicators ISS & IES & ICSS & IST and to interpret as indicators on structural aspects, differentiating the regions.

Indicators ISP & IEP & ICSP & ITP can be interpreted as indicators on dynamic aspects (e.g. pointing into the direction of governance?), introducing a development perspective. (cf. Figure 1.5.2)

**Figure 1.5.2 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'.

All in all, the data available, the coverage, and ultimately the theoretical foundations are still too weak, to do so. The latter is particularly important for a systematic test of features of governance and their impact – not only on economic performance indicators but also on social or environmental indicators. Having stated this, the current project has tested some of the data and can be used to define a route into an extended study of governance impacts at a regional level, probably feasible in a coming round of ESPON.

A specific 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 at 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 or the World Bank only provide information for entire countries or states.

IRPUD tried various ways to break these down to lower regional levels, but this proved to be very difficult to do. One hope to do so, were the case studies. These were seen to serve as a sample for all other regions in Europe (see Chapter 3). For the future and with still to be defined further characteristics of governance at regional levels, it may well be possible to develop regional typologies, which can then be used for further analysis.

The synthetic indicator in Table 1.5.1 results in a regional typology as displayed in Map 3.3.3 (see section 3.3.6 of this 2.3.2 ESPON project FR core text).

In terms of method, this typology is a first attempt to look at specific combinations of several factors considered to make a difference with respect to governance but also with respect to results (though the latter part is under-developed still). The basic approach rests on a simple comparison of indicator values (see Table 1.5.1) with the respective average value for all regions. In many cases not all indicators were available for all regions (144 regions have all indicators). Therefore the arithmetic means of the process-related values and the structure-related values were calculated separately. This allowed including and mapping all regions even if not all indicators were available. Accordingly Map 3.3.3 differentiates whether a complete or incomplete set of indicators was incorporated: A full set of indicators is mapped in full colour; transparent colours show that only a partial number of indicators were included. It is in particular in this sense, that the map is only indicative.

Furthermore it has to be mentioned that the data gaps are concentrated on single indicators leading especially to an overemphasis of territorial indicators (ITS, ITP).

The typology depicts against an average those regions, which are less advanced, and those, which are more advanced:

- Regions with high scores in both, structural and procedural values - about 20 % fall into this category; these regions are above average regarding the structural and procedural domains and features of governance;



- Regions with low structural and high procedural values - about 22% fall into this category; these regions show below average indicators in the structural domain of governance, e.g. in the field of state and economy;
- Regions with high structural but low procedural values - about 19% fall into this category; these regions are less dynamic compared with all other regions e.g. in the field of state and economy;
- Regions with low structural and low procedural values – the largest share of regions with about 39%; all domains and features of governance are under average.

## **2. The pre-Conditions of Territorial Governance**

Following the scheme shown in figure 1.1, see section 1.3 on concepts and definitions, this chapter is addressed to present the main findings coming from the analysis done in annexes D, E and F, and from the synthesis document of 29 National Overviews (Annex B), regarding to the territorial preconditions for territorial governance. These pre-conditions are referred both to context (following section 2.1 Territorial features and dynamics) and to policies, mainly spatial planning (next section 2.2 Institutional framework of territorial governance).

### **2.1 Territorial Features and Dynamics**

The approach to characterize territorial features that act as preconditions of territorial governance follows the three dimensions of governance considered in this project: vertical/multi-level and horizontal (cross-sector, inter-territories, partnerships) relationships, and public participation.

#### **2.1.1 Multi-level / Vertical dimension of territorial governance**

The issue of the vertical structure and multi-level relations is a very sensitive question. Even though governance refers jointly to the three dimensions of political activity (that is to the way to make the Polity, the Politics and the Policies), the emphasis is usually located more in the first one, as expression of the 'soul' and 'proud' of each country. Despite this, territorial governance, a broader concept that also integrates these three dimensions of political activity, focuses more in the third dimension, the Policies, for which the other two have to be adapted, in order to achieve the goal of sustainable spatial development.

One of the most important questions for the definition of a territorial model is the vertical organization (structure) of each country and also the relationships between the different level authorities and stakeholders. This however is not a static picture as we can observe when comparing maps 2.1.1 and 2.1.2. It is too simple to think is the devolution-decentralisation-regionalisation process, a general trend in many ESPON territories, the only main issue to explain the model of territorial governance in their vertical dimension.

## Map 2.1.1 Typology of State Structures in ESPON 29 Space



© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 0

Source: ESPON Project 3.2.



- Centralised Unitary
- Decentralised Unitary
- Regionalised Unitary
- Federal

This classification follows the criteria of Dubois, A. (Nordregio), *Scenarios baseline on "Issues of territorial governance"*, Working Paper, ESPON 3.2, 11.2.2005, p. 6. Spain as been renamed as Composite instead Regionalized Unitary, and ESPON 232 project has classified for first time the new member States on the basis of the Committee of the Regions (CoR), (2003): *Devolution process in the European Union & the candidate countries* ([http://www.cor.eu.int/es/documents/progress\\_democracy.htm](http://www.cor.eu.int/es/documents/progress_democracy.htm)) and their own National Basic Laws (<http://confinder.richmond.edu/>).

## Map 2.1.2 Changes in State Structures in ESPON 29 Space



© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 2

Source: ESPON 2.3.2. National  
Overviews and ESPON Project 3.2.



- Centralised Unitary
- Decentralised Unitary
- Regionalised Unitary
- Federal
- Federal Assymetric
- Composite
- Regionalised towards federal
- Decentralised towards regionalised
- Regions with special status
- Important changes

Belgium is a federal country as other federal countries, but an asymmetric federalism.

Some changes related to a transition to another model of state are taking place in Italy, Finland and Sweden. In the first case, we are referring to the approval of the reform of the Senate, which shows a direction towards a progressive 'federalisation'. The two latter countries are immersed in an important process of regionalisation, although the local levels are still the real motors of this process, without a clear explanation for this: to promote the regional level or, instead, to control it.

There are some regions remarked in some countries. Those regions have a special status within their countries, as it is explained with great detail in the section of "Typology of Regionalisation" in the Annex D of this Final Report.

In the new and future member states of the EU significant political and territorial changes are taking place very quickly.

In fact this is an important question to take into account as point of departure, but not the only one. Besides, some conflicts between the principles of subsidiarity and proportionality (between competencies and financial resources), inherent to decentralisation processes, talks about the complexity of these vertical/multi-level relationships. In fact, a crucial remaining open question, important for territorial governance practices, is to define clearly not only financial dependences among levels, but also the relations between budget and competencies.

However, this section is not addressed to make an assessment of the different initiatives of decentralisation in each country, but the different preconditions for multi-level territorial governance, considering other additional indicators related with the allocation of different spatial planning powers and the influence, role and weight the different tiers of government enjoy in territorial decision making (see Figure 2.1.1).

From the base of the data about the established models of State, this map shows some recent and current changes in some countries related to the direction towards these countries or some of their regions are advancing. These changes and particularities are explained and commented more deeply at section 2.1 of the Annex D.

As can be seen in the following figures 2.1.1 and 2.1.2, the indicators included in each sub-category in the first case and category for the second figure score between 0 and 2. Any country may score more than 2 for each sub-category. These indicators are valued with regard to the degree of "good practices" in terms of governance. The

countries or regions with higher values have been scored with 2 and vice-versa. In the case of the figure 2.1.2 there is an indicator valued with negative scores because there is also important to indicate some problem related to not so good practices of governance. The sources used for the elaboration of the analysis and these figures are deeply explained at Annex D of this project.

**Figure 2.1.1 Selected Indicators of multi-level dimension of territorial governance**

| Category  | Sub-category   | Indicator  | Value                          |             |
|---|--|--|--------------------------------|-------------|
| Political system of the State                               | Model of State   | Unitary States   | Centralised                    |             |
|   |  |  | Decentralised                  |             |
|   |  |  | Regionalised                   |             |
|   |  |  | Composite                      |             |
|   |  | Federal States   |                                |             |
|   | Typology of Regionalisation  | Administrative Regionalisation   |                                | <b>0.5</b>  |
|   |  | Regionalisation through the existing Local Authorities                               |                                | <b>1</b>    |
|   |  | Regional Decentralisation  |                                | <b>1.25</b> |
|   |  | Regional Autonomy (Political Regionalization)  | Regions without Special Status | <b>1.5</b>  |
|   |  |  | Regions with Special Status    | <b>1.75</b> |
|   | Regionalization through the Federate Authorities                             |  | <b>2</b>                       |             |
|   | Constitutional guarantee of local and/or regional levels                     | Local  |                                | <b>1</b>    |
| Regional  |  | <b>1.5</b>   |                                |             |
| Each region has an own Constitution                         |  | <b>2</b>   |                                |             |
| Spatial planning powers                                     | Allocation of spatial planning powers  | Local level  | Weak                           | <b>0.25</b> |
|   |  |  | Strong                         | <b>0.5</b>  |
|   |  | Supra-local / sub-regional level   | Weak                           | <b>0.25</b> |
|   |  |  | Strong                         | <b>0.5</b>  |
|   |  | Regional level   | Weak                           | <b>0.25</b> |
|   |  |  | Strong                         | <b>0.5</b>  |
|   | National level   | Weak   | <b>0.25</b>                    |             |
|   |  | Strong   | <b>0.5</b>                     |             |
|   | New spatial planning powers at supra-local / sub-regional level (innovative) | Indirectly elected Assembly  |                                | <b>1</b>    |
|   |  | Directly elected Assembly  |                                | <b>2</b>    |
| Role of sub-national governments within the States          | National Territorial Chambers  | Existence of a Senate but not representing territories                               |                                | <b>0.5</b>  |
|   |  | Existence of a partial Territorial Chamber   |                                | <b>1</b>    |
|   |  | Existence of a totally Territorial Chamber   |                                | <b>2</b>    |
|   | Regular multi-level governmental meetings                                    | Existence of a Conference of Presidents without authority to reach binding decisions |                                | <b>0.5</b>  |
|   |  | Existence of a Conference of Presidents with authority to reach binding decisions    |                                | <b>1</b>    |
|   |  | Innovative forms of permanent multi-level territorial contacts                       |                                | <b>1</b>    |
|   | Local financial dependence on central government                             | Dependent  |                                | <b>0</b>    |
|   |  | Fairly independent   |                                | <b>1</b>    |
|   |  | Very independent   |                                | <b>2</b>    |
|   | Constitutional regions   | Existence  |                                | <b>2</b>    |
|   | Devolution to 1 <sup>st</sup> tier local authorities                         | Relatively powerless local authorities   |                                | <b>0</b>    |
|   |  | Expect or in process to devolution   |                                | <b>1</b>    |
| Substantial powers have been allocated to local authorities |  | <b>2</b>   |                                |             |

The final objective is not presenting a ranking that leads to the conclusion that there is a best model to be followed, without any previous assumption on the prevalence of the different types of structure of State. In fact one can find a great diversity of processes and political systems in the ESPON Space, with their own particularities. In this sense governance, as was said for technology, is not possible to be simply imported, but adapted. In fact similar a political system or a similar degree of competencies at sub-national levels does not work exactly the same. In each country the relationships between the different levels and the “day by day” work are unique. Thus the objective is to characterize the vertical preconditions for territorial governance and after put them in relation with existence and performance of multi-level relationships according with the ESPON 232 project own information collected through the realisation of the 29 National Overviews.

**Figure 2.1.2 Selected indicators of multi-level dimension of territorial governance relationships**

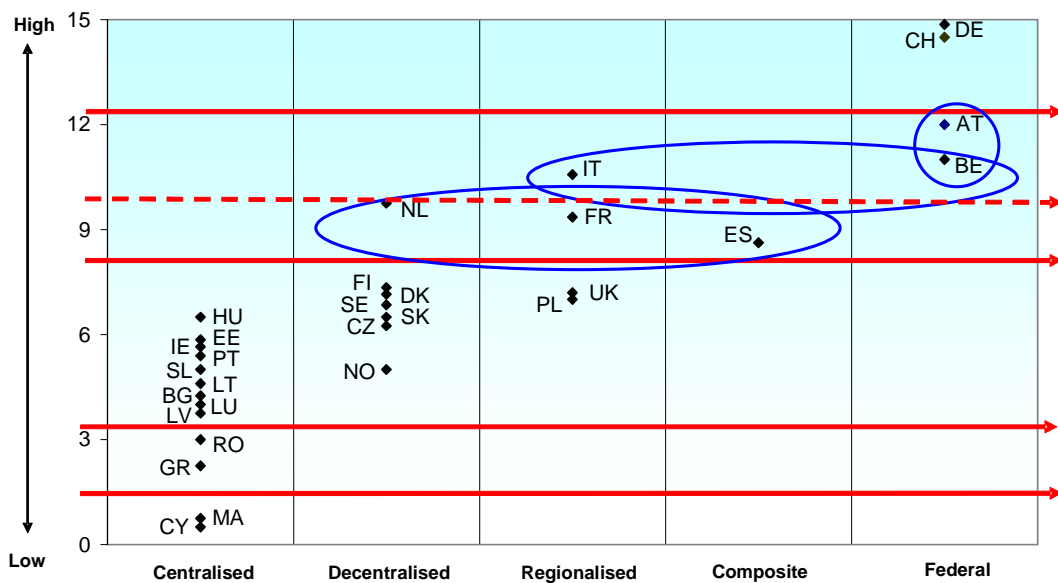
| Category   | Indicator  |   | Value        |
|--|--|---|--------------|
| Forms of cooperation between agencies, departments and authorities | Forms of cooperation between agencies, departments and authorities | Organisms that act as frameworks for the co-ordination of the relationships at different levels                     | <b>2</b>     |
|  |  | Cooperation only for making a plan or some plans  | <b>1</b>     |
|  |  | Encouraging by central governments to establish linkages between local and regional partners                        | <b>0.25</b>  |
|  | Problems of relationships between different government levels      |   | <b>-0.5*</b> |
| Approaches for vertical cooperation and coordination               | Approaches for vertical cooperation and coordination               | Positive attitudes or positive evolution of the attitudes   | <b>0.5</b>   |
|  |  | Weakness in the attitudes   | <b>0.25</b>  |
|  | Priority emphasis on vertical co-ordination objective              |   | <b>0.5</b>   |
|  | Progress towards vertical co-operation and partnerships            |   | <b>1</b>     |
| Integrated Spatial Planning  | Strong Vertical and horizontal coordination                        |   | <b>2</b>     |
|  | Mainly vertical coordination...                                    | ...and weak horizontal coordination but horizontal coordination exists at levels with the main planning competency  | <b>1.75</b>  |
|  |  | ...and weak or no horizontal coordination   | <b>1.5</b>   |
|  | Mainly horizontal coordination...                                  | ...and weak vertical coordination but vertical coordination exists between levels with the main planning competency | <b>1</b>     |
|  |  | ...and weak or no vertical coordination   | <b>0.75</b>  |
|  | Both weak vertical and horizontal coordination                     |   | <b>0.25</b>  |

\* Only applicable to *Organisms that act as frameworks for the co-ordination of the relationships at different levels* and *Cooperation only for making a plan or some plans* (see section 2.12.1)

For the definition of the multi-level relationships, three categories of indicators were considered (see Figure 2.1.2): forms of cooperation between agencies, departments and authorities (referred to the existence of initiatives or procedures related to the multi-level governance); approaches for vertical cooperation and coordination (that is, attitudes, wishes, emphasis and current direction to the improvement of vertical relationships); and integrated spatial planning (it refers to the multi-level co-ordination in the field of spatial planning through the indicators used for the establishment of the different degrees of integrated spatial planning developed in Annex F of this ESPON 232 Project Final Report).

Regarding the vertical preconditions for territorial governance, some country groups can be clearly identified, also has to be said that the countries gathered in each group belong to different models of state (see figure 2.1.3).

**Figure 2.1.3 Multi-level structure by model of State**



© ESPON – Project 2.3.2



In this figure the objective is to study if there is a relationship between the models of the State (with the new classification of Spain as a Composite State) and the score obtained for the whole analysis of the multi-level dimension of governance. The numbers those appear at the left of the vertical axis are the real score of each country.

The two countries with a highest score, so far from the following group, are two federal countries, Germany and Switzerland. This high score takes place because they are two federal countries where all territorial levels are represented, all of them with their role in



territorial matters and, in consequence, with a wide range of instruments to work together.

The following group of countries can be divided into sub-groups of three countries each. The three countries that in this second group present a higher score are Austria, Belgium and Italy. The two first ones federal countries but unlike those of the first group they do not have as range of mechanisms of multi-level co-ordination as them (i.e. not all levels have spatial planning powers, nor exist conferences of presidents with authority to reach binding decisions, neither other innovative form of permanent multi-level territorial contacts). Furthermore, in Belgium, which scores lower than Austria, the regions and communities do not have their own Constitutions or Basic Law, in contrast to the other Federal countries. Scoring almost the same than Belgium it can be found Italy, a regionalised unitary country but with recent transformations that seems be in direction to a functional federalism (as is the case of Spain, in Italian case however the regional level is less developed than local one). The relatively higher weight of the local level and the process of changes in the model of the state in which Italy is immersed give to Italy this high score.

The three remaining countries of the second sub-group offers a real diversity whit a very similar score. Netherlands is a decentralised unitary state with a diffuse existence of a regional level, but the structure of the multi-level mechanisms and tools is one of the most developed within the ESPON Space. As example The Netherlands presents a territorial representative chamber and the local level is one of the financially as well as powerful most independent. France is a regionalised unitary state long time known as very centralised. However, the development of the regional level and the already established degree of multi-level governance at local and sub-regional level (procedures that started at the end of the 2<sup>nd</sup> World War) leads to this country to the top of the list. Regarding Spain it can be said it is a unique because the degree of autonomy of the regional level is in some cases higher than some federal states. For this reason Spain has been defined as a 'Composite State' (see map 2.1.2), functionally federal but in fact unitary. Powerful regions contrast with the relative low weight and autonomy, mainly financial, of the local/sub-regional levels. Besides, the Senate of Spain is a territorial chamber only partially, not representing totally the sub-national levels. Also there is a Conference of Presidents, but without power to reach binding decisions.

The third group gathers the major number of the countries, shared out amongst three different models of State. The regionalised unitary

ones -UK and Poland- are at the top of the score within this group, together with some decentralised unitary ones -as is the case of some of the Nordic countries, such as Finland and Sweden. The rest of the decentralised ones (Slovakia, Czech Republic, Denmark and Norway) are also included in this group, but Norway scores similar than the major part of the centralised countries because its absence of the regional level in any case. Among the centralised countries stresses Hungary, mainly because in this country innovative forms of permanent multi-level territorial contacts have been established, similar to those existing in Germany and Switzerland. Remaining countries (Estonia, Ireland, Portugal, Slovenia, Lithuania, Bulgaria, Luxembourg and Latvia) score lower. Among these countries they can be remarked two ones: Slovenia and Luxembourg, because in spite of the absence of a regional level in these countries they score in other fields higher than other countries.

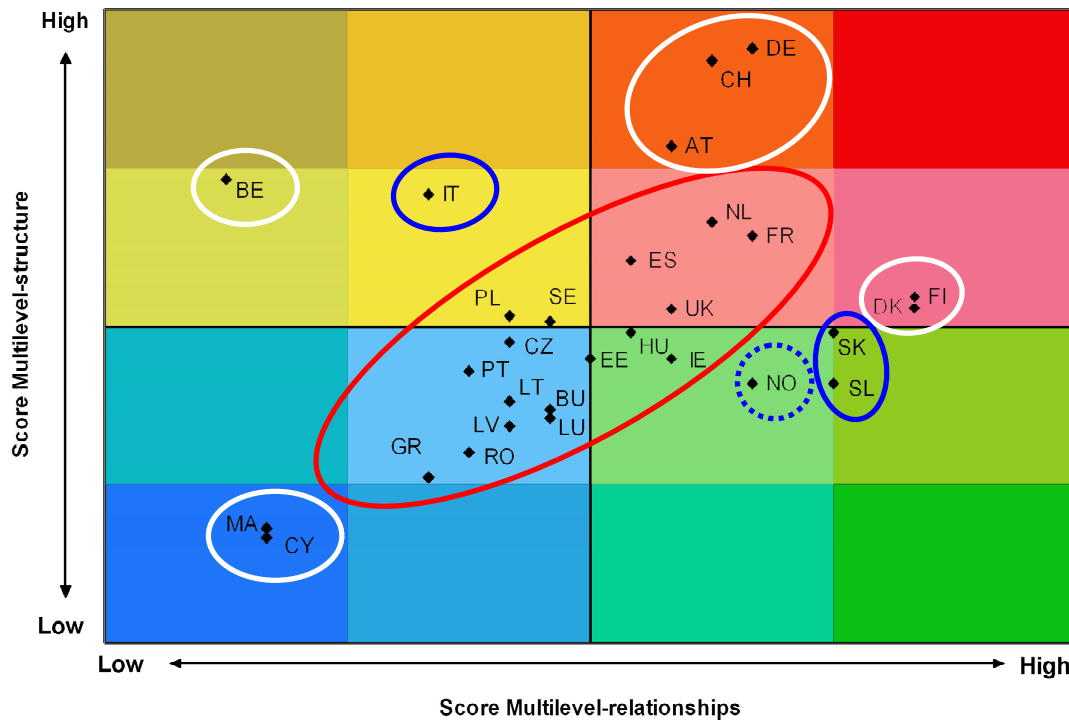
The last two groups, each one with their specific features, are formed by two countries. Romania and Greece are included in the fourth group, with a score between 2 and 3. In those countries the regional and sub-regional authorities are representatives of the central government and, in addition, the local level is very dependent of the central government, both financially as well as regarding to competencies. The fifth group is integrated by two small sized countries: Malta and Cyprus. In those countries, obviously, there is an absence of the regional level and in the field of spatial planning is the national level which concentrates the powers.

Thus it can be said that albeit a certain model of state is not the only cause to have a more developed multi-level structure, this is one of the main causes (clearly in the federal countries). In practice however the established structure has not any value if the 'day by day working' is not good. Because of this question, these results regarding to the multi-level structure have been combined with existence and performance of multi-level relations. The result of this combination can be seen at Figure 2.1.4 and Map 2.1.3.

This dispersion diagram locates each country according to its score on multi-level structure (in the vertical axis) and on multi-level relationships (in the horizontal axis). From the arithmetic mean the graphic has been divided into four groups, which are also divided into other four sub-groups. The red group involves the countries with high score, both in multi-level structure and relationships. In the yellow group the countries with a relatively good multi-level structure but not so good relationship mechanisms, tools and attitudes are gathered. In the opposite there are the countries within the green

group. They are countries with a not more developed multi-level structure but with good established understandings between levels. Finally the blue group gathers the countries with yet undeveloped multi-level structure and relationships.

**Figure 2.1.4 Performance of the countries for the multi-level structure and relationships**



© ESPON – Project 2.3.2



This diagram of dispersion locates each country in a quadrant that represents the performances of the countries as it is commented in the following paragraphs. Some marks have been made in order to show more clearly the grouping of countries with similar characteristics.

Two main facts can be observed, the agglomeration in the central area of the chart around the average, and that there is not any experience of optimal performance. Other less clear evidence is the positive relation between more developed structure and good performance of multi-level governance relationships.

One can find some particular locations. The countries located outside of the central quadrants in the red group are five. The three first ones are federal countries (Germany, Switzerland and Austria) which have a very high performance for the multi-level structure and a relatively good performance for the multi-level relationships. The other two are two Nordic countries, Denmark and Finland, both with the best performance on the multi-level relationships. Similar position

present Slovenia and Slovakia, but those two countries have a lower performance for the structure, as it has been seen in previous paragraphs.

Another exceptional case is Belgium, which due to its particular asymmetric model of federal State the relationships between central government, regions, communities and municipalities are very difficult. Also Italy presents a low performance in relationships regarding its relative high score on multi-level structure.

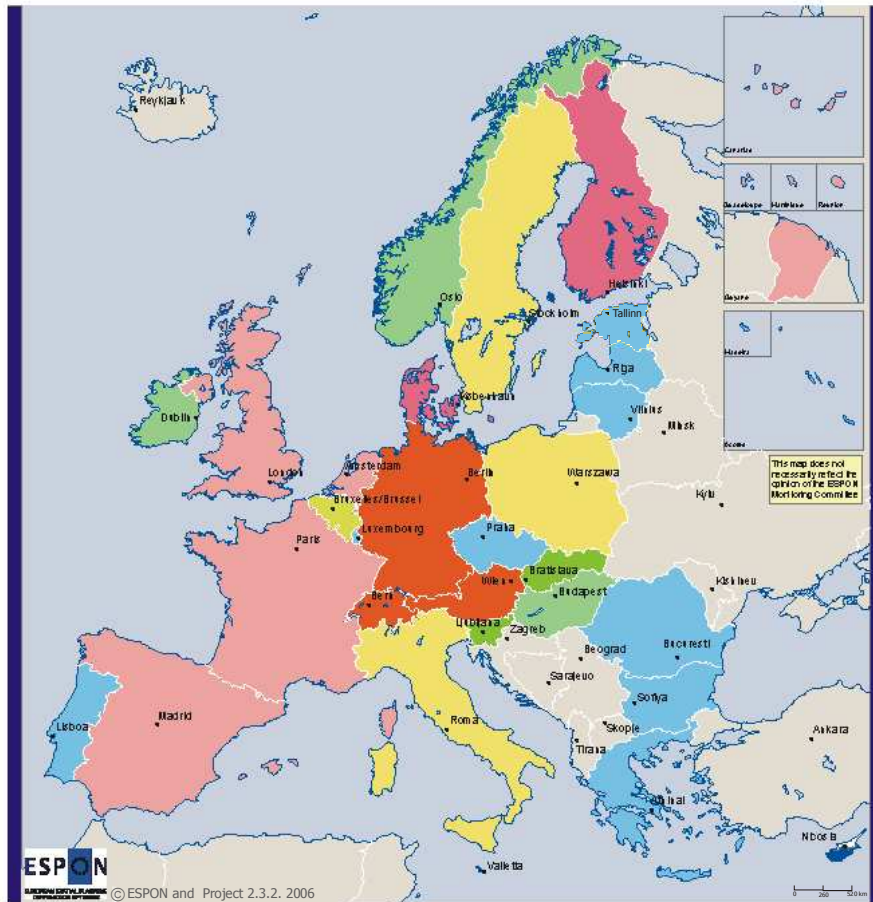
Malta and Cyprus present low performances in both cases. Size of the country or non presence of regional level seems not to be crucial reasons because Luxembourg and Slovenia with similar conditions present a better performance.

As final conclusions it can be said that, maybe in a non expected way, really the majority (17) of the ESPON 29 states are located in an intermediate place regarding multi-level structure and performance. This intermediate group follows the line that shows a positive relation between multi-level structure and multi-level performance. This picture of the situation in the ESPON space probably could help to reduce the suspicions regarding the 'forced' changes on polity and politics on Polity and Politics for governance, misunderstood as opposite to current government practices. However, a clear statement has to be done is that government and governance should be interpreted as closely related in a progressive-incremental process (see Figure 1.2.1 in section 1.2 of this ESPON 232 FR core text).

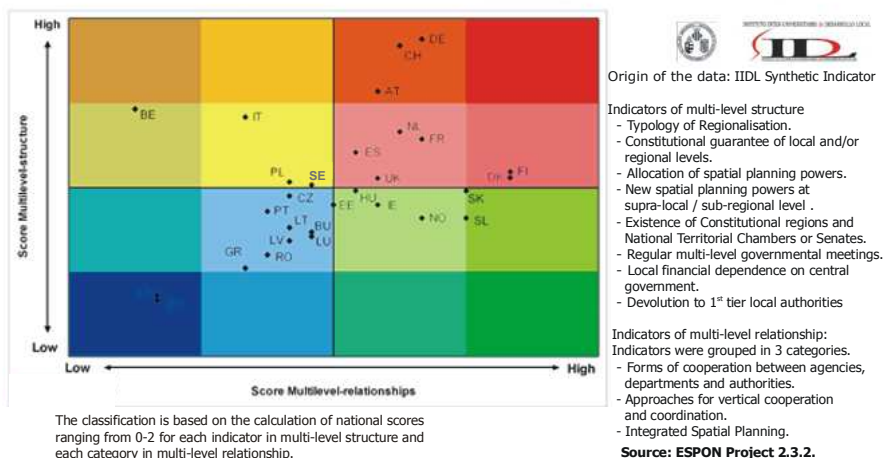
Even though there is a progressive trend to decentralisation and devolution powers to sub-national levels, mainly the regional one, tradition and history matters more than the full representation of all different levels, as is the case mainly in experienced federal states (German, Switzerland and Austria). However, the presence of this complete list of tiers seems not to be the only crucial reason for good multi-level governance. For instance, radical changes in this sense, as it is the case of Belgium, an asymmetric federal state, and in Italy, regionalised unitary, are not followed until now by a good performance of multi-level relationships.

At the same time, a limited multi-level structure, depending or not on the size of the country, is not guaranty at all for a good territorial governance from a vertical point of view, as the examples of Malta and Cyprus demonstrate. That is, not always the quality of multi-level territorial governance practices is related with more or less number of tiers involved in decisions with territorial impact (multi-level structure). In fact one can find very different responses for similar

**Map 2.1.3 Performance of the countries for the multi-level structure and multi-level relationships**



© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 0



Map 2.1.3 is the final result of the performance of the countries for the multi-level governance objective. Is a translation of the result of the dispersion diagram to a map. The performance of the countries, as well as the colours of each group are explained in above paragraphs related to the diagram of dispersion.

scores on preconditions as in the case of Poland and Sweden in front of Denmark and Finland. However, it must be said, while a medium score on multi-level structure allows some times good performances, a low one seems to be a barrier to good performance, probably because lack of experience.

In the opposite, positive, side it has to be noted that there is not any country placed in the higher right corner of figure 2.1.1.4, the only one empty area in the red quadrant. A very interesting situation that suggest that improvements not only can be necessary but possible, because one can find different good scores in one or other axis but not in both at the same time. This also supports the argument of the pertinence of this field of research also as the necessity to follow with it in the future.

## **2.1.2 Horizontal dimension of territorial governance**

The objective of horizontal co-ordination is currently one of the least developed among all objectives. The analysis of this objective has been very difficult and finally it was attempted to present this analysis as a first step or an introduction for further and more extensive studies about this issue.

As it was made for multi-level / vertical dimension of territorial governance, this section focuses on horizontal co-ordination and relationships between policies, territories and actors. For analysing these relations, horizontal relationships have been divided into four categories. These categories are explained along the following paragraphs and deeper analysed in chapter 2 of the Annex E of this FR.

The first category, called *Pre-conditions to horizontal coordination and cooperation*, is a sum of some general indicators (three in total) which are related with the other three categories. The first indicator of this category refers to the existence (or not) of an **Emphasis on horizontal co-ordination objective** in the countries as indicated in National Overviews. The two remaining indicators are the recognized number of **Barriers** and **Catalysts** for partnership formation and co-operation existent in the countries

The second category refers to the *Multi-channel coordination, cooperation and relationships*. The indicators used in order to analyze this category are; **National experience in working with partnerships**, different **Forms of horizontal co-operation** present in each country, and **Specific direction in case of progress towards horizontal co-operation and partnerships**.

The third category tries to deepen in *Territorial co-operation*, that is, the initiatives of horizontal co-operation carried out by the different governmental levels within a country and at the trans-national level. Indicators for this purpose are; the existence of **Guarantee for right of association between local, sub-regional and/or regional territorial bodies in the national Basic Laws** and **Participation in Interreg IIIB projects**.

Finally, the fourth category refers to *Cross-sectoral co-operation*. Two indicators integrate this last category; existence of **National and/or federal agencies, councils and/or committees for spatial development** and of **Policy packages**.

**Table 2.1.1: Indicators of Horizontal dimension on territorial governance**

| Category  | Indicator   | Performance  | Value            |            |
|---|---|--|------------------|------------|
| Pre-conditions to horizontal coordination and cooperation | Priority emphasis on horizontal co-ordination objective as indicated in national overview                         | Existence  | <b>2</b>         |            |
|   | Partnership formation and co-operation: Number of Barriers  | 0  | <b>2</b>         |            |
|   |   | 1 to 2   | <b>1</b>         |            |
|   |   | 3 to 4   | <b>0.5</b>       |            |
|   | Partnership formation and co-operation: Number of Catalysts   | 0  | <b>0</b>         |            |
|   |   | 1 to 3   | <b>1</b>         |            |
| 4 to 6  |   | <b>2</b>   |                  |            |
| Multi-channel   | Experience in working with partnerships   | Limited  | <b>1</b>         |            |
|   |   | Extensive  | <b>2</b>         |            |
|   | Forms of co-operation   | 0  | <b>0</b>         |            |
|   |   | 1 to 2   | <b>1</b>         |            |
|   |   | 3 to 5   | <b>2</b>         |            |
|   | Direction of progress towards horizontal co-operation and partnerships  | 0  | <b>0</b>         |            |
| 1 to 2  |   | <b>1</b>   |                  |            |
| 3 to 5  |   | <b>2</b>   |                  |            |
| Territorial co-operation                                  | Constitutional guarantee for territorial associations   | Local level  | <b>0.67</b>      |            |
|   |   | Sub-regional level   | <b>0.67</b>      |            |
|   |   | Regional level   | <b>0.67</b>      |            |
|   |   | Explicit prohibition for some territorial horizontal association | <b>-0.67</b>     |            |
|   | Participation in projects under the Community Initiative Interreg IIIB (Number of Projects / 100.000 inhabitants) | 0,01 to 1  | <b>0.25</b>      |            |
|   |   | 1,01 to 4  | <b>0.75</b>      |            |
|   |   | 4,01 to 8  | <b>1.25</b>      |            |
|   | 8,01 and more   | <b>2</b>   |                  |            |
| Cross-sectoral co-operation                               | National and / or federal agencies / councils / committees for spatial development                                |  | Existence        | <b>2</b>   |
|   | Policy packages   | Inter-sectoral   | Urban            | <b>0.4</b> |
|   |   |  | Transport        | <b>0.4</b> |
|   |   |  | R&D              | <b>0.4</b> |
|   |   |  | Economic         | <b>0.4</b> |
|   |   |  | Spatial Planning | <b>0.4</b> |
|   |   | Elaborate system of policy packages                              | <b>2</b>         |            |
|   | No Policy Packages or missing info  | <b>0</b>   |                  |            |
| Working on creation of policy packages                    | <b>0.25</b>   |  |                  |            |

The table 2.1.1 shows the value given to each indicator and, as in the case of the vertical analysis, a country may score a maximum of two points and a minimum of zero for each indicator. As in the case in the above figures 2.1.1 and 2.1.2, the performance of the territories for each indicator is between 0 and 2 (except the case of the negative scoring, by part of the national Basic Law, of the prohibition of sub-national territorial associations). The major part of the sources for the analysis of these categories and indicators has been obtained from the national overviews, and is commented in more detail in Annex E of this Project.

**Table 2.1.2 Country Scores by category and Total Score**

| Country     | Emphasis on horizontal co-ordination | Barriers | Catalysts | Experience in partnerships | Forms of co-operation | Specific direction | Constitutional reconnaissance of territorial associations | Interreg IIIB projects | agencies for spatial development | Policy packages | Total        |
|-------------|--------------------------------------|----------|-----------|----------------------------|-----------------------|--------------------|---|------------------------|----------------------------------|-----------------|--------------|
| Austria     | 0                                    | 1        | 1         | 1                          | 1                     | 1                  | 1,33  | 1,25                   | 0                                | 0,8             | <b>8,38</b>  |
| Belgium     | 0                                    | 1        | 2         | 2                          | 1                     | 2                  | 1,33  | 0,75                   | 0                                | 0               | <b>10,08</b> |
| Bulgaria    | 2                                    | 1        | 1         | 1                          | 0                     | 0                  | 0,67  | 0,25                   | 0                                | 0               | <b>5,92</b>  |
| Cyprus      | 0                                    | 0,5      | 0         | 1                          | 0                     | 1                  | 0   | 0                      | 0                                | 0               | <b>2,50</b>  |
| Czech Rep.  | 0                                    | 1        | 1         | 1                          | 1                     | 2                  | 0   | 0,25                   | 0                                | 0               | <b>6,25</b>  |
| Denmark     | 2                                    | 1        | 1         | 2                          | 1                     | 2                  | 0   | 2                      | 0                                | 0,8             | <b>11,80</b> |
| Estonia     | 0                                    | 1        | 1         | 1                          | 0                     | 0                  | 1,33  | 2                      | 0                                | 0               | <b>6,33</b>  |
| Finland     | 0                                    | 2        | 1         | 2                          | 1                     | 2                  | 0   | 2                      | 0                                | 1,2             | <b>11,20</b> |
| France      | 0                                    | 2        | 2         | 2                          | 2                     | 2                  | 2   | 0,75                   | 2                                | 2               | <b>16,75</b> |
| Germany     | 2                                    | 2        | 1         | 2                          | 1                     | 2                  | 0   | 0,75                   | 0                                | 2               | <b>12,75</b> |
| Greece      | 0                                    | 0,5      | 2         | 1                          | 1                     | 1                  | 0,67  | 0,75                   | 2                                | 0,25            | <b>9,17</b>  |
| Hungary     | 0                                    | 1        | 1         | 1                          | 1                     | 1                  | 0,67  | 0,75                   | 2                                | 0               | <b>8,42</b>  |
| Ireland     | 0                                    | 2        | 1         | 2                          | 2                     | 2                  | 0   | 1,25                   | 0                                | 0,25            | <b>10,50</b> |
| Italy       | 0                                    | 1        | 1         | 2                          | 1                     | 1                  | 0   | 0,75                   | 0                                | 0,8             | <b>7,55</b>  |
| Latvia      | 0                                    | 2        | 1         | 1                          | 0                     | 0                  | 0   | 2                      | 0                                | 0,8             | <b>6,80</b>  |
| Lithuania   | 0                                    | 1        | 1         | 1                          | 0                     | 2                  | 0   | 2                      | 0                                | 0,8             | <b>7,80</b>  |
| Luxembourg  | 0                                    | 2        | 1         | 0                          | 1                     | 1                  | 0   | 0,75                   | 0                                | 0,8             | <b>6,55</b>  |
| Malta       | 0                                    | 1        | 1         | 2                          | 2                     | 2                  | 0   | 1,25                   | 0                                | 0               | <b>9,25</b>  |
| Netherlands | 2                                    | 2        | 1         | 2                          | 2                     | 2                  | 0   | 0,75                   | 2                                | 2               | <b>15,75</b> |
| Norway      | 0                                    | 1        | 1         | 1                          | 0                     | 0                  | 0   | 2                      | 0                                | 0               | <b>5,00</b>  |
| Poland      | 2                                    | 1        | 2         | 1                          | 1                     | 1                  | 0,67  | 0,75                   | 0                                | 0               | <b>9,42</b>  |
| Portugal    | 0                                    | 1        | 1         | 1                          | 2                     | 0                  | 1,33  | 2                      | 0                                | 0               | <b>8,33</b>  |
| Romania     | 2                                    | 0,5      | 1         | 1                          | 2                     | 2                  | 0   | 0,25                   | 0                                | 0               | <b>8,75</b>  |
| Slovakia    | 0                                    | 1        | 2         | 1                          | 1                     | 2                  | 0,67  | 0,75                   | 0                                | 0               | <b>8,42</b>  |
| Slovenia    | 0                                    | 1        | 1         | 1                          | 2                     | 2                  | 0   | 2                      | 0                                | 0               | <b>9,00</b>  |
| Spain       | 2                                    | 1        | 2         | 2                          | 0                     | 2                  | 0   | 1,25                   | 0                                | 0,4             | <b>10,65</b> |
| Sweden      | 2                                    | 2        | 2         | 2                          | 0                     | 2                  | 0   | 2                      | 0                                | 0,25            | <b>12,25</b> |
| Switzerland | 0                                    | 2        | 1         | 2                          | 1                     | 1                  | 0,67  | 0,75                   | 2                                | 1,2             | <b>11,62</b> |
| UK          | 0                                    | 2        | 1         | 2                          | 1                     | 2                  | 0   | 0,75                   | 0                                | 0,4             | <b>9,15</b>  |



In this section two kinds of results are presented. Firstly conclusions derived from the analysis of horizontal dimension of governance according to the criteria explained above. Last, but not least, we try to find the kind of relations between vertical and horizontal results.

Table 2.1.2 and Maps 2.1.5 – 2.1.7 show the relative situation of each country according to our method. Figure 2.1.5 combines scores gathering countries by models of State.

Here again the question is if there is any kind of relation between the model of State and the score for the horizontal dimension. An exact division in four quarters for the vertical axis offers a clear classification of countries in different groups.

**Figure 2.1.5 Total scores by models of State**

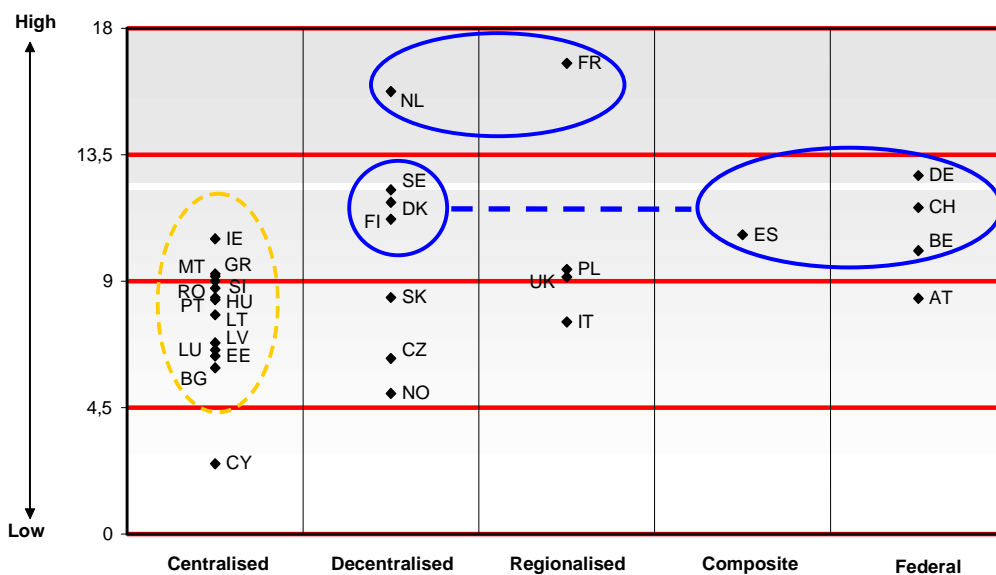


Figure 2.1.5 scores countries gathered according to the model of State. As it can be seen the major part of the countries is located in the middle part of the figure. Thus disparities among the ESPON countries on this issue of horizontal relations are not very high.

The differences in national performance for the horizontal dimension are relatively small, except for a small number of countries (Cyprus, the Netherlands and France). There is no clear differentiation between models of State,

Curiously in each of both central divisions of scores there is at least one country by each model of State. This question confirms that the territorial structures of the States are mainly matters of multi-level system and vertical relationships between the different levels, but it does not really take the horizontal relationships and co-ordination between governments and stakeholders from the same territorial level into consideration.

Out of this big group of countries the high performance of France and the Netherlands is remarkable. Those countries score the maximum at almost all of the indicators which is caused by the long and strong tradition and culture in these practices.

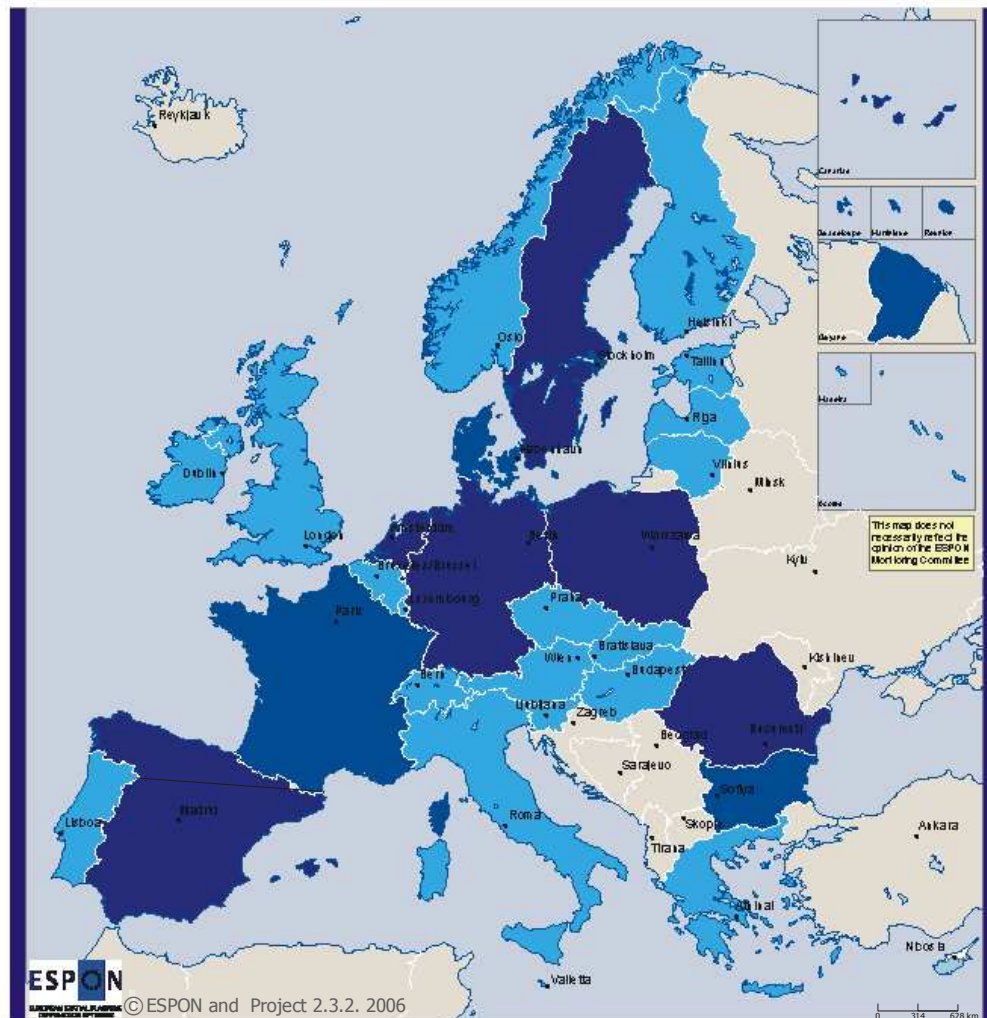
Another interesting group of countries are the Nordic ones, especially Sweden, Denmark and Finland. As in the case of France and the Netherlands, they also enjoy an extensive and strong culture of co-operation between stakeholders and territories; thus they are involved in an important number of initiatives of territorial co-operation as Euroregions or other territorial co-operation bodies, with a relatively high degree of success.

Curiously the performance of decentralised countries is better than one could expect *a priori*. The reason seems to be in the important role played by local authorities. The local level is the most important and active one in the field of horizontal co-ordination and co-operation. City networks and initiatives of co-operation between municipalities are present along and across the whole territory of the ESPON Space. Thus, it does not come as a surprise that the countries where local level is strong have the better performance on horizontal co-operation and co-ordination.

Finally, some specific behaviour has to be highlighted, as in the case of some small countries as Malta and Slovenia. Although the number of local governments in these countries is not quite high, it seems there is practice on horizontal co-operation and partnerships.

With the limited data and information available it is very difficult to make a more concrete analysis by categories. Nevertheless some results can be presented and some conclusions can be extracted. In order to show a clearer vision for the reader about the performances of the countries for each horizontal dimension category, the following pages include four maps, each one referring to the four categories referred to above in this section.

## Map 2.1.4 Country score for pre-conditions to Horizontal co-ordination and co-operation



ESPON  
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OPERATIONAL PROGRAMME  
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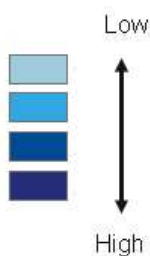
© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 0

Origin of the data:  
IIDL Qualitative Indicator



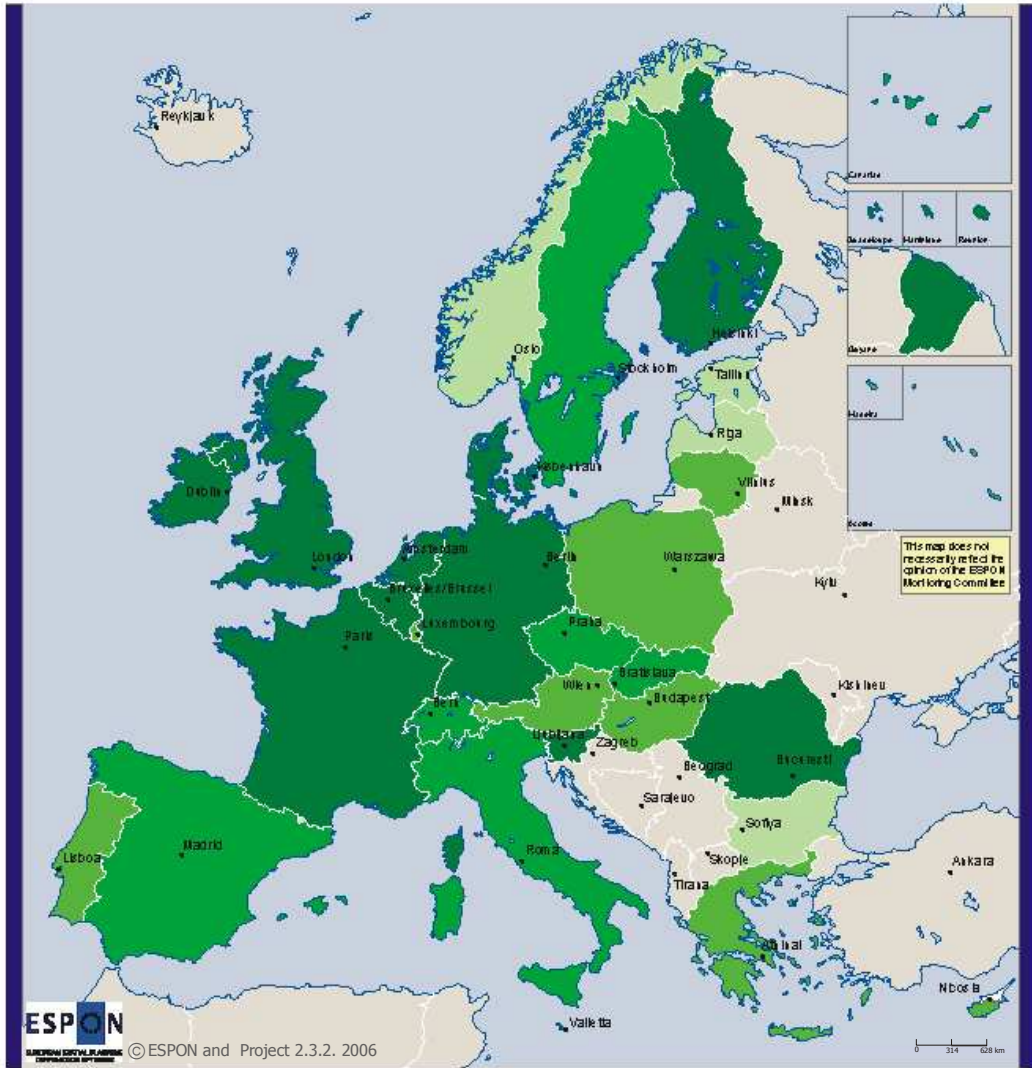
- Priority emphasis on horizontal co-ordination objective as indicated in national overview.
- Partnership formation and co-operation: Number of Barriers
- Partnership formation and co-operation: Number of Catalysts.

**Source: ESPON 2.3.2. National Overviews**

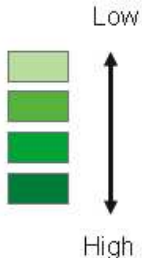


The classification is based on the calculation of national scores ranging from 0-2 for each indicator

**Map 2.1.5 Country score for Multi-channel category and partnerships development**



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 COOPERATION STRATEGY  
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The classification is based on the calculation of national scores ranging from 0-2 for each indicator

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 Regional level: NUTS 0

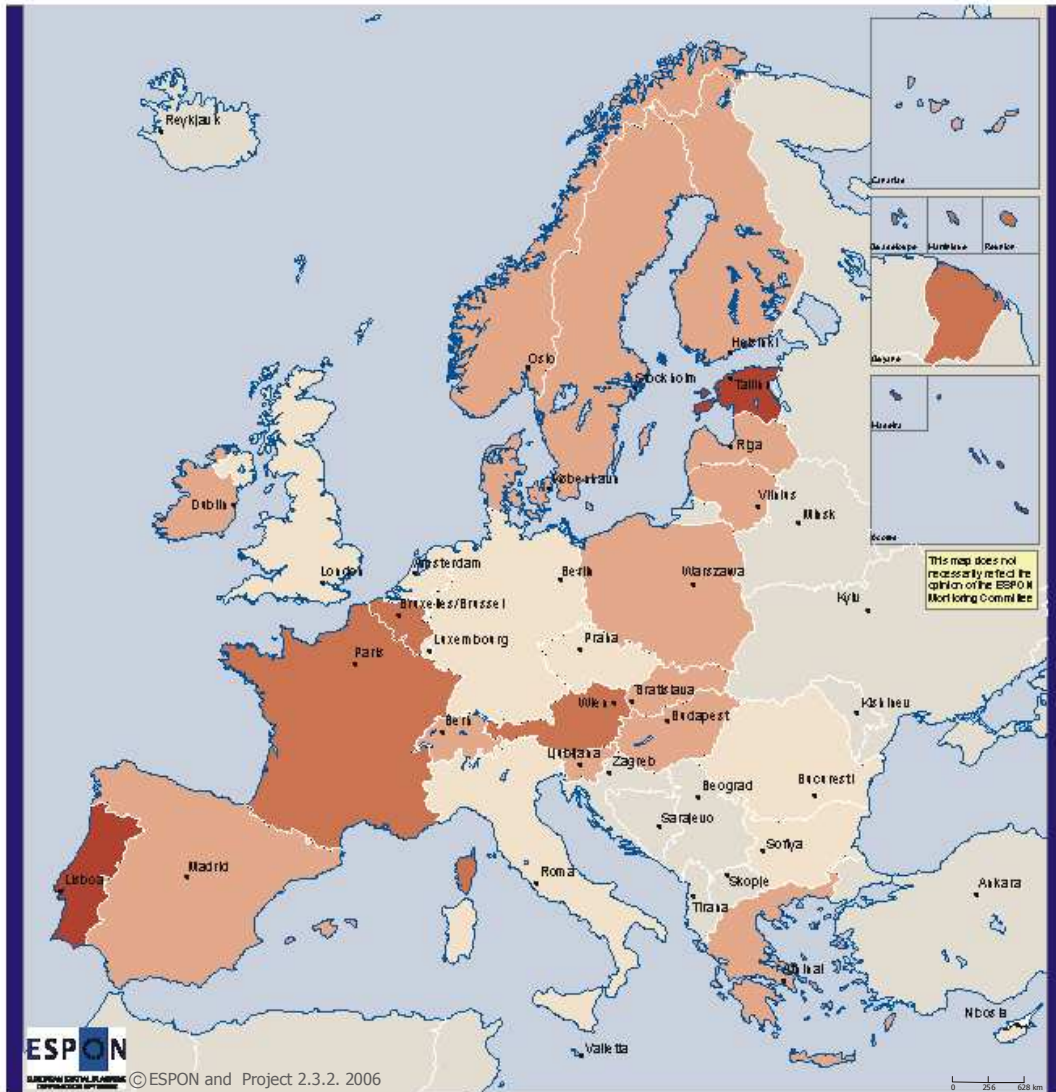
Origin of the data: IIDL Qualitative indicator

- Experience in working with partnerships of each country.
- Forms of co-operation.
- Direction of progress towards horizontal co-operation and partnerships



**Source: ESPON 2.3.2. National Overviews**

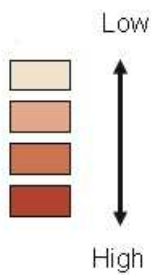
## Map 2.1.6 Country score for territorial co-operation



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 OPERATIONAL PROGRAMME  
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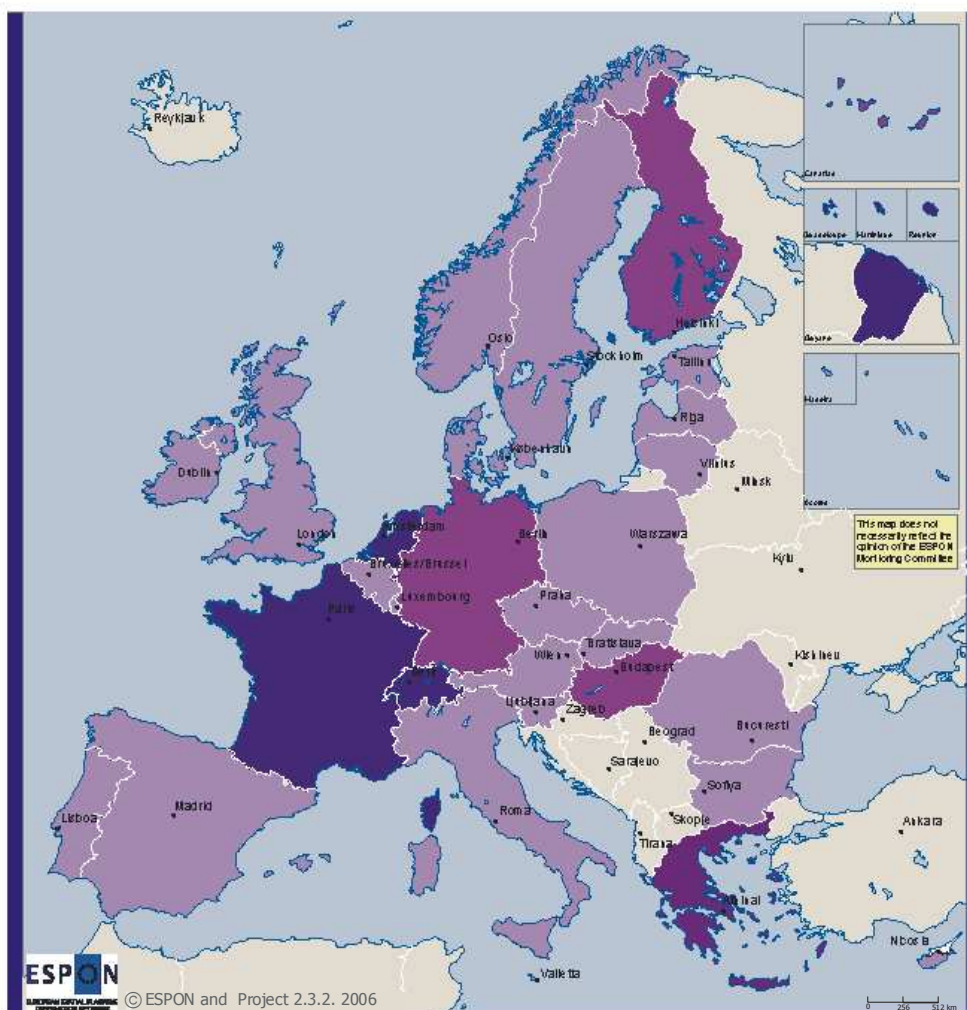
© EuroGeographics Association for the administrative boundaries:  
 Regional level: NUTS 0

Origin of the data: IIDL Qualitative Indicator  
 - Constitutional guarantee for territorial associations  
 - Number of Projects Interreg III-B Projects / 100.000 inhabitants



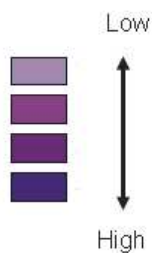
Source: ESPON Projects 2.3.2 National  
 Overviews and 2.4.2

**Map 2.1.7 Country score for cross-sectoral policies**



© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 0

Origin of the data: IIDL Qualitative Indicator  
- National and / or federal agencies /  
councils / committees for spatial  
development.  
- Policy packages.



**Source: ESPON Projects 2.3.2 National Overviews**

This classification is based on the calculation of national scores ranging from 0-2 for each indicator

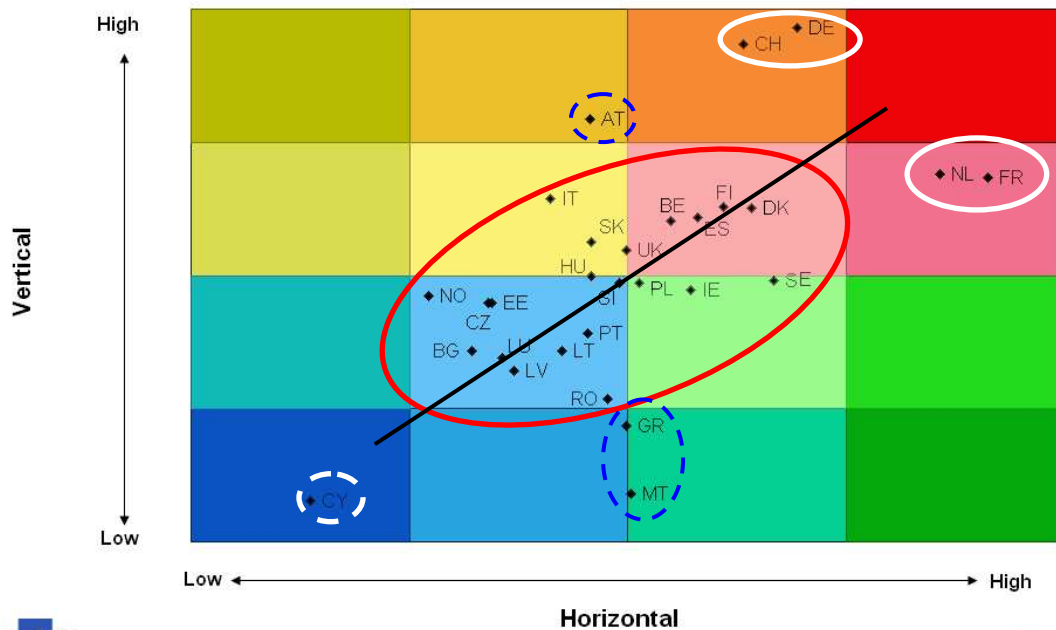
In a further analysis by the four categories of the horizontal dimension, the intervals are similar for all of them. It means that for the categories which the maximum score is 4, the groups are divided by intervals of 1 point, meanwhile for the categories in which the maximum can be 6, the intervals are of 1.5 points. This methodological question is relevant in order to prepare the observer for the realisation of an analysis of the state within the whole ESPON 29 Space of each category. The better performed categories will be offered through a general and first view of the maps and the impression the map is quite "darker" than other maps.

As the maps display two countries, France and the Netherlands, score highest in Multi-channel co-ordination and partnership development, as well as, with Switzerland, in Cross-sectoral policies.

As a final exercise the horizontal and vertical / multilevel pre-conditions (structure) and relationships for territorial governance has been combined for each country. In order to obtain a picture of the ESPON 29 Space, a new diagram of dispersion has been elaborated (see Figure and results translated to Map 2.1.8). The horizontal axis shows the score of each country for the horizontal dimension, meanwhile the vertical axis shows the performance by country for the vertical dimension.

Again, as was also the case in Figure 2.1.1.4, the countries present a similar performance and locate around the mean. Despite this general trend, one can find several particular situations and extract some interesting conclusions. There are various countries with high scores for vertical dimension and relative good horizontal governance system (Germany and Switzerland), and two more with good practices for the horizontal dimension and a relative good performance for the vertical dimension (France and Netherlands). But none of them has very high scores at both dimensions.

**Figure 2.1.6 Performance of countries for vertical and horizontal dimensions**



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Figure 2.1.6 shows the performance of each country in a quadrant which represents the score of the countries for both vertical and horizontal dimensions of territorial governance. Some marks have been made in order to show the grouping of countries with similar characteristics more clearly.

Two other groups of countries present imbalances between their vertical and horizontal performance on governance dimensions. First of them is Austria. This country has good vertical structure and relationships, but the horizontal dimension is not as developed. In the opposite situation are Greece and Malta. These countries do not have a developed vertical structure and relationships due to some factors, as the highly centralised system and, in the case of Malta, the lack of a regional level because of its small size. Their performance for the horizontal dimension however is relatively good.

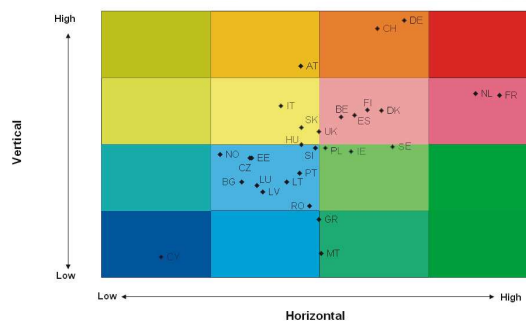
However, and this is the main conclusion, again, there is no country located in the quadrant that symbolises the best performance. A very interesting situation that suggest, as in previous section 2.1.1, that improvements not only can be necessary but possible, because one can find different good scores in one of the axis' but not in both at the same time. This also supports the argument of the pertinence of this field of research also as the necessity to continue with it in the future, to improve the knowledge and to share good practices and experience.



## Map 2.1.8 Performance of the countries for the horizontal and vertical dimensions of territorial governance



© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 0



- Origin of the data:

IIDL Synthetic indicator

(See map 2.1.3.)

Categories for horizontal governance (see maps 2.1.4 - 2.1.7.)

- Pre-conditions to horizontal coordination and cooperation.
- Multi-channel.
- Territorial co-operation.
- Cross-sectoral co-operation.



Map 2.1.8 is a translation of the results of the dispersion diagram to a map. The general impression is that the colours are so clear in almost the whole map due to the fact that they are no big disparities in countries' performances for both vertical and horizontal dimensions objectives

### **2.1.3 Public participation**

Public participation is dealt with in several sections of the Final Report and its annexes. In the theoretical discussion of the concept of governance (section 1.2.5), public participation is considered as “a fundamental tenet of the concept of governance”<sup>24</sup> and we are reminded that it is one of the five principles proposed in the White Paper on European Governance, that underpin good governance. Its importance is attributed to the need for consensus, which is no longer guaranteed solely by the processes of representative democracy. It symbolizes the shift towards a new paradigm based on a “bottom up” approach and an emphasis on planning as “enabler”, rather than as “provider”. In section 1.2.5 reference is made to the “collaborative planning” approach and to levels of participation, indicated in metaphors such as the “ladder” or “wheel” of participation. In section 1.3.6, in which the theoretical discussion focuses on “territorial” governance, a distinction is made between a level of participation, where stakeholders and interests are involved (e.g. in public – private partnership) to implement a governance process, and a more “diffuse” participation level, involving citizens in general, an approach which leads to a series of questions regarding effectiveness and feasibility. Finally, the distinction between “joiners” and “non-joiners” is mentioned. It is worth remembering that “collaborative planning”, in the words of Patsy Healey, who is mostly associated with this approach, is about “inclusionary argumentation”, which demands a process, “through which participants come together, build understanding and trust among themselves” (Healey, 1997: 249).

#### *2.1.3.1 Analysis of national overviews*

Participation was a central issue in the national overviews and case studies produced for this project. There had been specifically targeted questions in the guidelines of both. The national overviews provided an insight, albeit not always in a direct manner, as to the priority attached in different countries to governance principles, including participation (see Annex B, ch. 2, section 4). Public participation was the most emphasized principle, practically in all 29 countries. However, it has been acknowledged in several overviews that while legislation offers the necessary provisions, actual performance suffers and the results are poor. Public participation actually ranges from the

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<sup>24</sup> The contribution of participation to “problem solving in a number of highly contentious fields of EU governance” is confronted in the EU research project PAGANINI (Participatory governance and institutional innovation / Ref. 505791).

case of full involvement of citizens in all planning phases to the case of an opportunity given for objection or appeal. It is obvious that these cases, representing maximum and minimum participation, are very far from each other. One is entitled to suspect wide variations between countries with regard to participation, from the simple right to appeal to full involvement. There is by and large a tendency to claim that participation takes place everywhere. Undoubtedly this has to do with diverging perceptions of the meaning of participation. There is in fact a contradiction between these claims and comments in the overviews regarding criticisms of the situation prevailing at present. Since a minimum of participation does take place during land use planning processes in all countries, this serves as an excuse to claim that participation is an accepted principle.

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, especially at local level, e.g. that of an urban district or neighbourhood. This is the level at which contact with the individual citizen is more immediate and more experience has accumulated in many countries, not least in setting up public – private partnerships. In the words of Krumholz and Forester (1990: 187), “one of the strongest arguments in favor of neighborhood planning is the fact that it has a public and a private side. On the one hand it sensitizes government to the diversity of communities within the city; on the other, it enhances cooperation and investment between neighborhood groups and private investors, developing, in the process, parts of the city that might otherwise have been completely overlooked”<sup>25</sup>.

The difference of perceptions of participation is not necessarily limited to the extent of influence that participating stakeholders have (or should have) over decisions. It can also extend to the way the views of participating actors are assimilated, which depends on the predisposition of the planner or decision maker to simply “hear” the views of others or really “listen” to the them, a distinction Forester insists on: “As an expression of concern for serious conversation and dialogue, the listening that planners do may make trusting relationships possible. By offering reciprocity, their listening can work

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<sup>25</sup> The issues of multiple identities, diversity, integration and citizen participation are central to the EU research project CINEFOGO (Civil society and new forms of governance in Europe – The making of European citizenship / Ref. 513350).

to create a sense of mutuality in place of the suspicions of a vociferous collection of individuals" (Forester, 1989: 111).

National overview authors were asked to report on existing experience with participation processes (see Annex B, ch. 2, section 8) and to indicate on a table each country's position in a category of either "limited" or "extensive" experience. Interestingly, the answers were almost equally divided (15 and 14 respectively). The same thing was done with respect to experience in partnership formation. Experience in participation and partnership formation is not correlated with the constitutional character of European countries.

Unfortunately, in several cases, the response we received with regard to participation was limited to filling the table, which is one reason for our proposal that the participation issue deserves further research. We indicated already that as some routine participation processes take place in land use planning virtually everywhere, this serves as an excuse to claim that participation is an accepted principle. The response to the question regarding "limited" or "extensive" experience in participation processes is probably nearer the truth.

Former socialist countries, but also South European ones, have limited experience in public participation processes. The same remark holds with respect to partnership structures, although this is not true of large countries of the European South. Obviously, experience is affected by past, but still recent, political regimes. It should be added that while in some countries the formal provisions for such processes are in place, actual participation is absent or nominal. The effect of recent reforms of modernization should not be however underestimated, even if, for the time being, they are reforms "on paper", in the sense that they create the preconditions of popular mobilization to demand their implementation. They also make possible for citizen associations to resort to the courts.

There are exceptions to this situation and this may be attributed to the cultural and political history of individual countries. It can be assumed that participation is more historically determined, than partnership formation. Historical factors, often recent, e.g. struggles for democratization, may explain familiarization with participation, even though there is no practice of formal partnerships.

Special attention should be given to the fact that countries with extensive experience in public participation are also experienced in partnership building and vice versa. Exceptions are some countries from the Mediterranean group, namely Spain and Italy. The autonomy of the regions of these countries, which is still being

expanded, is naturally accountable for the experience in partnership building between central state and autonomous communities.

Particularly interesting are participation processes embedded in forms of cooperation, beyond the conventional practice of urban and regional planning, e.g. in contractual forms of cooperation. Permanent structures facilitating participation are essential because they make participation a more regular feature of daily governance. This explains the widespread acceptance in the literature of the value of the partnership model, especially for urban development. E.g., Jacobs and Dutton see partnerships as “the organizational vehicles of community regeneration and empowerment” (Jacobs and Dutton, 2000: 115). The proliferation of cooperation structures (see Annex B, ch. 2, section 9), typical of some countries with a deep culture of dialogue and consensus, multiplies the opportunities for the average citizen to have access to participation processes. This betrays a far more advanced stage, than the mere consultation of organized public agencies, which is usually the maximum achievement in some countries.

A successful partnership record, on the evidence provided in the overviews, is usually linked to the existence of cooperation among government agencies, in a vertical or horizontal sense (see Annex B, ch. 2, section 10). Public – public cooperation aiming at the attainment of shared objectives creates a favourable climate for the extension of cooperation in a more inclusive direction, through partnership with the private sector and civil society.

▪ *Conclusions from the synthesis of national overviews*

The need for greater engagement of civil society is acknowledged in all overviews. It is interesting to note that when participation was beginning to be integrated in the planning process it was regarded by a number of planners as a panacea, which triggered some ironical comments. Fagence, writing back in 1977, starts his book on citizen participation with such a quotation from an article by M. Broady: “The planner’s current *nostrum* is ‘citizen participation’ ... but ... within a very short time ... it will be shown to be what in truth it is: a mere palliative for the ills of the planning profession” (Fagence, 1977: 1). It is true that public participation quickly became the banner of democratic planning. “Part of the difficulty stems from society’s idealized value premise concerning citizen participation, coupled with an inability to make it work in policy-making” (Burke, 1968: 287). In the overviews, participation is generally elevated to a sort of necessary credential, which no one wishes or dares to refute or deny,

although there are hints that intensive citizen involvement may reduce effectiveness, prolong planning processes and lead to decision making inertia. This is a legitimate concern, which should remind us of the importance of process and outcome: "The way things are done is often as important as the end result. But remember that the aim is implementation" (Wates, 2000: 18); here the challenge is to translate participation from design phase to implementation and assessment stages.

It is probably the realization of the dangers of a democratic deficit and of the loss of legitimacy which wins the argument over the doubts about participation ineffectiveness, because this deficit may be even more detrimental to effectiveness than procedural delays. The emerging linkages between participation and sustainability, which were forged in the 1990s (Davies, 2001: 196)<sup>26</sup>, add further weight to participation. We witness several examples in the overviews of mobilization and increased activism in opposition to government decisions, e.g. to locate infrastructures or proceed to urban renewal. But the presence of an informed, active and alert civil society is closely linked to past history and the creation of an active citizenship is a lengthy process. Therefore even when lip service is paid to its importance, it is recognized that it is far from being an influential actor at present.

Participation ought to be an instrument for discovering not whether a plan dealing with "real" problems is acceptable to society or not. It should be an instrument for discovering what "real" and "reality" are. But formal planning agencies and power holders usually take that as given, i.e. as a product of their own rationality. The trouble is, as Flyvbjerg put it, that "power concerns itself with defining reality rather than with discovering what reality 'really' is" (Flyvbjerg, 1998: 227). Participation in decision making and implementation processes is naturally an indicator of a mature civil society. Here, however we can be more specific. Virtually everywhere spatial planning and land use legislation provide for a stage of participation in the planning process. As we stressed earlier, the variations are enormous and misleading, depending on whether participation is invited at the plan drafting stage, or even better at the stage of goal setting, or is simply a formality after the plan is finalized. In the latter case it is simply an opportunity to lodge an objection to the administration or an appeal to the courts. Interesting innovations, in a governance spirit, include

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<sup>26</sup> The effect of urban governance and citizen involvement of sustainable urban development is the theme of the EU research project PLUS (Participation, leadership and urban sustainability / Ref. EVK4-CT-2001-00062)

e.g. initiatives and institutions, which maintain a constant 2-way interaction between public authorities and citizens, or regeneration projects which involve citizens from a very early stage. Information in the overviews was on the whole poor and did not allow an in depth analysis, task CS were addressed for, but only for each specific situation.

- *Limits of NO and possible further analysis and research at National scale*

We consider the issue of participation one of great importance for the future of governance in Europe. We have also reached the conclusion that participation of citizens, as opposed to participation of public agencies and organized interests, is far from adequate, particularly in some countries in the East and South of Europe, without being fully satisfactory elsewhere. This is the reason why we feel that further research and analysis could be undertaken, as we indicated already in the 3<sup>rd</sup> Interim Report, which was not feasible in the present project, in order to delve deeper into the evidence on citizen participation in spatial planning.

With regard to citizen participation, notwithstanding our classification into "limited" and "extensive" experience, we did not attempt a more elaborate and definite country categorization. The possibility of a further classification, as suggested below, would depend on future research.

It is almost certain that participation in land use planning is mandatory in all countries, although surprisingly it is not mentioned explicitly in some overviews, probably because it was taken as granted or considered as unimportant, given the reporting of other more advanced forms of participation. Whether the participation principle is 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.

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. 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. Evidence of the existence of such mechanisms is provided in the overviews of a limited number of countries. Ideally of course a genuine participatory culture should aim at turning participation into a learning experience and at building relations and networks. Speaking of what he calls a "deliberative" practice, Forester argues that "in planning and many other kinds of participatory processes, such learning occurs not just through arguments, not just through the reframing of ideas, not just through the critique of expert knowledge, but through transformations of relationships and responsibilities, of networks and competence, of collective memory and memberships" (Forester, 2000: 115) <sup>27</sup>.

Another practice which is reported frequently in the overviews 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 opinion on various issues or activity sectors, is a common practice, but is not necessarily a form of participation which deserves special mention. It can be argued that even the recognition of the importance of a variety of actors is in itself an important step. But this does not imply that the networking mentioned by Forester in the above quotation has been achieved. In his perspective, or that of Jean Hillier, the process of planning is more complicated than the official rational model allows. Having accepted a distinction between "actor" and "actant" <sup>28</sup>, Hillier argues that "land use planning decision-making processes, with their various opportunities for public participation, are thus a series of nodal points, temporary points of fixation in time, at which actants bring together their different representations" (Hillier, 1999: 225). This is a view in line with a "collaborative" or "communicative" viewpoint, but the practical question remains whether an actor (or "actant" for that matter) possesses the necessary motivation, opportunity and skills, which Bolan (1969) had considered as essential attributes for influencing decisions.

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<sup>27</sup> The importance of deliberation, networks and in general new governance approaches are addressed in the EU research project NEWGOV (New modes of governance / Ref. 506392).

<sup>28</sup> "Actors operate at the level of character and actants at the level of function. Several actors may (but need not) comprise one actant" (Hillier, 1999: 222).



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, as e.g. in Switzerland.

Even if we limit ourselves to land use planning processes, we would like to be able to classify forms of citizen participation in spatial planning, along more specific categories. Citizen participation during the process of local, regional and national spatial plan production, according to existing legislation, could be distinguished into participation in advance of the process and participation after the plan formulation.

With respect to the existence of advisory committees and bodies at national / regional level, we could single out the advisory organs in which participation is limited to government agencies and those where citizens' groups and associations also participate. Similarly, we could look at advisory committees and bodies at the local level and divide them into advisory organs with participation limited to government agencies and organs with participation of citizens' groups and associations. The frequency of advisory committees and bodies at local level could be further investigated and categories could be distinguished, depending on whether such organs are the rule, or are frequent, rare or inexistent.

Finally, such further research could focus on the statutory use of the mechanism of public inquiries, on the permanent operation of local agencies ensuring citizen consultation / involvement and on the practice of regional / local referenda and of policy initiation triggered by popular initiative.

Further analysis of this potential classification is provided in a Appendix at the end of Annex B. An analysis of the type we described above may still have problems in capturing the substance of participation and its genuine character, but can produce valuable and tangible, even quantifiable, indications.

### *2.1.3.2 Analysis of case studies*

The issue of participation was central in several of the case studies produced in the context of the project. The results of the case studies are presented in the case study synthesis (Annex C), but some basic conclusions can also be found in sections 3.1 and 3.4 of this core report.

These conclusions, to which we shall return, confirm those derived from the national overviews. Examples of public participation are summarized in section 3.4, classified under territorial dimensions: Trans-national and cross-border, national, regional, FUAs and metropolitan regions, urban-rural and intra-city.

Details on innovative participation processes and mechanisms reported in the case studies, under each of the above territorial dimensions, can be found in Annex C. Some main points are summarized here.

In all trans-national and cross-border cases consultation and participation processes are mentioned. They are usually informal and voluntary, with the exception of only one statutory process in Finland, where, in addition, the business community had been active. Participation mechanisms were not considered particularly effective (cases from Portugal, Luxembourg, Poland and the Netherlands). Non-governmental participation was seen to be low, but at least beneficial in terms of raising awareness and public debate. Politicians, in several cases, were by far the most relevant as mobilising actors.

In national case studies, i.e. those focusing on the national territorial level, participation involving non-governmental actors varies, often depending on national traditions, but is on the whole limited. It usually includes simple consultation processes and is statutory only in a couple of cases (France and Hungary). Involvement of civil society is e.g. non-statutory in the case of the Slovak Spatial Development Perspective. It is in fact limited to *ad hoc* meetings and discussions. In the case of the Comprehensive Plan for Lithuania, public participation is a constituent part of the process, but includes actors like professionals and experts, NGOs, associations and universities, not really representative of civil society. The French co-operative instrument "*Conseil de développement*", a body which is compulsory to create the framework of a "Pays" for policy purposes, is statutory, and so is its operation, but its real mechanism depends on local actors, possibly non-public, and their mobilization.

The majority of cases classified as "regional, polycentric, urban networks" refer to consultation processes that vary greatly in scope. In several cases consultation, involvement of civil society and / or hearings, forms part of the work with development plans (Sweden and Norway), but civil society participation is limited. In a Dutch case, participation of civil society and private actors, as well as coordination of social group interests, take place on a project level. In the cases of development policy for an inter-municipal area in South Italy and of a metropolitan coastal plan (Barcelona) participation was

not statutory, but built into the governance process as a key objective. Success was limited in the first case, but in the second it was more successful and became a politically strong factor in decision making. Instruments in the Spanish case were more effective and the range of actors involved wider, although the national level was absent. On the basis of all case studies however, the impression is that civil society is under-represented.

In the case of Functional Urban Areas and metropolitan regions, about half of the cases refer to consultation processes, which are often statutory but not with binding results. The degree of non-governmental participation seems to be low, but with some influence. Only rarely is there reference to new actors being or becoming involved. Frequently participation is achieved only within public-dominated partnerships, with little attention given to the role of civil society or citizens. The extent and motivation of mobilization of citizens on the basis of case study material may be credibly hypothesized that it tends to involve a socio- economically and culturally 'middle class'. In addition, organized groups and private sector interests are usually better prepared to participate. Public actors predominate in officially promoted partnerships, but private (especially influential) actor involvement is increasingly sought. Mechanisms for involving the civil society exist as part of normal political participation or formal consultation. Use is made of a variety of procedures. Conflictual cases (e.g. in Belgium) tend to cause great mobilization of organisational capacity amongst non-public actors and of effort to address different level authorities. Generally, conflict resolution may involve the courts, but also other mediating agencies.

Actors that should be involved, but are not, were in many cases not identified. It is interesting to note that in some cases the absence of the central government was seen as a limitation. Concerning the mobilizing of the territory, it is quite often the policy makers or local leaders who are mobilizing, with the official or non official influence of economic interests. In some cases it was local associations or protest movements that assumed this role.

In cases addressing urban – rural relations, issues of participation and openness are increasingly important in territorial governance processes. Legislation on openness and transparency exists and consultative rounds in decision-making procedures are mostly present. This approach was particularly evident in an Austrian case study, on an urban development scheme, involving a complex consultation and participation process, or a German case, which describes an Agenda 21 project. But the overall picture is that public

participation within decision making procedures is rather small and that decision making is still considered to be a primarily governmental process. The use of innovative instruments was reported with regard to a Spanish case, on coastal development.

In intra-city cases, policy issues of participation and openness are increasingly integrated in territorial governance procedures, and even, in some cases, formally integrated in policy development. As we emphasized earlier, it is at the local level that authorities are under greater pressure to establish a better liaison with the citizens. A German case (Duisburg-Marxloh project or "Socially Integrative City") shows the benefit from active and interested local politicians and citizens and from long traditions and multiple participation possibilities. On the whole however, despite innovative attempts, non-governmental actors have not gained more decisive powers within policy development procedures, as formal decisions are still taken by governmental actors. Non-governmental actors are limited to appeal opportunities. One reason is possibly that, in spite of official efforts, the general public remains highly disinterested in territorial governance, participation being left as a result to organized associations only.

The first general conclusion reached at the end of the synthesis of case studies (Annex C) is that "based on the information from the case studies, it is clear that the issue of public participation overall is still fairly limited although there are progressive examples". The conclusions appear in this text in sub-section 3.1.3, but their key points are also summarized here. This sub-section starts with the assumption that "the legitimacy, quality and effectiveness of policies depend on ensuring wide participation throughout the policy chain – from conception to implementation. Improved participation is likely to create more confidence in the end result and in the institutions which deliver policies". However, "participation is often not very actively promoted. Neither is it the case that more innovative (in the sense of new) forms of governance are necessarily more inclusive or better at supporting and promoting participation. In fact, in some cases the opposite seems to be the case... It is clear that the most common type of public participation regards *organised actors* and often on the *public side* such as agencies, and in most cases through processes of consultation. Other types of organisations or institutions that are fairly widespread in those case studies where participation is reported include universities, trade unions, professional associations of experts, business and commercial interests. There are also some examples of participation from NGOs and interest groups such as environmentalists. Very rarely are individual non-organised citizens

involved...". In other words, new forms of governance are mainly partnership-based (participation as involvement of public and private actors representing organized interests -the 'joiners') more than oriented towards widespread participation of "common" individual citizens (the 'non joiners'). In the second case more than involvement the process of participation is usually developed around public consultation.

It is amply clear that both through the analysis of national overviews and that of case studies, similar, and rather disappointing, conclusions were arrived at. Public participation is recognized as vital, but is still a goal to be attained. Naturally, enormous variations exist across the EU territory.

## **2.2 Institutional Framework of Territorial Policies**

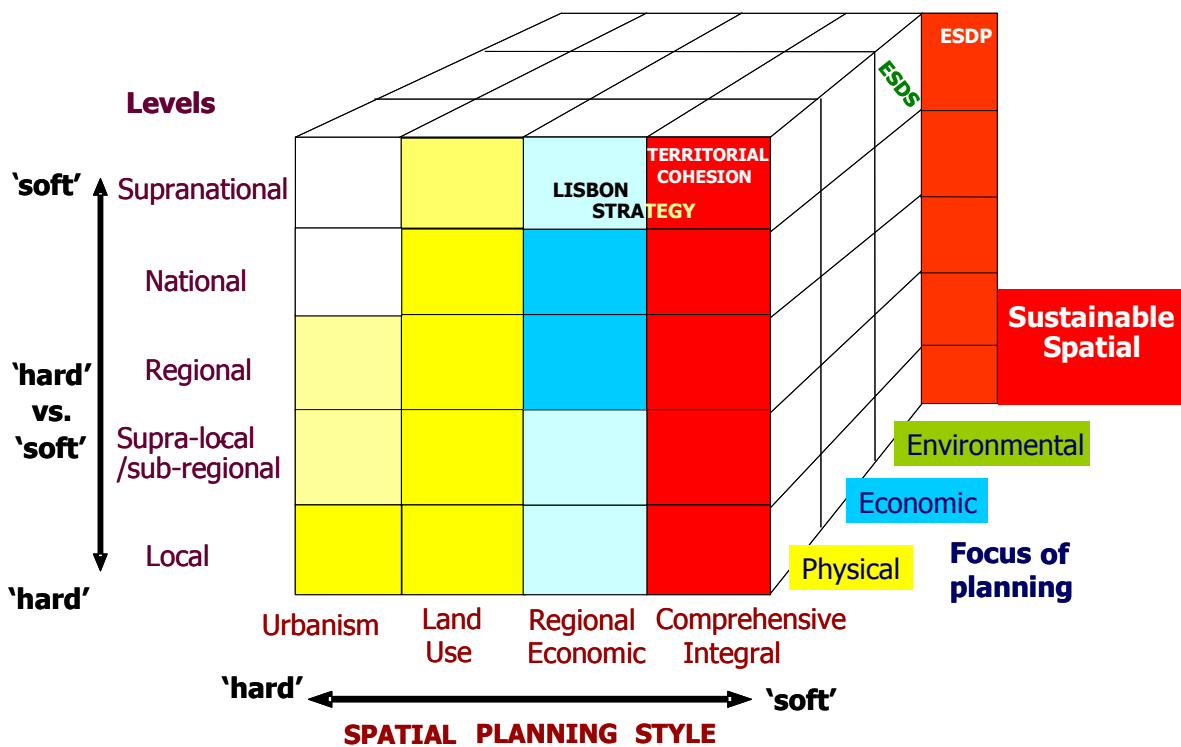
### **2.2.1 Spatial planning in ESPON 29: a new physiognomy**

Sometimes it is said that there is only one ideal model of spatial planning, that there is one way to come to good spatial planning and in this sense to contribute to and finally improve territorial governance (if we consider that spatial planning is a horizontal policy that explicitly focuses on the territorial dimension). This does not take into account the processes that are taking place and is not in concurrence with one of the basic principles of the European Union to make use of the rich diversity between the different nations, instead of trying to mould all countries into one model. The objective is to harmonise not to homogenise. A different way of relating the planning styles, between states but also between political-administrative levels within each one respecting the diversity, is through a cube. In ESPON project 3.1 the so called '*The four-dimensional "hypercube" of territorial approach*' is shown as a next step of the 3-level approach of ESPON. It makes it possible to assess results on three different geographical levels (macro, meso, micro). It was first introduced in the "Crete" Guidance Paper, and suggested to explore the 3 levels not just additively but simultaneously considering the upper level as a spatial context for the lower level. If one takes this cube as a reference and applies it to the options of spatial development the relations can be seen between the three different dimensions such as in figure 2.2.1.

The cube makes it possible to combine the different styles of spatial planning with different ways of governance. In this cube every possible mix between the three scales is possible offering a huge

array of planning styles. This could be an answer to a way of classifying the many different planning styles and crossovers that exist nowadays. Over time the styles of spatial planning kept on developing which led to the fact that the lines separating cannot be drawn as sharp as in the past. The different planning families are not necessarily mutually exclusive but very often exist next to one another and even exchange ideas and concepts between them and in doing so the borders between the different styles fade. The ESDP also played a role in this as a catalyst, and originally was supported by several specific Member States that expected they could steer the process in certain direction, towards the comprehensive integrated approach to spatial planning.

**Figure 2.2.1 Options for Spatial Development Planning**



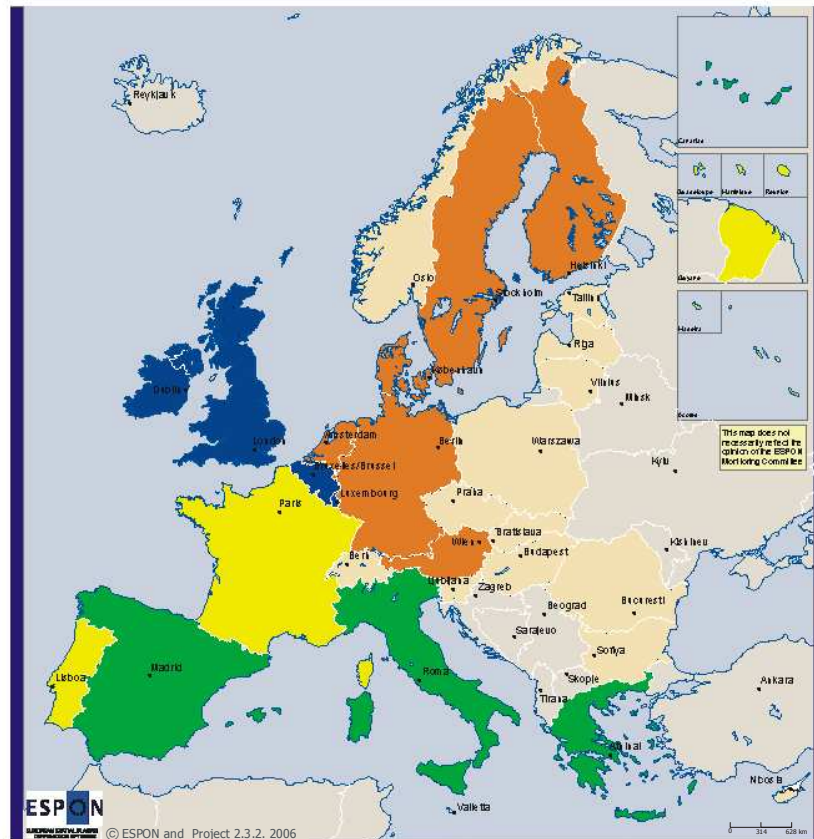
Source: Farinós, J. (2006): from author presentation on 'Methods of Territorial Analysis' Workshop, Department of Geography, urbanism and Spatial Planning, University of Cantabria, Santander 18 February. Adapted.

Note: The terms 'hard' and 'soft' refer to the way in which instruments and rules in spatial planning are more ('hard') or less ('less') formal and clearly (closed) established from a legislative or juridical point of view.

ESDS: *European Sustainable Development Strategy*.

As agreed upon in the Terms of Reference document the project would not provide a comprehensive update on the Compendium of Spatial Planning Systems and Policies, but would however contain some comparative research in this area. This in the end resulted in a

## Map 2.2.1 Styles of Spatial Planning according to the Compendium



- Regional Economic
- Urbanism
- Land Use
- Comprehensive Integrated
- Non EU-15 Members

© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 0



Source: European Compendium of Spatial Planning

Map 2.2.1 shows the four styles of spatial planning as distinguished in the *European Union Compendium of Spatial Planning Systems and Policies*<sup>29</sup> in the EU15. A last category represents the New Member States+ Switzerland and Norway + Bulgaria and Romania.

<sup>29</sup> European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, p. 36-37, Office for Official Publications of the European Communities, Luxembourg, 1997

modest update of the Compendium and gives a first impression on the movements that took place since the publication of the Compendium. Not only are the movements mapped, but also more countries are included; the New Member States + Norway and Switzerland + Romania and Bulgaria. The Compendium formed the starting point (see the above map 2.2.1) from which the situation in those times was taken together with the four categories of styles of spatial planning.

In the Compendium these are called traditions of spatial planning, which is correct in the EU of 15, but when including the New Member States +2+2 is less appropriate. They do have a long tradition in spatial planning, however not one that falls into any of the categories mentioned in the Compendium. Therefore this report speaks of styles of spatial planning in order to have one term that can be applied to all countries. This confined the analysis to these four categories and meant accepting some of the limitations that came forth out of this as well. That was however necessary in order to make a comparison possible, one simply cannot compare apples to oranges.

Here a reference has to be made to a new way of classifying as can be found under Annex B (section 20, ch. 2 of the annex) where a new system of classification is proposed.

In this alternative classification, it is recognized that state structures, decentralization processes and devolution of powers are crucial parameters in determining the style of planning of any particular country. The classification of styles of planning suggested in Annex B is based on 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.

NORDREGIO had developed a typology of State Structures (Federal States, Regionalized Unitary States, Decentralized Unitary States, Centralized Unitary States and New EU Member-States and candidate countries) and a typology of Regionalization (Administrative Regionalization, Regional Decentralization, Regionalization through existing Local Authorities, Regional autonomy or Political Regionalization, and Regionalization through Federate Authorities). In the context of ESPON 2.3.2, a classification was put forward in terms of Devolution of Powers to the regional level, which distinguished between basically Unitary and Federal states, with three sub-categories within each: Unitary states (Devolution to regions / real power in central state, Devolution to regions / real power in regions, and Centralization / Dominant central state) and Federal states



(Devolution to regions / strong central state and regions, Devolution to regions / weak central state and regions, and Devolution to regions / weak central state - strong regions). A further categorization was made of states with a strong local – municipal level, into cases with a strong or weak national state. Additional parameters were also taken into account, related to the existence of interaction and negotiation (national – regional), contracts (national – regional or regional – subregional), devolution to sub-regions within regions, regional – metropolitan authorities, and regional planning through inter-municipal cooperation.

The result is shown in two tables. In the first we showed the characteristics of all countries in terms of parameters used in the above taxonomies. In the second we attempted a cross-tabulation, which leads to a new grouping of countries, with certain countries appearing inevitably twice.

**Table 2.2.1 Classification of characteristics determining style of planning**

| Country           | NORDREGIO <sup>30</sup> |                    | ESPON 2.3.2 / NTUA <sup>31</sup> |                         |                                |  |
|-------------------|-------------------------|--------------------|----------------------------------|-------------------------|--------------------------------|--|
|                   | A. Regionalization      | B. State structure | C. Devolution to regions         | D. 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 Republic | Reg. Decentr/on         | New EU memb.       |                                  | -CS                     |                                |  |
| 6. Denmark        | Reg/on – LAs            | Decentr. Unit.     | Unit. / +Reg.                    | -CS                     | Yes                            | Yes                                    |
| 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                     |                                |  |

<sup>30</sup> Dubois, A. (Nordregio), *Scenarios baseline on “Issues of territorial governance”*, Working Paper, ESPON 3.2, 11.2.2005.

<sup>31</sup> 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.

|                 |                  |                 |                  |                 |                 |                 |
|-----------------|------------------|-----------------|------------------|-----------------|-----------------|-----------------|
| 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             |                 |                 |
|                 | <b>Column A</b>  | <b>Column B</b> | <b>Column C</b>  | <b>Column D</b> | <b>Column E</b> | <b>Column F</b> |

### Abbreviations

#### 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

**Table 2.2.2 Cross-tabulation of characteristics determining style of planning and country distribution**

| Devolution of spatial planning powers | Additional planning features <sup>32</sup> | Typology of regionalization                              |                      |                  |               |                |
|---------------------------------------|--|--|----------------------|------------------|---------------|----------------|
|                                       |  | Admin. Reg/on  | Reg. Decentr/on      | Reg/on-LAs       | Reg. autonomy | Reg/on-Federal |
| <b>Powers to regions</b>              |  |  |                      |                  |               |                |
| 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. <sup>33</sup>        | Inter-municipal                            | Latvia   |                      |                  |               |                |
|                                       | Interactive appr.                          |  |                      |                  |               |                |
|                                       | 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        |

<sup>32</sup> Inter-municipal cooperation and interactive approach. See note at the bottom of previous table.

<sup>33</sup> 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.

| Devolution of spatial planning powers                                    | Additional planning features <sup>34</sup> | Typology of regionalization            |                        |                                       |                      |                       |
|--|--|--|------------------------|---------------------------------------|----------------------|-----------------------|
|  |  | <i>Admin. Reg/on</i>                   | <i>Reg. Decentr/on</i> | <i>Reg/on-LAs</i>                     | <i>Reg. autonomy</i> | <i>Reg/on-Federal</i> |
| <b>Powers to local authorities</b>                                       |  |  |                        |                                       |                      |                       |
| Spatial planning: Strong local – municipal level (but +CS) <sup>35</sup> | Inter-municipal                            | Latvia,                                |                        | Hungary, Ireland, Netherlands, Norway |                      |                       |
|  | Interactive appr.                          |  | France                 |                                       |                      |                       |
|  | Other                                      | Estonia, Lithuania, Portugal, Romania, | Poland, Slovakia, UK   |                                       | Italy                |                       |
| Spatial planning: Strong local – municipal level (but -CS)               | Inter-municipal                            |  | Sweden                 | Finland                               |                      | Austria               |
|  | Interactive appr.                          |  |                        |                                       |                      | Switzerland           |
|  | Other                                      |  | Czech Rep.             |                                       | Spain                |                       |
| Devolution of spatial planning powers                                    | Additional planning features               | Admin. Reg/on                          | Reg. Decentr/on        | Reg/on – LAs                          | Reg. autonomy        | Reg/on-Federal        |

Abbreviations: See under previous table.

A conclusion arrived at towards the end of Annex B is that the adoption of similar models of planning and action, largely under the impact of the EU, may create a semblance of uniformity and of a trend towards a style of comprehensive planning. To some extent this is true, but only partly. It would be nearer the truth to admit that real planning, as opposed to that described in national planning legislation and documents, presents a wide range of variations, due to the co-existence of methods of action, particular to each country. Besides, it is not totally certain that specific models describe accurately the present, often fluid, situation even in the countries traditionally associated with them. In addition, the question has to be asked if “comprehensiveness” is compatible with notions like “openness” and “communicative – collaborative rationality”, advocated now as essential ingredients of a more “governance” –

<sup>34</sup> Inter-municipal cooperation and interactive approach. See note at the bottom of previous table.

<sup>35</sup> 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.

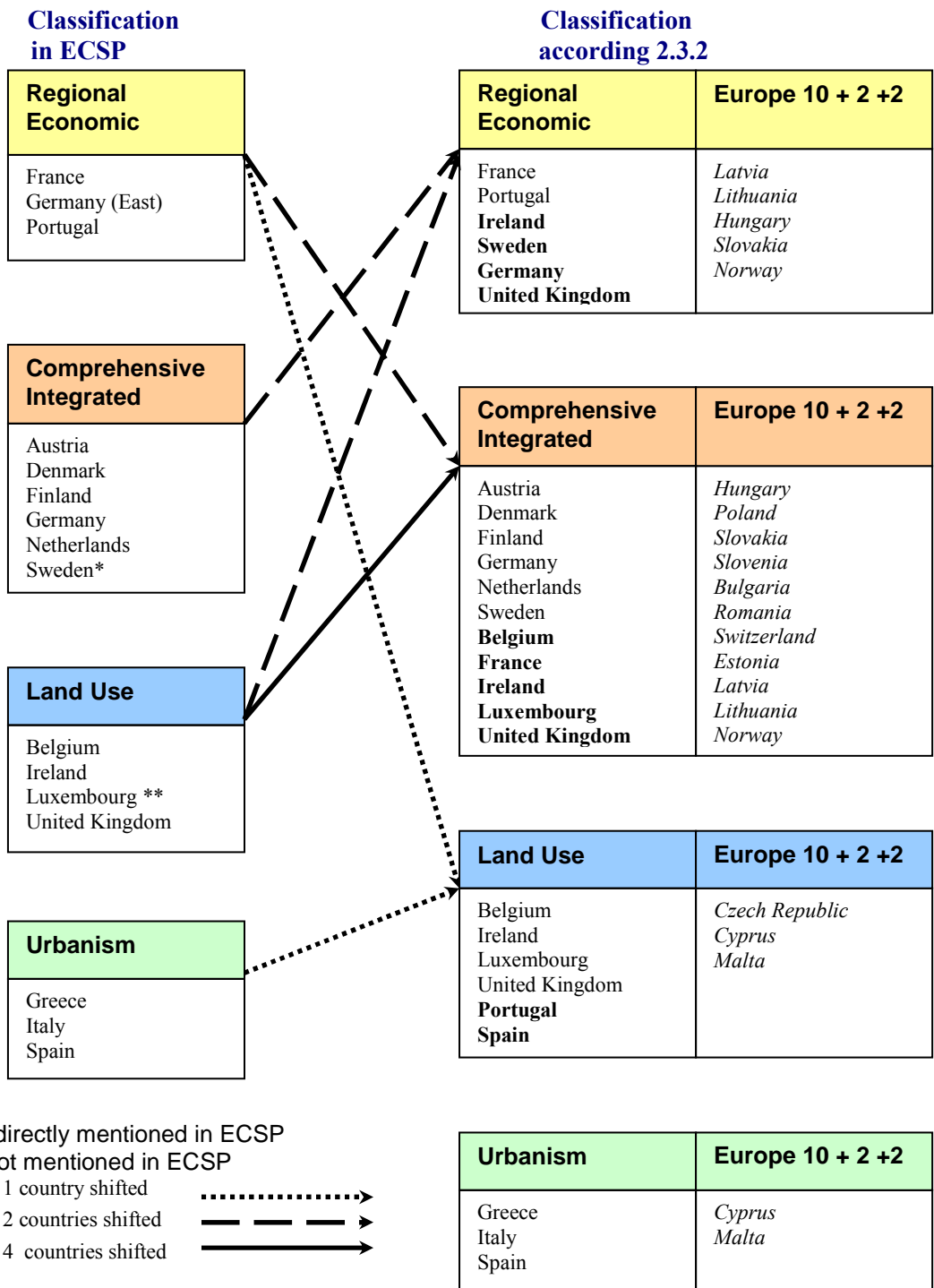
oriented planning. Contradictions are likely to be nearer reality than uniformity.

The limitations of any classification mainly refer to the risk of losing details when one categorises, because one 'forces' individual cases into the classification boxes. The categories used in the Compendium might be somehow outdated for several reasons, such as for instance the fading of borders between the different styles of spatial planning, however they still provide a useful perspective from which to qualify and compare the old with the new situation. The map 2.2.1 shows the planning styles of individual countries, according to the Compendium. In order not to lose too many details of individual cases the following analysis is split into two parts, which describe two different levels; the inter-state level and the intra-state level. The key findings will follow this division by inter and intra-state levels. The first level, the inter-state level, gives an idea about the general trends and movements that have been taking place and for the first time also characterizes the countries that were not included in the Compendium. The second level, the intra-state level, will dive into the individual states in order to draw up an image with more nuances, detail and will be closer to the practice instead of theory.

#### *2.2.1.1 Analysis on the Inter-State level*

As said before the first part of the analysis will be on the inter-state level. This took place through a thorough analysis of the National Overviews which lead to a pretty good first impression of the movements that took place within the EU of 15 and of the first characterisation of the New Member States +2 +2 which is shown in Figure 2.2.2.

**Figure 2.2.2 Movement within the EU 15 between the Styles of spatial planning and characterisation of New Member States + 2 +2**



**- Movements that took place within the EU of 15**

The movements in the EU of 15 are taking place at a very different pace than the movement of the other countries analysed and with its own dynamics. In the EU15 the movement is much more like a convergence of planning styles, where the comprehensive integrated

planning and the regional economic approach seem to be the big winners.

The Nordic countries however seem to show a very different background in which the local level was in most cases the planning level of real importance. In countries like Norway a white paper opened the discussion on creating for instance a regional level, but so far the municipal level remains the main level of planning.

The analysis on the intra-state level takes a closer look at the individual Member States and this first preliminary conclusion related to the Nordic countries is further explored. Concretely there are three movements within the EU of 15 taking place. The first movement is the movement towards the comprehensive integrated approach. Here we see the United Kingdom, Ireland, Belgium and Luxembourg coming from the land use planning style whereas France is coming from the regional economic approach. The second movement that is taking place is towards the regional economic approach, where again the United Kingdom and Ireland are now also incorporating the regional economic approach. Furthermore Sweden and Germany came from the comprehensive integrated approach.

The last movement that is taking place is towards the land use planning with Spain coming from the urbanism tradition and Portugal from the regional economic approach. In all cases the countries did not abandon their previous dominant style of spatial planning but they expanded their previous model.

*- Movements that took place in the New Member States +2+2*

In the New Member States there are several movements taking place. In some countries the land use planning system or urban planning system is very well established and those countries, like for instance Cyprus, do not seem to be developing towards a more comprehensive style of planning. This might also be due to their relatively small size. The New Member States however that share a common socialist past are developing in a very different way. In the first place the developments here take place at a very high pace. Secondly due to the fact that in the past the countries were highly centralized they are now all struggling to create the different planning levels. In doing so they borrow ingredients from the comprehensive integrated, the regional economic and the land use planning style.

In fact the comprehensive integrated approach can be seen as an evolution of the land use planning style. The urbanism tradition, land

use planning <sup>36</sup> and the comprehensive integrated approach can be put (in a continuum, although we recognize their different nature in the strict sense) on one side while the other side is formed by the regional economic approach which is very different from the first three styles of spatial planning. In many cases the countries are moving towards a comprehensive integrated approach to planning, but due to the fact that the systems are still young and not settled down yet they are in many cases still somewhere in the land use planning style with elements of vertical and horizontal coordination combined with regional economic approach elements. Slovenia is a special case, which has a longer history in participating in the comprehensive integrated approach.

- *Overall movement*

***So in general the majority of Europe is moving towards the comprehensive integrated approach and regional economic approach.*** The movements that took place and can be found in figure 2.2.2 can also be visualised as in Map 2.2.2. The interpretation of this map however has to be done carefully. The map should be read in combination with table 2.2.2 in order to value the different planning styles correctly.

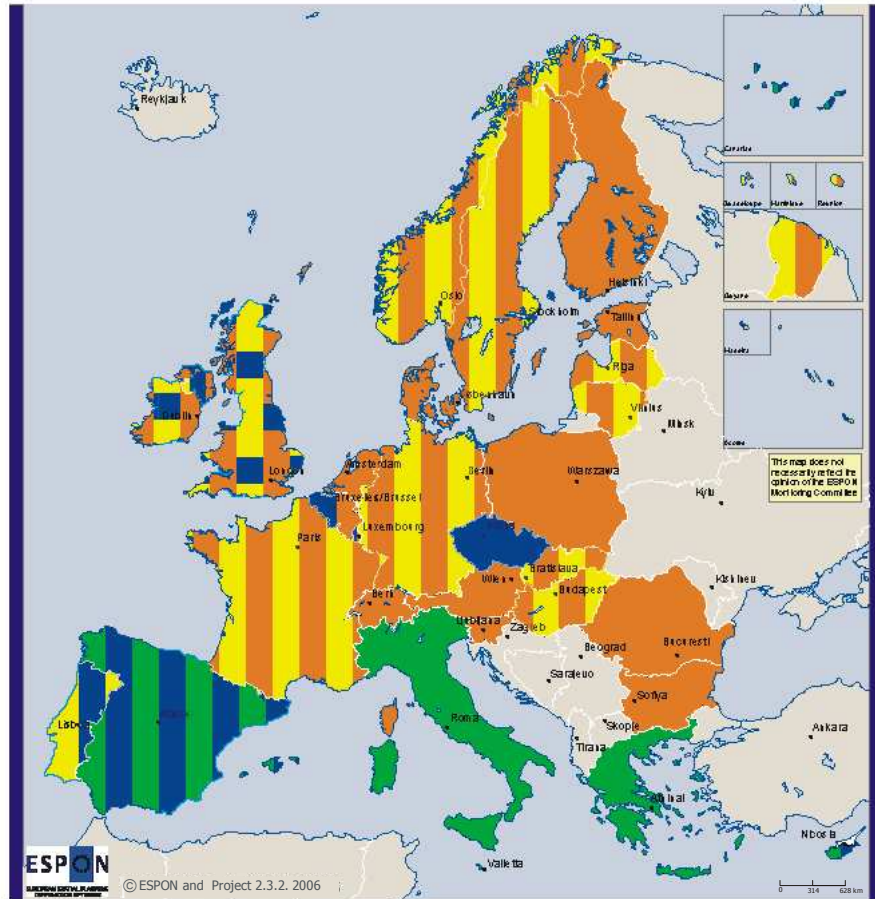
The main element from the regional economic approach that finds a lot of resonance is a balanced economic, territorial and social development. The comprehensive integrated approach elements that contribute to the new mixture are the hierarchical system of institutions and plans in which there is special attention for the vertical (multi-level) and horizontal (cross-sectoral) coordination. The term comprehensive integrated approach to planning cannot be more comprehensive, as it already encompasses everything and thus the only way to refer to this new mixture of the comprehensive integrated and regional economic approach under a new form is to call it the ***Neo-comprehensive integrated planning approach.***

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<sup>36</sup> Where traditionally the land use planning used to be the softer type of planning with more flexible plans for the built and not built environment the urbanism tradition was only about the built environment through binding plans. Nowadays however in the Mediterranean countries the two planning styles seem to combine in the form of more flexible guidelines, presenting a more flexible form of urban planning that now not just applies to the built environment but also the not built environment, for the areas that don't have an urban plan.



**Map 2.2.2. Movement within the EU 15 between the Styles of spatial planning and characterisation of New Member States + 2 + 2**



© EuroGeographics Association for the administrative boundaries  
Regional level: NUTS 0

Source: ESPON 2.3.2. National Overviews

- Comprehensive Integrated approach
- Regional Economic approach
- Land Use planning
- Urbanism tradition

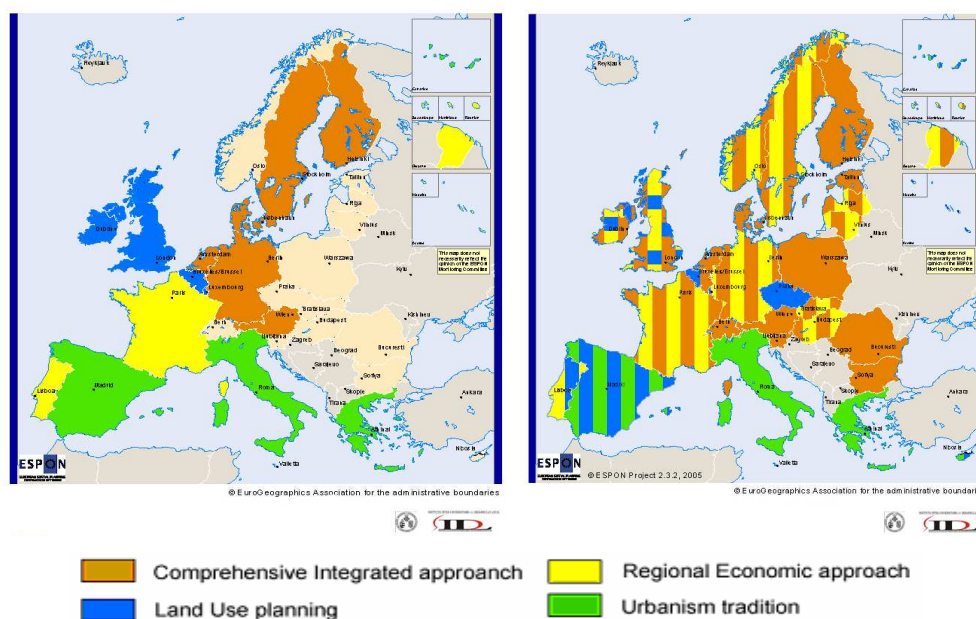
Map 2.2.2 comments: The map represents two things. First of all it shows the movements that took place within the EU15 between the four styles of planning. Secondly it offers a first characterisation of the New Member States + Switzerland and Norway + Bulgaria and Romania.

The neo-comprehensive integrated planning approach emerges out of the combination of the regional economic and comprehensive integrated approaches; this last in turn is an evolution of the land use planning through coordination.

The changes that took place mainly have to do with the fact that the planning systems in the countries are not static, but borrow and mix elements from the other styles of spatial planning and thus are dynamic. The dynamics within the system have several causes like for instance the development of the ESDP and other European policies such as the Structural Funds. In the old Member States the ESDP had an impact during the process of making it. The movement that took place is mainly towards the comprehensive integrated and regional economic approach.

However this mixing and moving towards different planning styles makes the borders between the planning styles fade and creates a cross over planning style that was already noted by Janin Rivolin and Faludi (2005) and named as the North-Western perspective. This North-Western perspective speaks about a mixture between mainly the comprehensive integrated and regional economic approach.

Below the old and the current situation are placed next to each other in order to see what developments took place. In the map it seems that only Finland, Italy and Greece have not moved at all, but the second part of the analysis, on the intra-state level, will show that in for instance Italy there are also elements of the other styles of spatial planning incorporated in the system on the different levels, but not enough to justify adjusting the overall classification.



The additional question on how different or homogeneous the styles of planning are within each State that is at the different political-administrative levels, each one with their own competences and weight in spatial planning will be analysed by the second part of the analysis. This also should give a better insight in the real level of comprehensiveness in order to give a more accurate and real picture of the practice.

#### 2.2.1.2 Analysis on the Intra-State level

**The second part of the analysis confirmed the convergence** that was already noted in the first part of the analysis, but it also toned down some of the initial enthusiasm. **The movement, that took and, is still taking place is far from settled down**, but already some first conclusions can be drawn. The following table 2.2.3 (named table 2 in Annex F p. 55-58) forms the simplified base of this analysis that originated in the more elaborate table as can be found in Appendix 1 of Annex F. Table 2.2.3 connects the overall style of planning with the style of planning by level and to the competencies by level.

**Table 2.2.3 Planning styles by level vs. competencies by level**

| Country | Planning style                           | Local | Regional | National | Total    |
|---------|--|-------|----------|----------|----------|
| Austria | <b>Comprehensive integrated approach</b> | 3     | 2        | 1        | <b>6</b> |
|         | Regional economic approach               | 0     | 2        | 2        | <b>4</b> |
|         | Land use planning                        | 3     | 2        | 0        | <b>5</b> |
|         | Urbanism tradition                       | 3     | 2        | 0        | <b>5</b> |
| Belgium | <b>Comprehensive integrated approach</b> | 0     | 3        | 0        | <b>3</b> |
|         | Regional economic approach               | 0     | 3        | 0        | <b>3</b> |
|         | <b>Land use planning</b>                 | 2     | 3        | 0        | <b>5</b> |
|         | Urbanism tradition                       | 2     | 3        | 0        | <b>5</b> |
| Denmark | <b>Comprehensive integrated approach</b> | 3     | 3        | 1        | <b>7</b> |
|         | Regional economic approach               | 0     | 0        | 0        | <b>0</b> |
|         | Land use planning                        | 3     | 3        | 1        | <b>7</b> |
|         | Urbanism tradition                       | 0     | 0        | 0        | <b>0</b> |

|                     |  |   |   |   |          |
|---------------------|--|---|---|---|----------|
| Finland             | <b>Comprehensive integrated approach</b> | 3 | 3 | 1 | <b>7</b> |
|                     | Regional economic approach               | 0 | 0 | 0 | <b>0</b> |
|                     | Land use planning                        | 3 | 0 | 0 | <b>3</b> |
|                     | Urbanism tradition                       | 3 | 0 | 0 | <b>3</b> |
| France              | <b>Comprehensive integrated approach</b> | 0 | 2 | 3 | <b>5</b> |
|                     | <b>Regional economic approach</b>        | 0 | 2 | 3 | <b>5</b> |
|                     | Land use planning                        | 2 | 0 | 0 | <b>2</b> |
|                     | Urbanism tradition                       | 2 | 0 | 0 | <b>2</b> |
| Germany             | <b>Comprehensive integrated approach</b> | 0 | 3 | 3 | <b>6</b> |
|                     | <b>Regional economic approach</b>        | 0 | 3 | 3 | <b>6</b> |
|                     | Land use planning                        | 3 | 0 | 0 | <b>3</b> |
|                     | Urbanism tradition                       | 3 | 0 | 0 | <b>3</b> |
| Greece              | Comprehensive integrated approach        | 0 | 2 | 3 | <b>5</b> |
|                     | Regional economic approach               | 0 | 2 | 3 | <b>5</b> |
|                     | Land use planning                        | 1 | 2 | 3 | <b>6</b> |
|                     | <b>Urbanism tradition</b>                | 1 | 2 | 3 | <b>6</b> |
| Ireland             | <b>Comprehensive integrated approach</b> |   | 1 | 3 | <b>4</b> |
|                     | <b>Regional economic approach</b>        |   | 1 | 3 | <b>4</b> |
|                     | <b>Land use planning</b>                 | 3 |   |   | <b>3</b> |
|                     | Urbanism tradition                       | 3 |   |   | <b>3</b> |
| Italy <sup>37</sup> | Comprehensive integrated approach        | 0 | 2 | 0 | <b>2</b> |
|                     | Regional economic approach               | 0 | 1 | 1 | <b>2</b> |
|                     | Land use planning                        | 3 | 0 | 0 | <b>3</b> |

<sup>37</sup> In Italy the score tables is different than in the rest of the countries as the national expert holds on to this score for good reasons. At the regional level the scores are different because although now the regional planning has a bigger national framework to refer to it mainly is actively practiced in some regions in the south which is the poorest part of Italy. The imbalance exists between the rich north and the poor south that needs to be balanced. In general it is especially applied at the national level as a weaker planning power and is only sometimes visible at the regional level. The score of the comprehensive integrated approach at the regional level is different because Italy has a strong regional competency but the practice of the comprehensive integrated approach is not of the same level in all regions.

|                |  |   |   |   |          |
|----------------|--|---|---|---|----------|
|                | <b>Urbanism tradition</b>                | 3 | 0   | 0 | <b>3</b> |
| Luxembourg     | <b>Comprehensive integrated approach</b> | 0 | No political level only a delimitation for planning | 3 | <b>3</b> |
|                | Regional economic approach               | 0 |   | 3 | <b>3</b> |
|                | <b>Land use planning</b>                 | 3 |   | 3 | <b>6</b> |
|                | Urbanism tradition                       | 3 |   | 3 | <b>6</b> |
| Netherlands    | <b>Comprehensive integrated approach</b> | 3 | 2   | 3 | <b>8</b> |
|                | Regional economic approach               | 0 | 0   | 0 | <b>0</b> |
|                | Land use planning                        | 3 | 0   | 0 | <b>3</b> |
|                | Urbanism tradition                       | 0 | 0   | 0 | <b>0</b> |
| Portugal       | Comprehensive integrated approach        | 0 | 0   | 3 | <b>3</b> |
|                | <b>Regional economic approach</b>        | 0 | 2   | 3 | <b>5</b> |
|                | <b>Land use planning</b>                 | 3 | 0   | 0 | <b>3</b> |
|                | Urbanism tradition                       | 3 | 0   | 0 | <b>3</b> |
| Spain          | Comprehensive integrated approach        | 0 | 0   | 0 | <b>0</b> |
|                | Regional economic approach               | 0 | 3   | 1 | <b>4</b> |
|                | <b>Land use planning</b>                 | 2 | 3   | 0 | <b>5</b> |
|                | <b>Urbanism tradition</b>                | 3 | 2   | 0 | <b>5</b> |
| Sweden         | <b>Comprehensive integrated approach</b> | 3 | 0   | 0 | <b>3</b> |
|                | <b>Regional economic approach</b>        | 0 | 2   | 0 | <b>2</b> |
|                | Land use planning                        | 3 | 0   | 0 | <b>3</b> |
|                | Urbanism tradition                       | 3 | 0   | 0 | <b>3</b> |
| United Kingdom | <b>Comprehensive integrated approach</b> | 3 | 2   | 3 | <b>8</b> |
|                | <b>Regional economic approach</b>        | 0 | 2   | 0 | <b>2</b> |
|                | <b>Land use planning</b>                 | 3 | 0   | 0 | <b>3</b> |
|                | Urbanism tradition                       | 3 | 0   | 0 | <b>3</b> |
| Cyprus         | Comprehensive integrated approach        | 0 | 0   | 0 | <b>0</b> |
|                | Regional economic approach               | 0 | 0   | 0 | <b>0</b> |
|                | <b>Land use planning</b>                 | 0 | 0   | 3 | <b>3</b> |
|                | <b>Urbanism tradition</b>                | 0 | 0   | 3 | <b>3</b> |

|                |  |   |   |   |   |
|----------------|--|---|---|---|---|
| Czech Republic | Comprehensive integrated approach        | 0 | 0 | 0 | 0 |
|                | Regional economic approach               | 3 | 2 | 2 | 7 |
|                | <b>Land use planning</b>                 | 3 | 2 | 2 | 7 |
|                | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Estonia        | <b>Comprehensive integrated approach</b> | 3 | 0 | 3 | 6 |
|                | Regional economic approach               | 0 | 0 | 0 | 0 |
|                | Land use planning                        | 3 | 2 | 0 | 5 |
|                | Urbanism tradition                       | 3 | 2 | 0 | 5 |
| Hungary        | <b>Comprehensive integrated approach</b> | 3 | 0 | 2 | 5 |
|                | <b>Regional economic approach</b>        | 0 | 2 | 2 | 4 |
|                | Land use planning                        | 3 | 0 | 2 | 5 |
|                | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Latvia         | <b>Comprehensive integrated approach</b> | 0 | 2 | 3 | 5 |
|                | <b>Regional economic approach</b>        | 0 | 2 | 3 | 5 |
|                | Land use planning                        | 3 | 0 | 0 | 3 |
|                | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Lithuania      | <b>Comprehensive integrated approach</b> | 3 | 2 | 3 | 8 |
|                | <b>Regional economic approach</b>        | 0 | 2 | 3 | 5 |
|                | Land use planning                        | 3 | 0 | 0 | 3 |
|                | Urbanism tradition                       | 3 | 0 |   | 3 |
| Malta          | Comprehensive integrated approach        | 0 | 0 | 3 | 3 |
|                | Regional economic approach               | 0 | 0 | 0 | 0 |
|                | <b>Land use planning</b>                 | 2 | 2 | 3 | 7 |
|                | <b>Urbanism tradition</b>                | 2 | 2 | 3 | 7 |
| Poland         | <b>Comprehensive integrated approach</b> | 3 | 1 | 3 | 7 |
|                | Regional economic approach               | 0 | 1 | 3 | 4 |
|                | Land use planning                        | 3 | 0 | 0 | 3 |
|                | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Slovakia       | <b>Comprehensive integrated approach</b> | 0 | 3 | 3 | 6 |
|                | <b>Regional economic approach</b>        | 0 | 0 | 0 | 0 |
|                | Land use planning                        | 3 | 0 | 0 | 3 |

|                        |  |   |   |   |   |
|------------------------|--|---|---|---|---|
|                        | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Slovenia               | <b>Comprehensive integrated approach</b> | 0 | 2 | 3 | 5 |
|                        | Regional economic approach               | 0 | 2 | 0 | 2 |
|                        | Land use planning                        | 3 | 0 | 0 | 3 |
|                        | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Bulgaria <sup>38</sup> | <b>Comprehensive integrated approach</b> | 2 | 2 | 3 | 7 |
|                        | Regional economic approach               | 0 | 0 | 0 | 0 |
|                        | Land use planning                        | 1 | 0 | 0 | 1 |
|                        | Urbanism tradition                       | 1 | 0 | 0 | 1 |
| Romania                | <b>Comprehensive integrated approach</b> | 0 | 0 | 3 | 3 |
|                        | Regional economic approach               | 0 | 0 | 0 | 0 |
|                        | Land use planning                        | 3 | 0 | 0 | 3 |
|                        | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Norway                 | <b>Comprehensive integrated approach</b> | 0 | 0 | 3 | 3 |
|                        | <b>Regional economic approach</b>        | 0 | 3 | 0 | 3 |
|                        | Land use planning                        | 0 | 0 | 0 | 0 |
|                        | Urbanism tradition                       | 3 | 0 | 0 | 3 |
| Switzerland            | <b>Comprehensive integrated approach</b> | 3 | 3 | 2 | 8 |
|                        | Regional economic approach               | 0 | 0 | 2 | 2 |
|                        | Land use planning                        | 3 | 0 | 0 | 3 |
|                        | Urbanism tradition                       | 0 | 0 | 0 | 0 |

|  |   |
|--|---|
|  | Strong competencies in spatial planning |
|  | Medium competencies in spatial planning |
|  | Weak competencies in spatial planning   |
|  | <b>Overall planning style</b>           |

Table 2.2.3 shows that although a country can be qualified under the regional integrated approach for instance, it can still have a comprehensive integrated approach on the regional level. By adding

<sup>38</sup> In this case the high score within the comprehensive integrated approach is fictitious due to the rather unique situation that everything exists in theory, but that in reality all plans are already very outdated. Bulgaria's theory and practice could not be further apart.

scores based on the competencies found on the different levels there were 10 countries that attracted attention. A list of individual explanations has been given and can be found in Annex F, which explained most of the discrepancies, however not in all cases. What can also be said in general to explain these differences is that due to the fact that the situation is not settled down yet many countries are still classified under one overall planning style, but already elements of other styles of spatial planning have entered their systems. In many cases this means that a country contains elements of a planning style but that it cannot yet be fully classified under that style yet. Furthermore the importance of the local level reflected in the strong competencies in spatial planning of the local level in several cases 'polluted' the score somewhat, because on the local level one can almost always find land use planning and/or urbanism tradition and thus a country can automatically receive a high score due to the strong competencies of the local level.

The countries were also ranked per planning style based on their scores, leading to map 2.2.3. Here again it was confirmed that the New Member States embraced the comprehensive integrated and in a less strong way the regional integrated approach, while the land use planning and urbanism tradition seem to be scoring very low as can be seen in the table. Furthermore the column of the comprehensive integrated approach should be interpreted with care though and only in combination with map 2.2.1.4 that can be found further on in this analysis.

*- Elements of the comprehensive integrated approach*

When it comes to the movement towards the comprehensive integrated approach it could already be seen in figure one that five countries moved towards this spatial planning style; Belgium, France, Ireland, Luxembourg and United Kingdom. The comprehensive integrated approach can be broken down into several sub-issues and thus the movement towards it too. Vertical and horizontal coordination together make up the level of comprehensiveness. This allows a classification of the different countries which shows more details of the actual situation.



## Map 2.2.3 Presence of the urbanism tradition



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Regional level: NUTS 0

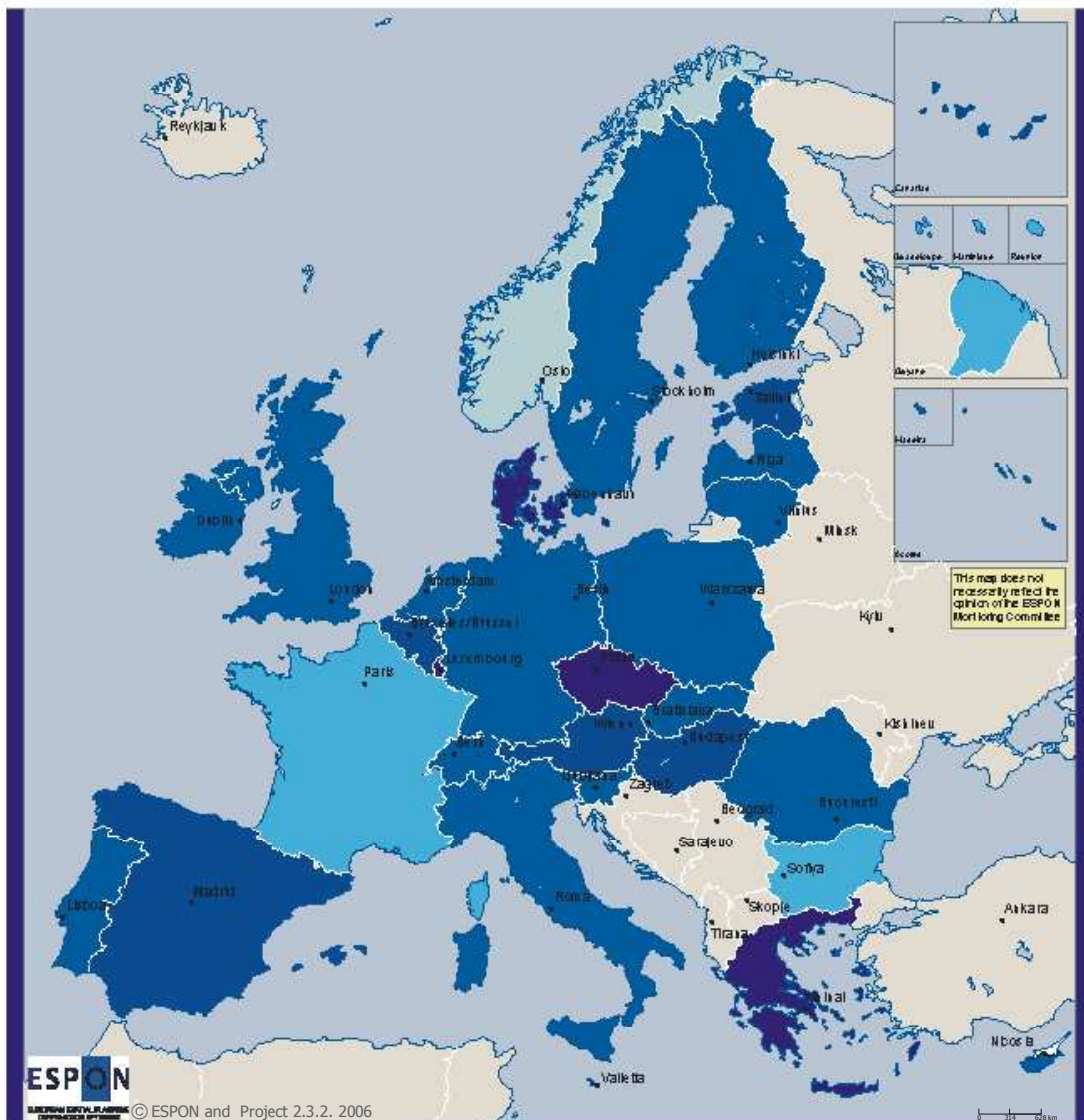
Origin of the data: IIDL Qualitative indicator

Source: ESPON 2.3.2. National Overviews



Map 2.2.3 comments: The map presents the presence of the urbanism tradition based on the scores on each level of the urbanism tradition in *table 2: planning styles by level vs. competencies by level p. 54*.

## Map 2.2.4 Presence of land use planning

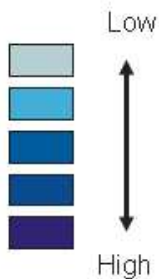


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 Regional level: NUTS 0

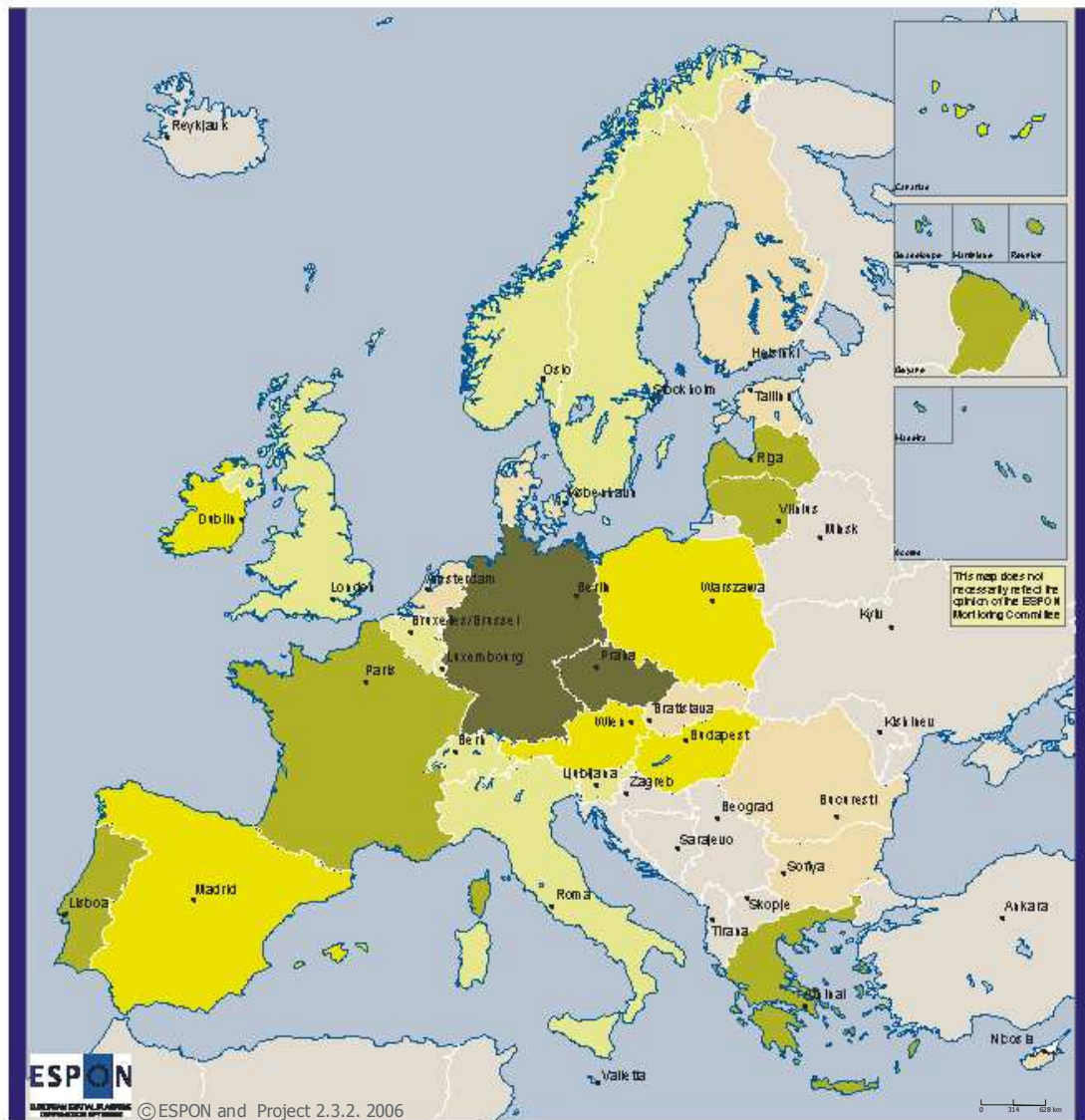
Origin of the data: IIDL Qualitative indicator

Source: ESPON 2.3.2. National Overviews



Map 2.2.4 comments: The map presents the presence of the land use planning based on the scores on each level of the land use planning in *table 2: planning styles by level vs. competencies by level p. 54*.

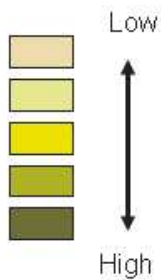
**Map 2.2.5 Presence of the regional economic approach**



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Regional level: NUTS 0

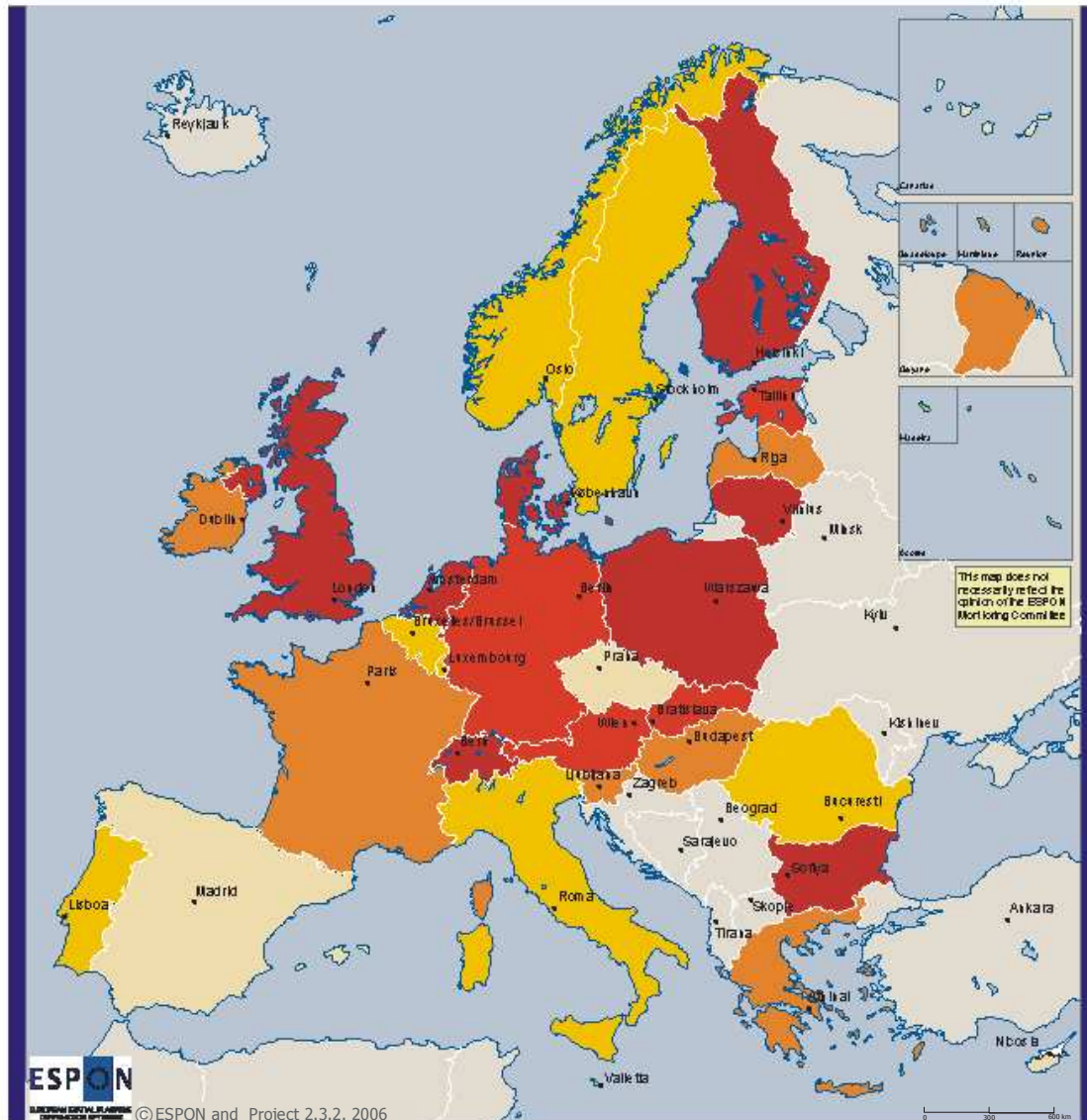
Origin of the data: IIDL Qualitative indicator

Source: ESPON 2.3.2. National Overviews



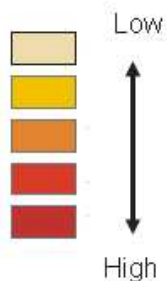
Map 2.2.5 comments: The map presents the presence of the regional economic approach based on the scores on each level of the regional economic approach in *table 2: planning styles by level vs. competencies P. 54.*

**Map 2.2.6 Presence the comprehensive integrated approach**



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Regional level: NUTS 0

Origin of the data: IIDL Qualitative indicator  
Source: ESPON 2.3.2. National Overviews



Map 2.2.6 comments: The map presents the presence of the comprehensive integrated approach based on the scores on each level of the comprehensive integrated approach in *table 2: planning styles by level vs. competences P. 54.*

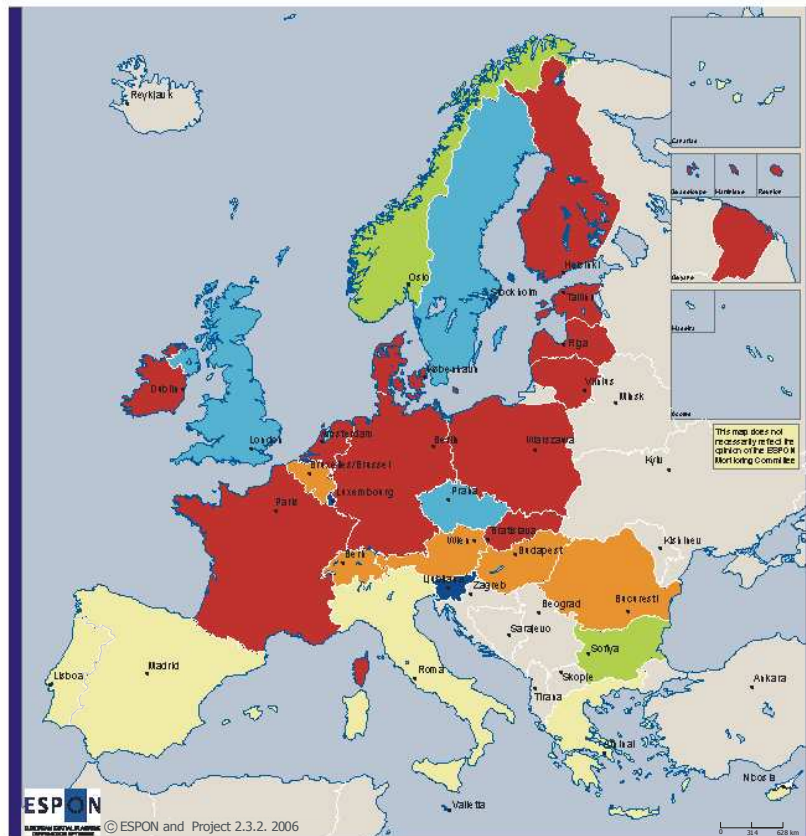
It can be seen that in many cases in which a country is classified under the comprehensive integrated approach it still is lacking vertical or horizontal coordination. A country can be comprehensive in more than one way and the level of comprehensiveness thus varies. The highest level of comprehensiveness is represented by category A where there is both a strong vertical and horizontal coordination.

The lowest level of comprehensiveness is reached in category D where there is both a weak vertical and horizontal coordination, at which one can doubt if the country should be qualified under a comprehensive system in the first place. In between there are 4 other categories (as can be read as well from the legend of the table) where the level of either the horizontal or vertical coordination varies, but in which always one of the levels is strong.

Map 2.2.7 that can be found on the following page requires an additional explanation to elaborate a little bit on the legend. This elaboration can be read below.

- (A) Countries in which there is both horizontal as well as vertical coordination on multiple levels and on levels with a strong planning competency
- (B+) Countries with mainly vertical coordination at all or at levels with a strong planning competency and weak horizontal coordination but horizontal coordination exists at levels with the main planning competency
- (B-) Countries with mainly vertical coordination at all or at levels with a strong planning competency and weak or no horizontal coordination
- (C+) Countries with mainly horizontal coordination at all levels or levels with strong planning competencies and weak vertical coordination but vertical coordination exists between levels with the main planning competency
- (C-) Countries with mainly horizontal coordination at all levels or levels with strong planning competencies and weak or no vertical coordination
- (D) Both weak vertical and horizontal coordination

**Map 2.2.7 Level of development of the comprehensive integrated approach in spatial planning**



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Regional level: NUTS 0

Origin of the data: IIDLSynthetic Indicator



- Strong vertical and horizontal coordination (A)
- Mainly vertical coordination (B+)
- Mainly vertical coordination (B-)
- Mainly horizontal coordination (C+)
- Mainly horizontal coordination (C-)
- Both weak vertical and horizontal coordination
- Not classified in the comprehensive integrated approach

Source: ESPON 2.3.2. National Overviews

Map 2.2.7 presents the level of comprehensiveness based on *table 4: classification of countries based on level of comprehensiveness* on p. 70 of Annex A. An elaboration on the A till D classifications can be found on page 17.

Generally four groups of countries can be distinguished in the table:

1. Countries in which there is both horizontal as well as vertical coordination (Denmark, Finland, France, Germany, Ireland, Netherlands, Estonia, Latvia, Lithuania, Poland, Slovakia) (A)
2. Countries with mainly vertical coordination and weak or no horizontal coordination (Austria, Belgium, Hungary<sup>39</sup>, Romania, Switzerland) (B)
3. Countries with mainly horizontal coordination and weak or no vertical coordination (Sweden, UK, Luxembourg, Malta, Slovenia) (C)
4. Countries with a weak horizontal and vertical coordination (Bulgaria, Norway) (D)

This can then be refined a bit more by taking a look at the addition of + and - to the letters.

In terms of the level of comprehensiveness the Baltic countries such as Finland, Lithuania, Estonia and Latvia seem to be doing particularly well. Many of the countries that could not be classified under the comprehensive integrated approach were Mediterranean (table 2.2.2): Greece, Italy, Portugal, Spain and Cyprus with additional countries being the Czech Republic and Belgium. Except the Czech Republic and Cyprus, they all lacked vertical as well as horizontal coordination. It has to be said though that in several cases like Greece and Portugal the institutional structure seems to be there, but without any real results so far. Also the position of the small countries, such as: Slovenia, Luxembourg, Malta and Cyprus in the category of countries with mainly horizontal coordination can be called special. However a very logical explanation can be given which lies in their size and that because of this simply not all levels are in place, but especially in the case of Luxembourg and Slovenia all administrative levels that could be in place are present. The case of Bulgaria is rather peculiar because both types of coordination should be taking place also reflected in the high score within the comprehensive integrated approach. However due to the rather unique situation that everything exists in theory, but that in reality all

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<sup>39</sup> Despite some interesting examples as the elaboration of the National Spatial Plan, particularly its technical phase, where interdisciplinary cooperation of the diverse sectoral planning agencies (f.i. spatial, transport, environment, agricultural and rural) has been developed based upon the formal agreement of their respective national authorities. Later on, in the process of the elaboration of the National Development Plan, an Inter-Ministerial Committee was set up to reinforce and formalise horizontal cooperation. That seems to be a very promising basis for future developments in horizontal cooperation.

plans are already very outdated, Bulgaria's theory and practice could not be further apart. The position of the countries that cannot be classified under the comprehensive integrated approach confirms their classification as the majority falls into the D box. The relative high score of Greece however can be called surprising, but has to do with similar factors as in Bulgaria. In Greece there are many elements that exist in theory, but in reality real results have not yet been observed. Also Greece is in a phase of transition and thus already contains several elements of the comprehensive integrated approach but these are not yet really working or are limited to the higher levels of government.

*- Movements in the regional economic approach*

After concentrating on the analysis of the comprehensive integrated approach it is now time to move on and to focus on movements that took place within the regional economic approach. What can be said that the regional economic planning that originated in France can now be found in many of the European countries and thus has spread and gained in influence. In figure 2.2.1.2 of the inter-state analyses it could already be seen that four countries moved to the regional economic approach and could be classified within this planning style. These countries were; Ireland, Sweden, Germany and the United Kingdom.

The European influence here cannot be denied in the establishment of the regional level in many of the (New) Member States, because of the functioning of the Structural Funds through the regional level. With the establishments of the regional level and the Structural Funds soon the regional economic approach was adopted in many countries, either on the regional or national level or in the overall classification of a country. The main characteristics are the balancing of disparities in the socio-economic field between regions. In most countries there is an imbalance, a good example is Germany, where the former East Germany cannot be compared to the former west of Germany in socio-economic terms. The central government formulates ideas to grant the wish to balance this inequity using the powers and funds at its disposal in order to let the regional economic development take place in conformance with these ideas. The central government always plays an important role in the regional economic approach. The regional economic approach cannot be found in only 9 (Denmark, Finland, Netherlands, Cyprus, Estonia, Malta, Slovakia, Bulgaria and Romania) of the ESPON29 countries at none of the levels. As could already be seen in figure 2.2.1.2 it also increased in importance as



the overall planning style, almost always linked to the comprehensive integrated approach as is the case in: Germany, Ireland, Sweden, Hungary, Latvia, Lithuania, Slovakia and Norway. Portugal is the only country in which the regional planning is linked to the land use planning. Besides the countries that have the regional economic planning as one of the overall planning styles, also some other countries have high scores mainly: Czech Republic, Greece, Austria, Italy, Poland and Spain. Which can be called strange is that the regional economic approach can be found on the local level in the Czech Republic (it can also be found on the other levels), where in all other countries it can be found on either the national, regional or both levels, which makes more sense.

A further increase of countries that adapt the regional economic approach can be expected as almost all countries have socio-economic imbalances and in terms of spatial justice it would be very unjust not to even try to balance it, also benefiting themselves of EU Structural Funds. Furthermore the growing importance of the cohesion policy would only strengthen the importance of the regional economic approach. However the traditional focus on only the economic and social aspect is currently be broadened by the addition of the territorial (and environmental) dimension, pulling it even deeper into the field of spatial planning.

- *Movements in the land use planning and the urbanism tradition*

Besides the comprehensive integrated and the regional economic approach there have also been developments in the urbanism tradition and land use planning. In figure 2.2.1.2 of the inter-state analysis it could already be seen that also a small number of countries moved towards the land use planning and the urbanism tradition. Portugal moved from just being classified under the regional economic approach to being classified under the regional economic approach as well as the land use planning style. Spain was first qualified under the urbanism tradition, while now it can be qualified under the urbanism tradition and the land use planning. So it can be seen that the groups of countries that can be classified under the urbanism tradition is stable, while the group and thus the importance too of the land use planning has grown. In the case of Portugal that came from the regional economic approach it could perhaps be seen as a step towards the comprehensive integrated approach. Where in the Spanish case is could represent a step up, to complement the urbanism tradition with the land use planning for some parts of the territory with no urban plan, towards a level that is just above the

city scale. Figure 2.2.2 only shows the crossing over of Spain from the urbanism tradition to the land use planning; however in the further analysis it became clear that there is something more going on. The analysis per level showed that the urbanism tradition never exists on its own anymore and can always be found in combination with land use planning, while before the urbanism tradition used to be THE model while currently it is no longer an isolated model, but gets more and more mixed with the land use planning style to become a more integrated approach. In almost all countries the combination of both planning styles is restricted to the local. Furthermore in Belgium, Austria, Greece, Spain and Estonia this combination of planning styles can also be found on the regional level besides the local level. In Greece, Luxembourg, Cyprus and Malta both planning styles are even to be found as far up as the national level. Except for Greece the other countries can all three be classified as small countries. Land use planning can also be found on the national level in combination with other planning styles as is the case in Denmark, Hungary and the Czech Republic. As one can see the urbanism tradition and the land use planning style became more and more intertwined and they seem to increase more their complementarity leading to new governance routines.

### *2.2.1.3 Conclusions*

The current situation is very different from the situation described in the Compendium. The changes that took place mainly have to do with the fact that the planning systems in the countries are not static, but borrow and mix elements from the other styles of spatial planning and thus are dynamic. The dynamics within the system are caused by several reasons like for instance the development of the ESDP and other European policies such as the Structural Funds. In the old Member States the ESDP had an impact during the process of making it. The movement that took place is mainly towards the comprehensive integrated and regional economic approach. However this mixing and moving towards different planning styles makes the borders between the planning styles fade and creates a cross over planning style that was already noted by Janin Rivolin and Faludi (2005) and named as the North-Western perspective. This general trend could be accepted as an overall pattern as, also including the New Member States as explained below, even though in some specific areas as the Mediterranean combine the regional economic approach with land use planning which in turn is mixed with the urbanism

tradition. We can interpret this as an intermediate step through a more effective coordination towards a more integral approach.

The other European countries that were not treated by the Compendium are or were also in the process of redefining their style of spatial planning. It can be seen that again due to the ESDP, here in the sense of the report itself and not its making, and other European policies in the form of Structural Funds seemed to have played and still are playing an important role in this. The New Member States for example needed to fulfil certain requirements to be able to apply for funding. A good example of this is the creation of the regional level in Poland. The development in many of the New Member States however has not settled down yet and is still ongoing. What seems to become visible nonetheless is that a big part of these countries seem to take the comprehensive integrated and regional economic approach as their inspiration. Concerning the comprehensive integrated approach the level in which the countries progressed towards this planning style varies greatly. Some have already achieved significant achievements in this direction while others in their quest still seem to be closer to land use planning than to the comprehensive integrated approach.

One might think the movements mentioned above can be seen as a great success, but a little less optimism would be appropriate especially concerning the comprehensive integrated approach. As the analysis showed the movement is taking place, but in many cases countries only have some elements of the comprehensive integrated approach, which does not mean the country has a complete ideal working comprehensive integrated system. It could for instance be that within a country only a good system of vertical coordination could be found and the horizontal coordination is absent or weak. Of course it can also be that a country indeed does have both horizontal and vertical coordination. So far a lot has been achieved already, but it has to be repeated that the situation in almost all countries is still in motion. This fluid situation is also emphasized in the conclusions of Annex B. In former Eastern Europe changes are taking place at a higher pace and the situation is more fragile, while in the old EU of 15 the motion is taking place in rather different way.

Where many of the New Member States changed their old institutional structure rather radically and adopted different elements from the various planning styles, in the old Member States it is more about a convergence of planning styles and the integration of certain elements into an already existing planning system. These steps in progressing towards a different style of spatial planning can be best

seen by looking at the style of planning by level combined with the competencies by level. Here it becomes clear that in many countries already some elements were added to the old system, but that it is still far from being able to be qualified under a new header. Most changes were also implemented quite recently and mainly exist on paper or in theory, where practice didn't show any concrete results yet. Also one cannot expect that after one round of changes the system will work properly; it takes some time and fine tuning to find the best way.

Nothing points out that in the near future the situation will stabilize anywhere quickly; many countries have just taken a first step in the direction of a sound system of spatial planning and all the institutional requirements etc. that are needed for that. The first results of the many changes have to be awaited and for sure in many countries another new round of changes will have to be made as a reply to the results of the previous changes. It can pretty safely be said that the future planning style or model of spatial planning contains a great deal of elements from the comprehensive integrated and regional economic approach and that the next phase of European policy can have a certain amount of influence in shaping or guiding the developments that are currently taking place. Financial incentives have always played a big role and will continue playing an important one.

The importance of the land use planning and urbanism tradition should not be forgotten though, because it will remain playing an important role on the local level. It can be said that the urbanism tradition seems to be progressively combined with the land use planning style in multi level spatial coordination experiences. This does not happen without serious conflicts in some areas in the Mediterranean countries. On the local level for instance it is always coupled to the land use planning or one of the other planning styles. What can also be said is that the land use planning and the urbanism tradition can be found in almost all countries on the local level.

The regional economic approach has also gained in importance. Here the European influence is undeniable in speeding up the spread and acceptance of this concept through for instance the mechanisms of the Structural Funds. Due to the fact that almost every country has territorial disparities it can be expected that the regional economic approach will become a common feature, where spatial justice plays a key role.

For all these reasons it is necessary to continue research in this field in order to check and confront the detected trends. This could be done in the form of a new ECSP this time for all EU Members.

### **2.2.2 Identification of policy packages with a high degree of synergy**

In this section we are discussing the research findings with regard to synergy among policies with a territorial impact. This involves a twofold task. First to identify the actual policy packages where 'synergy' is particularly relevant and where governance could lead to significant improvements if and when applied. Secondly to highlight the governance situations that are linked with cases of successful policy coordination or inversely reveal obstacles to synergy always within the constraints of the administrative context of each individual country. Territorially more integrated approaches are often set as a goal, but much of the challenges of sector coordination and horizontalization make this problematic. The analysis aims to reveal the possibilities and limitations in terms of achieving coordination or integration and highlight examples where this has been achieved, investigating why, how and to what effect.

The sources for this discussion are derived from the synthesis and the conclusions of the national overviews (Annex B), and the synthesis of the case studies (Annex C), especially the aspects discussed under the headings of 'horizontal territorial coordination', innovation, 'sustainability' and 'coherence'. These are documented with further information from the original national reports where necessary.

The categorization of policy packages is not an obvious and straightforward task. A primary differentiation lies between sectoral and territorial policies. Some policy packages aim primarily to reach synergy between different sectors irrespective of the territorial context, such as transport and environmental policies. Others aim at improving overall synergy between different policies at a particular territorial level (national, regional, local), such as a national spatial plan, a regional development programme or a local planning agreement. However the separating lines often become blurred as there is significant overlap between the two.

Another concern of classification is related to the degree of synergy attained, which could depend on several qualitative factors that apply generally in other aspects of governance as well. Is synergy reached in the context of a 'one time event' or over a long term established process of cooperation? Is it a standardized, routine procedure or is it

the product of an innovative process, with genuinely involved and motivated actors, and with what outcomes? We can distinguish generally between different types and / or levels of synergy in policy coordination:

- Ex ante policy coordination. This may involve routine operations and standard cooperation between different Ministries on the basis of formal mechanisms of coordination. The management of the Structural Funds is a typical such example. It is interesting to note the cases where such coordination between different policies takes place at the regional or even the local level.
- Policy packages that require substantial coordination to achieve their goal. Typically packages involving horizontal coordination between different policy sectors fall in this category. It can be argued in particular that 'infrastructure' and 'sustainable development' represent the two main groups of policy packages where synergy and coordination are highly relevant.
- The formation of a common spatial vision. This applies in the case of established forms of cooperation and genuine participation between various actors in the form of contracts, planning agreements that have mostly a focus on the local level. Examples include inter municipal alliances and other forms of local cooperation and involve schemes of urban regeneration, economic development, environmental protection etc.

Coherence is a very important point of departure for a discussion of synergy and policy coordination. In the White Paper on European Governance, coherence is articulated as both an issue of clarity of single policies and of coherence across policies, relating also to coordination and integration of interventions across sectors. Many of the cases studied in the project refer to policy tools and practices that necessarily include many sectoral policies and measures. In some cases (waste management and transport for instance) different sector interests have come to play in a more direct fashion. The question is how they have been integrated and what kind of interaction and coordination has emerged in order to contribute to coherence. The synthesis of the case studies provides multiple examples of such processes of improving coherence, mainly at regional and sub-national levels, but also, in some cases, at the national level.

Coherence is also connected to the way in which broader policy-level themes and objectives (e.g. those incorporated in the ESDP,

territorial cohesion, sustainability, Lisbon and Gothenburg themes etc.) are integrated into territorial initiatives. Here the theme of territorial integration is central, as it was assumed that better policy coherence in a territorial context can only be achieved through a better co-ordination of different sector policies with a territorial impact. The Czech Republic is an example of how the EU cohesion policy has influenced the main national sectoral policies, that impact on territorial development. Moreover they are supported by the policy for foreign direct investments, other economic development policies, as well as by environmental and housing policy. In Greece, the management of Structural Funds has been an opportunity for progress in sectoral policy integration, where synergies and inconsistencies have been explicitly recognized and acknowledged. However, the implementation of these synergies through actual policy packages has not been secured yet.

Horizontal cooperation and partnerships at the national level usually take the form of a cabinet of Ministers, inter-ministerial committees / boards or inter-ministerial working groups. There are however also more complex arrangements, with long established agencies, like the French DATAR, playing a crucial role. Innovative tools and progressive processes of vertical cooperation mechanisms are to be found in federalized or regionalized countries, where regions enjoy a high degree of autonomy, although this is not a universal rule. Former socialist countries seem to experiment with new and originally informal horizontal partnership configurations; the traditional phase they are passing through facilitates such experiments.

One way in which better coordination and policy coherence is achieved is through the development of 'national spatial development perspectives', 'comprehensive plans', 'plans for territorial development' etc., which are actively consolidated with other existing spatial plans and visions. This is attempted through territorial pacts, in some cases taking contractual forms, in others more voluntary. In many cases this degree of integration remains limited however.

In Belgium, regional development plans cover **spatial planning** and include issues concerning various sectors such as environment, mobility and housing. In Germany several sectoral policies are involved in implementing the spatial planning policy goals including financial equalisation policy, economic promotion, large scale transportation policy, labour market policy, research and higher education, urban development and housing policy, agricultural and environmental policy. In Luxembourg sectoral plans (*plans directeurs sectoriels*) aim at promoting horizontal coordination and integrating

sectoral policies in spatial planning. In France the main long-term planning objectives for sectoral policies are included in the '*Schémas de services collectifs*' (SSC). These documents are elaborated by the state on the basis of regional meetings in order to identify the main needs in terms of services and facilities. Nine sectors are covered by these documents: health, higher education and research, culture, passenger transport, goods transport, new technology, energy, natural and rural areas, sport. The General Territorial Plan of Catalunya contains policies that aim to balance housing and jobs, and to balance mobility and environmental quality. There are Partial and Sector Territorial Plans, concentrating on coastal, agricultural and mountain areas, as well as water and ecological systems.

In general, **regional and economic development policies** include practices of intersectoral synergy. In Sweden, regional development policy includes a range of measures in practically all policy areas (enterprise, employment, educational, transport, research, rural issues, agriculture, forestry, cultural issues, IT, post and telecommunications, foreign trade, export and investment, urban development). In France the fostering of competitiveness in the context of the SSC involves promoting synergies between research, education units and firms. A more specific example related to economic development is the case of the Austrian Styrian Business Promotion Agency (SFG) which addresses the issues of skills development, entrepreneurship, technology, innovation, research and development, intra-regional and inter-regional networking. In Finland national legislation, and particularly the regional development legislation, requires cross-sectoral coordination to identify activities and measures that are likely to have relevant territorial impacts. Ministries are expected to draft sectoral strategies (e.g. education, agriculture and forestry) that outline strategic measures. The objective of this process is to identify the potential territorial impacts of the ministries and to ensure the coordination between their strategies and those set within the national regional development strategy.

In Denmark growth partnerships gather together regional, local and national actors. The Danish regional development programmes have been developed in terms of comprehensiveness rather than in strictly sectoral terms. The partnerships have given shape to regional conditions for growth and coordination of different initiatives relating to the field of labour-markets, education, culture, environment, growth and research based on a common strategy for growth and balance. Another Danish initiative was that of 'regional growth environments' with the goal to promote cooperation between



companies, universities and research institutes.

Among **infrastructure policies**, transport is the one that probably presents the strongest synergies. Besides internal coherence needed in the development of an integrated transport system, transport projects can be part of regional development policy packages. In Luxembourg, transport policies and the efficient development of transport services are considered as fundamental for social and territorial cohesion. The guidelines for transport and spatial planning, issued in 2004, are an example of an approach to promote policy packages that achieve win-win situations for planning and transport policies. The case is the same with Portugal, where the road network plan and its implementation is the single most important public investment policy, targeting territorial cohesion, economic productivity and the social development and integration of local and regional communities.

Similarly '**sustainable development policies**' encompass a number of different elements. One characteristic example involves the sustainable development of rural and isolated areas. In Romania the development of rural settlements forms part of the government's territorial development program that includes a range of sectors such as agriculture and fisheries, water, tourism and environment. In Greece, policies for integrated development of remote rural areas present strong synergies with tourism development (including ecotourism and agro-tourism) and the management of the natural environment and cultural heritage. In Cyprus as well, rural development policies include various sectors (agriculture, forestry, natural heritage, industrial areas and tourism diversification), while in France rural policies under SSC focus on generating employment, housing policy and public services.

Another example of a sustainable policy is the integrated management of coastal zones. In France the new policy for coastal areas involves coordination at various spatial scales. In Catalunya, the Urban Directive of the Coastal System inaugurated an innovative approach for land use and littoral protection in Spain, by building consensus through meetings with town councils and land owners.

The most numerous examples of policy packages, and perhaps among the most interesting, are those focusing on cities. They often exhibit experimental, innovative arrangements, at neighbourhood, city or urban region level. They involve all sorts of cooperation forms, i.e. between national states, regions and cities, between regions and cities, between city authorities and / or between intra-city municipalities.

Spatial development can possibly refer to urban areas concerning various policy sectors. The German national and regional initiative on 'Districts with Special Development Needs', the 'Socially Integrative City' aims to counteract socio-spatial disparities in cities and foster participation and cooperation in urban districts. It is supposed to represent a new integrative political approach to urban district development. A municipal steering committee and an advisory board, consisting of governmental and non-governmental stakeholders from the urban district, administer the strategies and public funds. The areas of activity include employment, professional qualifications and training, education, health, transport and environment, sport and recreation, and housing. In Switzerland as well, policy packages can be found in the federal agglomeration policy, whose objectives include the enhancement of the economic attractiveness of urban areas.

In France the '*projet d'agglomération*' for a 15-20 years period is the basis of the future 7 year '*contrat d'agglomération*'. It is elaborated within an inter-municipal framework in association with a permanent local forum formed partly by members of the local civil society. The '*Schéma de cohérence territoriale*' (SCOT) can be described as the spatial expression of the '*projet d'agglomération*' that contains a list of projects to be carried out in the future and their location. It is also compulsory for local authorities to organize a local forum. At a communal level, the '*Plan local d'urbanisme*' follows the same rules. The "*Charte de pays*" is the equivalent of the '*projet d'agglomération*', for rural or urban-rural areas. It is the basis of the future '*contrat de pays*'.

In the Netherlands the Fourth Report on Spatial Planning (Extra), or Vinex, published in 1991, introduced the so-called Vinex-location policy, which planned 500,000 new dwellings in large-scale development areas close to existing cities that would allow public transport access. Three other policy packages are included: ROM areas (focused on integrating spatial planning and environmental issues), Elaboration Areas (focused on the integrated development of regions with specific qualities such as environmental or landscape features) and Key Projects (focused on central business district development including for instance cultural and housing functions). These policies were characterised by a project approach. The step from vision to implementation involved a covenant or some administrative agreement between parties. Another interesting Dutch example is the ABC-policy, which was introduced in 1989 with the aim to reduce commuting and congestion by providing development sites for companies at the right locations. The policy combines the

interests of the departments of transport, of economic affairs and of spatial planning. By addressing local authorities as well as companies it has a clear governance dimension since the support is needed of multiple actors in order to become successful.

A variant of intermunicipal cooperation of a more ambitious character can be found in the creation of Functional Urban Regions, where a variety of partnerships flourishes, or in the national policy – induced creation of urban networks. An interesting example from the Netherlands is the WGR Act on communal regulations, which came in force in 1985, aiming at reducing political tensions at the city-regional level between the dominant city and the surrounding smaller municipalities. The Act provides a framework for co-operation between municipalities amongst others in the fields of spatial planning (in particular location of new housing), economic development (location of business parks), transport (public transport, but also cycling paths etc) and environment (location of parks and green areas) in order to increase efficiency. National government determined the 7 urban regions (so-called 'WGR-area') and the municipalities that are part of them. By the end of 2005 a renewed Act (WGR+) was voted to encourage inter municipal cooperation on a voluntary basis, thus opening possibilities to construct new WGR-areas next to the 7 existing ones.

In Denmark the Greater Copenhagen Authority has achieved a wide range of results within the six core areas of the organisation: public transport, regional and traffic planning, Øresund co-ordination and development, industrial policy, tourism and culture. The Danish Urban Regeneration Programme is another example of Danish policies with an integrative approach. The programme started as an experiment aimed at combating social isolation and segregation in disadvantaged communities. The 12 projects initiated so far are located throughout Denmark, primarily in large cities. Many different actors are involved in urban regeneration from central and local government, public and private-sector actors. The content of the urban regeneration projects is determined jointly by the citizens and the local urban regeneration authority based on parameters set by cooperation agreements between central and local government.

Like conclusions the range of cooperation forms in policy packages which we were able to identify in national overviews and case studies reported is extremely broad (see Annexes B and C). At on extreme, cooperation forms exhibit systematic, regular and institutionalized cooperation between territorial units, which produces tangible projects. At the other, less innovative, end, cooperation between

public agencies is limited to participation of their representatives in government councils and committees. Equally, we have ambitious contractual agreements, linking national, regional and local authorities in integrated policy packages, but also simple cooperation of municipalities in the production of joint planning studies.

The overall trend is clearly one of increasing use of contractual schemes, partnership working, regional cooperation, central state – regional coordination and inter-municipal alliance formation. This is a positive development, but it must be admitted that the pace of reform varies and in some cases it is almost at the level of intentions. Although progress may be occasionally exaggerated, to the point that simple inter-ministerial cooperation is considered worth reporting, there is no doubt that the ideology of “joining hands”, horizontally and vertically, is gaining ground.

Countries with long traditions of government and urban development and administration can boast a rich and wide spectrum of cooperation arrangements at all territorial levels. These arrangements are not necessarily correlated with particular national constitutional forms. They can be found equally in federal, unitary decentralized or regionalized countries, which proves that governance is not the monopoly of a particular form of government, a conclusion which is true with respect to several aspects of governance which we examined. This does not mean that there are no particularities associated with specific government systems. E.g. we found arrangements prevalent in the particular conditions of federalism to overcome limitations of co-ordination or cases of cooperation between municipalities, which are typical of Nordic countries, without being exclusive to them. A similar comment can be made with regard to contractual methods, as in France, which presupposes a familiarity grounded in history. Countries with systems based on consensus principles, e.g. the Netherlands, can show examples of cooperation in virtually every category.

In countries accustomed to operate only with conventional planning instruments, we observe a relative shortage, or even absence, of innovative arrangements. In such cases the examples tend sometimes to have an *ad hoc* character, e.g. they are related to extraordinary events, such as the organization of sports events. Examples in such countries are also of a conventional character, e.g. “Build – Operate – Transfer” (BOT) construction agreements, which were presumably not considered as worth reporting by some overview authors. There are however arrangements, which do have an innovative character even if they do not produce spectacular

results, like municipal development companies, public – private partnerships for land development or quality agreements in certain economic sectors, which are important in their national context. Their potential deserves further investigation to examine whether it can be exploited and extended in the future.

National – regional and inter – regional cooperation is another important theme, regardless of the institutional form it takes and the instruments it employs. There are cases where this is a familiar practice for both economic and territorial development, both in federal and unitary states. It has been remarked already that the constitutional structure does not seem to be a crucial differentiating parameter. We have federal cases where national – regional (state) cooperation is limited, almost non-existent. In fact, there are federal examples where an initiative of partnership cutting across the national – regional – local divides is hailed as a path breaking innovation. We have also several “unitary” examples where national – regional cooperation is limited to a hierarchical plan production, to recent and untested legislative provisions or to the processes imposed by EU Structural Fund regulations, in the context of programming documents. Nevertheless, the latter should be welcomed as an important step. Intra-regional cooperation exists not only in countries where national – regional and regional – regional forms of cooperation are common, but also in cases where the latter leave a lot to be desired. The institutional arrangements and the terminology used vary (micro-regions, conferences, partnerships, alliances etc.). This shows, once again, the diversity observed in the 29 countries we reviewed.

- **Implementation of the Open Method of Coordination and similar innovative methods**

Our guidelines for the writing of national overviews included a special section on methods and instruments, with special emphasis on the use of OMC in the countries reviewed, in particular in connection with territorial governance. In view of the importance attached to OMC, some tentative conclusions from the synthesis of national overviews were included in the 2<sup>nd</sup> Interim Report. The responses found in the overviews and the conclusions are now included in Annex B (Chapter 2, Section 8) of the Final Report. The present chapter is largely drawn from this section of Annex B.

The use of a large number of instruments is mentioned in the overviews, although it must be said that in some cases they are rather conventional (e.g. land use plans). But increasingly such

formal tools are accompanied by a variety of strategic, comprehensive and guidance documents. In some cases even relatively small municipalities have to produce both a land use and a strategic development plan. More sophisticated policies are now pursued at the regional or urban level, e.g. e-society or technological development policies, alongside conventional regional development plans. New methods are reported regarding cooperation, consultation and partnership, leading to a variety of agreements and contracts. Specific information on the use of the Open Method of Co-ordination in territorial issues was rather scant. In spite of its use in other policy areas, it seems to be of rather rare application in spatial policy making.

The Open Method of Coordination (OMC) is a relatively new means of governance in the European Union, based on the voluntary cooperation of its Member States. The OMC rests on soft law mechanisms such as guidelines and indicators, benchmarking and sharing of best practices. There are no sanctions for laggards, however the method's effectiveness lies, first, in a form of peer pressure and "naming and shaming", since no one wishes to be seen as the "last in the class", and, secondly, in providing a stimulus to excel. It is the opposite of hard law, where there are rules and sanctions for those unwilling to comply with the rules.

"Generally, the OMC works in stages. First, the Council of Ministers agrees on policy goals. Member states then translate guidelines into national and regional policies. Thirdly, specific benchmarks and indicators to measure best practice are agreed upon. Finally, results are monitored and evaluated. Because it is a decentralised approach, largely implemented by the Member States and supervised by the Council of the European Union, the European Commission has primarily a monitoring role and the involvement of the European Parliament and the European Court of Justice is very weak indeed. Although the OMC was devised as a tool in policy areas which remain a priority for national governments, it is sometimes seen as a way for the Commission to 'put its foot in the door' of a national policy area"<sup>40</sup>.

The OMC is more governance – oriented, than the traditional means of policy making in the EU, the so called Community Method, of which in fact "European Governance" is an alternative approach. Due to the decentralised character of the OMC the role of the European Commission is limited as indicated above; it is the Member States which implement the OMC.

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<sup>40</sup>[http://www.eurofound.eu.int/areas/industrialrelations/dictionary/definitions/OPEN\\_METHODOFCOORDINATION.htm](http://www.eurofound.eu.int/areas/industrialrelations/dictionary/definitions/OPEN_METHODOFCOORDINATION.htm)

The method was first applied in EU employment policy, at least as defined in the Amsterdam treaty of 1997, although it was not called OMC yet. The label was introduced at the Lisbon Council for the field of social policy. The OMC has already been applied to several policy fields but its use in the field of spatial planning is not widespread.

According to Faludi, the Open Method of Co-ordination (OMC) "is being promoted as an alternative in policy areas where the Community method does not apply, such as employment, social security and pensions"<sup>41</sup>. The possibility is being explored to use it in territorial cohesion policy. The use of the Open Method of Coordination is directly linked to the adoption of a governance approach and to the Lisbon Strategy. There are several references to OMC in the Lisbon Strategy (Presidency Conclusions, Lisbon European Council, March 2000):

"Implementing this strategy will be achieved by improving the existing processes, introducing a *new open method of coordination* at all levels, coupled with a stronger guiding and coordinating role for the European Council to ensure more coherent strategic direction and effective monitoring of progress... The European Council asks the Council and the Commission, together with the Member States where appropriate, to take the necessary steps as part of the establishment of a European Research Area to... encourage the development of an open method of coordination for benchmarking national research and development policies... The competitiveness and dynamism of businesses are directly dependent on a regulatory climate conducive to investment, innovation, and entrepreneurship... The European Council considers that an open method of coordination should be applied in this area and consequently asks...: [T]he Council and the Commission to launch... a benchmarking exercise on issues such as the length of time and the costs involved in setting up a company, the amount of risk capital invested, the numbers of business and scientific graduates and training opportunities... [T]he Commission to present shortly a communication on an entrepreneurial, innovative and open Europe... [T]he Council and the Commission to draw up a European Charter for small companies... Policies for combating social exclusion should be based on an open method of coordination combining national action plans and a Commission initiative for cooperation in this field...".

The Lisbon Presidency Conclusions also include an analysis of the Open Method of Coordination:

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<sup>41</sup> Faludi, A. (2004), The Open Method of Coordination and 'post-regulatory' territorial cohesion policy, *European Planning Studies*, 12(7): 1019-1033.

“Implementation of the strategic goal will be facilitated by applying a new open method of coordination as the means of spreading best practice and achieving greater convergence towards the main EU goals. This method, which is designed to help Member States to progressively develop their own policies, involves:

- fixing guidelines for the Union combined with specific timetables for achieving the goals which they set in the short, medium and long terms;
- establishing, where appropriate, quantitative and qualitative indicators and benchmarks against the best in the world and tailored to the needs of different Member States and sectors as a means of comparing best practice;
- translating these European guidelines into national and regional policies by setting specific targets and adopting measures, taking into account national and regional differences;
- periodic monitoring, evaluation and peer review organised as mutual learning processes”.

In the view of two commentators:

“Under the [Lisbon] strategy, a stronger economy will drive job creation alongside social and environmental policies that ensure sustainable development and social inclusion... To this end, the European Council also endorsed the use of the ‘open method of coordination’ (OMC) as a new technique of governance. The OMC circumnavigates traditional forms of EU policy formulation. This approach calls for setting targets and benchmarking progress, primarily through the EU Council. Instead of deciding on binding rules, common targets are set for the whole of the EU, while leaving each country free how best to reach these goals. The countries exchange experience, compare progress and work out suitable guidelines to follow. This is the procedure used for cooperation in economic policy, employment policy, social issues, pensions issues, and some other areas”<sup>42</sup>.

According to the Presidency Conclusions of the Brussels European Council (March 2005), “the reports on follow-up to the Lisbon Strategy sent to the Commission by Member States each year – including the application of the open method of coordination – will be grouped in a single document... [T]he first such document will be submitted in the autumn 2006”.

As concluded from the ESPON 2.3.2 national overviews the use of OMC in territorial planning is limited. As shown in Table 2.2.1 , use of

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<sup>42</sup> Lara Garrido Herrero and Tamsin Rose, *An introduction to the Lisbon Strategy*, EPHA Briefing for members, September 2004.



OMC in connection with territorial planning is reported in only 4 overviews. However, use of the method in other fields is reported in a much greater number of overviews, i.e. in the 4 overviews mentioned in the first category, plus in another 12. No reference to the use of OMC is made in 12 overviews of countries, where, it is fair to assume, the method is not being used <sup>43</sup>. Some doubt still remains whether this is a correct conclusion.

**Table 2.2.4 Use of OMC in ESPON29 Space**

|  |  |
|--|--|
| OMC used in territorial planning                 | Denmark, Ireland, Netherlands  |
| OMC used in other fields                         | Austria, Belgium, Czech Republic, Finland, France, Germany, Greece, Hungary, Ireland, Latvia, Malta, Netherlands, Norway, Spain, Sweden, Switzerland, U.K. |
| No indication of use of OMC in national overview | Bulgaria, Cyprus, Czech Republic, Estonia, Italy, Lithuania, Poland, Portugal, Romania, Slovakia, Slovenia   |

It should be noted that in the original synthesis of overviews the classification included other methods, such as statutes, guidelines, directions etc. for participation, consultation and / or partnership creation, as well as so-called "programming methodologies" (e.g. in Italy). Given the difficulties of classification, these items were finally omitted in the table, but the relevant comments are maintained in the paragraphs by country in Annex B (Chapter 2, Section 8) of the Final Report.

A general conclusion is that in a large number of countries the OMC is not used at all or is used in a very limited way. Even knowledge about the method seems to be limited, which is highly significant. One has to ask the question whether this has to do with the problems associated with the use of the particular method or is a natural outcome of the slow dissemination of governance practices in general. Particularly pronounced is the absence of the method's use in territorial development and planning, perhaps because of the increased difficulties in using it with a large and varied number of stakeholders, in a field where issues of land interests and property are dominant. In contrast to the field of territorial planning, the method has become relatively established in the social and

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<sup>43</sup> This is clearly stated in the case of Romania.

employment policy fields, where it originated. These conclusions can be summarized as follows:

- Relatively low level of knowledge about the OMC method;
- Rare use of OMC in territorial planning and even then only tangentially;
- OMC seen as useful in international or at best national – sectoral negotiations and arrangements;
- Use of OMC in employment – social protection – pension policy negotiations.

In more sectoral fields the OMC is successful because the need is higher, the sectoral emphasis makes its use more feasible, there is a stronger recognition of the role of the State and there are more short term effects.

One point which is mentioned in the UK national overview is worth stressing, because it probably accounts for the hesitation to use the method. The UK government “did not support the notion that [OMC] should not be used when legislative action under the Community method was possible”. This is no doubt an issue in the heart of the dilemma of using conventional methods as opposed to more innovative tools, like OMC, and of accepting, as a consequence, the premise that OMC is being promoted as an alternative in policy areas where the Community method does not apply.

A large number of countries even those already imbued with a governance culture and experienced in governance practices show ignorance of OMC or very limited use of the method. Of those overviews reporting some use of OMC most state that its practical application is restricted to fields other than territorial planning.

What is particularly interesting is the hesitation of the authors of certain overviews, particularly in cases of advanced countries in governance matters to report on the employment or not of the OMC method. Relevant comments are vague and usually of the type “although there is no direct reference to the use of OMC either in law or public policy documents, there has been a long tradition of using similar methods and instruments or of taking advantage of the method’s essential components in routine administrative practices”. It seems that the profile of the method is not clear yet, nor is its added value in relation to already tested and experienced processes of benchmarking, contractual negotiations etc. Politicians, administrators and scientists or researchers find it difficult to

distinguish between official pronouncements on the use of OMC and its actual use in decision-making and policy implementation.

Of special interest, with regard to the general understanding of the method, is a critical comment found in the overview of France: "OMC conceived in its broad sense, i.e. coordination that is achieved by means other than hard-law and funds, is already in place".

It may be the case that the above quotation reveals the underlying assumptions / purposes of the OMC as a driving force. Formulation and enforcement of implementation of territorial policies at the EU level – by means of funding or legislation measures - prove to be difficult. Funding implementation of territorial policies determined at the top EU level is a costly option. On the other hand legislative enforcement of such policies is barred at the moment as entailing EU intervention in national planning systems and / or cancellation of national and sub-national competences in territorial planning. OMC is a tool allowing for voluntary convergence of territorial policies and territorial objectives of the individual countries leading ultimately and hopefully to territorial cohesion.

The limited use of the method, can be explained by a possible fear of homogenization of territorial objectives across the EU and of the establishment of an agreed, ongoing monitoring system (based on territorial indicators), for the purpose of criticizing and evaluating achievements in a given time horizon. However, the introduction of OMC concerns not homogenization of territorial objectives, but rather their harmonisation. Spatial problems and priorities vary across the EU and the causal relations between spatial problems and targets of potential territorial policies also tend to differ. Besides, quantitative territorial indicators and their temporal changes and fluctuations rarely represent comprehensively the existence, improvement or deterioration of a spatial problem / condition. Hence, monitoring the implementation course of an agreed territorial policy by means of quantitative indicators alone is not an efficient tool for the improvement of territorial conditions.

We have to concern ourselves with the problems that stand on the way of a successful implementation of OMC in the field of spatial planning. We have reached the conclusion, that knowledge about the nature and potential use of OMC in territorial planning is limited. Suspected causes underlying the marginal significance of the method in territorial planning are the following:

- The slow dissemination of governance practices in general;
- Problems related to the rational and internal structure of the method;
- The difficulties of applying the method in territorial planning, for the purpose of securing convergence of territorial objectives across national, regional and other political / administrative boundaries. The convergence of stakeholder views and consensus building prove to be difficult even within one and the same jurisdictional area.
- Inappropriateness of the method for territorial planning, in terms of its use for monitoring the course of implementation of an agreed territorial action (i.e. quantitative indicators);
- Shortage of appropriate skills in the administration at all levels;
- Lack of official information regarding OMC and the benefits of the method.

Furthermore there are two gaps or conflicts that have to be pointed out. The first gap that can be identified emerges in the relations between the EU level and the national level, of the Member States, in the case of territorial governance. This gap between the Member States and the EU can be observed for instance in trans-national governance situations, in which the State level is absent and the regional level has the key responsibilities. It can be said then that the connection between the national scale and the European scale seems to be missing. In cases of intra-state governance the main levels are the State level, mainly because it controls resources and finance, and the regional / local level, in charge of development and execution of plans. The EU level seems to play no direct role. In the case of EU programmes, the EU level is naturally of importance, together with the regional and the local level. The national level plays a role of lesser importance, although it is difficult to generalize. In short, when the EU level has a strong presence, the national level is not always present, and when the national level is present the EU level is absent.

The second gap can be seen to originate in the level of importance of OMC for different actors. For the EU the OMC has more added value and thus is of greater importance than in the case of Member States. However OMC presents a clear governmental dimension, in other words there can be no genuine use of OMC without the States. The following quotation however shows that the OMC is -or ought to be- of great importance for the Member States too:

"Historically, the OMC can be seen as a reaction to the EU's economic integration in the 1990s. This process reduced the Member States' options in the field of employment policy. However, they were also reluctant to delegate more powers to the European institutions and thus designed the OMC as an alternative to the existing EU modes of governance"<sup>44</sup>.

The importance of the OMC for the European Commission may be attributed to the remark made at the beginning of this analysis where, namely that the Commission maintains "a foot in the door" of national policy. This, in the Commission's view, seems to lead to a win-win situation instead of a conflict of interests. A fundamental problem of the OMC is that the regional level does not really have a role and seems to be even bypassed, as the main levels are the EU, Member States and the local level.

As mentioned earlier, OMC does not seem to be very successful so far, at least in spatial planning. However the use of OMC in the field of spatial planning could be rescued by allocating to it a role that complements the system and fills the gaps identified above. OMC can establish the connection between the European level and the national level, whereas territorial governance should aim at promoting a more proportional involvement of the regional level. The theme of territorial cohesion could thus provide a platform for the success of OMC in spatial planning. As the next quotation suggests, this idea is not new:

"Faludi proposed a scheme in which the Council of the European Union would take the initiative to prepare a European territorial cohesion strategy (ETCS) based on the OMC principles. Furthermore, he proposed that the Council incorporate the concepts of polycentric development, as defined and developed through the ESDP, into this strategy. This ETCS would call upon each member state to prepare its own territorial cohesion plan of action, which would include what that state wants from the European Community. Member states would hold mutual review sessions, both informally and then formally, to discuss these plans of action. Territorial cohesion forums would be held annually, at which the European Commission would present its European territorial cohesion strategy as well as member states' plans of action, along with the results of the reviews of these plans. Subsequently, the EC would issue advisory guidelines for how these plans could be improved and implemented. Work done under INTERREG IIC and IIIB could bring a transnational perspective to these reviews. Through this OMC of territorial cohesion

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<sup>44</sup>[http://www.eurofound.eu.int/areas/industrialrelations/dictionary/definitions/OPEN\\_METHODOFCOORDINATION.htm](http://www.eurofound.eu.int/areas/industrialrelations/dictionary/definitions/OPEN_METHODOFCOORDINATION.htm)

strategies at the member state, transnational, and European levels, polycentricity, international competitiveness, and sustainability should emerge as overarching goals that guide the strategies”<sup>45</sup>.

The limited use of OMC should not be ascribed to lack of practical value. It can be very useful, but, to reach that stage, the problems that OMC has been experiencing so far in the field of spatial planning have to be tackled first. To begin with, the level of knowledge should be increased, since before one starts using it, one has to know its potential in depth, by releasing more official documentation on the subject and really putting it on the agenda as a goal. Furthermore, lessons should be learned from the good and bad experiences of the use of OMC in Interreg IIIB. The problem caused by the impression that OMC can only be useful at the international and, at best, at the national level and mainly in sectoral fields, can be overcome by first gaining more experience through real OMC implementation in the field of spatial planning at different levels. Right now little experience has been gained; only under Interreg IIIB real valuable experiences were gained, leading to the more general conclusion that the low level of use and low knowledge of the method provides limited data to really form a strong basis for OMC rejection. When more experience is accumulated, the method's value might be acknowledged and it could penetrate more levels than just the transnational and national level. It is therefore too early to reject out of hand the use of OMC in the field of spatial planning.

A possible conclusion is that the dilemma “about the use or no use of OMC when legislative action under the Community method is possible”, may not be a real dilemma in most Member States, at least not yet. The method needs refinement and adjustment to territorial planning particularities so as to enjoy broader use. It will be only then that an assessment of its value and implementation potential will be possible and a judgment on its future can be passed. In the meantime, a much greater effort for the adoption of the method will be necessary.

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<sup>45</sup> ULI Land Use Policy Forum Report, Spatial Planning for Future Development in the European Union, Marta V. Goldsmith, Paris, France, 20–21 January 2004.

## **3. Territorial Governance Actions: Identifying Processes, Trends and Best Practices**

### **3.1 Identification of governance trends**

As outlined in the case study analysis attached as an appendix to this final report, the changes taking place within territorial governance are linked to an increasing shift towards multi-level modes of governance, in a system of continuous negotiation and adjustment among governments and non-governmental actors at several territorial tiers, from supra-national to sub-national (regional and local). This broad process of institutional adjustment and adaptation is shifting some previously centralized functions of the state to the supra-national level, whilst others are delegated or in some cases devolved to the sub-national tiers of government. Yet in other cases the adjustments taking place relate to actors, organisations and interactions beyond the government system, involving other than governmental actors and organisations, from the private sector to the voluntary sphere, as well as to social movements and their mobilisation effects.

The main conclusions summarised in this sub-chapter relate to trends and identified changes within vertical and horizontal relations, innovative practices, as well as to the main principles of good governance, i.e. public participation, openness, accountability, effectiveness, coherence. We can conclude that certain tensions and even contradictions exist between the prevalent nature of governance/government and the emerging new practices: whilst a lot of expectations and assumptions found in literature on territorial governance are connected to more network-based, flexible and less hierarchical modes of governance, the picture emerging from the case studies is one where the central government/federal states and its regionalised authorities, as well as the local authorities still play a major role and where hierarchical relations still determine much of the preconditions and parameters for decision-making, problem-solving, management and conflict resolution.

When concluding on the limited number of case studies (53), it is obvious that national, regional and local cultures, histories and practices are of essence. Governance is something built as a path-dependent and historical process and this should be born in mind also when the broader relevance and time perspective needed in relation to these examples as summarised in our case studies are considered. In many cases change is slow and incremental, though in others (e.g.

the former Eastern bloc), radical changes have influenced the processes.

In some cases, examples given are more discursive, strategic or declaratory in nature, i.e. they relate to the introduction of new planning instruments, strategies etc. that can only be judged in relation to their political and *governance* impact once they are put into practice or implemented over a longer period of time. Only then can it be judged whether in fact this particular planning instrument and the governance practices and methods that helped to bring it about are of consequence for the nature of governance, as judges in terms of principles of 'good governance', democratic accountability, openness etc. In this sense the case studies provide more snapshots of situations, which can best be understood in the broader / longer framework described elsewhere in this report (national overviews, analysis and typologies relating to planning cultures/styles etc.).

Wherever appropriate, findings from the qualitative analysis of the case studies will be accompanied by results obtained from the numeric approach. (For a full documentation of the numeric approach, see Annex A).

### **3.1.1 Trends in vertical relations: Multi-level relations, decentralisation, devolution, and regionalization**

Moves towards increased devolution, decentralisation and regionalisation are clearly visible in the case study analysis, though also partly determined by the selection process and criteria selected for the cases.

Vertical relations (between public authorities) are still the predominant determinant of territorial governance and in many cases the most central aspects of conflict, power relations and accountability still seem to relate predominately to traditional policy processes of seeking to accommodate different interests. Even in the more 'innovative' governance forms, central level often remains the main arbitrator and the national central government level is decisive in facilitating governance, providing the institutional and regulative frameworks required, as well as in financing. Central government level/federal states usually have the role of setting the broader strategic guidelines and institutional frameworks, as well as financing major infrastructure developments.

The case studies confirm the importance of the role of the state and the central government/federal states, which is always installing the **framework and regulative context** in which the other actors will



then find their places. Also, it is often at national level (government and/or parliament) that **final agreement**, on policies or a spatial plan, has to be given. This agreement is needed for reasons of accountability, but also for reasons of traditional and persistent hierarchy, and because the national state is usually still in control of budget and allocations of resources. It is also necessary for the State to decide, **when other actors cannot** come to a decision. The mediating role of the central government is visible in the case studies, e.g. in connection to a role as a mediator even in cases where this is not its main responsibility.

Nevertheless, there is an important evolution if we consider the different ways a central government and state authorities play their role. These roles are quite differentiated, depending on the possibilities offered by the institutional framework, the political context (the opportunity structures available), as well as depending on the utilisation of the tools and instruments such as spatial planning framework, delimitation of territorial entities, transfer of financial capacities, transfer of normative capacities etc. The central government's role seems to have changed relatively little, whilst more changes have taken place in sub-national levels of public authorities, both at regional and local levels.

Interestingly, in most cases a 'new' form of sub-national/ regional governance has evolved. This level has gained competences derived from, particularly, the municipal levels, but also (to a smaller extent) from the sub-national levels. Hence larger than the municipal and (in most cases) smaller than the sub-national, this 'new' body of regional territorial governance provides a strategic tool to integrate and coordinate regional objectives. Here it could be argued that form follows function: the size and form of unit for territorial governance seems in many cases determined by functional needs, though it is also the source of political power struggles. This is also more often the case in governance more generally, as the forms of governance are responses to problems and needs of functional nature.

The strong involvement of regional and local levels in sub-national governance can also be observed in figure 1 based on the numeric approach.

**Figure 3.1.1 Degree of Involvement by Territorial Levels, all Case Studies**

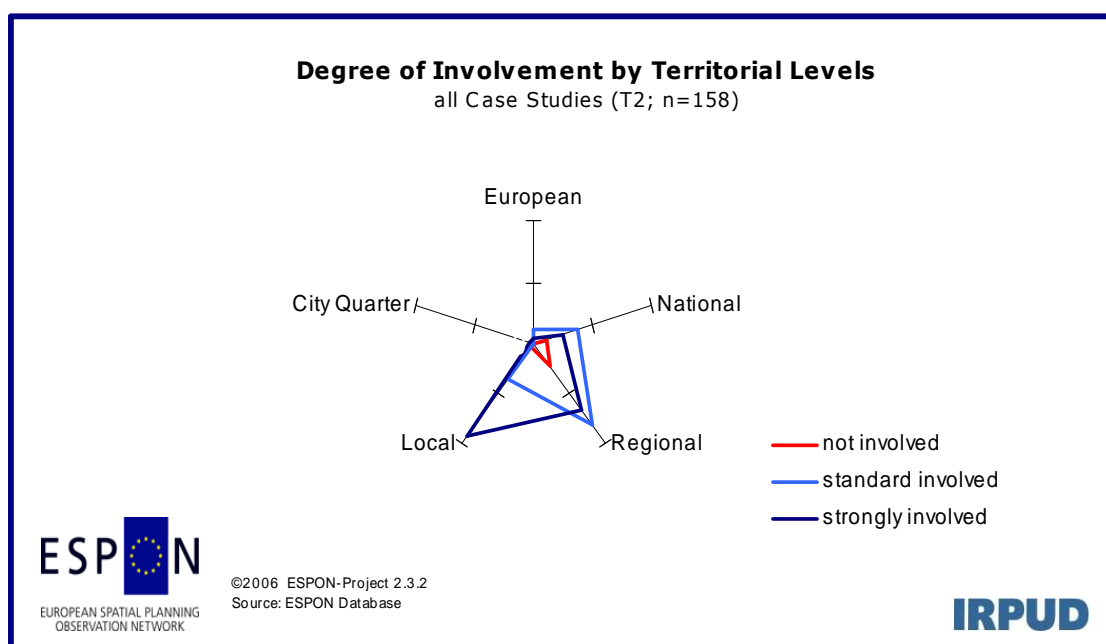


Figure 3.1.1 illustrates the vertical relations between the territories involved in the case studies. All 53 case studies were analysed and the total number of answers was 158 (items listed in the tables). The items were finally arranged by levels, resulting in a degree of involvement of the different territorial levels. This was scored by assessing whether the territory was not involved at all, standard involvement or strong involvement. Although there is no scale, this spider diagram shows on the one side the shares of territorial levels involved and at the same time the shares for the specific degree of involvement. E.g. most of the case studies included the local and regional level and the local level is predominantly strongly involved.

Autonomous regions provide a case apart in our analysis. In federal or devolved cases a strong region can collaborate with local authorities, when the regional level is an administrative unit with high autonomy, major competences, financing and negotiating powers. In some cases the local authority may hold considerable powers and it may be local-regional collaboration between equally strong partners, while in others the local level is clearly weaker than the regional.

In all cases the need for transparency and clarity of division of responsibilities is central to effective and democratic governance. In some cases attempts at decentralisation have been hampered by the fact that distribution of responsibilities and financing has remained ambiguous, leaving room for both political and legal contestation.

### **3.1.2 Trends in horizontal relations: 'Multi-channel', Territorial co-ordination**

Four important categories of actors in territorial governance were distinguished in our analysis. First, and still foremost important, is the

involvement of public actors (authorities or political representatives). The second type of actor are the non-governmental actors, which, despite their increasing importance, still have a more limited role, mainly in relation to advice or informal dialogue. This latter group of actors can, in turn be divided into experts, private actors (or the market) and civil society actors.

Horizontal relations of interest are particularly central as they relate to 'regional', polycentric and urban networks case studies. Collaboration between different local authorities are therefore commonly at the heart of these horizontal relations, but they also include forms of collaboration between other actors horizontally as well as vertically with levels that are geographically above or below that of the region.

Local level relations appear to be characterised by cooperation and dialogue and the municipalities involved seem to be coordinating their efforts. They have relatively powerful status within the regional governance framework. In these cases the central state rather loosely coordinates and enables regional territorial governance and the main characteristic of horizontal relations is cooperation and dialogue. Perhaps it could be labelled **coordination through cooperation**. This governance approach facilitates the development of consensual and integrated strategic plans for the regions which are supported by most stakeholders. The theme of territorial integration is central, as it was assumed that better policy coherence in a territorial context can be achieved only through a better co-ordination of different sector policies with a territorial impact. The synthesis analysis provided here provides multiple examples of such processes of improving integration and by so doing policy coherence, mainly on the regional and sub-national levels, but also in some cases on the national level. One way in which better co-ordination and policy coherence is achieved is through the development of 'national spatial development perspectives', 'comprehensive plans', 'plans for territorial development' etc., which are actively consolidated with other existing spatial plans and visions. This is attempted through territorial pacts, in some cases taking contractual forms, in others more voluntary. In many cases however this degree of integration remains limited.

Figure 2 from the analysis of the numeric approach illustrates the above-mentioned features clearly. Especially a strong output was achieved in the integration of planning activities and in coordination of policies.

**Figure 3.1.2 Outcomes of all Case Studies**

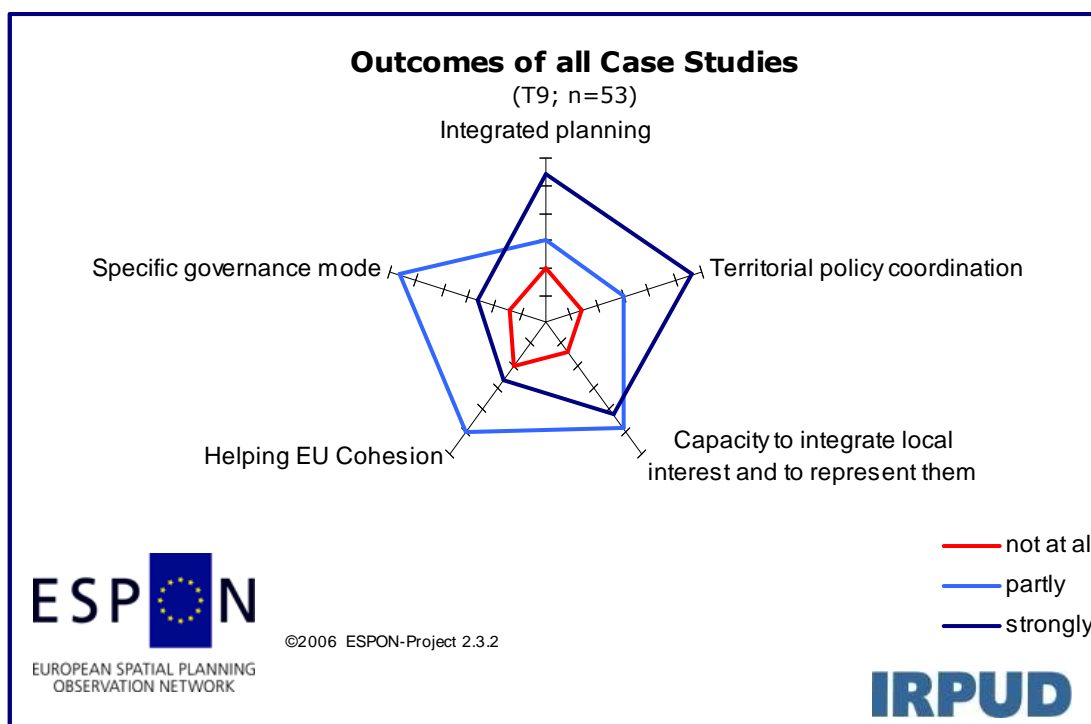


Figure 3.1.2 shows the results of the assessment of outcomes within the analysed case studies. 'Outcomes' is to be understood in 'procedural' terms, i.e. it is focused on the decision making process and the process of implementation, both of which may be containing 'integrative' elements". All 53 case studies were included and for each of the issues given as labels (axes) a score was applied. These scores distinguished between no outcomes at all, partly achieved outcomes and strong outcomes. Concerning the axes, the spider diagram shows the shares allocated to the different aspects, e.g. with respect to 'integrated planning approach' strong outcomes were predominant whereas 'EU cohesion' was just partly realised.

There are many possibilities to achieve more integrated territorial approaches through better horizontal governance. Dialogue and broad involvement of different actors seem to be an important way to such achievements. Territorial integration is also likely to take time and need resources. Some of the examples here relate to collaboration that has been going on for many years. Apart from lack of financial and human capital resources, other barriers can be the presence of strong conflictual elements such as competing interests for land use.

### 3.1.3 Trends in governance <sup>46</sup>

As outlined on good governance in the previous reports of ESPON 232, it is assumed that the legitimacy, quality and effectiveness of

<sup>46</sup> For a revision of definitions of the five principles of good governance, see section 1.3.5 of this Final Report core text.

policies depend on ensuring wide participation throughout the policy chain – from conception to implementation. Improved participation is likely to create more confidence in the end result and in the institutions which deliver policies. Here we have sought to identify whether this is the case and if so, can we give examples that may contribute to understand such processes. Also, we have sought to identify policy initiatives that are relevant in this context and asked whether all participation is of equal value, a goal in itself.

**Participation** is often not very actively promoted. Neither is it the case that more innovative (in the sense of new) forms of governance are necessarily more inclusive or better at supporting and promoting participation. In fact, in some cases the opposite seems to be the case, as the governmental initiatives and those involving local authorities for instance are often bound by legal and formal regulations to take this issue into account. The new forms of governance, whilst being more inclusive in the sense of being partnership-based, do not necessarily have the same obligation for participatory mechanisms.

In participatory terms, scale may be of particular significance, at least in the cross-border cases. It is easier to promote participation and raise interest in initiatives which are more locally based, whilst the trans-national scale makes this naturally more difficult.

It is clear that the most common type of public participation regards *organised actors* and often on the *public side* such as agencies, and in most cases through processes of consultation. Other types of organisations or institutions that are fairly widespread in those case studies where participation is reported include universities, trade unions, professional associations of experts, business and commercial interests. There are also some examples of participation from NGOs and interest groups such as environmentalists. Very rarely are individual non-organised citizens involved. One could argue that, in terms of participation, it is a sliding scale where the by far best represented organisations are government at different levels, followed by other organised stakeholders and in very few cases individual non-organised citizens.

One way of increasing participation is through partnerships and various types of partnership arrangements are increasingly common in spatial planning across Europe. Yet it is still also the case that limited participation is identified as a problem.

Most of the mechanisms and practices promoting **openness** were related to information activities (information activities via Internet,

news letters or the like). In some cases the issue was seen as more national, i.e. relating to the legislative demands for openness, transparency and access. It would seem that information is still more often seen as a one-way flow, an issue of 'informing the public', rather than communicating with it.

In relation to the principle of **accountability**, the various forms of national, regional and local governance reflect very different ambitions and aims, as well as traditions when it comes to accountability. In many cases the clarity of roles and division of responsibilities, which is at the very heart of the traditional model of government, with representative democracy and administrative accountability, is much more difficult to ensure in the new governance models emerging across Europe today. This is the case in Public-Private Partnership models, informal and multi-level associations and movements, where the whole idea has in many cases been to provide alternatives to the previous models of government, which have been perceived as overly hierarchical and inflexible models of government. On the other hand, the more 'new governance' is introduced, the more difficult it is to identify who is accountable in the final instance, amongst the various actors involved. This has repercussions also on policy coherence, which tends to be seen as lacking, with sector policies remaining either under-co-ordinated or even mutually conflicting. Particularly in cases with a tradition of centralised unitary government (new Member States in particular), accountability still rests ultimately with the national level.

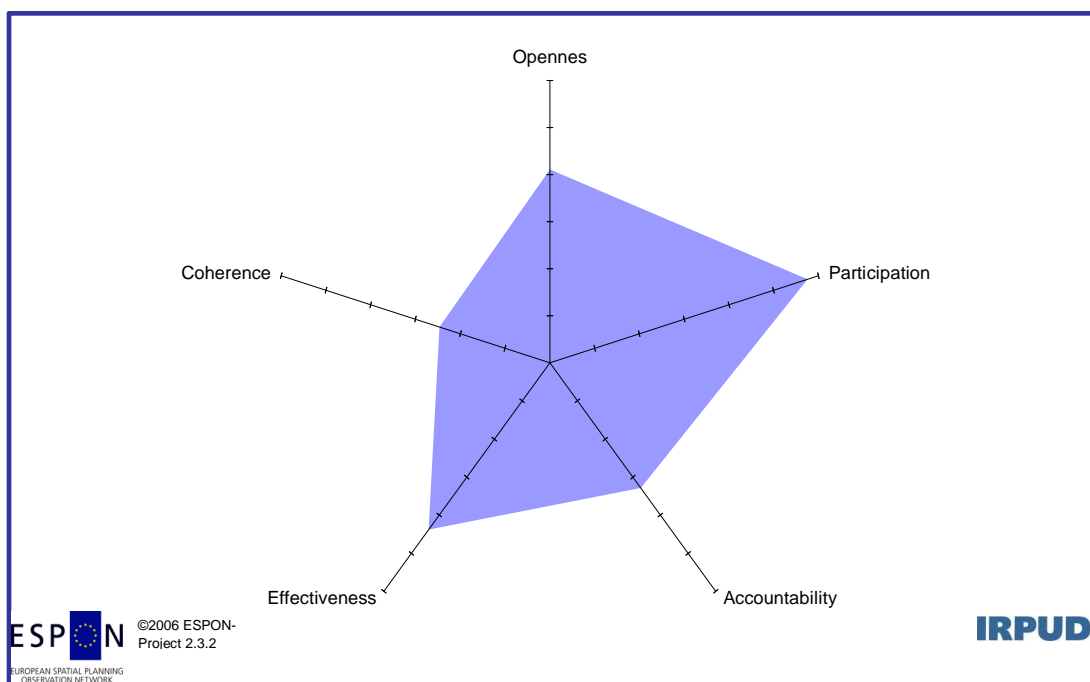
As outlined in the White Paper on governance, **effectiveness** has to do with both effectiveness of policy delivery and the appropriateness of measures implemented, i.e. policies must be "effective and timely, delivering what is needed on the basis of clear objectives, an evaluation of future impact and, where available, of past experience" (White Paper on Governance, 10). Strategic visions and plans can be tools for improving effectiveness. Policy effectiveness is also improved by a long-term focus and potential obstacles to effectiveness thus include the absence of such a long-term perspective, as electoral periods are often insufficiently short time perspectives to implement major changes or at least to embed them and ensure commitment. This can relate to the uncertainty about funding. Many new governance models emerge first as projects or connected to projects, which entails the usual problems of project culture (difficulties in project management, short-term strategies, conflicting or competing policy objectives, inefficient over-laps etc.). It was also argued that though political support and commitment

allows for accountability, it also entails shorter time-perspectives and here the challenges lies in that essentially long-term strategic issues, such as spatial and territorial development do not fit very well into an election-cycle timeframe.

**Coherence** can be assessed both in relation to clarity of single policies and of coherence across policies, and to co-ordination and integration of interventions across sectors. In some cases we have been only looking at one sector, i.e. planning or territorial development, even though these tend to be multi-sectoral. In some cases (waste management and transport for instance) different sector interests have come to play in a more direct fashion. Coherence is also connected to the way in which broader policy-level themes and objectives (e.g. those incorporated in the ESDP, territorial cohesion, sustainability, Lisbon and Gothenburg themes etc.) are integrated into territorial initiatives. Sector barriers are a major bottleneck here and the horizontal integration efforts and more integrated approach to territorial policies are therefore of key relevance.

Figure 3.1.3 provides an image of the central elements of 'good governance', based on the numerical approach in the national overviews (see Appendix B). Three of the elements stand out: participation, effectiveness and openness that were most often mentioned as priorities in the national overviews. The other aspects of 'good governance' follow close, though the aspect of 'coherence' seems to be less important. According to the national overviews, participation, accountability, and effectiveness seem to be the central elements of 'good governance' in urban and territorial policies.

**Figure 3.1.3 Priority Emphasis on Governance Objectives**



### **3.1.4 Innovation**

The innovative mechanisms or tools in the case studies were most often related to participation and consultation processes. In some cases they refer also to plans, planning models, information and marketing tools or other working practices. Furthermore, the innovative practices described in the case studies were mainly taking place in processes prior to the implementation phase. In some cases the very object of the case study was seen as an innovation in its national context because it related to a new way of working, sometimes an official pilot.

Among the **trans-national and cross-border cases**, it was summarised that as long as the initiatives are public-sector led, they also tend to remain embedded in innovation within this sector. There are however also attempts at promoting innovation more broadly and developing innovative tools that can be of benefit for the wider regional community, including the business and R&D sectors. Cross-border initiatives in spatial planning are in themselves important, with great potential for working also in the future as channels of information, exchange of experience and learning. They can be used as 'laboratories' through which trans-national ideas can be channelled and tested.

There were no innovative approaches mentioned among the **national** case studies under that specific heading. However, some of the



practices discussed e.g. with regards to participation, were innovative within their contexts.

Among the **'regional', polycentric, urban network cases** examples of innovative tools or mechanisms that all are related to the ways of cooperation are mentioned. Among the **FUA and metropolitan cases** a few examples of innovation are mentioned, usually related to the introduction of an integrated metropolitan planning level or model. Considering **the urban-rural cases**, there was limited information regarding innovative practice, but some examples were given; a new type of plan, at supra-municipal level, and also innovative use of maps. Among the **intra-city cases** there were also few examples of innovation reported. One such case described a meeting system which had the dual function of information sharing and generating new ideas and impulses from the participants.

### **3.1.5 European policy impacts**

European spatial policy is an area where national and European policies are mutually dependent and influence each other. The theme of territorial governance is in itself an issue that has emerged largely influenced by the EU agenda, as well as the agenda of other international organizations (e.g. OECD). In this sense the European impact of policy discourse and principles is inherent to the project as a whole. An important theme within territorial governance is the Europeanisation of policies, i.e. the influence that policy on the EU level has both nationally and regionally.

European policy impacts were not however defined as a specific theme for the case studies as such. When analyzing the case study material however, it soon became obvious that there were areas of policy development, where European policy was particularly influential: ESDP, sustainability, Structural Funds (in particular Interreg) and Open Method of Coordination.

It seems as if many of the successful cases of increased collaboration resulting in joint spatial development plans or visions are generated through a pragmatic need for closer functionally based co-operation and interaction in regions functionally covering increasingly large geographical areas. Collaboration across administrative borders and involving different types of actors is one way to address the problems with this geographical expansion of functionality. Such collaboration may not first and foremost stem from the ESDP documents themselves, rather it has in many cases grown out of a bottom-up

need to cooperate, though it is then also in line with EU objectives such as those of the ESPD.

Another main influence has been Interreg, which is often seen as a main driver of integration on European spatial policy, as far as the dissemination of ideas and policy thinking into the national, regional and local territorial planning is concerned.

The Open method of Co-ordination was investigated in all the case studies, but proved to be a non-issue in the territorial policy and spatial planning fields. As such this seems also supported by the national overviews, where the topic seemed for the time being remain implemented mainly in labour and employment policy sectors or in relation to policies addressing social inclusion.

### **3.2 Territorial governance trends**

An underlying hypothesis in this project has been that to be able to understand territorial governance, the territorial context needs to be taken into account. Although there are commonalities within the development of territorial governance, such as increased vertical and horizontal collaboration, there are also differences in terms of challenges and difficulties that different types of territories face. Hence, solutions and policy orientations need to be adapted accordingly. For this reason, the case studies have been identified with regards to the following six territorial categories:

- Trans-national and cross-border regions
- National case studies
- Regional, polycentric and urban network case studies
- Functional urban areas and metropolitan regions
- Urban-rural areas
- Intra-city case studies

In Appendix C, each of these territorial categories is dealt with in chapters 2-7. In this section, the main governance trends identified for these different types of territories will be discussed. There will be no concrete case studies mentioned; we refer to Appendix C for details and to chapter 3.4.2 for particular examples of good governance.

#### **3.2.1 Trans-national and cross-border regions**

Trans-national cooperation tends to be fairly large scale and involve collaboration between nation states. Cross-border cooperation, on the

other hand, is characterised by the collaboration in smaller territories that form regions across two or more borders. These forms of cooperation are often initiated and managed by local authorities. All but two of the nine case studies in this group are cross-border regions (with the exception of the Slovenian Schengen case study and the Estonian case study of Via Baltica). Therefore this type of territory forms the main basis for the analysis.

Most case study regions consist of voluntary collaboration between municipalities on different sides of national borders. Several collaborative formations have a fairly long history, and much is relying on social capital, networks and historical ties between both individuals and administrations. The case studies reflect a considerable autonomy and active role of the local authorities. Nevertheless, national authorities also play a role in most cases, and this is often the case for authorities at the sub-national level as well. It is also clear that national context still is of major importance for these case studies. Hence, factors such as the legal framework and political culture in the different countries affect the collaboration. The very fact that more than one country is involved poses some particular constraints. Because there is no possibility of one state enforcing a decision on to the other, it is necessary to build cooperation based on consensus. No specific instruments are put in place to solve conflicts but one is left to seek agreement through dialogue.

Despite the fact that cross-border collaboration is largely characterised by horizontal collaboration, vertical relations are thus also significant, and the role of the central government, in providing institutional and financial support remains important. Hence, there is a paradox here where the horizontal ties across the borders often build on social capital and historical networks, while the vertical relations tend to involve more formal relationships and factors such as national legislation.

Another paradox is the lack of participation of civil society and stakeholders in the cross-border collaboration. Greater participation could perhaps have been expected since these international collaborative initiatives are driven by local authorities rather than by central government bodies. However, the collaboration mainly takes place between local political and professional representatives, so in that sense, they are at least closer to the citizens than representatives at the national levels.

The case study areas can also be characterised by their Europeanisation. In terms of the financial resources required, the

reliance on European funding is a central factor, particularly the availability of Interreg funding. However, other funding sources will be needed, and apart from a continued commitment of local authorities it will be particularly important to be able to generate funding from the private sector. Greater involvement of the private sector is only likely to appear through clear and actual benefits of the collaboration for such partners.

In addition to Structural Funds framework through Interreg, other programme-based activity is also of relevance. This methodology implies that the issue of participation is largely determined by who are intended as the final beneficiaries of the programme in question. The issue of participation of wider groups of stakeholders is also related to the ways in which citizens and other local actors see the benefits of the cross-border collaboration. So far there are very few good examples of 'best practice' of participation among the case studies. Lack of participation can be interpreted in several ways; one may be that the collaboration mainly is seen as the cooperation of local authorities that form the heart of most of these cases and that it therefore by many individuals or potential stakeholders is not identified as an issue that concern them in a major way. Another interpretation may be a lack of clear objectives with co-operation in terms of the creation of tangible trans-national benefits.

Another difficulty of many of the case studies is the problems with cross-sector coordination. Many activities of the cross-border co-operation areas are organised through sectoral working groups that are often poorly integrated. This mirrors the sector-based organisation of the participating local authorities.

Despite the shortcomings in terms of limited participations and difficulties with cross-sectoral integration, cross-border initiatives can not be seen as unimportant in terms of possible governance repercussions. On the contrary, they are at the heart of the European project and have great potential for working also in the future as channels of information, exchange of experience and learning. They are the laboratories through which trans-national ideas on governance can be channelled and tested.

### **3.2.2 National case studies**

The national case studies are those that have an entire country as their main subject. The case study example may entail the process of developing a national spatial plan or a national policy or programme that has specific consequences in terms of territorial governance at

sub-national levels. There are eight case studies in this group, out of which all but one are unitary states. The case studies are a heterogeneous collection of cases. This makes it very difficult to draw conclusions of the entire group of case studies.

The national level is, not only in these particular case studies, of great importance since the central state is a main actor in governance. The central state provide a variety of tools and plays different roles within governance, e.g. relating to the legal and institutional framework, funding and as arbitrator in conflicts between actors at sub-national levels. Of particular interest in this study is to what extent there are powers that are decentralised or devolved from the central state to sub-national territorial levels.

Three of the national case studies deal with decentralisation ranging from devolution of some powers from central government in one case, to two examples of decentralisation regarding local and regional development strategies. The former case has not proved successful yet while the two latter are assessed by national experts as comparatively positive developments.

Three of the case studies entail the development of national spatial plans in states that have historically been centrally planned. All these seem to be, at least partial, success stories regarding governance processes. They all reflect greater vertical and horizontal collaboration.

There is a trend among the national case studies towards greater participation and openness. However, this is still limited and it is mainly the mostwell-organised stake-holders (with most ample resources) that take part in the governance processes.

### **3.2.3 Regional, polycentric, urban networks**

This group of case studies represents a compiled category that '...refers to polycentric urban networks, larger than a city, FUA or Metropolitan Area, but smaller than the national level. In this case 'regional' scale refers to institutional or otherwise' (Second Interim Report, p. 167). It is a heterogeneous group of case studies, but the common denominator is the geographical scale below the national and above the local. There are eleven case studies from nine countries, all unitary states, in this group.

The increasing importance of the regional level of governance is clear from the case studies, both in terms of decentralisation trends and particularly regarding increased horizontal collaboration. At the same time, the national level (the central state) retains a strong role. The

diverse group of cases also indicate the importance of the national context, the path dependency of history and political culture and tradition, that result in different forms of regional governance.

Among the challenges for achieving good governance in the case study areas is the issue of participation. With the exception of the a few positive examples, too little seems to be done to involve civil society in the processes. Collaboration is mainly achieved between different public actors.

Many of the successful cases of increased collaboration resulting in joint spatial development plans or visions are generated through a pragmatic need for collaboration as the functionality and interaction in regions cover larger and larger areas. Collaboration across administrative borders may not stem from the ESDP itself, but has in many cases grown out of bottom-up needs.

### **3.2.4 Functional urban areas and metropolitan regions**

The term 'metropolitan regions' refers to the greatest centre of a whole group of urban conglomerations in a country, enjoying easy accessibility, large size and a varied economic and human environment. Functional urban areas (FUAs) are, essentially, the same type of urban area, but on a lower level in the national urban hierarchy. There are 13 case studies in this group, representing a wide variety of urban areas in all different types of national contexts.

The processes of bottom-up mobilisation and consensus-building in the case studies are important steps forward in governance terms. Several of the case studies remain conflictual, dependent on difficult political agreement and/or top-down processes, which need to be settled in political negotiations. The political nature of planning is one of the main starting points of the analysis. Proposals for better governance should strongly take the aspect of trade-off between agreements based on compromise and consensus versus the quality of the final plan or other outcome of the process, into account.

There seems to be more conflicts in cases where the national system had been under considerable reform. Pre-existing conflictual political context or a difficult history affect current governance processes. Furthermore, the more partners in the game, the more possibility for conflict of interest and complexity, and more reluctance to share power. Instead, the full context of socio-economic, political, functional, as well as cultural and symbolic, matters need to be taken into account when trying to understand metropolitan governance, and design possible solutions.

Among the case studies, openness is quite well catered for, but participation less so. Another problem relates to accountability. Due to the large number of public actors involved in most of the case studies, it seems more difficult than before to identify who is accountable. The complexity and variations of the case studies do not lend themselves to provide an easy solution for metropolitan governance and differentiated models are required. In policy terms coherence is usually lacking, and in many cases sector policies remain either under-co-ordinated or even mutually conflicting. Therefore effectiveness of the outcomes is questioned.

### **3.2.5 Urban-Rural areas**

Urban-rural case studies are example of areas with increased functional interactions between urban and rural parts of the territory. These urban-rural relationships tend to call for increased coordination and collaboration and hence changes in the territorial governance. There are eight such cases studies in this project.

The analysis of these case studies clearly indicates a shift in governance trends towards a more integrated approach of urban-rural relationships. However, it also shows that 'we are not yet there' and it is not possible to argue that good governance as described in the Second Interim Report is actually achieved.

Participation, openness and sustainability are key words appearing in all case studies, and the same can be said for coordination, cooperation and dialogue. However, despite the presence of these 'buzz words', traditional governmental actors remain the most powerful actors within the governance processes. It is therefore still rather difficult to speak of more flexible or network-based governance, rather government tends to remain more in focus.

Despite this caveat, it is worth noting the signs of trends towards governance that are present among the case studies. They include processes towards more open forms of governance including increased participation of non-governmental actors. However, as in most cases in the entire project, participation tends to come down to advising and scrutinising rather than part of real decision-making.

There is also a general, but slow, trend towards decentralisation. Central government (or regional government in the federal cases) still has a large influence over governance processes, but some competencies and powers are being decentralised either to a regional or a local level. Apart from in two cases, competences regarding spatial planning is decentralised so that the central government

provide a framework and the sub-national levels play a more direct role in design and implementation of spatial plans. A general pattern is that government bodies at the central level enables, controls and often commands budgetary and legal powers.

In most cases new forms of regional governance has appeared between the central state and the local level (or between the regional state and the local level in the federal cases). New bodies or institutions have appeared at this regional level, providing a strategic tool to integrate and coordinate regional objectives. The competences of these new regional level institutions are gained mainly from the local level, but also to some extent from the national level through decentralisation or devolution. Local government actors tend to play an important role in these bodies.

### **3.2.6 Intra city case studies**

The intra city case study category focuses on territorial governance within cities. There are five such case studies in this project. These are discussed and analysed particularly regarding the institutional frameworks and changes of territorial governance. All case studies are subject to quite radical changes regarding their respective national political frameworks. This is particularly the case for two of the cases that are located in former centrally planned countries.

Territorial governance is highly diversified within the five case studies. It is therefore difficult to draw any clear conclusions, but there are nevertheless some characteristics that these cases seem to share. One such feature is that the role of governmental actors in all five case studies remains significant, particularly at municipal level. Furthermore, the central government, or in the cases of federal states, the regional government, also play important roles but particularly with regards to regulative framework and funding and as enablers. In all but one of the projects it is, however, the municipal government level that holds the decisive power and not the central/regional government. Nevertheless, there are tendencies of decentralisation in the cases.

Furthermore, in all cases non-governmental actors seem to be increasingly present within the governance processes. In some cases this participation has been formalised through legislation. However, non-governmental actors do not have decisive powers or competences, though they have increased opportunities for influence the governance processes. Among the five cases there are both more 'positive' and 'negative' examples of mobilising the non-governmental



actors. Examples of the latter are organised protests against planned processes and also formal petitions. Even if these expressions of views are not strictly parts of the decision making, they can still affect those decisions e.g. due to the publicity around them. An example of 'positive' mobilisation is a case where governmental actors proactively involved citizens and other stakeholders to participate in decision-making within the field of urban regeneration. As the presence of non-governmental actors is growing one might expect their influence to do the same, given time. Such presence contributes to increased legitimacy of decisions.

Another feature that the cases share is that the intra-city governance procedures seem to be rather well coordinated. There is an identified body that is responsible for coordinating the processes in each case. The relatively good coordination of the cases might explain why the outcomes of intra-city cases are seen as rather positive, emphasising integration and coordination of planning and policy.

To sum up, it can be argued that the intra-city cases provide illustrations of changes in governance processes, albeit in some cases limited and perhaps not always very fast. It may be worth pointing out that governance processes are constantly changing and a final end-state of urban governance cannot be foreseen. Rather, territorial governance is a process with an open-end, which in these cases seems to move towards decentralisation and increased participation.

### **3.3 Favourable Pre-Conditions for Governance?**

In several parts of this report authors have expressed the concerns of the entire project group regarding feasibility of a TIA. Instead of attempting to 'measure the impossible', this chapter will try to provide arguments for favourable pre-conditions for governance, as they occur when comparing the overall findings of the project with specific characteristics which can be seen from the collected data and their analysis.

This chapter condenses further the chapter on Data & Indicators and presents some key findings of the diverse quantitative approaches conducive to identify favourable pre-conditions for governance in territorial action.

### 3.3.1 Identifying National Governance patterns

A first and very preliminary attempt towards the description of different governance situations has been made with the help of the National Overviews [NO, 29 altogether].

Part of the synthetic analysis of the NO resulted in tables which were used to generate scores on different governance aspects.

Out of this assessment which used more than twenty criteria, a set of tables was generated, which was more appropriate (in the sense of validity und quality)<sup>47</sup> for various scoring methods. The criteria included:

- *Acceptance of governance:*  
Ranging from active and explicit acceptance and implementation; to Indirect acceptance and / or neutral position; to low degree of acceptance and / or still at a stage of initial dialogue (three classes)
- *Changes in formal government in the direction of governance:*  
Ranging from existence of specific reforms which are already implemented; to existence of intended reforms or of reforms under way; to no initiatives so far (three classes).
- *Experience with participation processes:*  
Ranging from limited experience in participation processes to extensive experience in participation processes (two classes).
- *Experience with partnerships:*  
Ranging from limited experience in the functioning of partnerships to extensive experience in the functioning of partnerships (two classes).
- *Extent of financial dependence of local government on central government:*  
Ranging from dependent on central government; to fairly independent; to very independent (three classes).
- *Devolution of powers to 1st tier local authorities:*  
Differentiating between countries in which substantial powers have been allocated to local authorities; countries which expect to devolve substantial powers to local authorities in the near future or are in the process of doing so; countries with relatively powerless local authorities (three classes).
- *Centralization / decentralization / devolution:*

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<sup>47</sup> Observe that in previous reports only five indicators were used. They have been extended to ten.

Differentiating between countries in which substantial powers have been allocated to the regions; countries which expect to devolve substantial powers to the regions in the near future or are in the process of doing so *or* countries with no regional authorities, primarily because of size; countries with powerless regions, e.g. because of the size of the country or for historical reasons. In the raw data this indicator consisted of four classes. As the class "countries with no regional authorities, primarily because of size" is neither positive nor negative in governance terms, we combined it to the class with the average value "countries which expect to devolve substantial powers to the regions in the near future or are in the process of doing"

- *Number of conditions leading to shifts towards governance*, including: National culture and planning tradition; EU influence and pressure; Recent political changes; 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; Scarcity of resources; Adaptation to capitalist model; Economic crisis; Scope for spatial planning; Limited territorial competence of local authorities; Pressures for institutional and policy reforms; Need for co-operation and decentralization; Environmental considerations (three classes subject to number of conditions that apply to a respective country).
- *Number of factors operating in favour of adoption of governance approaches*, including: 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); Spatial and land use conflicts; Economic crisis (three classes subject to number of factors that apply to a respective country).
- *Number of forms of cross-border co-operation*, including: Euro-regions; Functional Urban Areas (FURs); Interreg Initiative areas (Note: possible overlaps with other categories); Initiatives for accession countries (e.g. Phare-CBC); Other European Initiatives and programmes; Other forms of co-operation between neighbouring countries or regional country groupings; Other programmes of international organizations; Exchange experience partnership with non European countries; City networks and co-operation between cities (three classes subject to number of forms of cooperation that exist in a respective country).

### Map 3.3.1 Governance in urban and territorial policies

#### Governance in urban and territorial policies



#### Degree of shift from government to governance 2006

- Advanced (score 4 to 7)**
- Medium (score 0 to 3)**
- Low (score -7 to -1)**

The classification is based on the calculation of national scores, ranging from -7 to +7. Each country was given a score on 10 indicators: IRPUD Qualitative S1-S3b, S5; S7-S11.

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Regional Level: NUTS 0

- Origin of data: IRPUD Qualitative [S1-S3b; S5; S7-S11]
- Official acceptance of governance 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
  - Devolution of powers to 1st tier local authorities
  - Centralization / decentralization / devolution
  - Number of conditions leading to shifts towards governance
  - Number of factors operating in favour of adoption of governance approaches
  - Number of forms of cross-border cooperation

Denmark: Average calculated on the basis of only one indicator.  
Cyprus: Data for government controlled areas only.

Source: National Overviews ESPON 2.3.2

The data (scores) were generated in a recursive scoring process and were checked by national experts to increase validity.

The result of which can be seen from

Map 3.3.1, using above listed set of indicators.

A possible interpretation of these indicators can be that they identify countries which are more advanced in their application of governance principles and that they are preparing the ground for wider governance application. This is expressed by the notion of 'shift towards governance'.

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 can achieve different interpretations regarding f.i. the case studies.

Furthermore, the shift towards governance can comprise manifold items or occurrences in the respective countries. The baseline within and between countries is different as are the pursued changes or orientations, what to achieve with the changes towards governance.

Lastly, the single aspects of the governance indicators only cover general phenomena, they do not relate to precise cause and effect relations.

In terms of favourable pre-conditions for territorial governance actions, the map finally provides a framework for interpretation, pointing out those situations, where governance actions seem to be more likely or advanced.

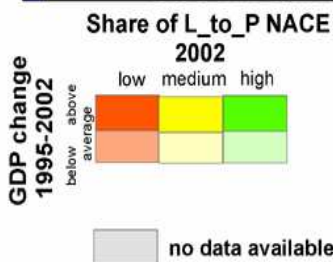
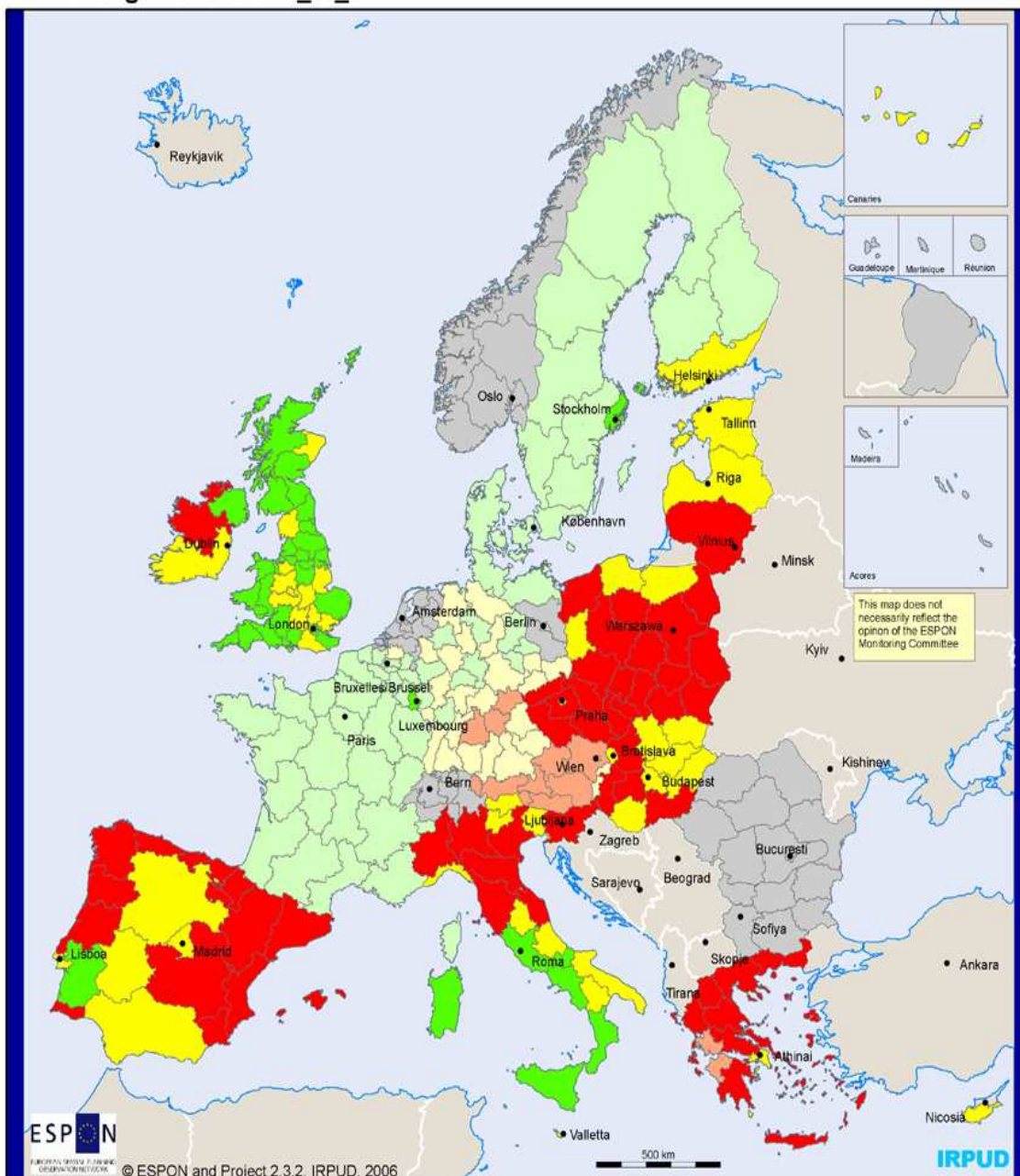
**After all these reservations, what seem to be favourable pre-conditions for governance are experiences (and experiments) with participation processes and partnership formation, combined with processes of devolution of powers or general decentralization. Countries are operating in these fields to maximize their effectiveness and efficiency.**

### **3.3.2 The absence or presence of the 'state' in governance?**

At least in the theoretical literature but also taken from the case studies, the state continues to be an important part in 'governance' processes. The opposition between the two poles of 'government' and 'governance' and the implication, that the latter means 'retreat' of state is mostly an exaggeration.

### Map 3.3.2 GDP/Public employees

GDP change / Share of L\_to\_P NACE



**Class sizes**

|    |    |    |
|----|----|----|
| 54 | 31 | 31 |
| 32 | 54 | 57 |

Share of L to P NACE:  
0,33 Quantiles

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Regional level: NUTS 2  
Origin of data: classification of GDP and share of L\_to\_P NACE  
Cyprus: Data for government controlled areas only  
Source: EUROSTAT (GDP data)  
ESPON database (Share of L\_to\_P NACE)

With the help of one set of data, the project tried to further analyze this relation. The NPE (number of public employees) data 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. When looking at these data and e.g. GDP figures, the following interesting result can be achieved. Though interpretation of the current picture in Map 3.3.2 above 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 <sup>48</sup>.

**In terms of favourable pre-conditions, the following hypothesis is suggested here: the presence of 'state' (taking high NPE shares and put equal here to 'government') seems not to be 'detrimental' to GDP development. On the contrary, the absence of state as expressed in the number of public employees does not automatically contribute towards GDP increase.** Of course, the state and its employees contribute part of the GDP. In addition, according with the results coming from CSs, State and public actors can play a fundamental role, as catalysts (clearly in the case of the national level), promoting governance principles and practices. These results refuse the idea that governance and State follow opposite directions; instead, the project seems demonstrate just the opposite.

### **3.3.3 Representing general characteristics of governance**

From the national overviews in the ESPON 2.3.2 project, some general governance characteristics can be achieved – and in turn re-emphasised as pre-conditions.

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<sup>48</sup> Correlations and regressions have not been calculated with these data. IRPUD had a look at the Eurostat data and found, that NACE categories were changed (now covering L-Q) and that the data gaps are huge, when trying to compare Nuts2.

**Figure 3.3.1 Partnership Formation (NR): Catalysts**

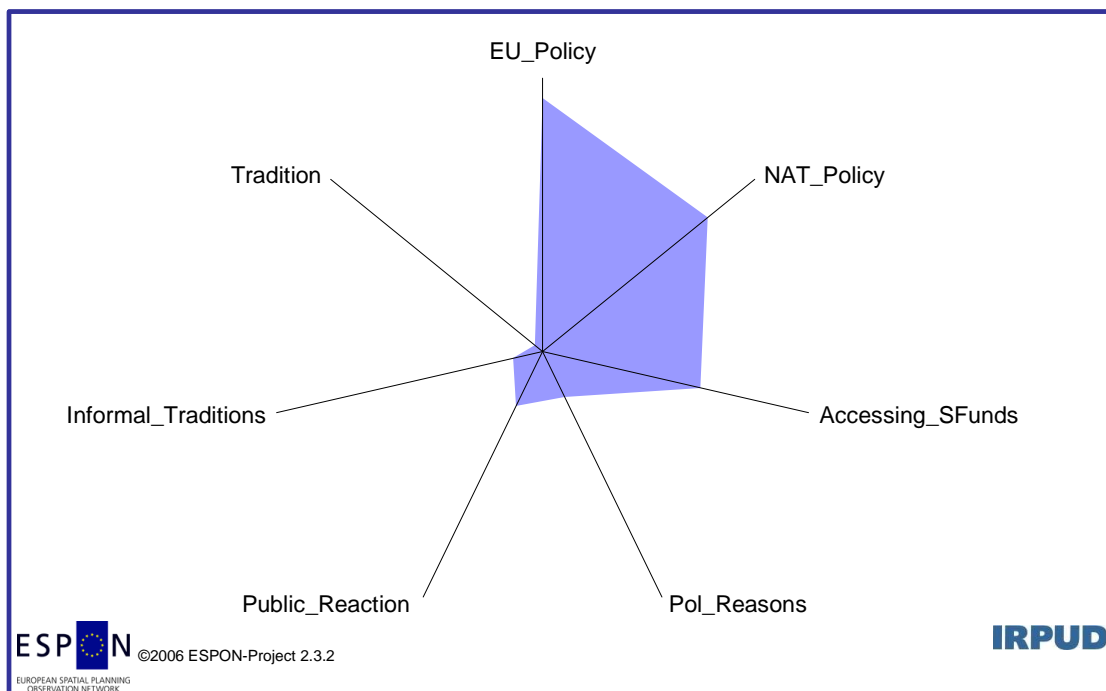


Figure 3.3.1<sup>49</sup> - e.g. reveals the elements which are catalytic in terms of partnership formation. **As a kind of favourable pre-condition, EU policy and national policy dominate in this respect. This can be interpreted as a success of the new models and requirements for projects and strategies. The latter is repeated by the importance of 'access to funds'.**

<sup>49</sup> EU\_Policy - EU policies and funding; NAT\_Policy - National or sub-national legislation and policy; Accessing\_SFund - Economic interests of participants (e.g. to gain access to funding sources); Pol\_Reasons - Political reasons (e.g. support for or opposition to central government); Public\_Reaction - Public reaction to government policy and public projects; Informal\_Traditions - Tradition of informal procedures; Tradition



**Figure 3.3.2 Partnership Formation (NR): Barriers**

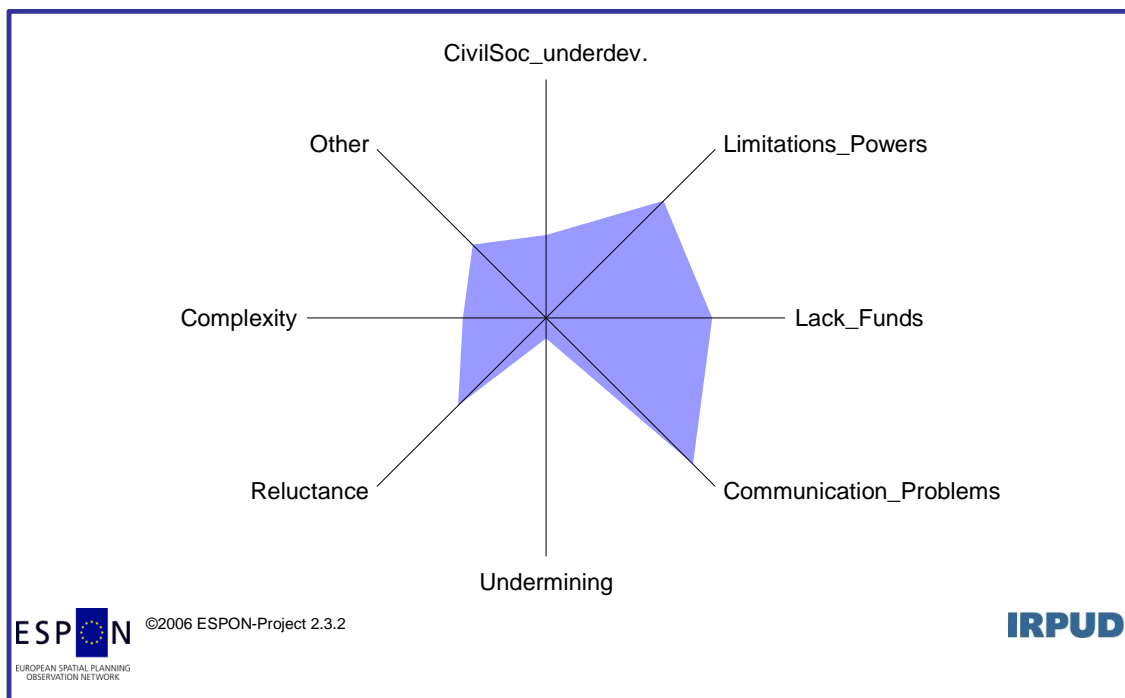


Figure 3.3.2<sup>50</sup> reveals the barriers to partnership formation, which seem to be rather 'practical' dimensions, lack of power, and lack of funds in particular.

**As for governance pre-conditions, 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.**

<sup>50</sup> Acronyms: CivilSoc\_underdev. - Undeveloped civil society and hierarchical decision-making; Limitations\_Powers - Limitations on powers and activity potential of partnership; Lack\_Funds - Lack of funds and external dependence; Communication\_Problems - Communication problems between participants, antagonisms, mutual suspicions etc.; Undermining - Undermining from external sources; Reluctance - Reluctance to share power; Complexity; Other.

**Figure 3.3.3 Priority Emphasis on Governance Objectives (NR)**

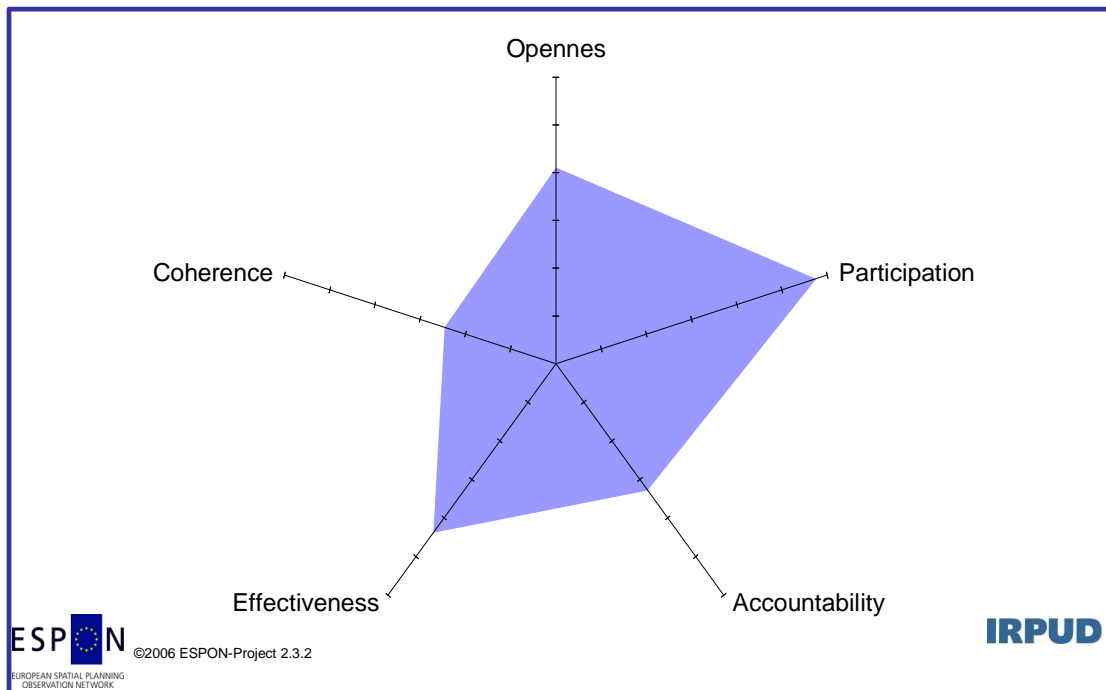


Figure 3.3.3 finally provides an image of the central elements of 'good governance', which have been identified in national reports. Two of the elements stand out: participation and effectiveness. The other aspects of 'good governance' follow close, though the aspect of 'coherence' seems to be less important.

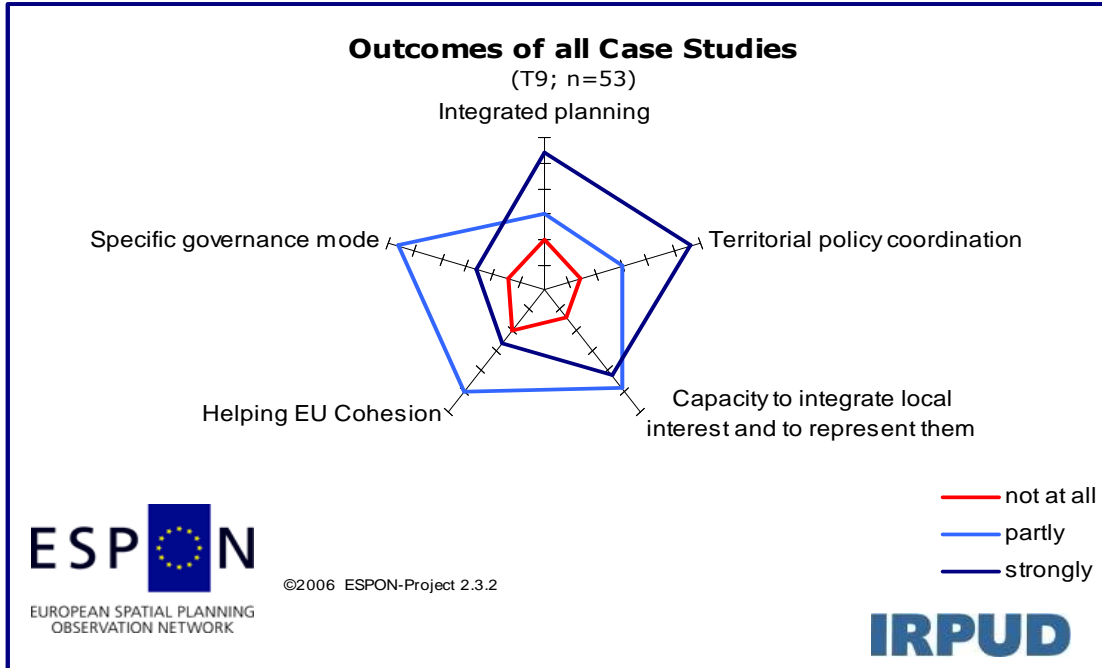
**Participation, openness, effectiveness, and accountability seem to be the central elements of 'good governance' in urban and territorial policies. These factors re-emphasise so to say the favourable pre-conditions for governance, as expressed in the 'good' governance characteristics.**

### **3.3.4 Success of Governance?**

The project conducted many qualitative studies in the context of which qualitative information were reworked with scoring boards to quantitative (categorical) data. These were then used to identify, e.g. across the number of cases comparative data.

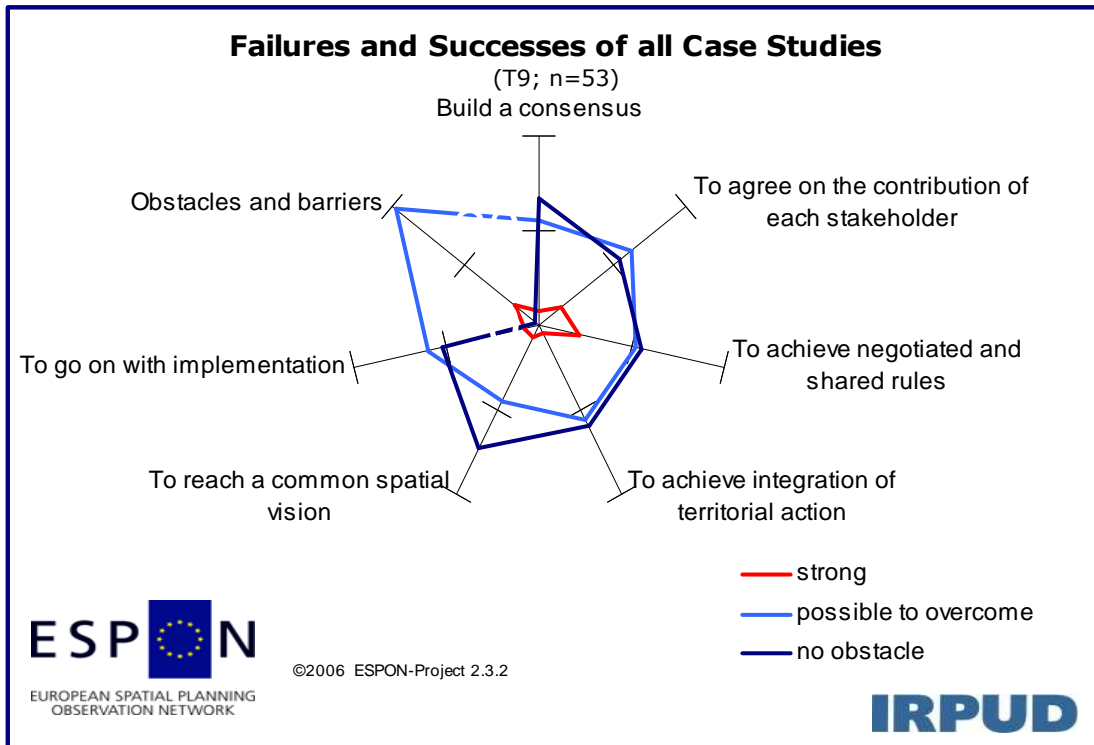
When looking towards questions of outcomes, failures and success, the following observations can be highlighted.

**Figure 3.3.4 Outcomes of all Case Studies**



The above Figure demonstrates that outcomes of all case studies seem to be suspended between the two categories 'strong' and partial. The aspects 'integrated planning' and 'territorial policy coordination' achieved the higher counts under the strong category, implying that in these fields good results were achieved. All other aspects rather seem to fall into 'partial' outcomes, with the interesting peak in the category of 'specific governance mode' but also regarding 'helping EU cohesion'.

**Figure 3.3.5 Failures and Successes of all Case Studies**



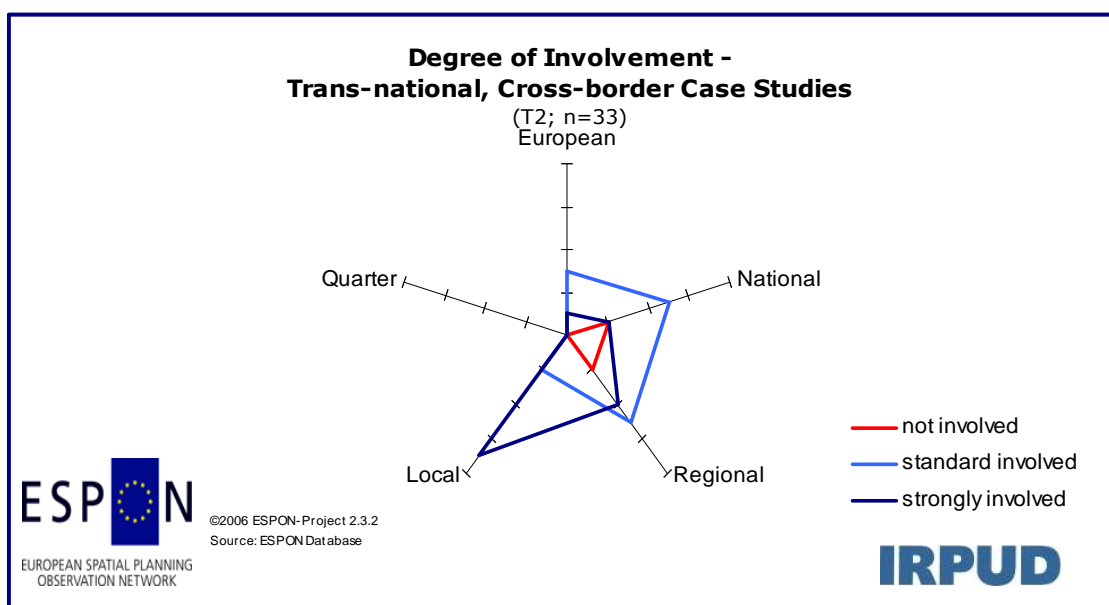
(Figure 3.3.5) In terms of failures and successes in the majority of experts indicate that no strong failures occurred and that it was possible to 'overcome' problems. Positive impacts were seen for consensus building, contributions of stakeholders, negotiation of rules, to integrate actions, and to 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.

**Territorial governance actions seem in particular to achieve positive outcomes when looking at integration of planning, coordination of territorial policies, and integrating diverse interests. Favourable pre-conditions for governance actions according to these findings are strong and competent local and regional actors, which also command a matching set of resources.**

### 3.3.5 A territorially differentiated view?

Similar analyses have been done for all geographical types of case studies, such as trans-national/cross-border, national, 'regional' polycentric urban network, functional urban areas/metropolitan regions, urban-rural, and intra-city.

**Figure 3.3.6 Degree of Involvement - Trans-national, Cross-border Case Studies**

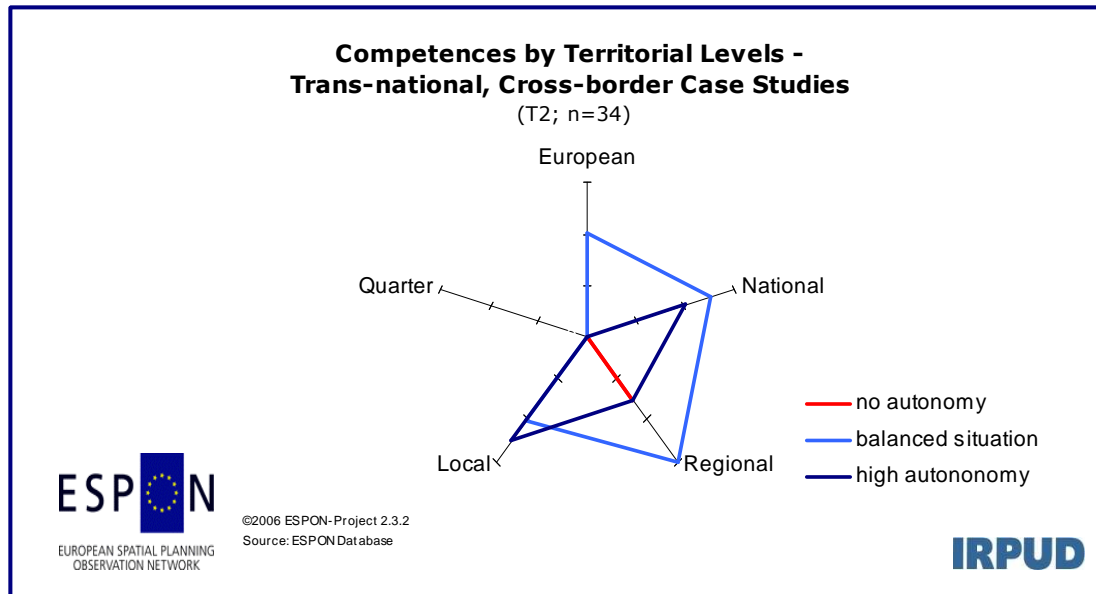


(Figure 3.3.6) For the trans-national and cross-border cases an interesting observation is the 'secondary' inclusion of the European level when strong or standard involvement is concerned. On the National and European levels a standard involvement is predominant. Main interactions seem to be directly between localities, regions, and the EU, following EU intentions of direct action.

Some of the potentially interesting interpretations are as follows:

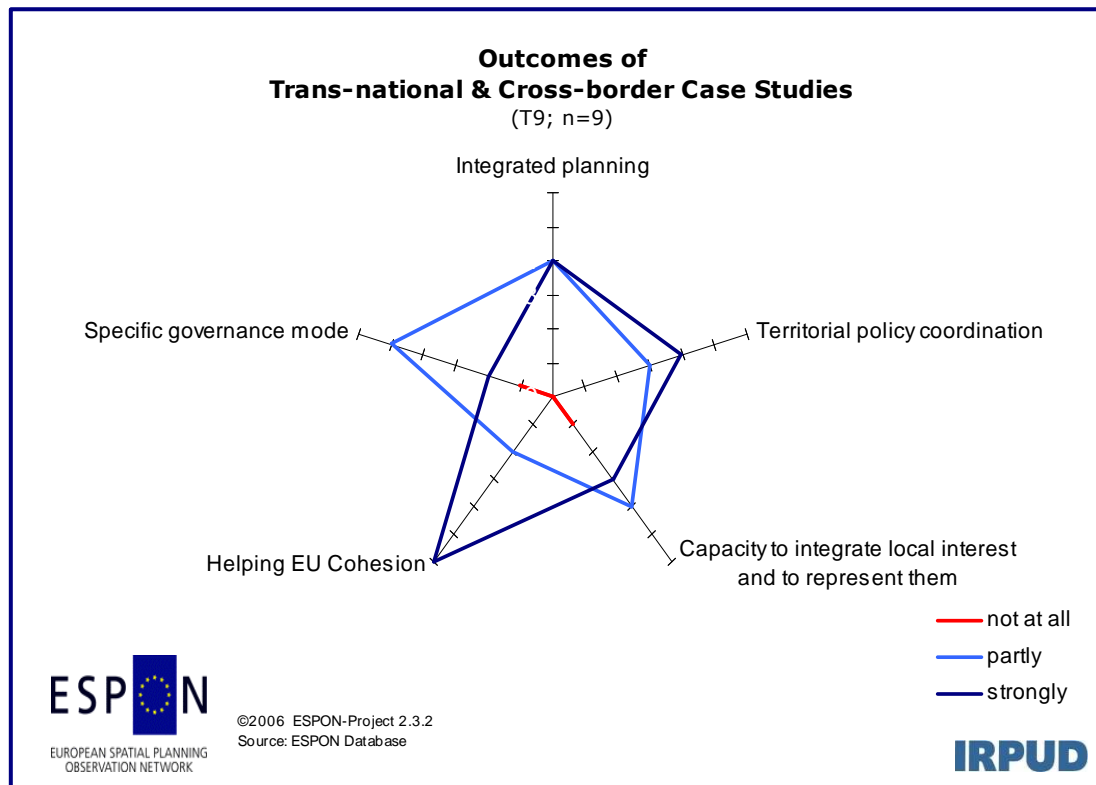
“Local Interests are the main focus of the case studies in general, though it is worth pointing out that also traditional governmental/inter-governmental concerns are of relevance.” This statement of the Case Studies Synthesis on vertical relations in trans-national and cross-border cases is underlined by the finding of the numeric approach.

**Figure 3.3.7 Competences by Territorial Levels - Trans-national, Cross-border Case Studies**



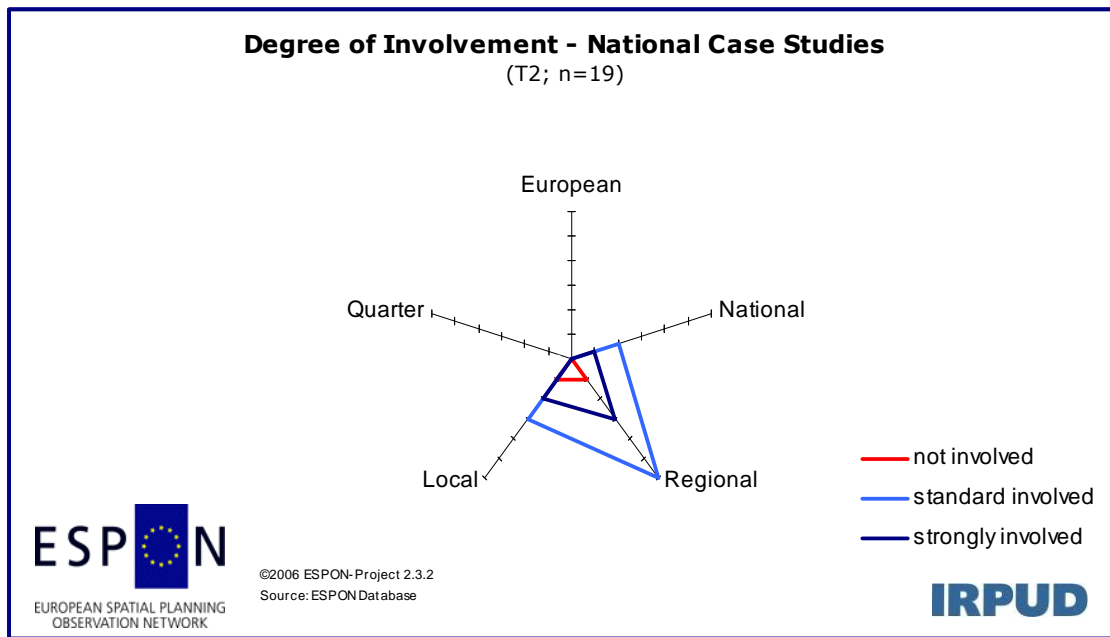
(Figure 3.3.7) The cross border cases can obviously be characterised as ‘balanced’ competence systems between all relevant actors at regional, national, local and European level.

**Figure 3.3.8 Outcomes of Trans-national and Cross-border Case Studies**



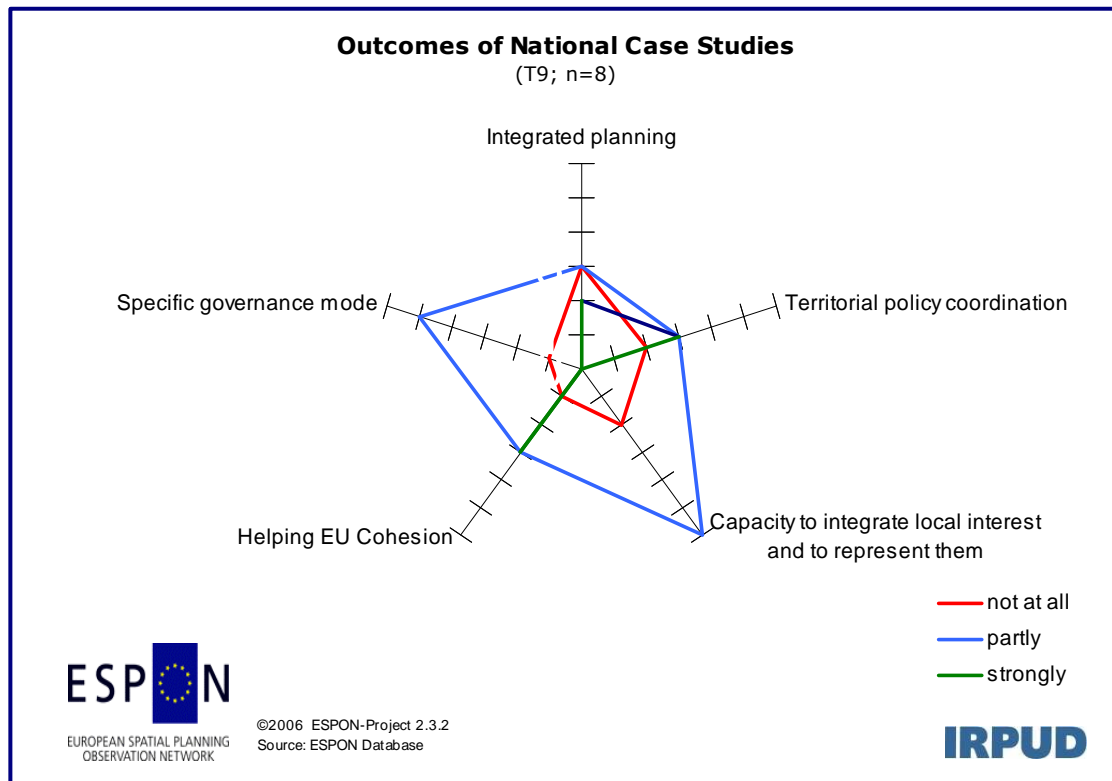
(Figure 3.3.8) An overly interpretation of the outcomes and failures in trans-national CS would be misleading, as the total number of responses was N=9. However, these few cases emphasise that in a trans-national setting the aspect of helping EU cohesion (as strong outcome) and establishing specific governance modes (as partial outcome). Being an indication here only, the findings of the Case Studies Synthesis (see p. 40) repeat the message: “The development has improved the access to infrastructure and knowledge and contributed to more polycentric spatial development.” The nine respondents were equally positive considering failures and successes, pointing out in general the category ‘possible to overcome’.

**Figure 3.3.9 Degree of Involvement - National Case Studies**



(Figure 3.3.9) On vertical relations in national the results of the analysis show the importance of regional actors in vertical relations. Accordingly the Case Studies Synthesis pointed out that most “often the implementing bodies of the state policy or plan are found at regional level” (see p. 46). But in contrast to the Case Studies Synthesis the role of the national level was scored lower in the NA. Surprisingly when it came to vertical relations only few CSs mentioned the national level as being involved at all. But considering financial resources again the national level gains importance.

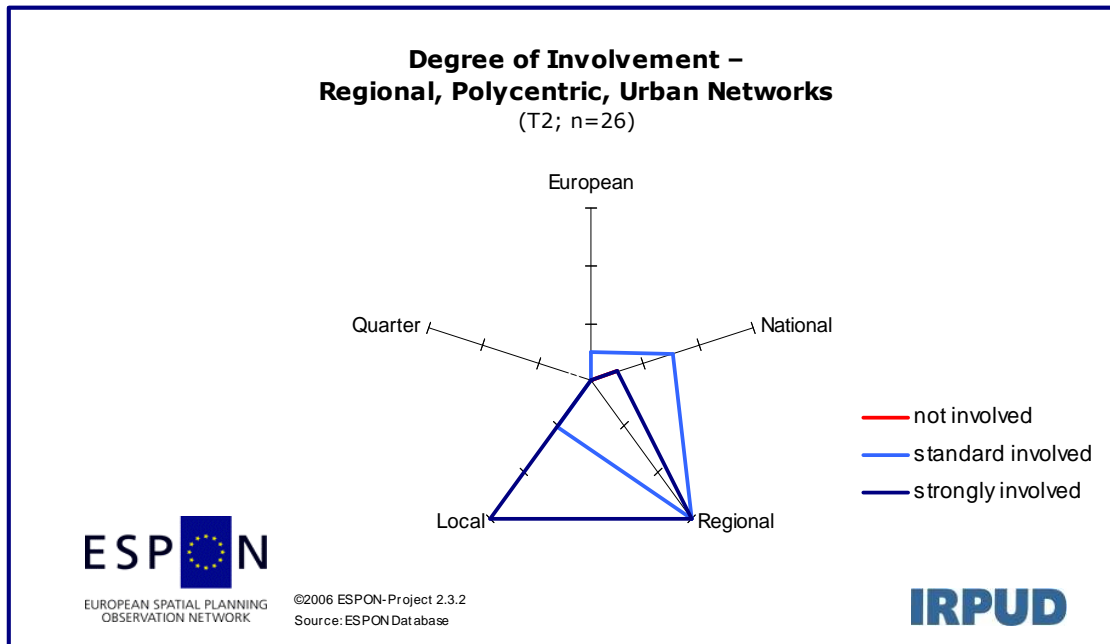
**Figure 3.3.10 Outcomes of National Case Studies**



(Figure 3.3.10) Compared to the national overviews there seem to be less strong outcomes in the national CSs. Whereas “Integrated planning” and “Territorial policy coordination” were mostly assessed as strong outcomes for the national CSs the majority scored them as “partly”. This points in the same direction as the findings of the Case Studies Synthesis say that “Only two of the national cases were clearly identified as successful, and one was considered as partial success” (see p. 52).

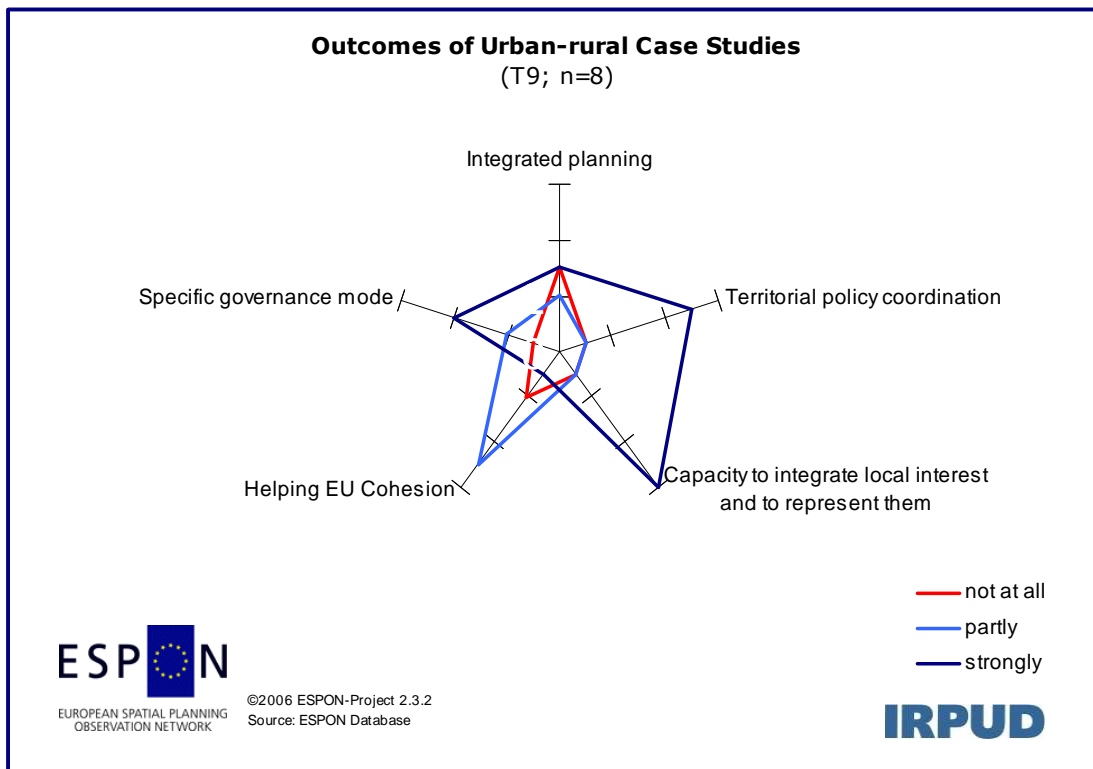


**Figure 3.3.11 Degree of Involvement – Regional, Polycentric, Urban Networks**



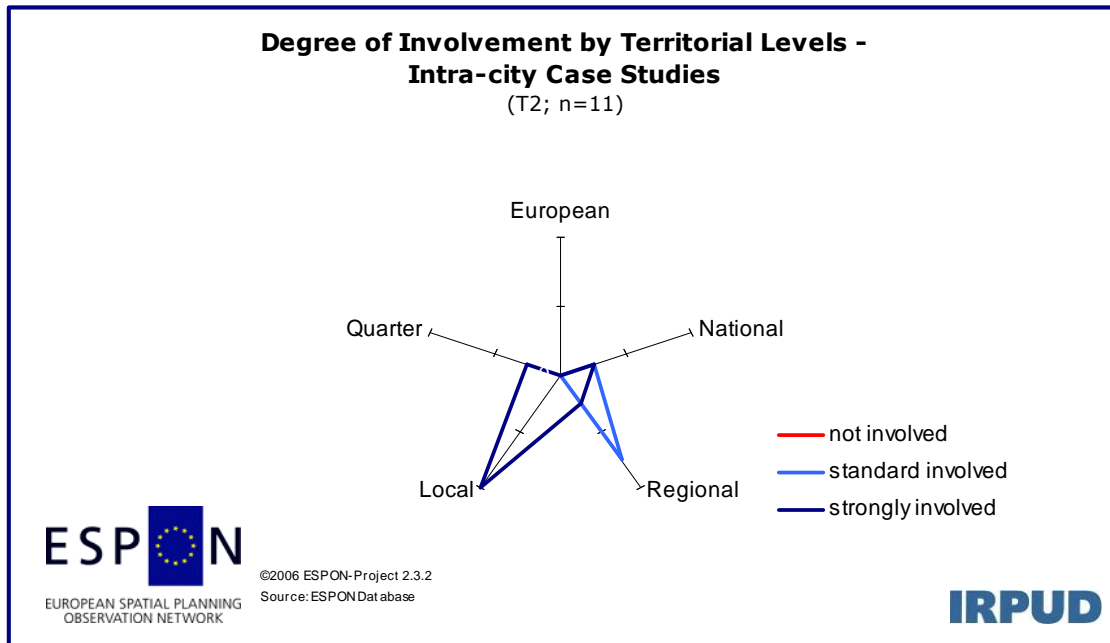
(Figure 3.3.11) The regional polycentric networks, FUA and metropolitan regions, reveal a setting, in which a cooperation between local and regional actors is very vital. The main outcome of territorial governance actions seems to be interpretation and coordination of planning and policies, as one might expect.

**Figure 3.3.12 Outcomes of Urban-rural Case Studies**



(Figure 3.3.12) In urban-rural case studies an interesting characteristic is the strong impact regarding the integration of territorial actions, the continuation of implementation, and the shaping of a common vision.

**Figure 3.3.13 Degree of Involvement by Territorial Levels - Intra-city Case Studies**



(Figure 3.3.13) Intra-city cases are in that respect interesting, that the EU as an actor merely features - the perceived importance is low (despite the likely financial importance?).

### 3.3.6 A 'typology' of regions?

The responsible of WP3 in 232 ESPON project was partially successful to substantiate the – abstract – work (see Table 1.5.1 in chapter 1.5 of this core text of the Final Report) with the existing data.

When looking at Table 1.5.1 which indicators or data have been included?

- ISS –for this typology data on Nace L-P per inhabitants were used as an indicator on state structures (taking the employment numbers as indicator of the presence of the state in the regions, NUTS 2 level)
- ISP – finally concentrated on the delta values for Nace L-P employees.
- ITS –data on FUA were chosen for ITS.

- *ITP* –was based on data on lagging regions, multi modal accessibility, and MEGAs.<sup>51</sup>
- IES –was taken as the GDP in PPS per capita, to describe the situation in various regions.
- IEP – was constructed as the delta of GDP in PPS per capita.
- ICSS –was constructed with data on legal systems, government, national democracy, parties, national parliaments, coming from Eurobarometer.
- ICSP –could be constructed using the Eurobarometer data mentioned under ICSS, as they come in time series and can be used to construct a delta.

|                    | Structure  |                                 |  |   |                 |
|--------------------|--|---------------------------------|--|---|-----------------|
| Acronym            | ISS  | IES                             | ICSS   | ITS   | Total           |
| <b>Fulltext</b>    | Indicator on State Structure                                   | Indicator on economic structure | Indicator on Civil Society                       | Indicator on Spatial Structures                               | simple addition |
| <i>Data</i>        | NACE L to P per 1000 in 2004                                   | GDP in PPS per capita           | Eurobarometer Survey on various Trust Indicators | FUA   |                 |
| <i>Value Range</i> | below/above average  | below/above average             | below/above average                              | below/above average   |                 |
|                    | Process  |                                 |  |   |                 |
| Acronym            | ISP  | IEP                             | ICSP   | ITP   | Total           |
| <b>Fulltext</b>    | Indicator on State Dynamics                                    | Indiatore on economy, dynamic   | Indicator on Civil Society Dynamic               | Indiator on spatial dynamics                                  | simple addition |
| <i>Data</i>        | NACE L to P per 1000 inhabitants, change between 1999 and 2004 | GDP PPS pc change, 1999-2002    | Eurobarometer, Change over period                | ESPON dB lagging regions, multi modal accessibility, Pentagon |                 |
| <i>Value Range</i> | below / above average  | below/above average             | below / above average                            | below/above average   |                 |

NB: The overall calculation of the synthetic indicator used a simple addition of all items specified. No weighting has been applied.

<sup>51</sup> To use the indicators on spatial aspects – italics – for a further differentiation of the regional situations proved to be not possible.

All in all, the data available, the coverage, and ultimately the theoretical foundations are still too weak, to apply the intended synthesis to a full extend. The lack of clear theoretical foundations – for which this ESPON 2.3.2 project is a first attempt - is particularly important for a systematic test of features of governance and their impact – not only on economic performance indicators but also on social or environmental indicators. Having stated this, the current project has tested some of the data and can be used to define a route into an extended study of governance impacts at a regional level, probably feasible in a coming round of ESPON.

The synthetic indicator in Table 1.5.2 (see chapter 1.5) results in a regional typology as displayed in the

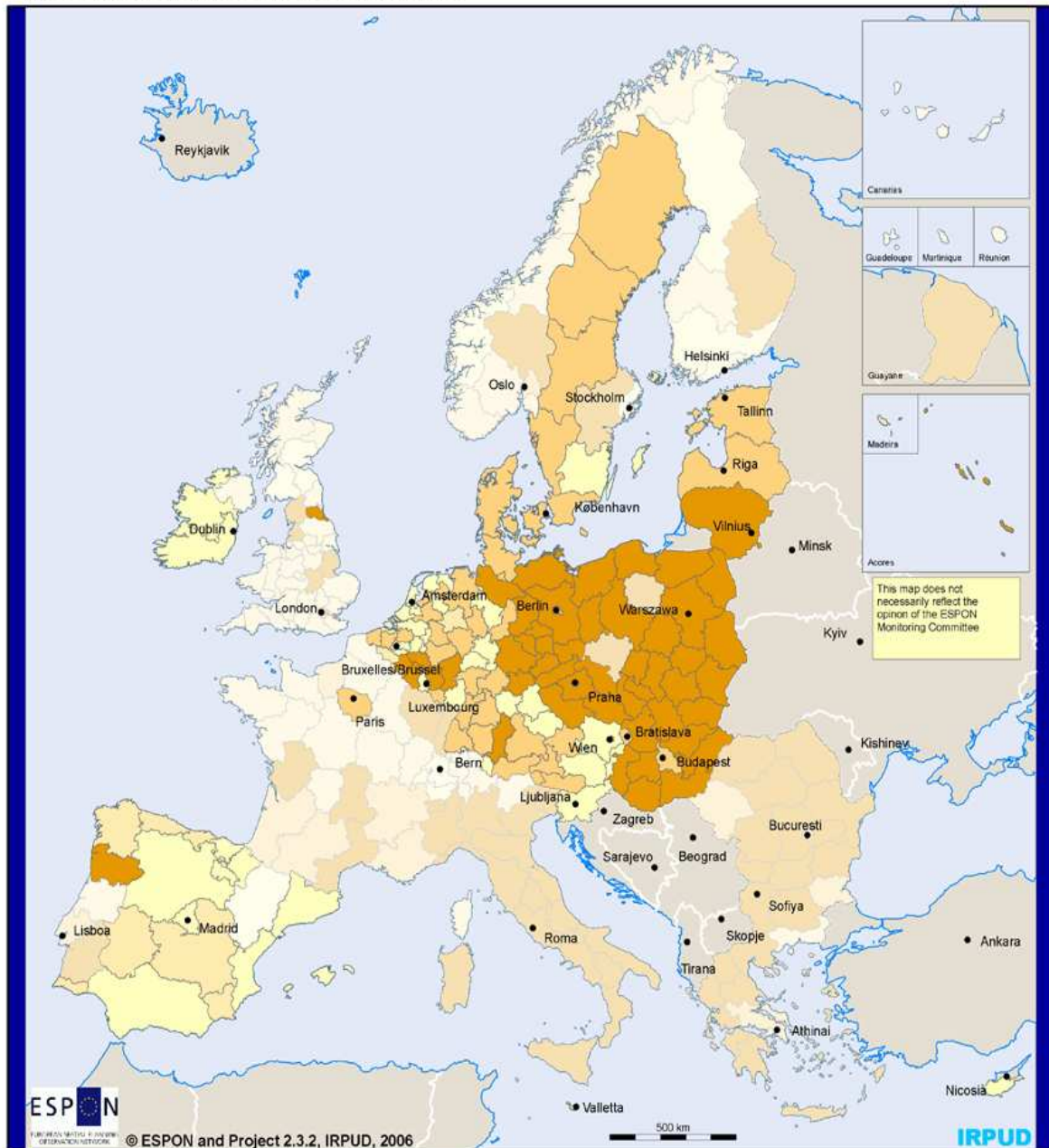
Map 3.3.3.

The typology depicts against an average those regions, which are less advanced, and those, which are more advanced:

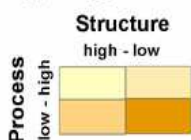
- Regions with high scores in both, structural and procedural data - about 20 % fall into this category; these regions are above average regarding the structural and procedural domains and features of governance;
- Regions with low structural and high procedural data - about 22% fall into this category; these regions show below average indicators in the structural domain of governance, e.g. in the field of state and economy;
- Regions with high structural but low procedural data - about 19% fall into this category; these regions are less dynamic compared with all other regions e.g. in the field of state and economy;
- Regions with low structural and low procedural data - largest share of regions with about 39%; all domains and features of governance are under average.

### Map 3.3.3 Typology of regions

#### Typology of Regions and Governance



#### Typology 2006



Transparent Regions: indicative only

© EuroGeographics Association for administrative boundaries  
Regional Level: NUTS 2  
Origin of data: IRPUD synthetic indicator

Cyprus: Data for government controlled areas only.

Source: ESPON database  
EUROBAROMETER  
EUROSTAT

As said before, this approach towards a typology of regions in terms of governance characteristics makes us aware about some broad brush differences between states but also in terms of regions.

Map 3.3.3 marks only a starting point to further inquire the reasons behind these differences and potential cause and effect chains, binding specific structural and procedural features of cities and regions with governance characteristics. This map does in no case address failures or success of government or governance or gives a hint towards positive combinations, alluding to a sort of bound to be successful combination.

### **3.4 Best practices on TGA. Looking for a qualitative territorial impact assessment**

#### **3.4.1 Summarising the key aspects of the 'best practice'**

As outlined previously (e.g. in the TIR), the main challenge for a territorial impact assessment of governance is connected to the fact that whilst impact assessment seeks to provide a cognitive base in the form of evaluative information on ***how policies impact on different types of organisation, territorial scales*** etc., governance is not a policy, rather a means of developing, implementing, evaluating and assessing policies. It refers to the style and form of the policy cycle from agenda-setting to ex-post assessment, and thus is of major relevance to policy, but cannot be assessed through the same methodology as policies (for the simple reason that the financial and budgetary inputs and outputs are not distinguishable). Thus the model developed for instance in the ESPON TIA Manual, developed as part of ESPON project 3.1 „Integrated Tools for European Spatial Development“ by Friedrich Schindegger & Gabriele Tatzberger (Österreichisches Institut für Raumplanung, (ÖIR) does not really suit our purposes here<sup>52</sup>.

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<sup>52</sup> ESPON 3.1 project (Final Report, part C, section 9.3, p. 396 and ff.) elaborated a common methodological approach to be applied to the different areas of concern in specific ways (the TIA manual). However, at the same time it was recognized that “the diversity of features and types of effects do not admit to cover the whole range of EU policy issues by one common assessment methodology” because of their different spatial dimension and spatial implications, and also because of the different theoretical state of the art of applied research and planning in different areas. The specific methodological shape of the TIA will have to vary along with the different information bases -territorial data characteristics- and subjects -subject matter data characteristics (Schindegger, F. and Tatzberger, G. (2004): “Territorial

Most of the dimensions of the ESPON TIA model have been addressed in the questions posed in the case studies (see Annex C for the template for case studies). We have thus addressed issues relating to governance form, impact, success, references to past and future, relevance of different territorial interventions and effects where identified, policy goals referred to (e.g. polycentric spatial development, cohesion – in economic terms, as well as social and territorial). Equally, we have investigated the various applied meanings of 'spatial/territorial' and the territorial dimension.

Due to the nature of governance, as well as the type of material that these types of qualitative case studies contain, we have sought to give indications of best practice and good examples. One of the selection criteria that the case studies should include some elements of innovative mechanisms, processes or tools makes the TIA approach difficult, as impacts are not yet there to be assessed. In terms of good governance and quantitative indicators, part of WP5 addresses this question, though only in terms of coincidence (of certain characteristics as measured by selected indicators), rather than as causalities.

We have however sought to highlight good examples of governance mechanisms and practices (see figures 1-8 below), which in turn could be used in order to promote 'good governance' and by so doing potentially contribute to better policy effectiveness.

For the purposes of providing an analytical synthesis, we have summarised one example per governance dimension investigated and per type of region. In most cases there were a number of examples to choose from and here we sought to select different types of examples, as well as referring to as many case studies as possible, for reasons of geographical balance and coverage. In very few cases there were no best practices given in the case study material. Underneath each figure we summarise the key aspects of the 'best practice'.

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Impact Analysis and its implementation", in ESPON project 3.1 Final Report, part C, p. 396-411). This is the case of territorial governance.

**Figure 3.4.1 Vertical dimension**

| Dimension of analysis  | <b>Type of case study region</b>  | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>   |
|--|---|---|
| <p><b>Vertical: Multi-level relations, and decentralisation, devolution, and regionalization</b></p> | <p><b>Trans-national, cross-border</b></p> <p><i>The Finnish case (14.2) is an example of developing for the first time a spatial plan in a cross-border trans-national context, which has necessitated a national level investigation into how to ensure that this can take place in a legally appropriate and sustainable manner.</i></p> <p><b>National</b></p> <p><i>An example of strong involvement of local level can be found in the France "Pays" policy case (4.1). "Pays" is defined by the law as a territory of a certain cohesiveness in terms of geographical, cultural, economic and social components. On this basis the local authorities can collectively propose a local development project, which must be elaborated with the concerned actors.</i></p> <p><b>Regional</b></p> <p><i>In the Västra Götaland Region case (17.1), the mobilisation of the 49 local councils led to formalised local authority associations and to decentralisation of powers to the regional level that was initiated by delegations of local authorities, which took the initiative to the national level and thus set in motion a process that later became a test pilot of regional governance. Here the responsibility for regional development has been transferred from the state at the regional level (the County Administrative Board) to the directly elected regional council.</i></p> <p><b>FUAs and metropolitan regions</b></p> <p><i>The case study of the strategic plan of the metropolitan coast of Barcelona (10.1) is an example where a strong region collaborates with strong local authorities. The region is an administrative unit with high autonomy, major competences, financial and negotiating powers. The local level with 27 municipalities plays a major role.</i></p> <p><b>Urban-rural</b></p> <p><i>Within these newly founded (sub-)regional governance projects, local governmental actors play an important role (e.g. Italian, English and Austrian cases).</i></p> | <p><i>Potential legal repercussions on constitutional status of cross-border entities in planning</i></p> <p><i>Local involvement and mobilisation</i></p> <p><i>Local mobilisation as a source of inspiration, national level pilot part of the regional experiments on-going across Europe.</i></p> <p><i>Strategic plan where strong local and regional autonomy is non-exclusive.</i></p> <p><i>Local level as a driver of development of an institutional framework of a regional Partnership and as a mobilising actor.</i></p> |



| Dimension of analysis | <i>Type of case study region</i>  | <i>Type of 'best practice', WHY seen as good example / source of inspiration?</i> |
|-----------------------|---|---|
|                       | <p><b>Intra-city</b></p> <p>In the German case of Duisburg-Marxloh (5.1), the Development Association (the local level agency focuses on developing projects within the national SIC framework) seeks to involve all non-governmental stakeholders in a formal body where these can develop project ideas and bring forward important issues.</p> | <p><i>The emergence of new actors with informal facilitator roles</i></p>         |

**Figure 3.4.2 Horizontal dimension**

| Dimension of analysis  | <i>Type of case study region</i>  | <i>Type of 'best practice', WHY seen as good example / source of inspiration?</i>  |
|--|---|--|
| <p><b>Horizontal:</b></p> <p><b>'Multi-channel', Territorial co-ordination</b></p> | <p><b>Trans-national, cross-border</b></p> <p>In the Atlantic Arc (1.1) case, the horizontal dimension of the initiative reveals a strong potential for horizontal integration, e.g. through the services and projected creation of a collective transport company and a global GIS framework.</p> <p><b>National</b></p> <p>In the Lithuanian case (18.1), the planning document is in itself an integrating factor, as it guides the overall spatial development and it is also cross-sectoral. All national sector policies are integrated into the Comprehensive Plan.</p> <p><b>Regional</b></p> <p>The Regional Structure Plan (RSP) is the central pillar of the spatial planning policy of the KAN case study in the Netherlands (28.1). It integrates regional plans in the other policy areas and provides the framework for the implementation of regional projects such as sites for housing construction, business parks, infrastructure, 'green' areas and recreation projects.</p> | <p><i>Horizontal collaboration as a driver of further functional co-operation and improved policy coherence</i></p> <p><i>The introduction of spatial planning documents aiming at an integrated territorial policy approach, integrating policy interventions and potentially enabling better cross-sector co-ordination (or at least making visible the necessity for such an integrated approach)</i></p> <p><i>Regional structural plan as a tool for providing an integrated territorial planning approach.</i></p> |

| Dimension of analysis | <b>Type of case study region</b>  | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>  |
|-----------------------|---|--|
|                       | <p><b>FUAs and metropolitan regions</b></p> <p>"Network city Glattal" in Switzerland (7.2), is a case of eight autonomous communities working at metropolitan strategic co-operation in greater Zurich, organised as a regional association: "glow.dasGlattal", which is a community of interest.</p> <p><b>Urban-rural</b></p> <p>In a number of the cases interesting examples of a pro-active and facilitator role of the academic community was referred to, e.g. Hanover-Germany 5.3, PPSP-Italy 3.2, South-Yorkshire Partnership-UK 22.2. Within the Austrian case of Leoben (2.1), the university (department of Geography) also played an important role in developing the strategic planning document.</p> <p><b>Intra-city</b></p> <p>Whilst traditionally the role of neighbourhood associations is strong in the intra-city context in the form of protesting against plans, there are also examples of more pro-active and positive roles, as in the German case of Marxloh-Duisburg (5.1), where inhabitants are asked (together with other non-governmental stakeholders) to issue ideas for projects in their direct environment (neighbourhood).</p> | <p><i>New forms of voluntary co-operation involving both public and private actors as a basis of new types of 'communities of interest'</i></p> <p><i>Utilisation of expertise and local/regional knowledge resources for spatial planning</i></p> <p><i>Active utilisation of local inhabitants as a source of new ideas for local planning, particularly seeking to integrate immigrant groups by providing them with a more active role here.</i></p> |

**Figure 3.4.3 Public participation**

| Dimension of analysis                      | <b>Type of case study region</b>   | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>       |
|--|--|---|
| <b>Governance and public participation</b> | <p><b>Transnational and cross-border</b></p> <p>Where participation is most actively addressed, is usually through national legislative processes requiring participation. Thus is the Finnish case study (14.2), the participation and impact assessment of the På Gränsen –Rajalla detail plan is based on national legislation defining as 'interested parties' 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.), as well as a variety of local voluntary associations and organisations (neighbourhood associations, birdwatchers etc.)</p> | <p>Broad definition of stakeholders, who are to have a formal role in participation</p> |

| Dimension of analysis | <b>Type of case study region</b>   | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>   |
|-----------------------|--|---|
|                       | <p><b>National</b></p> <p>Also in national cases focus is on formal roles of participation, as in the French case (4.1), where the co-operative instrument "Conseil de développement" is a body which is compulsory to create the framework of a "Pays" (an administrative entity). The legal requirement is only to contact it to inform its members on the project and on the way it is implemented. The body by itself and its basic role are statutory, but the real mechanism depends on local actors and to what extent these are mobilised. The final result is not binding. The new method seeks to involve also non-public actors.</p> <p><b>Regional</b></p> <p>In the case of Calatino Sud Simeto (3.1) in Italy, development policies have shifted from a top-down and centralised process to a local, bottom-up model. Civil society participation is one of the main objectives and considered central to both the decision making and implementation phases.</p> <p><b>FUA and metropolitan regions</b></p> <p>The case of Greater Dublin (19.1) is an example of partnership-building between the public and private sectors, in urban regeneration and local development. Bodies such as the National Trust, the Dublin Civic Trust, the Irish Business and Employers' Confederation (IBEC), and the Construction Industry Federation are involved, as are professional bodies, such as the Irish Planning Institute and the Royal Town Planning Institute (RTPI). Almost half the members of the Advisory Committee of the DTO are from the non-governmental sector, such as the IBEC, Earthwatch, the Dublin Cycling Campaign and the RTPI. The Strategic Policy Committees contained within each local authority also have a significant number of members from outside the Authority.</p> <p><b>Urban-rural</b></p> <p>There seems to be an increasing use of the 'language of public participation' in rural-urban territorial governance, the effectiveness of public participation still is rather low.</p> <p><b>Intra-city</b></p> <p>In the Trøndelag common regional development plan in Norway (16.1), a special attempt was made to reach out to and involve young people in the region. Two youth conferences discussing the regional development plan were held.</p> | <p>Non-binding participation processes seeking to mobilise local actors, involvement of non-public actors</p> <p>Decentralisation of development policies</p> <p>Active partnership-building and involvement of the non-governmental sector in the advisory committee</p> <p>A gradual discursive shift – little in the way of concrete examples?</p> <p>New ways of engaging the public – e.g. involving the youth</p> |

**Figure 3.4.4 Openness**

| Dimension of analysis | <b>Type of case study region</b>   | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>  |
|-----------------------|--|--|
| <b>Openness</b>       | <p><b>Transnational and cross-border</b></p> <p>The Luxembourg case (23.2) represents an example of a cross-border case in which diversified mechanisms for openness are used. In addition to a website, structured meetings of local executive authorities are used, a monthly letter is published and a map of the trans-border agglomeration was published and sent to schools. Moreover, a special agency for the management of openness was created.</p> <p><b>National</b></p> <p>As regards to national cases in the Slovakian case (21.1), a mechanism is presented for involving actors which should be involved but are not participating (Slovak Spatial Development Perspective 2001). All relevant actors were addressed directly and the rest of the actors can submit their suggestions or objections on the basis of the information about preparation already published over the processing period and about prepared proposals that have become public in the mass media on the national field of activity and on the official web page of the ministry.</p> <p><b>Regional</b></p> <p>Considering the regional polycentric cases, the strategic plan for the metropolitan coast of Barcelona in Spain (10.1) seems to be a proactive case for openness. Several different mechanisms are used to improve openness, including a website, meetings, weekly information bulletin, enquiries and interviews. Furthermore, a communication plan (with marketing material) was produced to give much more publicity to the results and to enforce the lobby goals.</p> <p><b>FUA and metropolitan regions</b></p> <p>The association "glow.dasGlattal" (7.2) attaches great importance to a concerted information policy. With its own internet homepage and periodical press coverage it intends to inform the public and to strengthen the spirit of a "regional identity".</p> | <p>Utilising a variety of information and communication tools, as well as involving new types of actors, e.g. informing schools</p> <p>Formal 'information' activities and possible public consultation</p> <p>Active information strategy with both formal and informal activities</p> <p>Active information activities as a means of strengthening regional identity</p> |

| Dimension of analysis | <b>Type of case study region</b>  | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>   |
|-----------------------|---|---|
|                       | <p><b>Urban-rural</b></p> <p>In the Hannover region case (5.3) participation and communication has been promoted through the creation of a Regional Agenda 21, which is the region's only standing participation body. The Agenda 21 representatives are invited for meetings once a month. The meetings are open to everybody, though most participants are institutions and agenda representatives from regional municipalities.</p> <p><b>Intra-city</b></p> <p>In the German Duisburg-Marxloh intra-city case (5.1), the programme regularly issues press information in order to inform the public. The programme provides a well located public programme office acting as an agency for safeguarding openness in terms of good governance. A public programme office (Stadtteilbüros) acts as the agency for safeguarding openness. The office gives information about current transport and construction projects, programmes and plans, but also asks specified target groups, e.g. seniors, women, teenagers or children for their opinions regarding the future development of the city quarter.</p> | <p>Utilisation/creation of new communication forum</p> <p>More targeted and varied communication and information activities, seeking to create communication as close to the citizens as possible and engaging different population groups.</p> |

**Figure 3.4.5 Innovative/interesting mechanisms**

| Dimension of analysis                                       | <b>Type of case study region</b>   | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>  |
|---|--|--|
| <b>Innovative/interesting mechanism, tools or practices</b> | <p><b>Transnational and cross-border</b></p> <p>In the Slovenian Schengen case (8.1) study, the introduction of a pilot region can be taken as a 'best practice' example, as "Pomurje is a pilot region selected for research and concrete policy measures, support and training" (Case study 8.1, p. 4)</p> <p><b>National</b></p> <p>In the Danish Triangle case (12.1), a division of labour between the participating municipalities is promoted, where specialisation and specific characteristics of the municipalities are taken into account. The Triangle Area promotes a 'balanced internal competition'. One of the main ideas of the strategic planning of the Triangle area is that the cities in the co-operation complement each other in a way that is beneficial for the development of the whole region - a typical example of polycentric thinking.</p> | <p>Experimenting and learning with regional pilots</p> <p>Promotion of sub-national specialisation as an element of promoting polycentricity</p> |

| Dimension of analysis | <b>Type of case study region</b>  | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>  |
|-----------------------|---|--|
|                       | <p><b>Regional</b></p> <p>Within the Slovakian case (21.2) new elements of governance were found in which the meeting system and independent experts (academic and regional) were used so that it contributed successfully to the new spatial development perspective.</p> <p><b>FUA and metropolitan regions</b></p> <p>The introduction of an integrated metropolitan planning level or model is considered innovative in the Warsaw (FUA) case (27.2). In the extended Warsaw area an attempt has been made to integrate the public transport system in the Warsaw area through the joint takeover of the Warsaw Commuter Lines by the local authorities ('self-governments').</p> <p><b>Urban-rural</b></p> <p>The Spanish case dealing with the Urban Directive of the Coastal System in Catalonia (10.2), found an innovative mechanism related to the new type of plan. For the first time a supra-municipal plan in the Catalonian coastal area has been made, which means an innovative approach to the coastal land use and littoral protection in Spain. For example, an effort was made to improve the available cartography and make it much more detailed. Although it is a top-down plan, consensus was built by meetings with town councils and land owners.</p> <p><b>Intra-city</b></p> <p>In the German intra-city case of Duisburg-Marxloh (5.1) 'The Socially Integrative City' implements an innovative approach of governance, aiming to include everybody and to build a societal consensus. In the course of many years of experience with the programme, it has developed a good climate for participation, in which stakeholders from the co-determination bodies, the programme offices and non-governmental organisations offer a large range of possibilities for citizens to take part in discussions and join project working groups.</p> | <p>Utilisation of external experts as a resource</p> <p>New distribution of responsibility contributing to the empowerment of the conglomeration of metropolitan local authorities.</p> <p>New plan for sub-national regional level in coastal management</p> <p>Project working groups as a means of building a societal consensus and dialogue</p> |

**Figure 3.4.6 Accountability**

| Dimension of analysis  | <b>Type of case study region</b>   | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>   |
|--|--|---|
| <p><b>Accountability</b></p> <p>Examples of cases where levels of responsibility are clarified by the new initiatives and governance practices</p> | <p><b>Trans-national / cross-border</b></p> <p>In the cross-border cases accountability is usually relatively clear, remaining in the hands of the local entities making up the co-operation, e.g. the case of ARKO (17.2)</p> <p><b>Regional</b></p> <p>The Hedmark County (16.2) is formed by the politically accountable elected regional council and the administrative county administration in line with the 'enhetsfylke' pilot model. Unitary governance arrangements coordinating the regional administrative tasks of the county councils (fylkeskommune) and offices of the regional state representatives (fylkesmenn) have been set up in this context.</p> <p><b>FUA/Metropolitan</b></p> <p>Lahti (14.1) is an example of co-ordinated inter-municipal plan, during the process of which a working group was established, consisting of planners from each municipality and a representative from Päijät-Häme regional council</p> <p><b>Urban-rural</b></p> <p>The development of new Local Strategic Partnerships is encouraged in the South Yorkshire case (22.2) (LSPs) are encouraged in the as key mechanisms for joining up public services at an authority-wide level and consist of a single non-statutory, multi-agency body that matches local authority boundaries and aims to bring together the public, private, voluntary and community sectors to provide a single, overarching local coordination framework. The South-Yorkshire Partnership encloses four municipalities in the proximity of Sheffield.</p> | <p>Clarity of responsibility and distribution of tasks for each level of governance follows the national model (i.e. local autonomy and accountability carried through in the cross-border context)</p> <p>Pilot where new distribution of powers and responsibilities are being tested. The initiative increases effectiveness and regional autonomy.</p> <p>An example of new type of cooperation within planning context.</p> <p>Joined-up planning, Partnership organised for providing a single, overarching local coordination framework.</p> |

**Figure 3.4.7 Effectiveness**

| Dimension of analysis   | <b>Type of case study region</b>  | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>   |
|---|---|---|
| <p><b>Effectiveness</b></p> <p>Effectiveness is analysed in relation to the set objectives, both in terms of effective policy delivery and the appropriateness of measures implemented.</p> | <p><b>Trans-national / cross- border cases</b></p> <p>Via Baltica (13.1) is a case where the meso level involves the co-ordination and administration of the project, transnational co-operation covering the whole zone, common marketing activities and co-operation between different actors in the Baltic Sea Region.</p> <p><b>National</b></p> <p>In the Lithuanian case (18.1), the planning document is in itself an integrating factor, as it guides the overall spatial development and it is also cross-sectoral. All national sector policies are integrated into the Comprehensive Plan.</p> <p><b>Regional</b></p> <p>PEL, the Strategic plan for metropolitan coast of Barcelona (10.1) is a voluntary agreement made by 27 municipalities along the coast. The non-mandatory plan has as its goal to define common development strategies and interact more efficiently with sectoral institutions, especially the National Ministries responsible for coastal management, road and rail infrastructures, and regional institutes responsible for environmental management.</p> <p><b>FUA/Metropolitan</b></p> <p>Within Pla Territorial Metropolità de Barcelona (PTMB) case study (10.3) a metropolitan master plan is established to cover issues such as natural protection, networks of transport infrastructures and urban growth. The spatial planning context is multi-level, with the national level having a role in sectoral, as well as strategic and mandatory planning and the regional level has a territorial planning, strategic and mandatory role. The role of the local/municipal level is in urban mandatory) planning, mandatory.</p> | <p>One of the main contributions of the initiative has been the positive impact on integration of actors and sectors within spatial planning, enhancing effectiveness.</p> <p>Effective in the way it integrates different sectors.</p> <p>Effective in the way it integrates different sectors.</p> <p>Effective in the way it integrates different sectors.</p> |



| Dimension of analysis | <b>Type of case study region</b>   | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>  |
|-----------------------|--|--|
|                       | <p><b>Urban-rural</b></p> <p>The strategic planning process of Leoben (2.1) urban initiative, serves as a good practice example of the urban-regional cooperation, where a more long-term perspective is employed. The process called "Creating the Future" is a general framework of actions that includes forms of democratic participation as well as dynamic and creative elements. By developing short and long-term objectives, "Creating the Future" attempts to up-grade the image of this town and to accord Leoben national and international prestige.</p> <p><b>Intra-city</b></p> <p>Duisburg: The "Socially Integrative City" case (5.1) successful due to the development of integrated policy packages, the integration and participation of non-governmental stakeholders and the long-term focus of the project.</p> | <p>A more long-term strategic planning approach.</p> <p>The case comprises integrated policy packages and has a long-term focus.</p> |

**Figure 3.4.8 Coherence**<sup>53</sup>

| Dimension of analysis  | <i>Type of case study region</i>  | <i>Type of 'best practice', WHY seen as good example / source of inspiration?</i>   |
|--|---|---|
| <p><b>Coherence</b></p> <p>Coherence is connected to the way in which broader policy-level themes and objectives (e.g. those incorporated in the ESDP, territorial cohesion, sustainability, Lisbon and Gothenburg themes etc.) are integrated into territorial initiatives. TIA and other impact assessment practices are also means in achieving better coherence.</p> | <p><b>Trans-national / cross-border</b></p> <p>The Slovenian trans-national case (8.1) has enabled the Governmental Office for Local Self-Government and Regional Policy, with the assistance of the University of Ljubljana and the Regional Development Agency Mura, to intensively study and analyze the factors influencing socio-economic change and spatial planning requirements on the regional level after Slovenia's accession to the EU, where special changes have been considered: the new Schengen border regime, improved transportation networks and declining industries.</p> <p><b>National</b></p> <p>In the Slovakian case (21.1), during KURS 2001 creation, new elements of governance were found in relation to the meeting system, where independent experts were used. The ESDP document was also analyzed during the process. All policy options were analyzed and simultaneously they were evaluated from a view of their applicability and ability to be up-to-date under the conditions in the Slovak Republic. By so doing, the policy options are selected, which can have an application also for KURS 2001 processing.</p> | <p>An example of utilising expertise and academic community as a resource in order to formulate more 'evidence based' spatial policy and by so doing improving policy coherence</p> <p>An example of utilizing expertise to improve coherence of this national planning process with the objectives of the ESDP</p> |

<sup>53</sup> As outlined in the White Paper on Governance, there is an increased need to develop policies and measures in a coherent way, i.e. non-conflicting and mutually consistent. Coherence is thus defined as an inherent element of policy development: policy initiatives and measures should be developed in a way that they ensure coherence of aim, method and process, rather than implementing inefficient policies that conflict.

Coherence entails that policies and action must be coherent and easily understood, stemming from the fact that with an increasing complexity of policy issues and problems to be tackled through common action, coherence should increase if the policy effectiveness is to be pursued. The complexity refers to the fact that the range of tasks (for the EU) has grown, enlargement will increase diversity and societal and other policy challenges such as climate and demographic change increasingly cross the boundaries of the sectoral policies on which the Union has been built. Also the fact that regional and local authorities are increasingly involved in EU policies makes the need for coherence and co-ordination more acute. It is also stated that coherence requires political leadership and a strong responsibility on the part of the Institutions to ensure a consistent approach within a complex system.

| Dimension of analysis | <b>Type of case study region</b>   | <b>Type of 'best practice', WHY seen as good example / source of inspiration?</b>  |
|-----------------------|--|--|
|                       | <p><b>Regional</b></p> <p>The Triangle area in Denmark (12.1): In 1997 the 8 municipalities agreed upon "The Planning Perspective for The Triangle Area 1996-2008". This planning perspective was inspired by the ideas presented in The National Planning Report 1997, where the Ministry of the Environment recommended the creation of sub-national polycentric urban networks – along the lines of the ESDP-document that was launched three months after the Danish National Planning Report. The participating municipalities considered the document as 'political binding' - although formally it was not.</p> <p><b>FUA/Metropolitan</b></p> <p>The more sustainable management of waste in the Dublin region (19.1) could be characterised as the prudent management of the urban ecosystem – one of the policy aims of the ESDP.</p> <p><b>Urban-rural</b></p> <p>Universities in the example of the PPSP in Italy (3.2), '<i>facilitate the interaction and action of local actors</i>' (PPSP-Italy, p. 9) by advising these local actors to coordinate their governance efforts within the region. These experts play a role in underlining the importance of regional governance within the region, and consequently, in the establishment of bodies of regional governance</p> <p><b>Intra-city</b></p> <p>Vilnius city strategic plan 2002-2012 (18.2): The Lisbon strategy, ESDP, EU Regional policy, EU transport corridors – IX B; EU structural and cohesion funds strategies, "Eurocities" best practises for development strategies where taken into account</p> | <p>The initiative has a strong link to the ESDP, though at the same time pre-dating the ESDP document.</p> <p>The initiative is on the line with one of the ESDP principles</p> <p>An example where experts and academics play a significant role.</p> <p>An example which is in the line with many EU strategies.</p> |

### 3.4.2 'Best practice' Synthesis

The White Paper on European Governance identifies five principles that underpin good governance (CEC, 2001, p.10-11). These are:

- Openness,
- Participation,
- Accountability,
- Effectiveness,
- Coherence.

Each principle is important for establishing more democratic governance, and applies to all levels of government – global, European, national, regional and local.

This chapter mainly reflects a summery of the key findings of the best practices that could be found in the case studies. It also searches for reason why it is a successful case related to governance and to see if there are recurring factors that have a positive effect.

There are two angles from which the best practices can be summarized. The first is by dimension and the second by level. Both approaches will be applied here in order to get the most complete picture. In the first part of the analysis the CSs obviously differ greatly because they all relate to a different level. More about the specific cases can be found in the second part of the analysis where it is easier to draw parallels.

#### 3.4.2.1 *Analysis by dimension*

The following dimensions were analyzed:

- Vertical
- Horizontal
- Public participation
- Openness
- Innovative/interesting mechanisms
- Accountability
- Effectiveness
- Coherence

As can be seen five of the dimensions coincide with the principles of good governance as mentioned in the white paper.

- Vertical dimension

In the vertical case study examples, 'best practice' or inspirational examples are in most cases connected to the emergence of new forms for local and regional mobilisation and involvement and ways in which the local and regional levels can exert influence. In most cases good examples are given, where formal roles are less central as compared to informal ones, though potential constitutional repercussions of cross-border entities are also referred to.

- Horizontal dimension

'Best practice examples relating to the horizontal relations are often related to spatial planning processes, where cross-sector interaction is promoted and more coherent policy packages are developed as a consequence. Actor perspective is relevant through the involvement of experts and citizens in spatial planning processes and by so doing promoting new communities of interest and better integrated spatial policy approaches.

- Public participation

'Best practice' within promoting public participation is connected to both the more inclusive definition of 'interested stakeholders' and to the processes of participation. In general there seems to be a gradual discursive shift going on towards placing more value on participation, though in some cases (e.g. urban-rural) there is still little more than anecdotal evidence of this.

- Openness

In relation to 'openness', most 'best practice' seems to be connected to the informal ways in which the public and different stakeholder groups are informed (utilisation of a variety of information and communication tools, as well as involving new types of actors in deliberation), though also more formal processes are sometimes referred to (e.g. hearings and consultations).

- Innovative/interesting mechanisms

Depending on how innovation is defined, it can be found as an underlying cross-cutting theme across the different topics addressed in this section. In some cases 'innovation' in the case study context (be it territorial, regional, local or national) is specifically addressed however. The 'best practice' here seems to fall under the three main

categories that each represents types of organisational and social innovation:

- Experimenting and learning with regional/national/local pilots (e.g. pilots in division of responsibility, empowering the regional or local level)
- Promoting policy learning through new spatial policy ideas (e.g. specialisation, polycentricity)
- Reform of structures, planning instruments and methods (e.g. working group-based organisational mode, new thematic plans)

- Accountability

Accountability refers to the clarity of division of roles and responsibilities and the 'best practice' identified can be divided into the following three main types:

- Experimenting and learning with regional/national/local pilots (e.g. learning from the way in which accountability is ensured nationally and putting this into practice in a cross-border context, strengthening regional autonomy)
- Promoting new types of co-operation in planning (involving new actors and organisations and re-drawing boundaries in their tasks)
- Reform of planning instruments and methods (e.g. joined up and better co-ordinated planning processes) <sup>54</sup>

- Effectiveness

The 'best practice' identified in relation to improved policy effectiveness is in most cases of two types: it either promoted cross-sectoral and cross-thematic integration and co-ordination and by so doing contributes to improved effectiveness, or the inspirational aspects are related to a more long-term planning perspective.

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<sup>54</sup> "Accountability" is a traditional principle of good government, not only a novel feature of "governance". Different systems of democratic governance tend to value and promote different mechanisms and practices for ensuring accountability, which has been one of the key points of interest in the case studies.

The overlaps between accountability and degree of innovation are related to the difference types of systems, also referred to above, i.e. different countries and governance systems may have different ways of promoting accountability and the ways in which these are promoted can thus exemplify, not only accountability, but also innovative governance methods. Thus, the difference is in the perspective, i.e. whether we are looking first and foremost for innovation or accountability.

- Coherence

Policy coherence is most often promoted through a more evidence-based approach, where academic or other professional expertise is more actively utilised as a means to improve coherence of interventions, or through a more conscious and targeted integration of policy interventions within the context of broader EU strategies of relevance for spatial and planning and territorial policy (e.g. Lisbon agenda or ESDP).

#### 3.4.2.2 *Analysis by level*

On the analysis per level more can be said about the individual case studies as the case studies can be better compared. The following levels will be analysed:

- Trans-national, cross-border
- National
- Regional
- FUAs and metropolitan regions
- Urban-rural
- Intra-city

Despite the case studies remain very different, showing very interesting practices to follow and deepen if they are of interest for the reader, some general comments can be made relating to the different levels.

- Trans-national, cross-border

Key dimensions: horizontal coordination, vertical coordination as a result of horizontal coordination, openness, public participation, coherence, *legislation*

A good example of horizontal coordination is the Finnish case study 14.2 where national legislative processes requiring participation. Thus the participation and impact assessment of the På Gränsen –Rajalla detail plan is based on national legislation defining 'interested parties', residents, landowners, regional environmental authorities, road administrations, etc. In the Luxembourg case diverse mechanisms of openness were used, websites, structured meetings of local executive authorities are used, a monthly letter is published and a map of the trans-border agglomeration was published and sent to schools. Moreover, a special agency for the management of openness was created. As can be read above, most efforts at the trans-

national, cross-border level were focussed at the improvement of the horizontal coordination. The horizontal effort can also be on a higher scale like in the case of the Atlantic Arc in Portugal, where the services and actions are integrated through horizontal cooperation as a driver of further cooperation and improved policy coherence. This focus on the horizontal coordination automatically includes an effort in vertical coordination, connecting the local level with the trans-national, cross- border level. Furthermore in Finland the status of cross-border entities in planning might get a different constitutional status. As can be seen the legislation in a country can also have a big influence on the importance or priorities of the various dimensions of governance.

- National

Key dimensions: horizontal coordination, public participation

At the national level also the main emphasis is at the horizontal coordination. This reflects in for instance the Pays Policy case in France, where the local authorities can gather to propose a local development project which must be elaborated with the concerned actors. A different case is situated in Lyon, but also there non binding participation processes are used to seek the mobilisation of local actors and involvement of non-public actors. This was arranged in a complex cooperative instrument and was implemented for the first time in Lyon. In the Slovakian case there are formal procedures that present mechanisms to involve actors that should be involved but are not participating. The relevant actors are addressed directly while other actors can submit their suggestions or objections on the base of the information about preparation published, over the processing period and about prepared proposals become public in mass media on the national field of activity and on the official web page of the ministry. In the Lithuania 18.1 the introduction of a new spatial planning document is the integrating factor, aiming at a better cross-sectoral coordination. So it can be seen that at the national level there are mainly best practices that focus on the horizontal coordination together with public participation, which can be seen as part of the horizontal coordination.

- Regional

Key dimensions: horizontal and vertical coordination, public participation, openness



At the regional level we see a big effort in the field of horizontal and vertical coordination. There is a great deal of best practices on the regional level. A good example is the Västra Göteland case in Sweden where the local mobilisation were used as a source for inspiration and 49 local councils were mobilised and decided to collaborate in 4 formalised local authority associations. Non-public involvement took place in the strategic waste management in England where all nine English regions have formed Regional Technical Advisory Bodies which are multi-stakeholder voluntary organisations that have been given a specific role to play assisting the regional assemblies in strategic planning for waste. It is a multi-level model in the national context; however the strategic waste management in England is supranationally top-down since it is driven by EU directives aimed at a move sustainable approach. So it also contains a vertical element in integrating the different levels. There is also the South Yorkshire Partnership in de UK (22.2) which is a broad partnership covering the area of local authorities that are particularly influential in the partnership. Other members are drawn from the full range of sub-regional stakeholders, both public and private, particularly those concerned with the economic regeneration. The partnership has succeeded in good collaboration between four local authorities that have previously mainly been competing. The partnership has achieved the approval of the Spatial Vision for South Yorkshire 2006-2021. In the Triangle Area in Denmark they have succeeded in making a Joint Master Plan 2003-2014, being a comprehensive integral plan that aims to balance internal competition and using it as a positive influence instead of a source of conflict. Providing a complementary approach to sub-national regional planning supporting local specialisation and a clearer distribution of responsibilities. Also in the KAN region in the Netherlands a plan plays a key role, the Regional Structure Plan providing a tool for integrated territorial planning. In Barcelona Spain is on bottom-up processes from several municipalities to cooperate in a multilevel dialogue through participation. Also the communicational aspect and transparency plays an important role. Different mechanisms are used to improve openness, including a website, meetings, weekly informative bulletin, enquiries and interview. Furthermore, a communication plan (with marketing material) was made to give much more publicity to the results and to enforce the lobby goals In Italy development policies have shifted from a model where they are developed as a top-down and centralised process to a local, bottom-up model, where civil society participation is one of the main

objectives of the governance process and it is considered very important both in the decision making and implementation phases.

Within the Slovakian case new elements of governance were found in which the meeting system and independent experts (academic and regional) were used so that it contributed successfully to the new spatial development perspective.

At the regional level there is also a wide range of projects but as could be seen there is a certain amount of coherence between them. Many of them deal with the cooperation of several regions or municipalities through partnerships, the introductions of spatial plans as tools for horizontal and vertical coordination also is a shared theme. Where part of the horizontal coordination takes place through the participation both public and private actors where openness obviously plays a key role.

- FUAs and metropolitan regions

Key dimensions: horizontal and vertical coordination, public participation, innovative practices

On this level as can be expected there are many case studies and there is a lot of horizontal coordination and cooperation. In the case of Glow das Glattal in Switzerland eight autonomous communities are voluntarily working together in a strategic cooperation in greater Zurich organised as a regional organisation. Also an important aspect of the Swiss case is the utilisation of active communication strategies with an own website and a periodical press coverage it intends to inform the public and to strengthen the spirit of a "regional identity".

In Dublin partnership building can be seen involving the public and private sector to forward urban regeneration and local development. An advisory commission plays an important role in this of which a big part of the members are from non-public organisations. In the Prague Czech Republic case external experts and consultants are utilised as facilitators of partnership building. Where in Loeben Austria the involvement of citizens, experts, local politicians etc also plays a key role where the case describes an urban strategic planning process, where a core team, together with scientists and decision-makers drafted the project design trying to ensure creativity, flexibility and involvement. All Loeben citizens were invited to the kick-off. A model illustrates the strategic planning process including an (advisory and interfacing) steering committee, (thematic) working groups, a citizen's forum, a (neutral) scientific project team, a local project team, public relation and politics (also represented in the

steering committee). In the French case "Conseil de développement", involving formal organs that are compulsory to create the framework for the 'pays'. The organ by itself and its basic role are statutory as far as they derived from the law, but the real mechanism depends on local actors. The final result is not binding as far as the final decision relies on the democratic process of validation inside the local elected bodies. The contractual model ensures the commitment of participating actors and defines the contribution of each partner/stakeholder. In Warsaw the responsibilities have been re-distributed by attempting to integrate the public transport system into the Warsaw area by the joined takeover of the Warsaw Commuter Lines by the local authorities.

On this level there is a big deal of projects making it harder to compare them, however again one of the most important common features is the emphasis on public participation. A big role is played here by the external experts and new forms of formal and informal participation and cooperation.

- Urban-rural

Key dimensions: horizontal coordination, public participation, openness, innovative practices

At the urban-rural level the focus seems to be on the communicational aspect, creating and using a new forum like in for instance Hanover. Here they created the so called Regional Agenda 21 which is the regions only standing participation body. The representatives are invited for meetings once a month. These meetings are open to everybody. In the Slovakian case Residential Area Janosikova, Malacky an innovative mechanism related to a new kind of participation mechanism. A meeting system which had the dual function of information sharing and generating new ideas and impulses from the participants was used. In Trøndelag the youth was involved by two youth conferences that were held. The effectiveness of public participation however is still low; maybe here we can see a gradual discursive shift towards concrete examples. In the newly founded (sub)-regional governance projects local governmental actors play an important role. They are the driver of development of an institutional framework of regional partnership and mobilising actor. In Catalonia in Spain there is a new plan for the sub-national regional development in coastal management. The plan is top-down but consensus was built by meetings with town councils and land owners.

- Intra-city

Key dimensions: horizontal coordination, public participation, openness, innovative practices

At the intra-city level case studies are located in Germany (Duisburg-Marxloh), Trøndelag in Norway, and Vilnius in Lithuania. In the latter we see the use of creative methods and public meetings including the utilisation of external experts and process facilitators. Also in Norway new ways, in this case through two youth conferences discussing the regional development plan, were used to engage the public mainly focussed on the youth. In the German cases it too is about involving non-governmental stakeholders. In the case of Duisburg-Marxloh this is done through the Duisburg Development Association that seeks to involve all these actors in a formal body where these can develop project ideas and bring forward important issues. In the same case there is both a wide orientation on public participation as well as a more targeted public participation involving specific population groups, like immigrants, youth, etc. Also openness and communication is a main element in the German case study where the programme regularly issues press information in order to inform the public. The programme provides a well located public programme office acting as an agency for safeguarding openness in terms of good governance. A public programme office (Stadtteilbüros) acts as the agency for safeguarding openness The office informs about current transport and construction projects, programmes and plans, but also asks specified target groups, e.g. seniors, women, teenagers or children for their opinions regarding future development of the city quarter

In general it can be said that on the intra city level there is a big effort in on the one side having a broad focus when it comes to public participation, but on the other side also being more precise and aiming to involve certain groups in the process.

### 3.4.2.3 *Synthesis*

After the analyses per dimension and per level now it is time to see what lessons can be learned from the above. What are the ingredients that are always present in case of the best practices (per level, per dimension)?

It is hard to give a standard recipe that can be applied in every situation, but some general comments can be made that basically summarize what was said above.

Looking at the analysis per level several dimensions of governance were clearly THE dimensions on which the focus always seems to be.

In Figure 3.4.9 the key dimensions per level are summarized once more

**Figure 3.4.9 Key dimensions of territorial governance, by level**

| <b>Levels</b>                          | <b>Vertical</b> | <b>Horizontal</b> | <b>Participation</b> | <b>Openness</b> | <b>Innovative Practices</b> | <b>Coherence</b> |
|--|-----------------|-------------------|----------------------|-----------------|-----------------------------|------------------|
| <b>Trans-national, cross-border</b>    | X               | X                 | X                    | X               |                             | X                |
| <b>National</b>                        | X               |                   | X                    |                 |                             |                  |
| <b>Regional</b>                        | X               | X                 | X                    | X               |                             |                  |
| <b>FUAs &amp; metropolitan regions</b> | X               | X                 | X                    |                 | X                           |                  |
| <b>Urban-rural</b>                     | X               |                   | X                    | X               | X                           |                  |
| <b>Intra-city</b>                      | X               |                   | X                    | X               | X                           |                  |

If one looks at the key dimensions per geographical level it can be seen that only on the national and FUA level the importance of openness is not one of the key dimensions. This is peculiar because public participation is one of the key dimensions on these levels and the two are hard to be seen separately as openness is a necessary requirement in participation processes. The transnational level is the only level that has coherence as one of its key dimensions, while coherence is indissolubly connected to horizontal and vertical coordination. The transnational level is the only level that explicitly mentions coherence as one of its key dimensions while on the other levels the coherence is probably implicitly one of the sub-priorities. It however probably would be good to enforce and make the coherence aspect an explicit goal. The FUA, Urban-rural and Intra-city level are the only levels on which innovative practices play a key role. One could thus say that innovative practices only play a key role at the lower levels reaching up as far as the FUA level. On this issue however it depends on how one defines innovative practices, because also on the higher levels rather innovative practices can be found only they are not labeled as such. The dimensions that are mentioned in all cases as key dimensions are; horizontal coordination, vertical coordination and public participation. This however leaves the

accountability and effectiveness out of the studied cases. Two dimensions of good governance that should be included as well. Obviously it would be ideal to include all dimensions of governance on all levels; however practice shows a different picture. The above shows that there is no standard recipe or mechanism to success. What was done in the above analysis was to pin point the gaps or weaknesses in the best practices. One would expect that the best case practices would represent the perfect situation in which all dimensions of good governance were present; however this is not the case. What can be learned from the above is that at least the vertical and horizontal coordination together with public participation elements should be in place. Perhaps they can be seen as the necessary basic requirements, where the other dimensions of good governance can only improve the situation further.

In the analysis per level we see that on the vertical dimensions the majority of best practices relates to cases in which the emergence of new forms of local and regional mobilization and ways in which the local and regional levels can exert influence. Also the field of public participation plays an important role in the horizontal dimension through the involvement of experts and citizens in spatial planning processes and by doing so promoting new communities of interest and a more integral spatial policy approach. On the horizontal dimension most best practices relate to the horizontal relations where cross-sectoral interaction is stimulated resulting in more coherent policy packages. The public participation is dealt with in the same way as in the vertical dimension only here things are connected to the more inclusive definition of 'interested stakeholders' and to the process of participation. The importance of public participation seems to be increasing. Public participation is also related to openness and informal ways to inform stakeholders as well as formal processes. The openness dimension is mainly connected to the informal ways in which the public and different stakeholder groups are informed (utilisation of a variety of information and communication tools, as well as involving new types of actors in deliberation), though also more formal processes are sometimes referred to (e.g. hearings and consultations). Innovative and or interesting mechanisms dimension is a bit harder to relate to specific issues, because it depends on how innovation is defined. It can be found as an implicit underlying cross-cutting theme across the different topics where in some cases it is explicitly mentioned. There are three categories of best practices; experimenting and learning with regional, national and local pilots, promoting policy learning through new spatial policy ideas and reform of structures, planning instruments and methods. The accountability

dimension can also be divided into the same three categories. Effectiveness mainly connects to first of all promoting cross-sectoral and cross-thematic integration and coordination and by doing so contributing to the improving effectiveness or secondly inspirational aspects are related to a more long-term planning perspective. In the dimension of coherence the best practices see a more evidence based approach, where academics or other professional expertise is more actively utilised as a means to improve coherence of interventions. This can also take place through a more conscious and targeted integration of policy interventions within the context of a broader EU strategy of relevance for spatial planning and territorial policy.

### **3.5 A Territorial Governance Model from the EU to the Local level**

The spreading of interactive and negotiated modes of policy elaboration, of decision-taking and of consensus building has determined the emergence of governance that goes together with government. The distinction between government and governance in practice is extremely weak. The two models of action are not alternative, but they rather refer to a *continuum* in which features and characteristics of both the government and the governance models co-exist. This interpretation allows to identify innovative elements and unavoidable inertias that are part of the process of making and implementing policies, involving a mix of old and new features that characterize the ongoing processes of territorial transformation from the point of view of the objectives, shapes and procedures of the collective action. The main problem is to understand, to describe, and to evaluate government mechanisms and structures learning capacity (or incapacity) to operate in governance terms. This capacity needs the progressive redefinition of the role of the public actor, of its decisional mechanisms, and of the progressive reorganisation of public administration procedures. Even though governance actions are shaped through the interaction of a multiplicity of actors, public actors still play a different role. They can favour interactions, remove blocks, link actors, build non hierarchical relations among them and valorise the self-organizational capacities of social and territorial systems. Public actor roles and competences shift then from the design of sectorial projects to animating and supplementing different typologies of actions (social interaction, bridging conflicts and differences, basic political options definition within which participative processes can take place, government of the same processes).

In this framework, with reference to the international literature, to the national overviews (NOs) and to the case studies (CSs) analysed in this research project, this chapter tries to define the characteristics of territorial governance actions (TGAs) that emerge from relevant theories and observed practices. These characteristics can help to operatively define how to build a **“possible” model of territorial governance** seen as a process of actors’ organization and co-ordination aiming at developing territorial capital in a non destructive way in order to improve territorial cohesion at different levels.

In this chapter, section § 3.5.1 refers to the four issues defined in chapter 1.3 to describe and evaluate a TGA (vertical coordination; horizontal coordination; participation and involvement of civil society and organised interests; territorialized actions). Each issue is defined by descriptive and evaluative criteria that, because of the nature of the processes described and the little systematic knowledge of this theme, are mainly qualitative. In § 3.5.2 criteria are ordered according to their relevance to the TGAs at a specific level (especially those considered in the CSs: trans-national and cross-border regions; national; regional, polycentric urban networks; FUA and metropolitan regions; urban-rural relationships; intra-urban relationships). In 3.5.3 issues and criteria are directly confronted with the results of the analysis of the practices (CS), to learn from what has been done. In 3.5.4 a grouping of levels that takes into account this path to a model of good territorial governance is considered.

### 3.5.1 Territorial governance: issues and criteria

As we have already seen (§1.3), TGAs can be described through four interrelated issues, which also help to evaluate different characteristics of territorial governance practices at different levels and to define a territorial governance model that refers to the construction of territorial cohesion at different levels. The different issues are explained and organised by criteria and are sythetized in Table 3.5.1 and explained in more detail below.

**Table 3.5.1 Making a territorial governance model: what to look for?**

| <b>Vertical coordination (multi-level)</b>                               |
|--|
| <i>A<sub>1</sub>. Vertical coordination among actors (public actors)</i> |
| A <sub>11</sub> . → hollowing out of the State                           |
| A <sub>12</sub> . → State driving the devolution process                 |
| A <sub>13</sub> . → competences transfer                                 |
| A <sub>14</sub> . → competences and resources transfer                   |



|  |
|--|
| A <sub>15</sub> . → interaction with the EU level  |
| <p><i>A<sub>2</sub>. Vertical coordination among policies</i></p> <p>A<sub>21</sub>. → intersectorial policies</p> <p>A<sub>22</sub>. → integration of sectorial policies</p> <p>A<sub>23</sub>. → integration of financial resources</p> <p>A<sub>24</sub>. → coherence of policies (vertical subsidiarity)</p>   |
| <b>Horizontal coordination (multi-channel)</b>   |
| <p><i>B<sub>1</sub>. Horizontal coordination among actors (public actors)</i></p> <p>B<sub>11</sub>. → institutionalised/formalised cooperation</p> <p>B<sub>12</sub>. → informal/non institutional cooperation</p> <p>B<sub>13</sub>. → voluntary participation</p> <p>B<sub>14</sub>. → management oriented aggregations</p> <p>B<sub>15</sub>. → proactive aggregations</p> <p>B<sub>16</sub>. → durable strategies design capacity</p> |
| <p><i>B<sub>2</sub>. Horizontal coordination among policies</i></p> <p>B<sub>21</sub>. → intersectorial policies</p> <p>B<sub>22</sub>. → integration of sectorial policies</p> <p>B<sub>23</sub>. → integration of financial resources</p> <p>B<sub>24</sub>. → coherence of policies (horizontal subsidiarity)</p>   |
| <b>Involvement</b>   |
| <p><i>C<sub>1</sub>. Involvement of stakeholders</i></p> <p>C<sub>11</sub>. → typologies of actors involved</p> <p>C<sub>12</sub>. → level to which the actors involved belong</p> <p>C<sub>13</sub>. → formal agreement</p> <p>C<sub>14</sub>. → informal agreement</p>   |
| <b>Participation</b>   |
| <p><i>C<sub>2</sub>. Wide participation</i></p> <p>C<sub>21</sub>. → capacity to hear</p> <p>C<sub>22</sub>. → asking for participation in a "side object"</p> <p>C<sub>23</sub>. → asking for participation in the "core object"</p>  |
| <b>Territorialized actions</b>   |
| <p><i>D<sub>1</sub>. Territory</i></p> <p>D<sub>11</sub>. → correspondence with an administrative territory</p> <p>D<sub>12</sub>. → identification with a proactive territory</p> <p>D<sub>13</sub>. → territory as a common good</p>   |
| <p><i>D<sub>2</sub>. Territorial capital</i></p> <p>D<sub>21</sub>. → identification and valorisation of territorial capital potentialities</p>  |

### 3.5.1.1 Vertical coordination

*Vertical coordination* regards both actors (mainly public) and policies. It is linked with the principle of subsidiarity, i.e. the distribution of powers among different levels of government (EU, national states, regions and municipalities), and the decentralisation process from national to local/regional levels. The latter implies delegation of competencies, power and financial resources to local and regional authorities, in order to increase their capacity to deal adequately with governance issues. While the national level is called upon to drive the devolution process (or should do so), both the EU and the national levels should coordinate their actions and policies at different spatial levels. Innovative inter-institutional relations are needed that move away from a hierarchical and authoritative vision in favour of relations based on cooperation among authorities at different levels. Besides, vertical coordination from the policies' point of view should be seen as coordination of sectorial policies with a territorial impact. In this perspective, vertical coordination concerns not only coordination problems between various administrative levels (from EU to local level), that we consider as the first step, but also, in a consecutive and more evolved way, the quality of connections and relations to be established between sectorial policies at different spatial levels to make them converge towards common objectives ('diagonal' relations).

To describe and evaluate different modes through which, in territorial governance practices, vertical coordination of actors and policies can happen, the following criteria are proposed.

#### - *Vertical coordination among (public) actors*

The first criterion outlines the difference between different processes of decentralisation, in particular between:

- the hollowing out of the State, i.e. the process in which the State leaves empty power-spaces that can be filled by strong institutional actors and
- a State that is driving the devolution process.

The second criterion outlines the difference between processes of devolution, in particular between:

- processes in which there are only competence transfers, i.e. devolution of responsibility without authority, power and resources and

- processes in which there are competence plus resource transfers, i.e. devolution of responsibility, authority, power and resources.

The third criterion outlines the capacity, if existing, of the different institutional levels taking part in the TGA to interact with the European level.

#### - *Vertical coordination among policies*

Two criteria are considered. The first criterion refers to the capacity of the different institutional levels implied in TGAs to coordinate sectorial policies at the different levels taking into account, in specific, differences between:

- *a priori* intersectorial coordination, i.e. construction of a spatial vision that can be seen as a reference framework for policies at different levels;
- *a posteriori* intersectorial coordination, i.e. creation of relations among policies after they have been elaborated as sectoral.

The second criterion refers to the capacity of the different institutional levels to make coherent the policies implemented at different levels.

#### 3.5.1.2 *Horizontal coordination*

The second issue, *horizontal coordination*, regards both actors and policies and refers to horizontal subsidiarity, dealing with relations between state, society and market (multi-channel). Horizontal subsidiarity stresses, specifically, the fact that institutions do not relate to each other just in a vertical way, from top to bottom, but they also define the allocation and exercise of competences on the same level as between the EU, the Member States and private actors.

Horizontal coordination among actors refers both to public actors (i.e. more or less institutionalised/formalised forms of cooperation among local authorities and then between territories they represent) and to public/private actors. Horizontal coordination among policies refers principally to the construction of inter-sectorial policies, defining a coherent programme and a coordinated strategy.

To describe and evaluate different ways in which, in territorial governance practices, horizontal coordination among actors and policies can take place, the following criteria are proposed.

*- Horizontal coordination among public actors*

Criteria refer to different types of cooperation between public authorities. The first criterion, in particular, outlines the differences between:

- institutional/formalised cooperation among municipalities (or other same-level authorities), in specific inter-municipal cooperation modes suggested and/or imposed by laws and rules (defined at different levels: regional, national, European, ...) and
- informal/non institutional cooperation, for instance, inter-municipal cooperation depending on local authorities self-organizational capacity.

In both forms of cooperation, voluntary participation (in the sense that authorities are not obliged to cooperate) is considered as an added value.

The second criterion refers to the difference between:

- "technical" horizontal cooperation, to implement or manage public services (management oriented cooperation);
- strategic horizontal cooperation, to propose, define, elaborate or implement shared projects to strengthen administrative action and to promote territorial transformation and local development (proactive cooperation).

"Management oriented" forms of cooperation and "proactive" ones can have an added value if there is capacity to reproduce cooperative relations among authorities (stability through time).

*- Horizontal coordination among policies*

Two criteria are considered. The first one refers to TGA capacity to coordinate sectorial policies, but considering differences among:

- intersectorial coordination through the construction of a spatial vision that can represent a common framework for sectorial policies implemented by different actors;
- sectorial policy integration, i.e. the construction of relations among sectorial policies;
- financial integration, i.e. integration of funds and financial resources that are already available and can therefore become part of a coordinated strategy.

The second criterion refers to TGA capacity to achieve coherence between policies, actions, and intentions of the different public and private actors.

### *3.5.1.3 Involvement of civil society and organised interests and participation*

The focus here is on differences between involvement of organised interests and wide participation. These differences refer to:

- (i) involvement and/or participation of actors (for organised interests: entrepreneurial associations, firms, trade unions, mass-media, etc.; for wide participation: citizens, especially those less organised);
- (ii) the objectives of involvement and/or participation (for organised interests: to favour consensus building, to increase resource availability, whether financial or political, ...; for widespread participation: to favour the construction of deliberative democracy arenas, to build forms of "active citizenship", ...);
- (iii) the modes through which involvement or participation are promoted (e.g. favouring public/private partnerships or implementing participative planning procedures, as in "Planning for real").

To describe these aspects, two groups of criteria are proposed. A first one refers to the involvement of organised interests and the second to wider participation.

#### *- Involvement of organised interests*

Criteria refers to the plurality of interests involved, from the point of view of the actors and of the levels at which these interests are manifested. It is possible to look at:

- the typology of the actors involved. All, or most of, the actors that are likely to have an interest in the objective of the action should be involved in the TGA;
- the level of actors involved. Involved actors could represent supra-national, national, regional, and/or local interests.

The third criterion stresses the fact that the involvement of interests could be defined by formal or informal agreements.

### - *Wide participation*

It is possible to define "good" and "bad" participation by considering TGAs capacity to involve less organised and weak actors and, at the same time, the object of their participation, that is to say the difference between participative practices that address micro-decisions (limited/side objects and issues) and participative practices that address the central/core problem or objective of the action. We will, then, have different TGAs in relation to the following criteria:

- wide participation of "organised citizens" and/or weak interests;
- wide participation at the heart of the action;
- wide participation related to problems other than those representing the real objective of the action (side problems or issues).

#### *3.5.1.4 Territorialized actions*

The fourth issue refers to territorialized actions, considered as collective actions that recognize and valorise territorial capital.

To describe and evaluate different modes through which, in territorial governance practices, it is possible to territorialize actions, two groups of criteria are proposed.

The first group refers to the territory in which the action is undertaken and implemented. The difference, in this case, is between:

- TGAs undertaken and implemented in predefined territorial framework, according to political and/or administrative competences;
- TGAs undertaken and implemented in relation to a project territorial framework, built during the action through negotiation of interests, territorial vision and the construction of a shared objective of change.

An added value for TGAs is possible, in both cases, if the territory is considered as a common good and not only as a simple support or a resource to exploit, apart from any evaluation of the results that this exploitation implies (at short, medium and, above all, long term).

The second group of criteria refers to the acknowledgment and valorisation of the territorial capital. To this extent, the difference between TGAs that identify and valorise local specificities and others that do not take these potentialities into account should be verified.

### 3.5.2 TGAs and levels of action: scores of criteria

The criteria defined above originate, as already stated, in issues that highlight general characteristics of a TGA and allow to evaluate the ways in which the latter is implemented. Nevertheless, when paying attention to the general objectives of a TGA, that is to *guarantee vertical and horizontal coordination and cooperation, allow participation and promote territorial development*, some of the previously described criteria seem to fit the definition more than others. In other words, a TGA will be more effective in reaching its goal as long as some criteria, considered as priority, are respected. Differences of importance exist among the criteria: some of them (marked with a +/- in Table 3.5.2) are basic criteria, the *condition sine qua non* without which the analysed action cannot be qualified as a TGA. Some others (marked with +) are important in building a TGA and in reaching its objectives. Others, finally, (marked with ++) are those that give an added value to a TGA by making it more effective in achieving its foreseen results (see Table 3.5.2).

**Table 3.5.2 A territorial governance model: scores of criteria and constant criteria by level**

| Level<br>Criteria  | Trans-National / Cross-border | National | Regional, polycentric urban networks | FUA and metropolitan regions | Urban-rural | Intra-urban |
|--------------------|-------------------------------|----------|--------------------------------------|------------------------------|-------------|-------------|
| A <sub>11</sub> +- | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>12</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>13</sub> +- | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>14</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>15</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>21</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>22</sub> +  | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>23</sub> +- | X                             | X        | X                                    | X                            | X           | X           |
| A <sub>24</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>11</sub> +  | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>12</sub> +  | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>13</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>14</sub> +- | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>15</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>16</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>21</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>22</sub> +  | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>23</sub> +- | X                             | X        | X                                    | X                            | X           | X           |
| B <sub>24</sub> ++ | X                             | X        | X                                    | X                            | X           | X           |

| Level                    |  | Trans-National / Cross-border | National | Regional, polycentric urban networks | FUA and metropolitan regions | Urban-rural | Intra-urban |
|--------------------------|--|-------------------------------|----------|--------------------------------------|------------------------------|-------------|-------------|
| <b>Criteria</b>          |  |                               |          |                                      |                              |             |             |
| <b>C<sub>11</sub></b> ++ |  | X                             | X        | X                                    | X                            | X           | X           |
| <b>C<sub>12</sub></b> ++ |  | X                             | X        | X                                    | X                            | X           | X           |
| <b>C<sub>13</sub></b> ++ |  | X                             | X        | X                                    | X                            | X           | X           |
| <b>C<sub>14</sub></b> +  |  | X                             | X        | X                                    | X                            | X           | X           |
| <b>C<sub>21</sub></b> ++ |  |                               |          |                                      |                              |             | X           |
| <b>C<sub>22</sub></b> +- |  | X                             | X        | X                                    | X                            | X           | X           |
| <b>C<sub>23</sub></b> ++ |  |                               |          | X                                    | X                            | X           | X           |
| <b>D<sub>11</sub></b> +- |  | X                             | X        | X                                    | X                            | X           | X           |
| <b>D<sub>12</sub></b> ++ |  | X                             |          | X                                    | X                            | X           | X           |
| <b>D<sub>13</sub></b> ++ |  |                               |          | X                                    | X                            | X           | X           |
| <b>D<sub>21</sub></b> ++ |  |                               |          | X                                    | X                            | X           | X           |



basic criteria (*condition sine qua non* to implement a TGA)



important criteria



central criteria (to give an added value to TGAs)

Criteria that are considered as central, in giving added value to TGAs are:

- A<sub>12</sub>. regarding the role of the State and, specifically, its capacity to positively drive and control the devolution process;
- A<sub>14</sub>. regarding the devolution process itself, specifically the importance of an equilibrium among the transfer of competencies, responsibilities, authority, power and resources;
- A<sub>15</sub>. about the definition or strengthening of relations with external actors and territories, in specific with the EU level;
- A<sub>21</sub>. regarding the vertical intersectorial coordination, seen as the construction of a spatial vision able to represent a common framework for sectorial policies at different scales;
- A<sub>24</sub>. about the coherence of policies at different levels;
- B<sub>13</sub>. regarding the construction of horizontal coordination relation among public actors, based on a voluntary participation;
- B<sub>15</sub>. regarding the construction of proactive coordination among public actors, meant to promote, define, elaborate or implement a shared project, to strengthen administrative action, to promote territorial transformation and local development;
- B<sub>16</sub>. about stable horizontal coordination relations among public authorities;



- B<sub>21</sub>. regarding horizontal intersectorial coordination, defined as the construction of a spatial vision that represents a common framework for sectorial policies;
- B<sub>24</sub>. about the TGA capacity to create coherence among policies, actions, and intentions of different public and private actors;
- C<sub>11</sub>. regarding the involvement of the widest variety of interests (economic, environmental, social, cultural, etc.), related to the core objective of the TGA;
- C<sub>12</sub>. regarding the involvement of actors representing different interests at different levels (e.g. economic interests at the local, regional, national, supra-national level);
- C<sub>13</sub>. regarding the involvement, through formal agreements, of actors representing organised interests;
- C<sub>21</sub>. regarding the wide participation of weak and less organised actors;
- C<sub>23</sub>. regarding the wide participation to the TGA in relation to the core object, not to marginal/side object (or issue);
- D<sub>12</sub>. about the territory in which TGAs happen. The territory is seen as an outcome of the negotiation of interests, of a common territorial vision, of the construction of a shared objective of transformation;
- D<sub>13</sub>. about the idea of the territory as a common good and not as a simple support or as a resource to exploit;
- D<sub>21</sub>. about the acknowledgment and valorisation of potentialities expressed by the territorial capital of the territory in which the TGA takes place.

We can at last summarize these central criteria defining a possible path to a good TGA (Figure 3.5.1) under the five general issues:

- vertical coordination, that is to say the process of multi-level governance, involving public actors, in its interaction with the current devolution processes in most European countries, the changing role of the State and the proper application of the vertical subsidiarity as promoted by the EU;
- horizontal coordination, that is to say the horizontal subsidiarity process that coordinates policies and strategies at the same territorial level;
- involvement, i.e the participation of public and private actors representing organized interests. This is the case of stakeholders or actors that can, anyway, make their voices heard (“joiners”);
- participation, i.e the widespread participation of “common” citizens, whatever their role and typology. This is the case of the so-called “non-joiners”, not usually able to organise themselves, to form a proper-size aggregation and to be heard by public actors or well represented ones. The desired role and level of participation is a matter of controversy, but it is possible to focus

on the capacity to hear (for the powerful actors), to be heard (for the citizens), to be organised (again for the citizens), to be consulted for decisions on the core object of the process, not only (if it is the case) on side objects (or issues) that can simply provide an excuse for a formal request for citizens' participation;

- territorialized actions, i.e those territorialized governance actions that favour the construction of a strategic territorial aggregation even without formal authority backing the project, that consider the territory as a common good and a common value, that identify the specific territorial capital and elaborate policies that valorise it in a sustainable way.

Nevertheless, the scalar dimension should be taken into account too, defining criteria that fit the right level. Besides basic and important criteria helping to define a TGA at all levels, some of the selected criteria define an added value for a TGA and show differences according to the territorial level in which the action takes place. In other words: at each territorial level it is important to consider different criteria in order to improve the effectiveness of TGAs. At the intra-urban level, for instance, criteria regarding wide participation (C<sub>21</sub> e C<sub>23</sub>) are fundamental, while they are less relevant at the national level, even if only for the difficulties in putting them into practice. At national level, on the contrary, criteria that refer to the role of the State and to the devolution process have a specific importance, although these criteria are fundamental at all territorial levels. It is, then, possible to identify criteria that give an added value to TGAs on all levels while others characterize a specific level (see Table 3.5.2). This differentiation is synthesized in Figure 3.5.2. In general terms, we can see that as we approach the local/regional levels, TGAs become more complex. At transnational or national level, the greater or smaller effectiveness of TGAs is mainly connected to organizational dynamics (of the State, of vertical and horizontal subsidiarity, etc). In contrast, at local/regional level it is not only related to organizational dynamics, but also to wide participation and territorialized actions.

**Figure 3.5.1 – A path to a good territorial governance action**

### **Vertical coordination:**

- the State is driving the devolution process;
- there is a proper resources transfer;
- there is a good interaction with the EU level;
- initiatives and strategies gem from intersectorially designed policies;
- policies are coherent according to the principle of vertical subsidiarity.

### **Involvement:**

- there is a large number of representatives from the organised interests (stakeholders) involved and a consequent wide spectrum of typologies of private actors;
- there is a good involvement of private actors representing the interests of different territorial levels;
- agreements established are formal, thus partly satisfying the need for accountability.

### **Territorialized actions:**

- the space of the governance process is, at the same time, a result and the stake of the action. It is a proactive territory, built during the process;
- the territory is considered as a common good and treated as such;
- there is a process of identification (i.e. recognition) of the territorial capital and of valorisation of those elements that are considered as important for the development process.

### **Horizontal coordination:**

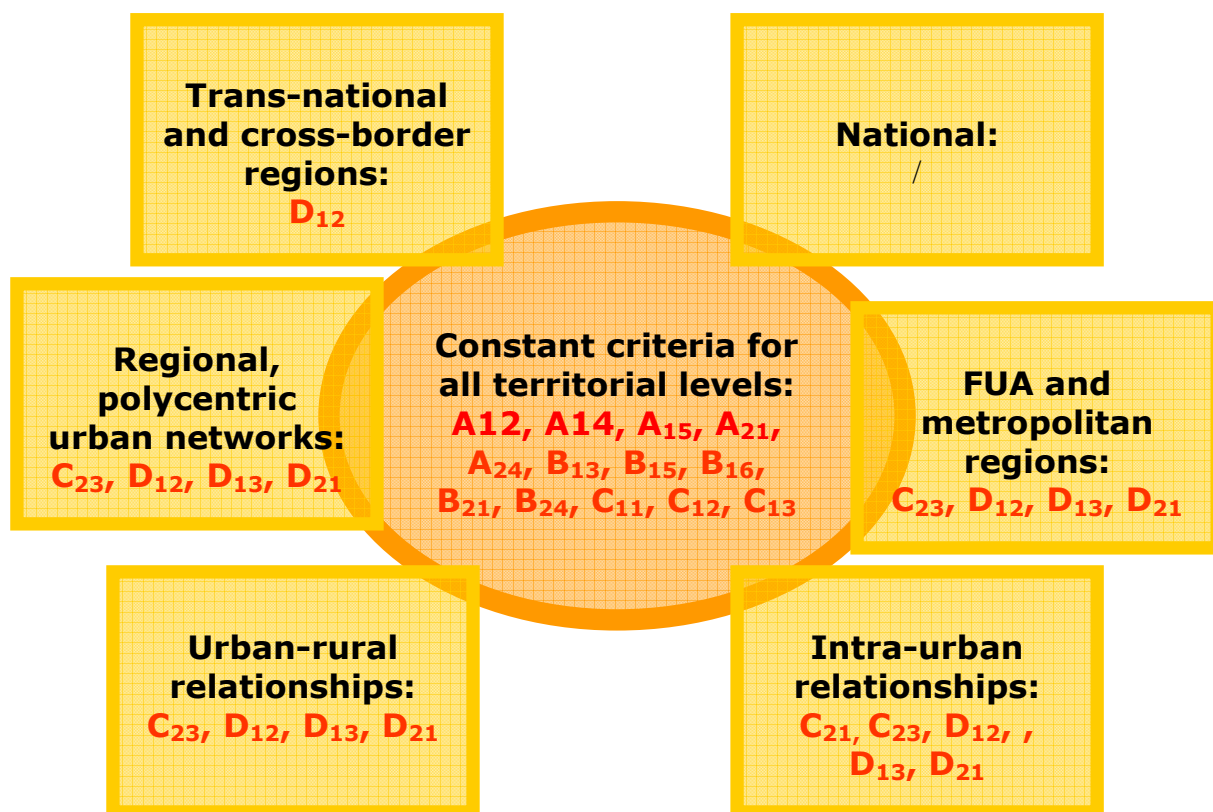
- participation of public actors is mainly based on a voluntary approach;
- aggregations formed have a proactive attitude towards new projects, strategies, perspectives;
- aggregations formed are capable to implement the governance process further than the formal deadline and to design durable strategies;
- initiatives and strategies gem from intersectorially designed policies;
- policies are coherent according to the principle of horizontal subsidiarity.

### **Participation:**

- actors responsible for the process are capable to hear, not only of being heard;
- citizens are involved in deciding on important issues, at the core of the process, not on "side object" that are needed to justify the participative process.

**These are necessary conditions for a governance process to be defined as a good territorial governance process, yet this does not mean that they are sufficient. A good process should at least start from these conditions.**

**Figure 3.5.2 - Constant criteria per level**



### 3.5.3 Theories + practices

In the previous chapters of this report, as well as in Annexes B and C, an analysis of a large number of territorial governance processes across Europe has been presented. In the NOs and CSs we have witnessed more or less substantial changes in the relations among actors, strategies, policies, from the EU to the local level. The results of the analysis of NOs and CSs could be further interpreted if we focus on the four issues described in 1.3, especially if, to make the interpretation capable of constructing a model of territorial governance, it is possible to weight the different criteria that characterize each issue (§ 3.5.1, 3.5.2) and to link to each CS category the proper criteria according to its territorial level (fig. 3.5.2 in § 3.5.2). This procedure should not be seen as a different methodology that can be applied to CSs to analyse territorial governance processes. It is, instead, a way to highlight specificities that these processes have at the different levels and to stress the

importance of those criteria that better define the 'essential' conditions of what could be labelled as a *good territorial governance process*.

Important features coming out of the analysis of the NOs and CSs have been clearly described in the previous chapters (3.1, 3.2, 3.3 and in Annexes B and C), but the shift from the CSs (and the NOs, whose role in interpreting the CSs is extremely important) to a possible model of territorial governance needs to rely on the definition of the backbone of the good process: elements and features without which we can say that minimum requisites for a governance process are missing.

The attention is focused first on vertical and horizontal coordination (3.5.3.1), on the involvement and participation of actors (3.5.3.2), and on territorialized actions (3.5.3.3), paying attention to specificities at the different levels of analysis. Then an interpretation according to three groups of levels is presented (3.5.3.4), highlighting the coherence of what is going on with the objective to improve territorial cohesion at different levels.

#### *3.5.3.1 Vertical and horizontal coordination*

Public authorities, at any level, still play a central role and hierarchical relations determine much of the preconditions and parameters for decision-making, problem-solving, management and conflict resolution. Yet, while the role of the central government seems to have changed very little (except in countries where a substantial change has occurred, e.g. East European countries), it is possible to witness substantial changes upwards (role of the EU), downwards (infra-national levels, whether regional or local), sideways (with an increasing threat of disparities among same-level territories and the correspondent diversification of development strategies).

The national level is clearly recognized as the organisational / frameworking level in almost all NOs and CSs, the level where conflicts can be solved and certain answer can be found. This is more evident in the case of States driving the devolution process (whether explicit or implicit), and, generally, where spatial plan issues are discussed. State level is, of course, the level that more often grants funds, for instance through the coordination of the EU programmes or through the power to delegate competencies and financial resources to infra-national level authorities or agencies. Funds are usually a good reason to cooperate and coordinate strategies, so that **the role of the EU has greatly improved vertical coordination policies:**

**this is clear in the case of trans-national and cross-border regions, where the formation of Euroregions or the implementation of Interreg programmes have played an important role in strengthening inter-level relations.** The national level, though, could decide to play a less important role as we move towards regional and local levels. Where this occurs, it is mostly due to the explicit decision to stay back and facilitate strategies and processes that are decided at lower levels. **In TGAs, the State has a stronger role as long as it is capable to give coherent frameworks, in terms of policies and rules, and to favour infra-national or trans-national development strategies, through the availability of financial resources too.**

The issue of integration of policies and actions at the same level is also of great importance: this can be witnessed by several integrated policy packages, that satisfy most of the B<sub>2</sub> criteria (see also chapter 2.2.2) and by the case of cross-border region case studies (see also relevant section in Annex B), in which the basis for cooperation comes from networking and collaboration that can support projects and programmes often designed at the EU or national level. Integrated policy packages, besides, are often achieved through the horizontal coordination of public actors, thus recognizing that **integrated frameworks are a matter of vertical coordination, while integrated policy packages owe more to horizontal relations** among actors that need to give coherence to a multiplicity of ongoing processes. This also means that horizontal coordination will probably most frequently be achieved from the regional to the urban levels.

### *3.5.3.2 Involvement and participation*

**New forms of governance are prevalently partnership-based and seldom oriented towards wide and comprehensive participatory mechanisms.** The most common form of participation regards, in fact, organised interests (whether public or private) and should rather be considered as involvement, while the process of participation is often developed around a public consultation or, which is more worrisome, by simply informing the citizens of what is going on.

Surely, the need for a proper participation should take into account the time frames of the TGA and of the elected representatives: if governance equals a process in which the end is unknown because of the flexible nature of the process, there is a problem because of the need of concrete and effective outcomes in short-medium term for

politicians and leaders in general. What is more, the problem of policy coherence is somehow more important for government actions than for governance ones, if attention is paid to the outcomes more than to the process itself. This brings to question the effectiveness of the governance process, especially if the issue of accountability is considered. It is often the case that citizens and involved interests, whose active participation we would like to have, are supposed to rely on a process that cannot guarantee effective, concrete results in a reasonable time and whose leading actors are often not clearly recognizable. In other words, it could be ineffective to involve actors in processes that are by definition open, negotiated, flexible if these words could be easily misunderstood for opaque, unclear, loose. What is more, **the role of “resisting initiatives” to policies which have not be based on consensus building, proper information and consultation strategies and other forms of mild participation, should be further considered and analysed as a tool to redefine participative policies in a broader sense.**

Last, but not least, regarding “who” should be involved, the more the TGA refers to regional and local levels), the more them makes sense to have a wide participation of different typologies of actors, including weakly represented actors or “un-organized” interests. From the NOs and CSs, nevertheless, it is possible to see that participation is mainly a matter of direct involvement on clear and often “urgent” issues. It is possible, then, to achieve a good degree of involvement of private actors, stakeholders, at any level as long as the benefits are clearly recognizable. Less probable seems to have a wide participation on the core object of the TGA.

### *3.5.3.3 Territorialized actions*

It is very difficult to define the role played by the territory and its territorial capital in TGAs, mostly because it is seldom considered as an important issue that needs to be highlighted. **The relation of the governance process with the territory could be considered as the basis for any improvement of territorial cohesion**, yet most of the CS does not show a clear reference to specificities, characteristics, elements that make a difference. This lack is less problematic at the higher levels, since the definition of frameworks can be sufficiently general. If this weak reference is witnessed at the lower levels, though, this is more dangerous, since this could be due to a wrong definition of the territory in which the TGA occurs (thus considering a territory unable to have a proactive attitude, that is not considered as a common good, that could hardly identify – and

valorise – its potentialities), or to the fact that the TGA refers to a sectorial action (e.g. the realisation of a transport infrastructure). In both cases it could be very difficult to have a coherent strategy, a good coordination (vertical and horizontal), the involvement of the stakeholders and, above all, a wide participation (except the case in which the community resists against the non-territorialization of the action).

The reference to some issues is more evident, as in the case of vertical coordination and of involvement of organised interests. We should, nevertheless, **focus our attention on such issues that valorise the outcomes of the TGA in terms of territorialization (at the different levels), and that can strengthen territorial cohesion in terms of economic and social cohesion, of the safeguard and valorisation of the natural and cultural patrimony, of the balanced competitiveness in/of the European space** (as in the Third Report on Economic and Social Cohesion, 2004). The territory is the key factor to link territorial governance processes and territorial cohesion, since it *de facto* integrates policies through the coordination of actions and actors.

#### **3.5.4 Grouping levels: macro, meso, micro**

Considering practices it is possible to see that similar approaches in territorial governance actions and processes can be observed across the levels that have been defined for the analysis of the CS (figure 3.5.3).

A frameworking level has been recognized, in which actors such as the EU and the State can produce coherent sets of policies, rules, spatial visions, agendas. This role is fundamental, since from such coherence subsequently results the coherence of policies and actions tackled at infra-national levels. These frameworks define the general context and foster the TGAs, through inputs and, most important, funds. The EU and national levels could, then, be assigned to a “macro” level, in which it is possible to see the trans-national level too, distinguishing it from the cross-border. This differentiation is due to the fact that trans-national policies operate at a macro-level often in the direction of harmonization of characteristics, approaches, strategies, that is giving a common framework to different national/regional policies.

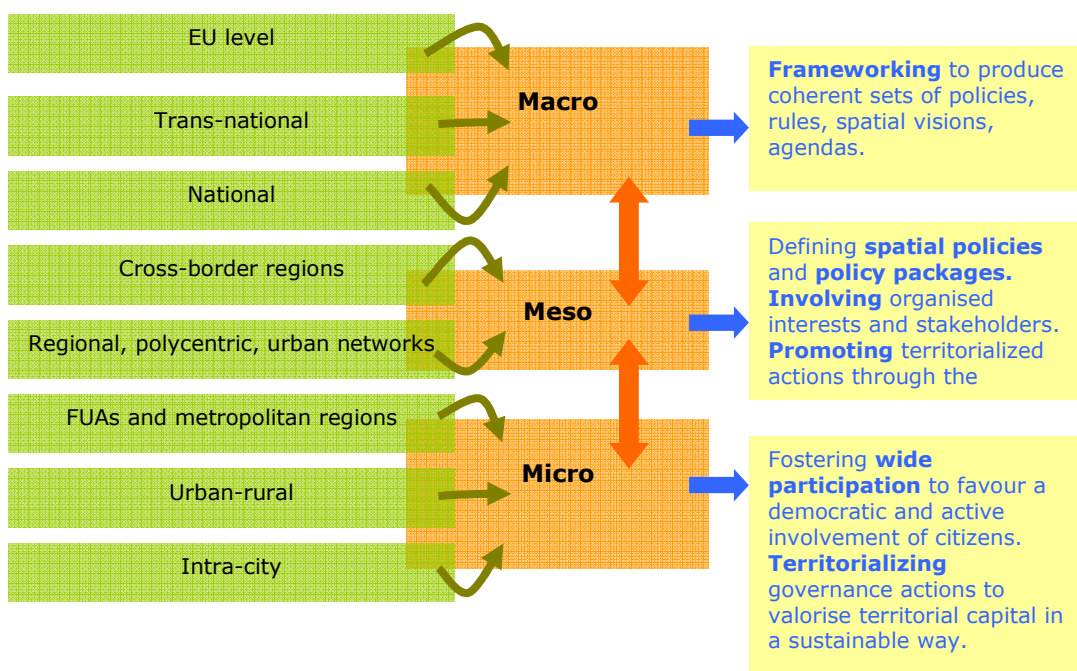
Cross-border regions, instead, seem to follow the territorialization of policies trend that characterize the regional, polycentric, urban networks. This “meso” level has its specificity in the definition of spatial policies, in the redefinition of coherent and integrated policy



packages, but still misses a proper approach to the participation issue. This cannot be considered as a failure, since at the meso level it is more important that organised interests and stakeholders are involved. It seems, in fact, that wide participation, as described in § 3.5.1.3, is more a matter of the “micro” level.

The micro level here refers to FUA, metropolitan regions, urban-rural relations and intra-city levels. This is the level in which it is possible to analyse a TGA considering all the aspects that define a good territorial governance process (§ 3.5.1), in particular those referring to participation and territorialization (Figure 3.5.1). **Macro, meso and micro, besides, define in a certain way a territorial level, but more precisely they refer to spheres of intentions, behaviours, procedures and processes that are similar, especially if it is the case of territorial governance processes. What changes is that there are conditions that filter up and down the levels, making possible a good, or bad, TGA and thus territorial governance process.**

**Figure 3.5.3 – Grouping levels and key actions**



## **4. Final Conclusions & Policy Recommendations**

### **4.1 Territorial and Urban Governance in other projects**

#### **4.1.1 Territorial and Urban Governance in other ESPON projects**

Territorial and urban governance has been a focus of study in many of the ESPON projects. Here, we look in particular at the findings from six projects – 1.1.1, 2.2.1, 2.2.3, 2.3.1, 3.2 and 3.3.

##### **ESPON 1.1.1 (Polycentrism)**

The governance of polycentrism was one of the project work packages and the subject of the Final Report Chapter 7 - Polycentricity, territorial policies and governance. Governance is seen as “horizontal self-organisation among mutually interdependent actors” (Jessop, 2000, p.15), while urban governance is seen as “the actions and institutions within an urban region that regulate or impose conditions for its political economy” (Sellers, 2002, p.9). The capacity to govern is seen to depend on the “effective co-ordination of interdependent forces within and beyond the state” (Jessop, 1997, p.96), or ‘collective action’. In the context of polycentric urban regions, it is asserted that “actors are not only drawn from beyond the boundaries of formal institutions of government, and spread among public, private and voluntary sectors, they are also spread across the boundaries of different political and administrative jurisdictions, which traditionally do not share a place-based identity.” (p.179)

As partnerships were seen as an important institutional resource for collective action, partnerships and cooperation were the central focus of investigation in relation to governance in Project 1.1.1, which were studied on two spatial scales – the inter-municipal and the inter-regional/ transnational. At the inter-municipal level, the research revealed that partnerships had four main categories of objectives – strategic development, project orientation, networking and advocacy. At the macro-level, it was observed that overriding formalised governance structures designed to encompass and encourage polycentricity were still in the early stages of development.

The main policy recommendations concerning governance relate to the inter-municipal level, i.e. the functional urban area (FUA). Governance is seen as a key issue when promoting collective action

across administrative borders, and in order to promote inter-municipal cooperation it is recommended that (1.1.10, pp 20-21):

- National governments should do more to improve the framework for local governance, by creating more robust policy frameworks and greater political commitment
- As the variety of organisations, methods and achievements of governance show a significant potential for further learning, there is a need to facilitate the exchange of these methods and achievements, i.e. the promotion of good practice
- In the context of Structural Funds, it could be possible to allocate resources to enhance governance relations at a variety of scales, and to build up institutional capacity at the local level
- As the formation of strategic policy documents has been shown to be a key instrument of inter-city governance and cooperation, national governments and the EU could do more to encourage the development of regional spatial strategies, explicitly considering the potential of enhancing urban functional complementarity.

### **ESPON 2.2.1 (Territorial Effects of Structural Funds)**

Governance and policy development was one of the three main dimensions of the territorial impact assessment of structural funds carried out in this project, and was the theme of Work Package 5. This led to the following general conclusions concerning governance:

The main effects and examples of impact on governance were connected to the new working practices and methods associated with the programming cycle, evaluation and partnerships, while there were also indications that the influence of the Structural Funds themes and policy emphasis may have contributed to a more broadly based understanding of regional policy and the governance model required to promote the objectives it encompasses. In most cases these impacts were felt across the Member States, and not particularly acutely at any particular territorial level (pp 111-112).

Looking specifically at the spatial impact at the micro (regional) level, the following conclusions were reached (p.21):

- In the area of governance, Structural Funds programming has had an important impact on governance innovation and renewal. By favouring 'bottom-up' approaches to policy-

making and delivery, it has contributed to increasing the potential for policy innovation at the local level, as well as being considered responsible for the strengthening and empowering of the regional and local levels.

- This also involves facilitating local-level dialogue through the implementation of horizontal partnership and by the creation of sub-national and often local organisations with specific functions associated with Structural Fund implementation. Thus governance measures have important indirect spatial impacts as they provide fertile ground for local and regional spatial development action.

### **ESPON 2.2.3 (Territorial Effects of Structural Funds in Urban Areas)**

This project also concludes that Structural Funds can contribute to good urban governance and local empowerment. More specifically, it categorises the governance aspects most often associated with Structural Fund interventions in urban areas under two main themes:

- Networking, and organizational/institutional learning and innovation (partnership leading to new cooperation networks and more broadly based management structures);
- Citizen participation and identity-building for inhabitants.

In some cases governance impact is seen in a broader perspective as a factor in providing more positive coverage for the EU, and even increasing the confidence of citizens in European policy-making and authorities by embedding European policies more firmly in the local environment and local 'programme ownership' (in particular in URBAN) (p.83).

### **ESPON 2.3.1 (Application and the Effects of the ESDP in Member States)**

(Not yet complete, comments based on Second Interim Report)

Although no clear picture has emerged, the project has found that policy integration at horizontal and vertical levels, seen as one of the three 'ways' of the ESDP, has in general proved difficult to implement. Some evidence was found that vertical integration was "the most important" in terms of the application in Member States of the ESDP's 'themes' and ways (p.115). This was significant in countries from among both the 'old' Member States, in particular

Germany and the Netherlands, and the new Members States, such as Hungary. On the other hand, the project seems to be showing that horizontal policy integration “appears in many cases more difficult to obtain, and therefore it has become an important issue on the agenda of many countries” (p.116). Nevertheless, horizontal integration was important in some countries, for example Slovenia and Portugal. In general it was noted that changes in national planning systems since 1999 have often meant that horizontal integration is most likely to occur at the regional or local level (p.26).

Elsewhere, it is noted that, in general, the New Member States are more interested than the old Member States in catching up with the territorial governance discourse (1.5.5).

### **ESPON 3.2 (Spatial Scenarios and Orientations in Relation to the ESDP and EU Cohesion Policy)**

(Not yet complete, comments based on Third Interim Report)

‘Governance’ (read as ‘territorial governance’) is one of the thematic scenarios presented in ESPON 3.2. Firstly, the baseline for the scenario is presented in the form of the present situation and main driving forces for change, and then two prospective scenarios are outlined in the form for each of an hypothesis, the scenario process, and its territorial impacts.

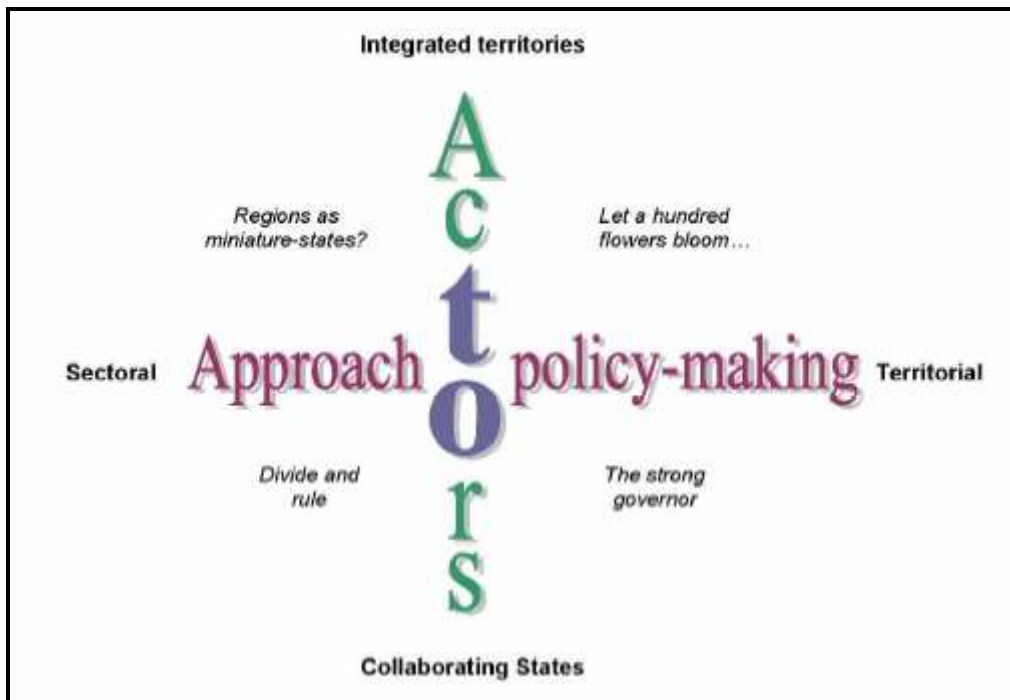
The main notions, or concepts, which inform the study are that of multi-level governance, a multi-sectoral approach to policy-making, and a territorial approach to policy-making. In relation to the present situation, the most important driving forces are considered to be (p.119),

- New roles for supra- and sub-national levels in the policy-making process
- Partnership as a ‘new deal’ in governance, involving public, private and NGO stakeholders
- New tools for governance (such as the OMC) aiming to make the coordination of sectoral policies between the member states more efficient
- Need for policy-making based on territories instead of sectors in order to optimize the territorial impacts of policies
- Importance of the EU Regional Policy in developing new tools for governance for the regional and local levels

- Political and functional spillover effects, especially to regional level

It is argued that, firstly, territorial governance is dependent on the **actors** that are involved, and especially the way they collaborate, and, secondly, that issues are also largely influenced by the **policy approach** itself (sectoral or territorial). Different scenario hypotheses are illustrated in the Figure 4.1.1.

**Figure 4.1.1 Identification of the scenarios hypotheses**



Source: ESPON Project 3.2 (Third Interim Report, figure 5.1.4, p.119).

Two scenarios (covering the period 2005 – 2030) are elaborated in detail. The first is

***Let a hundred flowers bloom...***

Here, “The notion of multi-level governance, which was backed by the member states, emphasises the EU as integrated and collaborating territories. Actors at different levels (supranational, national, subnational) as well as from different ‘niches’ (public, private, NGOs) are participating actively to the policymaking process. Moreover, the shift in focus from sectoral to territorial policy-making is acknowledging that the great diversity of territorial preconditions and potentials inside the union implies specific and more tailor-made approaches.” (p.122)

Some key elements of the developing scenario process are as follows:

- After 2005, a general move towards more multi-level governance, particularly in 'new' Member States
- Greater decentralisation. Firstly, widening of the institutional leverages delegated to the regions and, secondly, by 2015, decentralisation of financial management system. Together, this fosters development of innovative regional style of governance, making particular use of 'partnership method' of governance (particularly Public Private Partnerships)
- Widespread transnational regional cooperation throughout Europe, leading to development of large functionally integrated cross-border areas
- Increased emphasis on territorial approach to policy-making, particularly after 2015, leading to greater use of Open Method of Coordination
- Transition from sectoral to territorial approach to policy leads, by 2015, to development of intermediary policy packages.
- By 2030, this has led to development of 'territorial capital' throughout Europe.

The territorial impacts of the scenario were analysed at the macro, meso and micro level, and the most favoured regions were considered to be (p. 125):

- Near-border and nationally peripheral regions, as they are able to exploit most intensely the advantages of cross-border cooperation
- Regions to which have had key competences, such as spatial planning and regional development, devolved to them, enabling them to create complete and integrated regional plans
- Regional capitals, as the newly devolved political responsibilities have increased their importance on the national scale, as well as their legitimacy in their regional hinterland.

The 'final image' of the territory by 2030 is seen as

"reflecting the idea of 'the bunch of grapes.' The emphasis on territorial governance, coupled with a stronger political role for the regions, fostered a Europe made up of 'islands' of cooperation, i.e. the Mega-Regions, shaping a more balanced overall European territory. Another interesting feature in this final image of the European territory is the growing disparities because strong and weak regions. Indeed, strong regions have a greater capability for cooperation, especially between themselves, but also with their directly

neighbouring regions, and thus create more synergies by being part of wider transnational cooperation networks, while weaker regions are partly left out of those networks.” (p.125)

### ***Divide and rule***

Here, “the actors’ side is mainly dominated by the national level of authority, both governments and agencies. Instead of delegating powers to the subnational actors, as in scenario 1, the states are mobilizing them in the later stages of the policy-making process, restricting their ability to influence the formation of policies, and binding them to a barely advisory role. The focus on sectoral policies as a main leverage for implementing policies is also reinforced. The context of strong international competition forces the member states to take drastic measures in order to tackle some specific issues (improvement of transport networks, energy crisis...)” (p.126)

Some key elements of the developing scenario process are as follows:

- In order to meet Lisbon and Gothenburg targets, states reinforced their position as central actors in policy-making process
- Re-centralisation in order to realise efficiency gains
- Competitive economic agenda at local authority level, leading to greater economic disparities between ‘winners’ and ‘losers’
- Consolidation of banking, trade union sectors, etc at national level
- Shrinking of EU budget, reduced impact for EU policies, particularly Regional Policy. Ending of Interreg programme by 2013
- Increased emphasis on sectoral policies. Very limited expansion of OMC

The most favoured regions were seen as (p.128):

- Capital cities, as the State is still the cornerstone of the policy-making system
- Cities and regions along the main European and national axes of transport, as the focus on sectoral approach has given new emphasis to the development of transport corridors.
- Municipalities in countries with a strong municipal level, enabling them to compete



As such, this scenario reinforces the predominant position of the national capitals of the Pentagon, because it strengthens their central position.

The 'final image' of the territory by 2030 is seen as follows:

"The European territory is poorly integrated. Strong connections and exchanges exist between the capital cities, particularly in the European Pentagon, while at the local level cooperation between small and medium sized municipalities has had some success in tackling difficult sectoral issues. Nevertheless, in terms of these networks, an obvious lack of integration to the closest regional FUAs remains an issue to be tackled. Moreover, disparities between the development of the capital cities and the more peripheral areas are increasing, while the emphasis remains on significant infrastructural investment, threatening the environmental equilibrium of the regions crossed by the transport corridors. Finally, a major concern in this final image is the inconsistencies and discrepancies that are resulting from the lack of coordination of the different sectoral policies, as for instance, the lack of synergies, the sub-optimal allocation of resources as well as the negative impacts caused by the counteracting public sectoral policies. This general lack of coordination greatly contributes to a weakened territorial cohesion of Europe." (p.128)

Currently, within ESPON 3.2, integrated 'roll-back' scenarios are being developed. This work is not yet completed, but they will be based on a final image of how Europe **should** look like in 2030, as a result of the combination of the two axes of competition and cohesion. Under the general goal of more 'territorially oriented governance', five specific objectives are identified (p.177-8):

- Multi-sectoral approach to regional governance – regional governments/ governance bodies having integrated competencies
- Collaboration between all levels of policy making – negotiated decision-making across levels, bottom-up governance for local initiatives combined with top-down governance for redistribution
- General (and early) use of territorial impact assessment and expert groups for evaluation of projects and policies at all levels – TIA included in existing impact assessment measures, and network of regional expert groups
- Networking of towns at national and transnational level –for governance and regional planning issues

- Generalised use of (decentralised) open method of coordination
  - OMC applied at all scales, i.e. also within a national and regional context.

### **ESPON 3.3 (Territorial Dimension of the Lisbon/Gothenburg Process)**

(Not yet complete, comments based on Third Interim Report)

This project is concerned with analysing the concept of the 'territorial capability to be competitive in sustainability'. To help in doing this four 'determinants' or composite indicators are defined in order to determine territorial competitiveness. These are:

- Innovation and research
- Global local interaction
- Quality
- Resources and funds

Governance is considered primarily within the 'quality' determinant, which is broken down into four groups of indicators. One of these groups is 'government quality', which is equated with 'good governance'. Good governance comprises just two elements - 'level of citizen confidence' and 'public participation'. These are made up of the following individual indicators.

Level of citizen confidence (measured by Eurostat's Eurobarometer surveys):

- Confidence in EU Commission
- Confidence in EU Council of Ministers
- Confidence in EU Parliament

Public participation (measured by voter turnout in relevant elections):

- National public participation
- European public participation

The Third Interim Report has seven policy recommendations concerned with governance, of which six are concerned with the quality determinant at the national level. These are:

- To request full compliance with the proposals contained within the European White Paper on Governance at both national and regional levels

- To use the principle of subsidiarity for territorial government to create a more bottom-up political process (with national policies in agreement with local policies, programs and plans), using intra- and inter-regional cooperative instruments, as well as a new 'intergenerational pact' between State and citizen.
- To apply different governance 'rules' with respect to geographical/territorial scales (urban, metropolitan, regional, etc)
- To consider environmental strategic assessments linked to governance principles as a possible operational substitution for the Open Method of Coordination and as a tool for the selection of Structural Funds projects. (The OMC can be useful in reforming regulations or defining shared policy objectives, but is not suited to the management of the Structural Funds, etc.)
- To consider national and local levels of government as institutional 'governance promoters', suggesting best practice in terms of praxis, procedures and guidelines that would be useful for investors and entrepreneurs
- To use environmental strategic assessments and other governance techniques to measure the efficiency of economic and territorial actors and to introduce innovative methods into planning (e.g. in defining new and appropriate economic and financial strategies), involving the administrative, political and legal systems, civil society, the private sector, etc.

There is also one recommendation that relates to global local interaction at the national level. This is:

- To create a common language in the global 'arena' of sustainability and sustainable development that shares the principles and rules of applicability in relation to governance.

#### **4.1.2 Territorial and Urban Governance in other projects**

##### **Developing Institutional and Social Capacities for Urban Sustainability (DISCUS)**

DISCUS was a research project co-financed by the EC, DG Research, which ran from 2001 to 2004. Its central objective was to understand the conditions leading to the emergence of efficient governance for urban sustainable development in Europe. The central proposition guiding the research was "*good governance is a precondition for*

*achieving sustainable development – particularly at the local level*” (Evans et al, 2005, p.2).<sup>55</sup>

The project argues that *governing* encapsulates two related and intertwined processes, those of *government* and *governance*, where the former is regarded as “the sphere of local authority activity, the internal organization of local government, and the legal, financial and political processes therein” (*ibid*), and the latter as “the sphere of public debate, partnership, interaction, dialogue and conflict entered into by local citizens and organizations and by local government” (*op cit*, p.3). *Governing* is the term used to describe the interaction between the two.

The project resulted in the ‘Fano Guidelines’ for Building Capacity for Local Sustainability, aimed at local governments.<sup>56</sup> These were, in brief:

1. Learning as an organisation
2. Moving away from ‘policy silos’ within local government
3. Making alliances with people and organisations
4. Facilitating the process and developing credible leadership
5. Encouraging creativity and innovation in policy-making
6. Communicating to make a difference
7. Catalysing action through raising environmental awareness
8. Maintaining commitment to achieving the long-term vision
9. Sharing experience with peers
10. Influencing all levels of government

These recommendations cover all of the aspects of governance analysed in ESPON 2.3.2, viz:

- Guideline 2 relates primarily to horizontal governance relations. It asserts that the complexity of sustainable development requires a response that combines knowledge from all policy areas and utilises the maximum resources available. It urges an exchange of ideas and approaches through encouraging cross-departmental working groups and cooperation across policy areas on a daily basis.

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<sup>55</sup> Evans, B., Joas, M., Sundback, S. and Theobald, K. (2005) *Governing Sustainable Cities*, Earthscan: London.

<sup>56</sup> Available at <http://www.governingsustainablecities.org/index.php?id=649> accessed 28 Nov. 2006.

- Guideline 3 relates to public participation. It notes that business, organisations and individuals are all sources of influence and knowledge, and promotes the involvement of the private sector and civil society in policy-making and implementation.
- Guideline 5 relates to the category of 'innovative tools, practices and mechanisms'. It suggests that creative people both within and outside local government are key to answering new challenges, and advocates piloting innovative activities to allow unusual solutions to be tried and tested.
- Guideline 9 relates to horizontal relations. It encourages networking with other cities and towns to reinvigorate local action and exchange best practice
- Guideline 10 relates to vertical relations. It asserts that working with other levels of government increases the opportunities for local level considerations to be included in national legislation and strategies.

### **Strategic Planning Action Network for Local Development (SPAN)**

An INTERREG IIIB project, SPAN is a transnational network of practice-based organisations and academic organisations involved in new participatory approaches to strategic planning and multi-level governance. The project runs from 2004 to 2007, but no results are available from the project as yet.

### **Innovation and Resource Efficiency as driving forces for a sustainable growth (INNOREF)**

This is financed under the INTERREG IIIC East programme, and aims to improve the effectiveness of regional development policies and instruments through large-scale information exchange and sharing of experience (networks) in a structured way. INNOREF is a Regional Framework Operation (ROF), with 8 sub-projects. One of the sub-projects is StraSSE (Strategic Spatial Planning and Sustainable Environment), which is concerned with:

- Spatial conditions for business and efficient infrastructure
- Economical use of land and protection of natural resources
- Social and geographical cohesion

In terms of its relevance to governance, it promotes a participatory process on behalf of stakeholders and civil society, the development of a spatial vision for the project areas and the development of integrated tools for strategic planning to improve spatial coordination of land uses and sectoral policies. INNOREF runs from July 2004 to the end of 2007, but no results are available from the project as yet.

Policy recommendations related to territorial governance in the above referred ESPON projects, also as for DISCUSS project, has been synthesized in Table 4.1.2. They have been organized in five headings according with 2.3.2 ESPON project. These recommendations are in tune with those developed in this project in the next section 4.2.2.

**Table 4.1.1 Policy recommendations for governance in other ESPON projects and the DISCUSS project**

| ESPON Project   | Vertical relations  | Horizontal relations  | Public participation / openness  | Innovative tools, practices & mechanisms   | General governance principles   |
|---|---|---|--|--|---|
| <b>1.1.1 Polycentrism</b>                               | <ul style="list-style-type: none"> <li>National governments should create more robust policy frameworks</li> </ul>  | <ul style="list-style-type: none"> <li>Partnerships and inter-municipal cooperation main focus of project</li> <li>Encourage development of regional spatial strategies</li> </ul>  |  |  | <ul style="list-style-type: none"> <li>Need for exchange of good practice</li> <li>Allocate resources through Structural Funds to enhance governance</li> </ul> |
| <b>2.2.1- Territorial Effects of Structural Funds</b>   |   | <ul style="list-style-type: none"> <li>Structural Funds have facilitated creation of local/ sub-national level partnerships</li> </ul>  |  | <ul style="list-style-type: none"> <li>Structural Funds have had important impact on governance innovation</li> </ul>  |   |
| <b>2.2.3 – Territorial Effects of SF in urban areas</b> |   | <ul style="list-style-type: none"> <li>Structural Funds interventions in urban areas have led to creation of more networks of cooperation</li> </ul>  | <ul style="list-style-type: none"> <li>SF in urban areas have led to greater citizen participation</li> </ul>                |  |   |
| <b>2.3.1 - Application and Effects of ESDP</b>          | <ul style="list-style-type: none"> <li>vertical integration between national and regional levels has weakened since 1999</li> </ul>   | <ul style="list-style-type: none"> <li>increasing horizontal integration at local/regional level since 1999</li> </ul>  |  |  |   |
| <b>3.2 – Thematic Scenarios</b>                         | <ul style="list-style-type: none"> <li>Increased multi-level governance in Scenario 1</li> <li>Greater decentralisation in Scenario 1</li> <li>Re-centralisation in Scenario 2</li> </ul> | <ul style="list-style-type: none"> <li>Increased public Private Partnerships in Scenario 1</li> <li>Increased transnational regional cooperation in Scenario 1</li> <li>Limited cooperation at local level in Scenario 2</li> <li>End of INTERREG programmes in Scenario 2</li> </ul> | <ul style="list-style-type: none"> <li>Greater participation of actors from all levels and 'niches' in Scenario 1</li> </ul> | <ul style="list-style-type: none"> <li>Development of innovative regional style of governance in Scenario 1</li> <li>Increased use of OMC in Scenario 1</li> <li>Territorial approach leading to intermediary policy packages in Scenario 1</li> </ul> |   |

| ESPON Project                                     | Vertical relations  | Horizontal relations   | Public participation / openness  | Innovative tools, practices & mechanisms   | General governance principles  |
|---|---|--|--|--|--|
| <b>3.2 – Objectives for 'roll-back' scenarios</b> | <ul style="list-style-type: none"> <li>• Collaboration between all levels</li> </ul>                                      | <ul style="list-style-type: none"> <li>• Negotiated decision-making across levels</li> <li>• Networking of towns at national and transnational levels</li> </ul>   |  | <ul style="list-style-type: none"> <li>• Multi-sectoral approach to regional governance</li> <li>• General use of TIA and expert groups for policy/project evaluation</li> <li>• Generalised use of OMC</li> </ul> |  |
| <b>3.3 Lisbon/ Gothenburg process</b>             | <ul style="list-style-type: none"> <li>• Increased use of subsidiarity principle</li> </ul>                               | <ul style="list-style-type: none"> <li>• Increased intra-/ inter-regional cooperation</li> </ul>   | <ul style="list-style-type: none"> <li>• 'Intergenerational pact' between State and citizen</li> <li>• Involve all actors in innovative methods of planning</li> </ul> | <ul style="list-style-type: none"> <li>• Substitute SEA for OMC for Structural Funds</li> </ul>  | <ul style="list-style-type: none"> <li>• Encourage full compliance with EU Governance White Paper</li> <li>• Apply different governance 'rules' at different geographical scales</li> <li>• National/local government to act as institutional 'governance promoters'.</li> </ul> |
| <b>Project DISCUS</b>                             | <ul style="list-style-type: none"> <li>• working with other levels of government to increase policy continuity</li> </ul> | <ul style="list-style-type: none"> <li>• cross-departmental working and cross-sectoral policy development within local government</li> <li>• networking with other cities and towns to reinvigorate local action and exchange best practice</li> </ul> | <ul style="list-style-type: none"> <li>• participation of non-public sector and civil society in policy-making and implementation</li> </ul>                           | <ul style="list-style-type: none"> <li>• innovation and creativity in policy-making</li> </ul>   |  |

## 4.2 Final Conclusions and Policy Recommendations

### 4.2.1 Conclusions

What we have seen in various analyses is the importance of positive pre-conditions for governance in urban and territorial policies. EU member states are widely experimenting in the field and are obviously all shifting towards governance approaches. From the analysis of regional situations (mainly in case studies) we can conclude there is a strive towards more integrated approaches and coordinated activities. All actors and institutions seem to be aware about the importance of integrated and coordinated actions.

ESPON 2.3.2 project managed to probe into the field of territorial governance mainly with the help of qualitative methods. What has

been obtained are mainly mental maps displaying the processes and structures of projects and experiments in the field of governance.

- *Favourable pre-conditions for governance*

- What seem to be favourable pre-conditions for governance are experiences (and experiments) with participation processes and partnership formation, combined with processes of devolution of powers or general decentralization. Countries are operating in these fields to maximize their effectiveness and efficiency. Vertical relations between territories occur specially between local, regional and national levels. There is a low implication of EU level in vertical /multi-level relationships. This leads to conclude vertical governance has a national dimension, from national to local, not infra-local/quarter, levels. For the trans-national and cross-border cases main interactions seem to be directly between localities, regions, and the EU, following EU intentions of direct action. The national level lets out.

- The cross-sectoral dimension of horizontal territorial governance is the less one developed; 'the ugly duckling' among the horizontal dimensions, except at the local level, mainly at intra-city. However, according with the CS analysis where one of the most important achievements outcomes were 'integrated planning' and 'territorial policy coordination' and the no importance of obstacles to reach a common spatial vision. This apparent contradiction could be explained if we consider the impact of these improvements are more visible due the lower point of departure. Whereas "Integrated planning" and "Territorial policy coordination" were mostly assessed as strong outcomes for the national CSs the majority scored them as "partly". The situation is especially worst in national case studies (see Figure 28 in Annex A). Limited cross-sectoral coordination explains, or at least is coincident, with the low priority given to principle of coherence, in a clear incompatibility with the desired objective of effectiveness.

Some policy packages aim primarily to reach synergy between different sectors irrespective of the territorial context, such as transport and environmental policies. Others aim at improving overall synergy between different policies at a particular territorial level (national, regional, local), such as a national spatial plan, a regional development programme or a local planning agreement. However the separating lines often become blurred as there is significant overlap between the two. However, the most numerous examples of policy packages are those focusing on local level, and more specifically at



city level.

- Positive results of territorial governance actions from an horizontal point of view, this time among territories, have been mentioned in the national overviews and found in case studies, mainly at urban-rural scale with strong impact regarding the integration of territorial actions, the continuation of implementation, and the shaping of a common vision. We had a large number of such instances reported in the national overviews, especially of an inter-regional or inter-municipal character. Even in situations of a limited partnership tradition, a considerable amount of inter-municipal cooperation already exists, even if it concerns only infrastructure projects. A large number of cases, e.g. regarding urban development and regeneration or infrastructure provision, have been reported, supported by innovative cooperation arrangements of a contractual nature. Regional cooperation is increasingly taking a trans-frontier dimension, again mostly in northern, western and central Europe. The institution of Euroregions and the Interreg Initiative provide the predominant framework. Trans-frontier cooperation arrangements, by themselves an important cohesion and governance initiative, are harbouring a variety of innovations on partnership, participation and service delivery.

- Very different, much more conflictive is the situation in metropolitan areas. Some authors speak about the death of metropolitan governance<sup>57</sup>. Conflicts are very usual in many cases due hierarchical relations and conflictual land use interests between the metropolis and their around, that sometimes act as obverse and reverse of the same medal in a sume zero game. On the contrary urban-rural relations outside metropolitan areas seem run better because the shared objective to achieve common advantages.

- Despite this metropolitan governance is one of the main key issues from territorial and demographic point of view. There are also some interesting examples of good practices that has to be explored and diffused. Main requirements seem related to existent cooperation culture and wish of cooperation among involved stakeholders, presence of adequate institutional frameworks (national but also at EU level) encouraging cooperation, and strong politics leadership.

- New forms of governance are prevalently partnership-based and seldom oriented towards wide and comprehensive participatory

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Figure 1 <sup>57</sup> Lefèvre C., 1998, "Metropolitan Government and Governance in Western Countries: A Critical Review", *International Journal of Urban and Regional Research*, vol. 22, n. 1, pp. 9-25.

mechanisms. A successful partnership is usually linked with the existence of cooperation among government agencies, in a vertical or horizontal sense. Public-public cooperation aiming at the attainment of shared objectives creates a favourable climate for the extension of cooperation in a more inclusive direction, through partnership with the private sector and civil society. When public-private it seems that the traditional way 'politics+economics' is the prevalent, with a more official influence of the economic interest, which was called by Le Galès (2003) "the come back of the 'refoulé'", meaning now they are in the game on the first rank, not hidden in the background. What is new is that kind of "legitimacy" that economic efficiency has now be granted. For this reason is so important to extend the presence of other stakeholders; 'joined' actors (broader involvement) and 'no joiners' (public participation). It is probably the realization of the dangers of a democratic deficit and of the loss of legitimacy which wins the argument over the doubts about participation ineffectiveness, because this deficit may be even more detrimental to effectiveness. In this sense some experiences are of great interest, as is the case of the *Conseil de développement de Lyon*, a kind of evolved local economic and social council, with broad rank of public and private stakeholders (joined) involved and open to participation of citizens (no joiners).

The most frequent, sometimes the only one, pattern of horizontal partnership is public-public partnership between regions, cities, local authorities, various government agencies, etc. Public-private cooperation is invited mostly for some specific projects (for infrastructure and construction) and, in a more advanced situations, for urban regeneration plans and local development.

- Communication problems between actors are a general barrier or negative pre-condition for territorial governance. This relates with confidence (or lack of it) and the possibility or reluctance to share powers, as well as with the concept of *territorial intelligence* as decisive part of territorial capital. Territorial intelligence in turn relates with the comprehensive strategic spatial planning and the principles of openness and proactive participation of non governmental actors. The need for greater engagement of civil society is generally acknowledged. It is in fact elevated to a sort of necessary credential, which no one wishes to deny, although there are hints that intensive citizen involvement may reduce effectiveness, prolong planning processes and lead to decision making inertia. It is probably the realization of the dangers of a democratic deficit and of the loss of legitimacy which wins the argument, because this deficit may be even more detrimental to effectiveness than procedural

delays. It is possible find several examples of mobilization and increased activism in opposition to government decisions, e.g. to locate infrastructures or proceed to urban renewal. But the presence of an informed, active and alert civil society is closely linked to past history and its creation is a lengthy process. Therefore even when lip service is paid to its importance, it is recognized that it is far from being an influential actor.

- Participation in decision making and implementation processes is an indicator of a mature civil society. It depends on history and tradition of each country, a decisive condition because even though it is the main governance objective priority emphasis is given to, some times is difficult to assess the degree of development of this practice so far than a 'politically correct' practice. It is possible to say that there are two levels of participation: the first regards the involvement of stakeholders (public/private partnership) whose participation is necessary to the implementation of the process; the second regards a 'diffuse' participation of non public actors (generally identified as 'citizens' or 'civil society') which is advisable but has limits in practices, especially if we take into account the object of participation. The use of participative methods in territorial development and planning is limited, because of the increased difficulties in using it with a large and varied number of stakeholders, in a field where issues of land interests and property are dominant. This practice, also as other changes in political culture, requires time and resources.

- The existing national culture of government can be an advantage, which gives to certain countries a flying start in the governance race. In some cases, their past achievements are reported as far more advanced than the EU governance objectives, to the point that EU (e.g. sectoral) policies or their framing in strictly regional terms are considered as impediments. But there may be traditions in other countries too, even in protest movements and collective action, which could be successfully built upon to bring about a new governance culture. There are also issues around which new coalitions and partnerships can be constructed. It is for this reason that when the question is asked about policy areas which offer themselves for a governance approach, the protection of the environment, heritage and individual rights are frequently mentioned, alongside regional development and economic competitiveness.

- Strong and competent local and regional actors, which also command a matching set of resources are favourable pre-conditions for governance actions. At national level regional actors are important

in vertical relations, as well as trans-national level, where however the central state has lower presence.

- *State and Governance*

- Whilst a lot of expectations and assumptions found in literature on territorial governance are connected to more network-based, flexible and less hierarchical modes of governance, the picture emerging from 2.3.2 ESPON project reflects that Public authorities, at any level, still play a central role and hierarchical relations determine much of the preconditions and parameters for decision-making, problem-solving, management and conflict resolution. The central/federal government and its regionalised authorities, as well as the local authorities, play a major role and where hierarchical relations still determine much of these preconditions and parameters. However it is important that public authorities implementing TGAs are at the proper level (vertical subsidiarity) and/or adopt a supportive approach towards public-private partnerships, in granting accountability above all.

- All political-administrative levels, not only the central, are the State. Devolution and decentralisation processes are a common trend. We hinted at the question of devolution of powers to sub-national levels of government, in connection with the regions and localities. Devolution seems to be taking place everywhere, but not without complications. These may be of a legal nature, e.g. in relation to the nature of the state, or functional. The experience of the adverse effect of excessive devolution on the room for initiative of the central government is reported in country cases, which have very different traditions and systems. The governance value of power transfers is not denied or opposed, but there are warnings. It is significant however that solutions to this problems are being sought again in a governance perspective, e.g. in coalition building, agreements and other cooperation forms.

- Strong and competent local and regional actors has been defined as favourable pre-conditions for governance actions. Accordingly the Case Studies Synthesis pointed out that most often the implementing bodies of the state policy or plan are found at regional level. But considering financial resources again the national level gains importance.

National level remains important because controls financial resources, the challenge for the next future is at which extent this situation tends to change in order to ensure a balance between subsidiarity and proportionality principles. There is an underlying assumption, and

this is reflected in the national overviews, that there is widespread dissatisfaction with National level performance and future potential. But there are also opposing views, particularly when the discussion focuses on the need to guide and control land use. The central state as an ultimate guarantor of territorial justice is still perceived, at least by some, as a necessity. Is the central state losing its status and its dominant role? Should it be so? And what is the effect on territorial cohesion? These issues seem to preoccupy the authors of certain national overviews. The influence of the European Union is decisive because of the rules that member – states incorporate in their government system and of the effect of EU regulations and directives. This overwhelming influence is on the whole recognized in all overviews, although in some cases the point is made that EU reforms were already in place, because of national traditions and legislation. As a result of the EU effect, regions and cities in all countries have become more powerful interlocutors in policy debates, but this may be to the detriment of less developed, more isolated, resource – deficient areas. Policies of territorial equalization and local development mentioned in the overviews are trying to create a more cohesive national, and by extension European, space. Some overview authors point out that the central state, in spite of appearances, is not after all losing its control power. Occasionally this is deplored, but there is also the reverse side of the coin. This is why a new style of central state intervention in spatial planning is also reported for some countries, i.e. the retention of a guiding role by means of issuing guidelines and performance indicators.

The “regions”, in their variety of forms, are also a key actor. The emancipation of the regions, even where it did not traditionally exist, is a reality. Decentralization takes place virtually everywhere and the progression towards more powerful regions is very frequently (but not universally) reported in the overviews as a step towards governance. Although the term “region” has a variety of meanings, there is no doubt that this, sometimes elusive, middle level, between nation and locality or national government and municipality, is acquiring a new personality. Besides, as the overviews confirm, it is at this level or in its relations upwards and downwards, with the national and local levels, that a very large number of innovative experiments are taking place. A variety of forms of cooperation, from national – regional contracts to regional growth councils, extending beyond the conventional routine of government, can be found here.

Although this is too bold a generalization, it could be argued that where at the regional level the driving force is development and competitiveness, at the local level the driving forces are more related

to the individual citizen, his / her quality of life and engagement in public decisions. Therefore, localities are a different battleground in the struggle for governance, particularly for principles such as openness and transparency. We are aware that divisions between geographical levels are often blurred, particularly in highly urbanized Europe. Spatial formations, like metropolitan areas or functional urban regions, defy this division. This was taken into account in the selection and classification of case studies (see Annex C). The fact remains that the closer links between authorities, citizens and society affect the trends of new governance initiatives especially at the municipal level. For instance, innovations regarding citizen participation methods or public – private partnerships for urban regeneration purposes are here typical forms of governance.

- An additional important question is to give some lights to conflictive relations between governance and public sector, where governance is understood as a way to fight bureaucracy and 'reduce' the State. The role of the administration is frequently commented upon, usually in a negative spirit. This is related to the role of the central state in general, but also takes specific forms of complaint and criticism, against what is seen as an obstacle to governance. Public administration is perceived as resisting change, lacking the necessary mentality or as being short of the skills required for a governance approach. This takes us back to the issue of the right balance between formal government and governance processes and to the role of the administration as a regulator and protector of social justice. There is material in the national overviews referring to innovations to increase openness and transparency and to protect the rights of the citizens.

According with 232 project results, the presence of 'state' (taking high NPE shares and put equal here to 'government') seems not to be 'detrimental' to GDP development. On the contrary, the absence of 'state' as expressed in the number of public employees does not automatically contribute towards GDP increase (see section 3.3.2 of this FR).

- Together with the maintenance of the State in governance, are the policy makers those that still are mobilizing the territory. In this sense territorial governance asks for the come back of the Politics; more even if we consider basic this public leadership to improve available tradition/political culture due its importance to extend new territorial governance practices.

- Very interesting initiatives of horizontal among levels (local and regional) and territories (urban-rural) occurs at regional polycentric networks

▪ *Challenges for the future*

- A slow shifting from 'hard governance media', from law (but not from the money, that still is of great importance) towards 'soft' ones, i.e. negotiation, co-operation and discursive concordance have been observed. However, contrary to Perkman theory (1999, 621) much less clear is that *simultaneously* the substantial interventions had been replaced by procedural mechanisms promoted by the auto-organizing capacities of network actors. Thus governance has become synonymous of steering, and the public subject guides the transformation dynamics and processes rather than having a direct control over them (from regulative role to pilotage). Territorial governance has started and is an on going process.

- Several new governance practices, as collaborative formations, have a fairly long history, relaying on social, political, intellectual (territorial) capital. Some of them are consequence or natural evolution of pre-existent practices. Main challenge is how to contribute to develop the present political culture to new governance elements. This is a long process that has to be progressive, avoiding radical changes, and requires time and resources.

- In conflictual situations there are no obvious new ways of governance. Conflictive situations and judicialisation has to be avoided looking for a new situation where consensus can be searched; f.i. looking for common issues of convergence and agreement, despite they will be not so much innovative nor represent big steps (i.e. traditional spatial instruments as Master plans with new strategic collaborative methods, urban-rural relationships to overcome problems of territorial development and services supply). Traditional instruments as Plans in a new context of strategic spatial planning have been recognized as example of best practices in the CS analysis. Instead, hierarchical and impositive methods usually lead to failures.

- Participation is not only an apparent (in the surface) benchmark of territorial governance. The challenge is to expand involvement of 'joined' actors to all 'no joiners' when useful. That means to define different kind of situations and decisions, avoiding unnecessary practices. It is often the case that citizens and involved interests, whom we would like to have the active participation, are supposed to rely on a process that cannot guarantee effective, concrete results in a reasonable time and whose leading actors are often not clearly

recognizable. More research is necessary to refine criteria for this selection also as for a better understanding of in-out movements of actors in participation processes.

- Processes of devolution (of competencies) can occur without correspondent transfer of resources, this is a very sensitive issue that relates with the effectiveness of multi-level relationships and also with the (re)definition of main role of State levels in coordination. This resources control is one of the most important reasons of Central State maintenance as main player.

## **4.2.2 Policy (implications and) Recommendations**

### *4.2.2.1 General Policy Recommendations*

- On vertical relations

- Central State and EU, and regional levels to a lesser extent, should strengthen their role establishing the framework; that is to set preconditions for territorial governance actions and processes. This is a role that can hardly be played at lower levels, where it is more often the case that integrated (sometimes *a posteriori*) policy packages can be found.

- National governments and regional authorities should actively embark on trans-frontier cooperation programmes, with clear institutional and legal regulations, aiming at strengthening decision making capacity.

- Hopefully with EU support, member states and regions should make a determined effort to strengthen the common identity of cross-border regions and to build on the commonality of problems and historical conditions.

- On horizontal relations

- It is necessary a larger emphasis in cross-sectoral coordination, in order to increase coherence. Effectiveness is not possible without coherence.

- Active development of pilots and experimental initiatives in territorial governance, as well as its monitoring, evaluation and dissemination of the findings across macro, meso and micro levels is recommended. Such pilots may include a variety of ways of working/tools and such forth, e.g. the use of contractual models regulating relationships between partners, broadening out of participating actors particularly utilising expertise in e.g. universities,



and a more targeted information exchange between responsible /authorities agents and the broader community.

- On participation, involvement and innovative practices

- Governments must undertake systematic initiatives of education, training, dissemination of information and public dialogue, aiming at a better informed civil society and a better educated corps of officials and civil servants.

- Pro-active work with ensuring the participation of all groups of citizens, with special focus in some specific groups because their inherent difficulties (e.g. ethnic minorities, people with disabilities) and other population groups that are often outside decision-making such as young people. Extra funding may need to be allocated to such activities for them to materialise.

- Changes in political culture require time and resources. More resources are needed to sustain partnership solutions.

- However effectiveness and accountability are important issues in governance processes at any level. It could be non effective to involve actors in processes that are by definition open, negotiated and flexible when their interests are not clearly recognizable and they cannot guarantee effective, concrete results in a reasonable time.

- 'Territorialisation' practices

- The OMC needs refinement and adjustment to territorial planning particularities so as to enjoy broader use in this field. It will only then that an assessment of its value and implementation potential will have to be judged. The pronounced absence of the OMC use in territorial development and planning could be explained because the large and varied number of stakeholders and because of conflictual issues and land interests and property. In addition to conflict benefits are on the long term and diffuse, both conditions that do not help to place it in the political agenda. However, this method seems potentially very useful because could contribute to overcome constraints to vertical as well as horizontal territorial coordination / cooperation contributing in this way to territorial governance from EU to local level. A much greater effort for the adoption of the method will be necessary.

- Across all the territorial dimensions and levels, it is important to bear in mind that governance is a context-specific and path-dependent process that requires time and where the local, regional and national specificities have to be closely taken into account. Whilst

there is great potential in 'best practice' approaches and using examples of 'good governance' from other countries, regions and localities as a source of inspiration, the context needs to be born in mind: inspiration is useful, but imitation less so.

- Territorial governance actions and processes need to be territorialized, i.e. to refer to the territorial capital recognized and available at each level, in order to strength territorial cohesion (economic and social cohesion, safeguard and valorisation of the natural and cultural patrimony, promotion of balancing competitive strategies with reference to the wider European space). That requires a (re)valorisation of territory and the improvement of a public (in the sense of common) new territorial culture.

- Additional recommendations

- Facilitate, fund, support and engage in the active development of pilots and experimental initiatives in territorial governance as well as its monitoring, evaluation and dissemination of the findings across macro, meso and micro levels.

- Provide research funding for the investigation of diverse national / local cultural conditions which can provide support for future governance cooperation, networking and policies.

- Legislation, national and / or regional, is needed to bypass rigid and bureaucratic spatial planning procedures, which make impossible the adoption of governance methods.

- The adoption of a strategic planning approach must be encouraged at all levels alongside of conventional binding spatial planning.

- Urgent reform is frequently necessary with respect to spatial planning legislation, which must be characterized by clarity, coherence, and a more "enabling" emphasis, for the benefit of the citizens and the private sector of the economy; a "parallel", more governance-oriented, spatial planning system may be introduced as an urgent measure, while the conventional system is being gradually modernized.

- EU and States should support flexible initiatives in the frame of concrete projects for metropolitan areas.

#### 4.2.2.2 *Policy Recommendations at macro (UE, Trans-national) level*

- On vertical relations

- Interreg projects have been a major instrument in disseminate best practice in spatial development and strategic territorial programme work. Hence, more funding to Interreg and/or more programmes of this type may contribute to better practices in territorial governance.

- Promote, by enhancing the Interreg Initiative, the expansion of trans-frontier cooperation, possibly through a bidding scheme to encourage national / regional / local initiatives in this direction, and by providing support to overcome legal complexities.

- Special attention should to be paid to some problems in this context as the difficulties due to different models of state and devolution - decentralisation processes.

- Develop a data base on trans-frontier problems and encourage efforts to create common trans-frontier identities, based on the commonality of problems (especially those related to environmental issues and natural risks) and, wherever possible, of past history.

- On horizontal relations

- Interreg projects have been a major instrument in disseminating best practice in spatial development and strategic territorial programme work. Hence, more funding to Interreg and/or more programmes of this type may contribute to better practices in territorial governance. Especially for this horizontal dimension of governance (among territories and policies) Interreg has demonstrate to be especially useful for territorial cooperation and for the elaboration of integrated policies and trans-national spatial visions.

- Trans-frontier planning and management should be based on a prior strategic planning conception (as is the case of Water Framework Directive), as a prerequisite of specific policy formulation and planning operations.

- This progress has to be protected and ensured as common EU property avoiding possible negative impacts (bad demonstration effects) if, for instance, for the next programme period for SF some of these trans-national visions will change their focus to a more specific goals (as accessibility and infrastructures).

- On participation, involvement and innovative practices
  - Programmes providing funding and good examples/practical tools regarding participation, openness and innovative practice could be a way of increasing these work practices across Europe.
  - Introduce into funding procedures strict requirements of partnership working, after consultation with national authorities.
  - Instigate a process for the strengthening of public participation processes in spatial planning, involving civil society as comprehensively as possible, and provide funding, e.g. to NGOs and citizen associations, based on clear criteria of eligibility.

- Additional recommendations

- Elaboration of a issue guidance to member states, possibly in the form of a guide, on reforms to be introduced, mechanisms to be established and methods to be used (especially on the Open Method of Coordination), all aiming at better governance practices.
- Institute a process for the production of an updated EU Compendium of Spatial Planning Systems and Policies, with a clear territorial governance perspective.

#### *4.2.2.3 Policy Recommendations at meso (national, trans-regional) level*

- On vertical relations
  - Central governments have a special role to play regarding clarity on accountability and conflict resolution. This they can contribute to with a suitable regulative framework and information management. Central government level can also contribute with appropriate funding and recognition of need for human resources to support good governance. Central government and its authorities can also take the lead on openness and participation by being a good example in their own practices.
  - National level remains important because it controls financial resources, thus the challenge for the next future is related with the way is chosen to ensure a balance between subsidiarity and proportionality principles.
  - Devolution has to combine appropriately competencies with resources in order subsidiarity and proportionality principles works together.

- Decentralization should continue, with due attention to national powers necessary to ensure integration and to address issues of national importance, such as competitiveness and infrastructure.

- New practices of a more mutually binding nature should be introduced in vertical cooperation relations to maintain a balance between decentralization and devolution.

- On horizontal relations

- New practices of a more mutually binding nature should be introduced in horizontal cooperation relations to maintain effectiveness.

- It is necessary a larger emphasis in cross-sectoral coordination, in order to increase coherence. Effectiveness is not possible without coherence. Major efforts have to be developed in this sense especially from a National point of view.

- Horizontal coordination, among (public and private) actors and sectoral policies, is crucial and national governments must strive, whenever necessary, to improve the current situation first at the national level, particularly among spatial and economic planning authorities, and then at lower levels, by supporting networking, through institutional and financial support.

- National governments should ensure the compatibility of administrative jurisdictional boundaries with territorial governance areas, to achieve territorial coordination and integration.

- On participation, involvement and innovative practices

- Central government could legislate to guarantee practices of participation, openness and other innovative practices. It could also provide best practice in central policymaking.

- Governments should also provide advice and guidance to lower level agencies and authorities on methods to build governance structures.

- National governments should strive actively to improve the transparency and openness of administrative action and install more participative practices in spatial planning processes, while making sure that clear accountability exists.

- National governments should also make sure that existing "government" operates in a manner respectful of the principles of genuine democracy (cooperation, transparency, openness etc.), before embarking on more ambitious "governance" reforms.

- Existing agencies and administrations, as potential partners in governance partnerships, should be made to follow governance principles in their own internal operation.
- Partnerships with the private sector must be encouraged, but “checks and balances” must be built into the process to avoid compromising governance objectives, e.g. by securing wide involvement of social groups.
- Multi-level partnerships should be adopted as the appropriate instrument (instead of the exclusive use of “command” structures), to overcome obstacles of “localism” and “parochialism”, impeding the effective confrontation of higher level problems.
- New and diverse instruments and methods should be introduced to mobilize the “voiceless citizens” and generate wide participation; such instruments could include referenda, surveys, public opinion polls, website dialogue platforms etc.
- Increase the role and upgrade the status of NGOs, in an effort to encourage their participation in governance processes.

#### *4.2.2.4 Policy Recommendations at micro (local to regional) level*

- On vertical relations
  - New bodies at the regional level seem to have been one way of introducing more integrated territorial practices. Hence, such bodies may be considered potential good practice. However, fragmentation over a larger number of bodies and actors in partnerships involved poses a risk for policy transparency, coherence and accountability. It is therefore necessary to strike a balance here and to design any new regional bodies in a transparent way and with clear coherence and accountability.
- On horizontal relations
  - Horizontal integration takes time. It is therefore necessary to be realistic regarding goals both in terms of scope and time frame.
  - New bodies at the regional level seem to have been one way of introducing more integrated territorial practices. Hence, such bodies may be considered potential good practice. However, fragmentation over a larger number of bodies and actors in partnerships involved poses a risk for policy transparency, coherence and accountability. It is therefore necessary to strike a balance here and to design any new

regional bodies in a transparent way and with clear coherence and accountability.

- Local and regional authorities should develop a strategic vision for their territory, alongside their detailed territorial governance responsibilities and regardless of the existence or not of higher level strategic planning.

- Cross-sectoral collaboration at micro level promotes horizontal integration, hence efforts have to be made to facilitate relevant actors to cooperate and management practices which enable better sector co-ordination locally.

- Networking is a necessary step, particularly among small local authorities in isolated, remote and resource-deficient areas, to acquire a more influential voice and the possibility to engage in dialogue with higher levels, up to that of the EU.

- Local authorities should participate in trans-frontier cooperation schemes, with clear allocation of responsibilities for development and service delivery.

- Actors at regional and local level need to allocate appropriate financial and human resources for collaboration.

- On participation, involvement and innovative practices

- Sub-national authorities should aim at realise intentions on participation, openness and innovative practices. Make sure that there is more than lip service paid to these ideals of good governance.

- Systematic citizen information campaigns and training of officials, elected or not, are necessary to instill a new mentality.

- Continuous efforts should be made to cooperate with a broad range of actors, including NGOs, universities and citizen groups.

- Additional recommendations

- Local and regional authorities should be prepared to compete for participation in vertical and horizontal structures of a voluntary and / or contractual nature, to further sustainable development and improve service delivery.

- Consistent efforts are necessary to create the local and regional preconditions for innovative approaches to territorial governance, by building on local cultural traits and traditions favouring a new approach.

#### 4.2.2.5 *Proposals for further research*

- Production of an updated EU Compendium of Spatial Planning Systems and Policies, with a territorial governance focus. A very interesting point is that due to the increased amount of Member States the differences between European regions grew deeper and the whole situation is more heterogeneous. However due to the convergence that is taking place within the planning families, the differences slowly start to decrease again.
- Development of a series of demonstration projects of trans-frontier cooperation to investigate "barriers and catalysts" of cooperation.
- Systematic research into "trans-frontier identities" to investigate cultural, environmental and man-made unifying factors, conducive to cooperation.
- Research into the special problems of applying governance processes in isolated, remote and resource-deficient areas.
- Investigation of diverse national / local cultural conditions which can provide support for future governance cooperation, networking and policies.
- Study of participation practices in spatial planning processes of member – states and their governance value.
- Study at national level of intra-states differences in territorial governance practices. Variations may be due to practical reasons (see section 6 conclusions in the Annex B -Synthesis on National Overviews). A fundamental division is urban-rural differentiations.
- The degree of involvement in all case studies shows that vertical relations are mainly characterised by local and regional actors. Further research in these relations seems to be a promising field to deep in, mainly at regional polycentric networks and urban-rural scales as well as in metropolitan areas where, contrary to these two scales, relations are much more conflictive despite their strategic importance from a spatial and demographic point of view. More attention has to be paid in order to find alternative solutions and learn from benchmarks.
- At local level there are cooperation arrangements which do have an innovative character even if they do not produce spectacular results, like municipal development companies, public-private partnerships for land development or quality agreements in certain economic sectors which are important in their national context. The most numerous examples are those focusing on cities, also where one finds the most numerous examples of policy packages. They often



exhibit experimental, innovative arrangements, at neighbourhood, city or urban regions level with the other levels usually aiming at economic development and urban regeneration. Their potential deserves further investigation to examine whether it can be exploited and extended in the future.

- The research project managed to probe into the field of territorial governance mainly with the help of qualitative methods. What has been obtained are mainly mental maps displaying the processes and structures of projects and experiments in the field of governance. The quantitative approach towards governance is far more difficult, as was experienced in the course of the project, too. Nevertheless, to address the effectiveness of governance structures across all EU member states and regions, the quantitative side of the research needs to be further developed, taking the preliminary approaches of the ESPON 2.3.2 project as a starting point.

## **1. Appendix**

- **List of Indicators:**

- ISS – The original idea was to use quantitative data on employment total, Nace L-P (services in the public sector), population, on public budgets. In qualitative terms, several indicators including World Bank surveys were thought to combine.
- ***ISS – finally, for this typology data on Nace L-P per inhabitants were used as an indicator on state structures (taking the employment numbers as indicator of the presence of the state in the regions, NUTS 2 level)***
- ISP – The quantitative data contributing to the ‘dynamic’ side of the state were the delta values (between certain dates) for employment, L-P Nace, population, budget figures. On the qualitative side, the World Bank surveys on government effectiveness, which are the only indicators available as time series and for 29 countries, were collected such as regulatory quality index, e-government contact for SME <sup>58</sup>.
- ***ISP – finally concentrated on the delta values for Nace L-P employees.***
- *ITS - from a territorial point of view, tried to include data mainly from ESPON DB on Pentagon regions, polycentricity, settlement structure, FUA, urban-rural typology.*
- ***ITS –data on FUA were chosen for ITS.***
- ITP – Again, from a territorial point of view, data on lagging regions, multi modal accessibility, MEGA were considered.
- ***ITP – finally was based on data on lagging regions, multi modal accessibility, and MEGAs.***

*[NB: To use the indicators on spatial aspects – italics – for a further differentiation of the regional situations proved to be not possible.]*

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<sup>58</sup> However, both latter indicators have gaps, more than half of the countries show no data. This is why only one set of indicators was finally picked.

- IES – The quantitative data on economic structures were sought as data on GDP/GVA, HQ function, or other specific services.
- **IES – finally was taken as the GDP in PPS per capita, to describe the situation in various regions.**
- IEP – To describe the ‘dynamics’ in the economic system, the delta for GDP values were considered appropriate;
- **IEP – finally was constructed as the delta of GDP in PPS per capita.**
- ICSS – The domain civil society, this was clear at the outset, needed a set of data on rather qualitative aspects. Several attempts and ideas were waged in this respect, a.o. to capture the current situation with respect to spatial planning; data were supposed to come from National Overviews – one result has been provided in a different chapter.
- **ICSS – finally was constructed with data on legal systems, government, national democracy, parties, national parliaments, coming from Eurobarometer.**
- ICSP – The dynamics in civil society were considered as the development over time in specific aspects.
- **ICSP – finally could be constructed using the Eurobarometer data mentioned under ICSS, as they come in time series and can be used to construct a delta.**

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- 2.2.2 Movement within the EU 15 between the Styles of spatial planning and characterisation of New Member States + 2 +2
- 2.2.3 Presence of the urbanism tradition
- 2.2.4 Presence of land use planning
- 2.2.5 Presence of the regional economic approach
- 2.2.6 Presence the comprehensive integrated approach
- 2.2.7 Level of comprehensiveness
- 3.3.1 Governance in urban and territorial policies
- 3.3.3 GDP/Public employees
- 3.3.2 Typology of regions

### • **List of missing data:**

As has been said several times throughout the project, a number of data could be useful for future studies on governance and its impacts:

- Data on the description of government structures in the European regions (e.g. regionally differentiated data on budgets; budget figures as such are available but they mainly follow financial concerns and not regional concerns); further: administrative structures, administrative processes (response times), e-government (ESPON dB as incomplete start);
- Data on the description of civil society in the European regions (e.g. voting patterns can be a start and are available but the coverage is insufficient; besides, as political scientists in the team pointed out, the interpretation is heavily debated); further: ESPON 2.3.2 established a starting point regarding governance aspects in territories, i.p. with the qualitative indicators S1-S10. This work should be continued and systematically extended, e.g. with a targeted collection of precisely these aspects across all EU regions.
- Data on the potential impact side of governance beyond the economic are in particular missing (e.g. the Eurostat data on social structures and characteristics rather address the welfare system [transfer payments] but are weak in other respects); further: environmental state in region.

As outlined in the case study analysis attached as an appendix to this final report, the changes taking place within territorial governance are linked to an increasing shift towards multi-level modes of governance, in a system of continuous negotiation and adjustment among governments and non-governmental actors at several territorial tiers, from supra-national to sub-national (regional and local). This broad process of institutional adjustment and adaptation

is shifting some previously centralized functions of the state to the supra-national level, whilst others are delegated or in some cases devolved to the sub-national tiers of government. Yet in other cases the adjustments taking place relate to actors, organisations and interactions beyond the government system, involving other than governmental actors and organisations, from the private sector to the voluntary sphere, as well as to social movements and their mobilisation effects.

## • **List of abbreviations and glossary:**

NO = National Overview

CS = Case Study

Numeric Approach = quantitative part of the analysis

FR = Final Report

TIR = Third Interim Report

SIR = Second Interim Report

FIR = First Interim Report

LP = Lead Partner

TPG = Transnational Project Group

CU = Coordination Unit

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2. Davoudi, S. 2006, *Polycentric development and metropolitan governance*, invited speech, Sustainable Development of Capital Cities and Metropolitan Regions, 2-5 May, Madrid, invited by Comunidad de Madrid and METREX, (Conference patron: Sir Peter Hall)

## • Indication of performance indicators achieved

| Indicators description   |  |
|--|--|
| Number of countries investigated<br>- in total<br>Covering:<br>- the EU 25<br>- more than EU 25            | - 29<br>- 25 EU countries +Switzerland and Norway + Bulgaria and Romania |
| Number of charts on the institutional structure of spatial planning both in urban and territorial policies | - 93 Figures<br>- 37 Tables  |
| Number of policy aims mentioned in the ESDP addressed in the studies                                       | - 4 (all general policy aims are covered by the project)                 |
| Number of cases studies (one per country)  | - 53   |
| Number of maps produced:<br>- covering ESPON space<br>- covering less than ESPON space                     | - 31   |

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# ESPON project 2.3.2

Governance of Territorial and Urban  
Policies From EU to Local Level

## **Annex Report A**

**Data & Indicators**  
**Identifying favourable pre-conditions for Territorial**  
**Governance Actions**

# A

# **ESPON Project 2.3.2**

## **GOVERNANCE OF TERRITORIAL AND URBAN POLICIES FROM EU TO LOCAL LEVEL**

### **Annex Report A**

#### **Data & Indicators**

#### **Identifying favourable pre-conditions for Territorial Governance Actions**

Peter Ache, Stefan Peters, Alexandra Hill, Michael Höweler, Nils Heilmann

### **Separate volumes**

#### **Project Report**

Governance of Territorial and Urban Policies from EU to Local Level

#### **Annex report B**

Synthesis of National Overviews

#### **Annex report C**

Case Study Synthesis

#### **Annex report D**

Multi-Level/Vertical Dimension of Territorial Governance

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Horizontal Dimension of Territorial Governance

#### **Annex report F**

Spatial Planning Styles: A new Physiognomy for Europe

The logo for IRPUD, consisting of the letters 'IRPUD' in a bold, blue, sans-serif font.

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.

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# **1 Data and Indicators - Identifying favourable pre-conditions of Governance**

## **1.1 Introductory remark**

IRPUD has been collecting data on various governance (or governance related) aspects over the past months. A complete list of data which has been included in the quantitative analysis is provided in the Annex (List in Table 3. see Annex).

These data have been used in several ways, as can be seen from this contribution to the final report, in particular

- IRPUD has produced thematic maps relevant for the governance topic ;
- IRPUD tried to use the data to generate synthetic indicators to define typologies.

As in previous reports 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.

### ESPON DB, Eurostat, Eurobarometer

Table 3 in the appendix shows, which ESPON dB, Eurostat, and Eurobarometer data have been explored in the course of the project. The results of this survey will be provided further down in section 1.2.1.

In November 2005, 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 survey to generate data on the political governance in the ESPON 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, mainly due to lack of coverage but also due to the different focus (reflecting rather national issues in election).

### 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, 28 altogether].

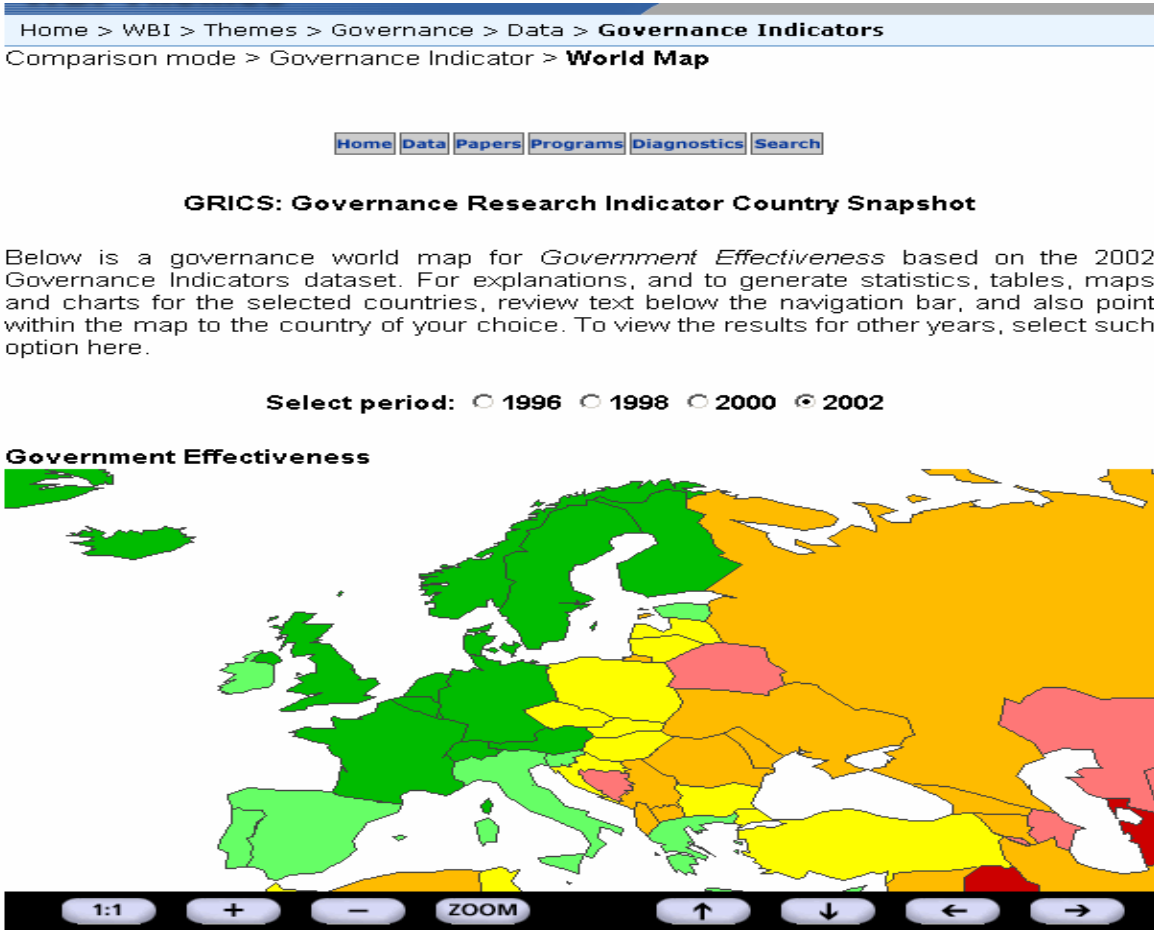
Part of the synthetic analysis of the NO resulted in tables which were used to generate scores on different governance aspects.

Out of this assessment which used more than twenty criteria, a set of tables was generated, which was more appropriate for various scoring methods (see appendix with table<sup>1</sup>). Results of this exercise are fully covered in this report (section 1.2.2)

World Bank

IRPUD also collected data from the World Bank on governance effectiveness and regulatory quality or government effectiveness (see Figure 1.)

**Figure 1 Governance Effectiveness**



**Note:** The governance indicators presented here reflect the statistical compilation of responses on the quality of governance given by a large number of enterprise, citizen and expert survey respondents in industrial and developing countries, as reported by a number of survey institutes, think tanks, non-governmental organizations, and international organizations. The aggregate indicators in no way reflect the official position of the World Bank, its Executive Directors, or the countries they represent. As discussed in detail in the accompanying papers, countries' relative positions on these indicators are subject to margins of error that are clearly indicated. Consequently, precise country rankings should not be inferred from this data.

<sup>1</sup> Observe that in previous reports only five indicators were used. They have been extended to ten.

The World Bank data are the only ones, which have been collected consistently over many years of observation, across countries and following the same method – but they also have a number of restrictions:

- a specific interpretation <sup>2</sup> is attached to the scoring, e.g. effective government and regulatory quality are f.i. linked to a reduction of government acts;
- the data are based on quite a number of surveys, provided by as many different research, consultancy, or policy institutes (see example in Figure 2 below).

**Figure 2 Governance Effectiveness – Data Sources**

The screenshot shows a browser window with the title "http://info.worldbank.org - List of Sources - Mozilla Firefox". The main content is a table titled "Government Effectiveness for GERMANY in 2004: List of 10 sources". The table has five columns: N, Source, Publication, Type, and URL. It lists ten different sources, including Business Risk Service, Columbia University, Global Insight's DRI, Brown University's Center for Public Policy, Economist Intelligence Unit, World Economic Forum, Merchant International Group, Political Risk Services, Institute for Management and Development, and World Markets Research Center.

| N   | Source                                      | Publication                      | Type   | URL   |
|-----|---|----------------------------------|--------|---|
| 1.  | Business Environment Risk Intelligence      | Business Risk Service            | Poll   | <a href="http://www.beri.com">http://www.beri.com</a>   |
| 2.  | Columbia University                         | State Capacity Project           | Poll   | <a href="http://www.columbia.edu">http://www.columbia.edu</a>   |
| 3.  | Global Insight's DRI McGraw-Hill            | Country Risk Review              | Poll   | <a href="http://www.globalinsight.com">http://www.globalinsight.com</a>                                 |
| 4.  | Brown University's Center for Public Policy | Global E-Governance              | Poll   | <a href="http://www.insidepolitics.org/egovt04int.pdf">http://www.insidepolitics.org/egovt04int.pdf</a> |
| 5.  | Economist Intelligence Unit                 | Country Risk Service             | Poll   | <a href="http://www.eiu.com">http://www.eiu.com</a>   |
| 6.  | World Economic Forum                        | Global Competitiveness Report    | Survey | <a href="http://www.weforum.org">http://www.weforum.org</a>   |
| 7.  | Merchant International Group                | Grey Area Dynamics               | Poll   | <a href="http://www.merchantinternational.com">http://www.merchantinternational.com</a>                 |
| 8.  | Political Risk Services                     | International Country Risk Guide | Poll   | <a href="http://www.prsgroup.com">http://www.prsgroup.com</a>   |
| 9.  | Institute for Management and Development    | World Competitiveness Yearbook   | Survey | <a href="http://www.imd.ch">http://www.imd.ch</a>   |
| 10. | World Markets Research Center               | World Markets Online             | Poll   | <a href="http://www.worldmarketsonline.com">http://www.worldmarketsonline.com</a>                       |

Be it as it may, comparing above data and the approach of ESPON 2.3.2 towards a 'soft' governance indicator seem to result in very similar pictures (see section 1.2.2).

### Case Study Data

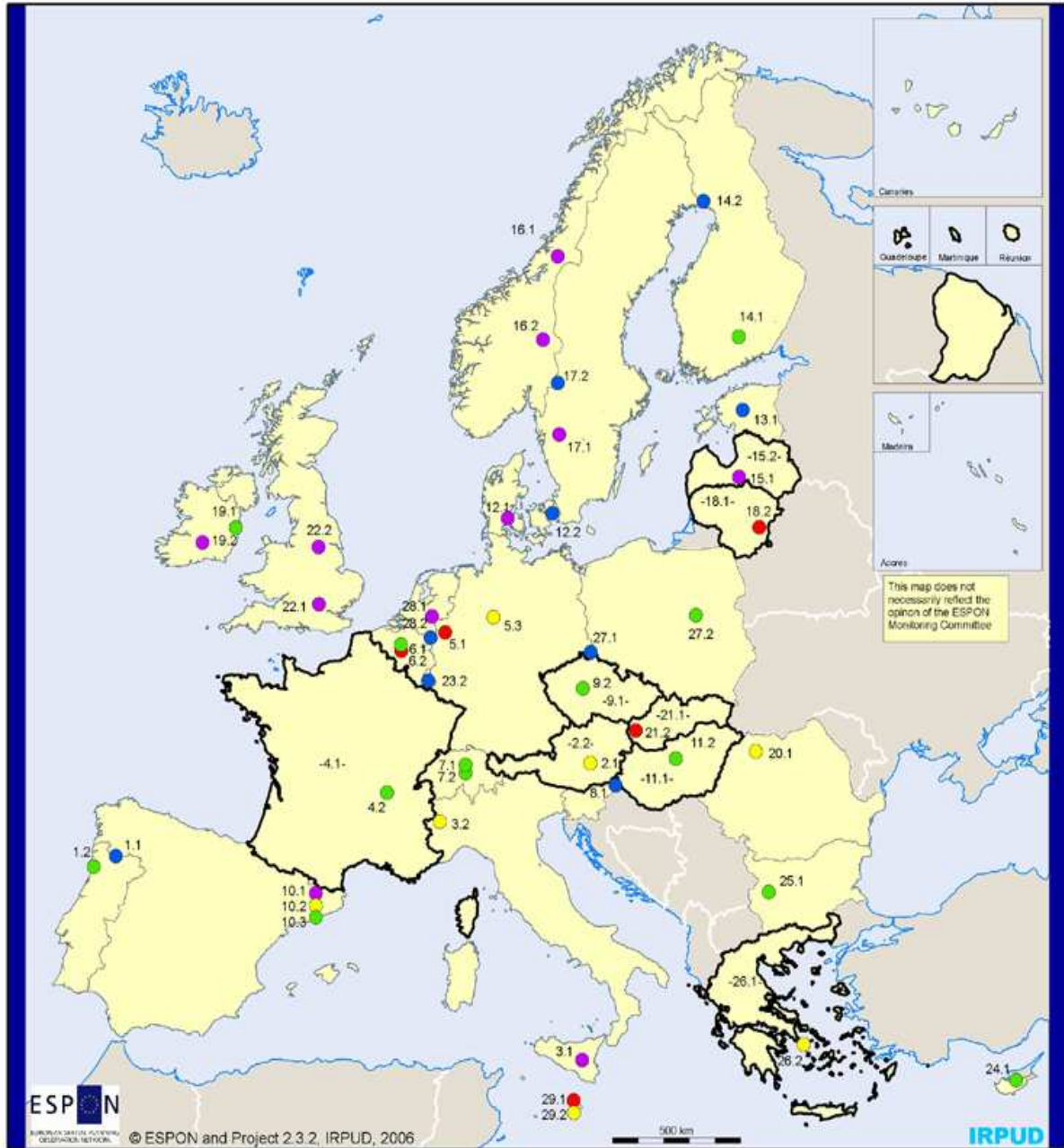
In all the Case Studies for the ESPON 2.3.2 project (CS, altogether 53, see

Map 1) have been mapped. The majority of cases have a clear territorial dimension. Eight case studies relate to national territories.

<sup>2</sup> The 'ideological' impact of these data have been discussed in the research team. In short, the team is aware about the bias towards market liberal approaches.

# Map 1 Case Studies Overview

## Case Studies overview



### Level of Case Study

- National
- Transnational / Crossborder
- Functional urban areas / Metropolitan regions
- Urban-rural
- Regional polycentric urban networks
- Intra-city

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Regional level: NUTS 0

Source: ESPON 2.3.2 Case Studies

The case studies (see also the synthetic overview in this FR) 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 first the form of statistical data sheets, secondly the analysis of all regions.

The statistical Data Sheets (see appendix) have been filled in for 47 of 53 cases. Despite this good return, the specific results are not satisfactory. Again the degree of interpretation for what was required is immense when looking at answer patterns. Moreover there were many data gaps when looking at the different parts of the data sheets. Questions on "General information" and "Sustainability" were completed in most of the returned data sheets whereas the part on "Social questions" and "Budget figures" (concerning the latter especially the shares for the different territorial levels) were mostly missing. To attempt a harmonization of 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 has been looked for using the NUTS3 and NUTS2 codes for the CS to generate from official data sources a set data.

An approach was conceived, that wanted to compare structural and dynamic aspects of the case study regions with all other regions and to conclude (inductively) from the case studies to all other regions. In terms of governance characteristics, of course the main input needs to come from a systematic analysis of the cases (systematic in the sense of achieving a set of clear indicators characterising the respective governance situation).

Results of this attempt are documented in section 1.2.4.

### Numeric Approach

Regarding data and indicators, the case studies were linked with one additional step: In an extensive Numeric Approach [NA] (see Annex, 84) case study authors were asked to assess various aspects of their cases with the help of scores.

The intention was to review the main points of the case studies with the help of answer categories. After having written the main text for the case studies the respondents were asked to bring out the main structural and procedural aspects of the cases and to translate them into scores. The scores used three classes, expressing a high, medium or low presence of the aspect under discussion. With the help of such scores it was possible to identify tendencies in the overall assessment of a specific aspect.

The NA included a number of tables focussing on different issues. Some of the tables were open for free format answers, where respondents were asked to list the main specific territories, actors or mechanisms applying to the case studies.

The data collection in the Numeric Approach turned out to be rather difficult on the side of addressees. 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 out<sup>3</sup>.

Finally for this report, 53 numeric parts were collected and further analysed. This means a return rate of 100 %. More detailed information on which of the CSs are included for the FR can be found in Table 6 of the appendix.

## **1.2 Favourable Pre-Conditions for Governance?**

Following from the introduction, the coming sections present the various findings of the diverse quantitative approaches conducted for the project. The overarching theme is to identify favourable pre-conditions for governance in territorial action.

### **1.2.1 Number of Public Employees**

IRPUD followed 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.

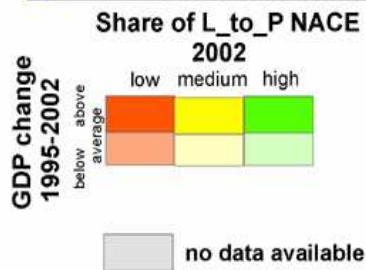
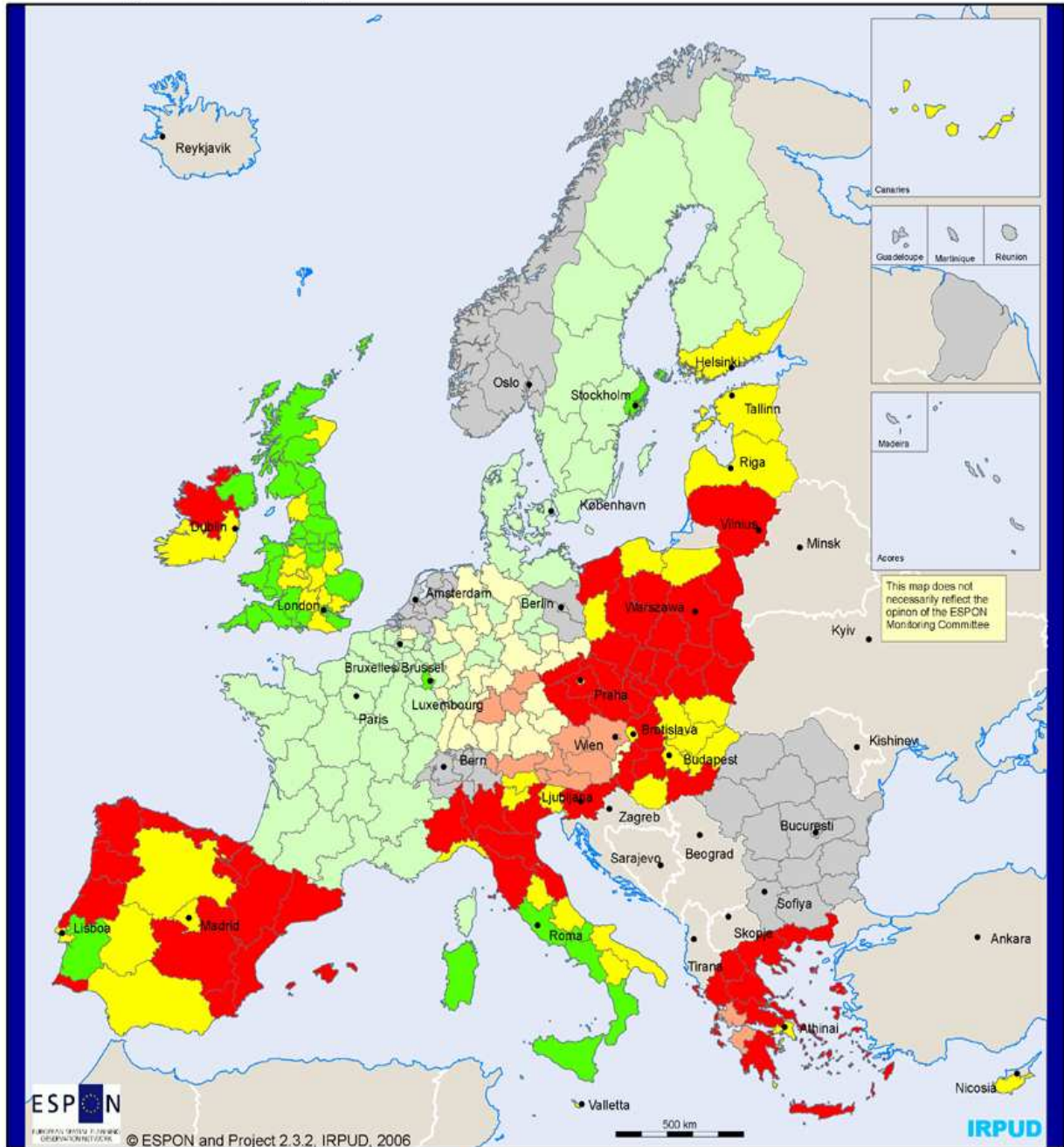
---

<sup>3</sup> To receive at least a valuable amount of numeric tables the deadline was extended three times and the addressees were contacted several times. For the draft FR also the geographical classification of the CS was adjusted again.



## Map 2 GDP/Public employees

### GDP change / Share of L\_to\_P NACE



Class sizes

|    |    |    |
|----|----|----|
| 54 | 31 | 31 |
| 32 | 54 | 57 |

Share of L to P NACE:  
0,33 Quantiles

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Regional level: NUTS 2  
Origin of data: classification of GDP and share of L\_to\_P NACE

Cyprus: Data for government controlled areas only.

Source: EUROSTAT (GDP data)  
ESPON database (Share of L\_to\_P NACE)

Interpretation of the current picture in

Map 22 above 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 <sup>4</sup>.

In terms of favourable pre-conditions, the following hypothesis is suggested here: the presence of 'state' (put equal here to 'government') seems not to be 'detrimental' to GDP development. On the contrary, more governance (equal to the absence of state as expressed in the number of public employees) does not automatically contribute towards GDP increase.

Of course, these interpretations need further back up (e.g. currently the correlations between the two data are very weak, which is mainly due to gaps in data). A recommendation resulting from that is to ask Eurostat to specifically collect data on the public employment (including e.g. civil servants and data on public budgets).

### **1.2.2 Identifying National Governance patterns**

A first and very preliminary attempt towards the description of different governance situations has been made with the help of the National Overviews [NO, 28 altogether].

Part of the synthetic analysis of the NO resulted in tables which were used to generate scores on different governance aspects.

Out of this assessment which used more than twenty criteria, a set of tables was generated, which was more appropriate for various scoring methods (see appendix with table<sup>5</sup>). The criteria included:

- Acceptance of governance
- Changes in formal government in the direction of governance
- Experience with participation processes
- Experience with partnerships

---

<sup>4</sup> Correlations and regressions have not been calculated with these data. IRPUD had a look at the Eurostat data and found, that NACE categories were changed (now covering L-Q) and that the data gaps are huge, when trying to compare Nuts2.

<sup>5</sup> Observe that in previous reports only five indicators were used. They have been extended to ten.

- Extent of financial dependence of local government on central government
- Devolution of powers to 1st tier local authorities
- Centralization / decentralization / devolution
- Number of conditions leading to shifts towards governance
- Number of factors operating in favour of adoption of governance approaches
- Number of forms of cross-border co-operation.

The data (scores) were generated in a recursive scoring process and were checked by national experts to increase validity.

The result of which can be seen from

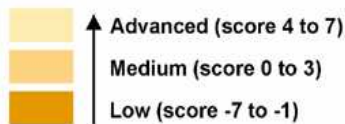
Map 3 below, using above listed set of indicators.

### Map 3 Governance in urban and territorial policies

#### Governance in urban and territorial policies



#### Degree of shift from government to governance 2006



The classification is based on the calculation of national scores, ranging from -7 to +7. Each country was given a score on 10 indicators: IRPUD Qualitative S1-S3b; S5; S7-S11.

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Regional Level: NUTS 0

Origin of data: IRPUD Qualitative [S1-S3b; S5; S7-S11]

- Official acceptance of governance 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
- Devolution of powers to 1st tier local authorities
- Centralization / decentralization / devolution
- Number of conditions leading to shifts towards governance
- Number of factors operating in favour of adoption of governance approaches
- Number of forms of cross-border cooperation

Denmark: Average calculated on the basis of only one indicator.  
Cyprus: Data for government controlled areas only.

Source: National Overviews ESPON 2.3.2

The interpretation of these indicators should be that they identify countries which are more advanced in their application of governance principles. They are preparing the ground for wider governance application. This is expressed by the notion of 'shift towards governance'.

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.

Furthermore, the shift towards governance can comprise manifold items or occurrences in the respective countries. The baseline within and between countries is different as are the pursued changes or orientations, what to achieve with the changes towards governance.

Lastly, the single aspects of the governance indicators only cover general phenomena, they do not relate to precise cause and effect relations.

In terms of favourable pre-conditions for territorial governance actions, the map finally provides a framework for interpretation, pointing out those situations, where governance actions seem to be more likely or advanced.

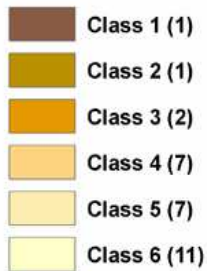
IRPUD also collected data from the World Bank on governance effectiveness and regulatory quality.

## Map 4 Indicators on State Structure and Process

### ISS + ISP



#### ISS 2004 + ISP 1996-2004 (Number of elements)



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Regional level: NUTS 0  
Origin of data: IRPUD ISS and ISP (simple weighted addition)

Cyprus: Data for government controlled areas only.

Source: Worldbank

Above map results from a combination of regulatory quality and government effectiveness indices<sup>6</sup>.

The emphasis was deliberately placed on ‚dynamic‘ aspects. The dynamics stand either for the lack of or for positive change within the group of countries<sup>7</sup>.

A lower grade can be the result of a combination of

- all other countries doing much better,
- the individual country doing nothing at all to improve and all others only slightly improve,
- the individual country might actually decrease the quality or effectiveness of its government actions.

Comparing the results presented in

Map 1 and

Map 4, the two representations convey similar impressions for the Espon countries.

### **1.2.3 Governance Aspects in National Overviews**

The NO provided more numeric parts which have been used for interpretation, as 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 corresponds with the complexity of the governance field;
- the areas in between the axes, stand 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.

---

<sup>6</sup> They have been weighted (weight for the combination is 0.3 for structure, 0.7 for dynamic)

<sup>7</sup> The World Bank indices are so called percentile rankings, meaning that they need to be interpreted in the context of all other countries belonging to the same group.

**Figure 3 Partnership Formation (NR): Catalysts**

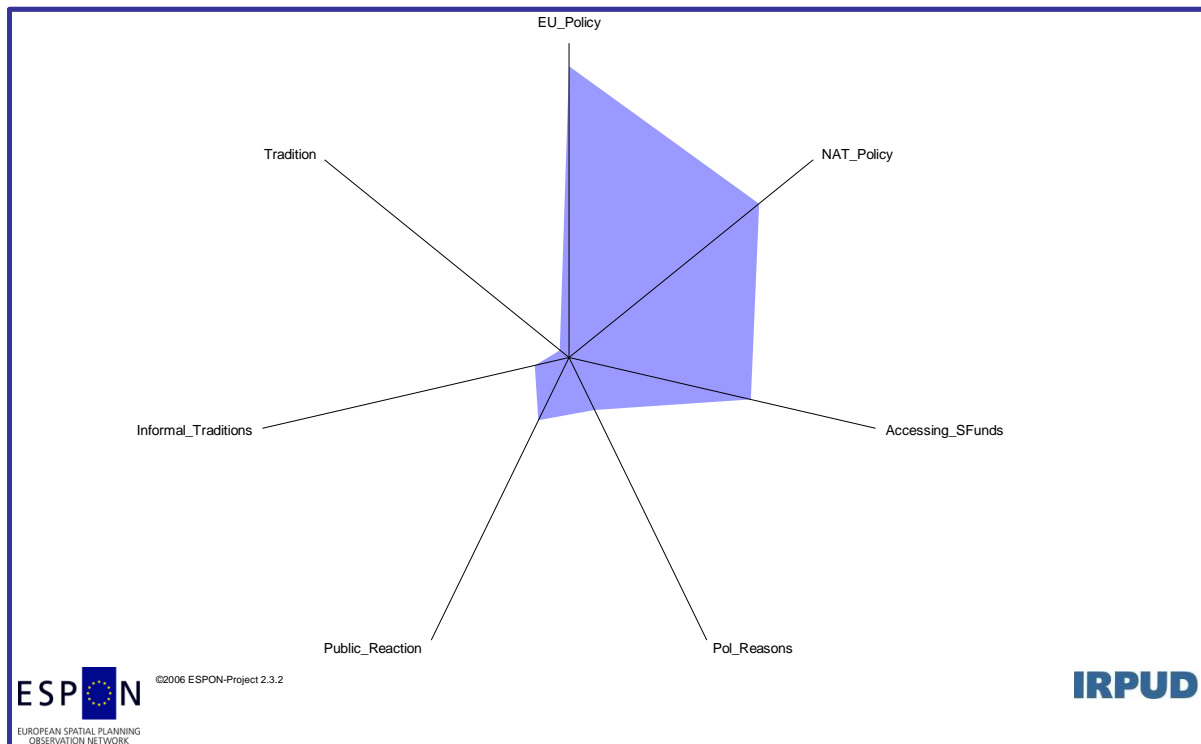


Figure 3<sup>8</sup> - e.g. reveals the elements which are catalytic in terms of partnership formation. As a kind of favourable pre-condition, EU policy and national policy dominate in this respect. This can be interpreted as a success of the new models and requirements for projects and strategies. The latter is repeated by the importance of 'access to funds'.

<sup>8</sup> EU\_Policy - EU policies and funding; NAT\_Policy - National or sub-national legislation and policy; Access\_SFund - Economic interests of participants (e.g. to gain access to funding sources); Pol\_Reasons - Political reasons (e.g. support for or opposition to central government); Public\_Reaction - Public reaction to government policy and public projects; Informal\_Traditions - Tradition of informal procedures; Tradition



**Figure 4 Partnership Formation (NR): Barriers**

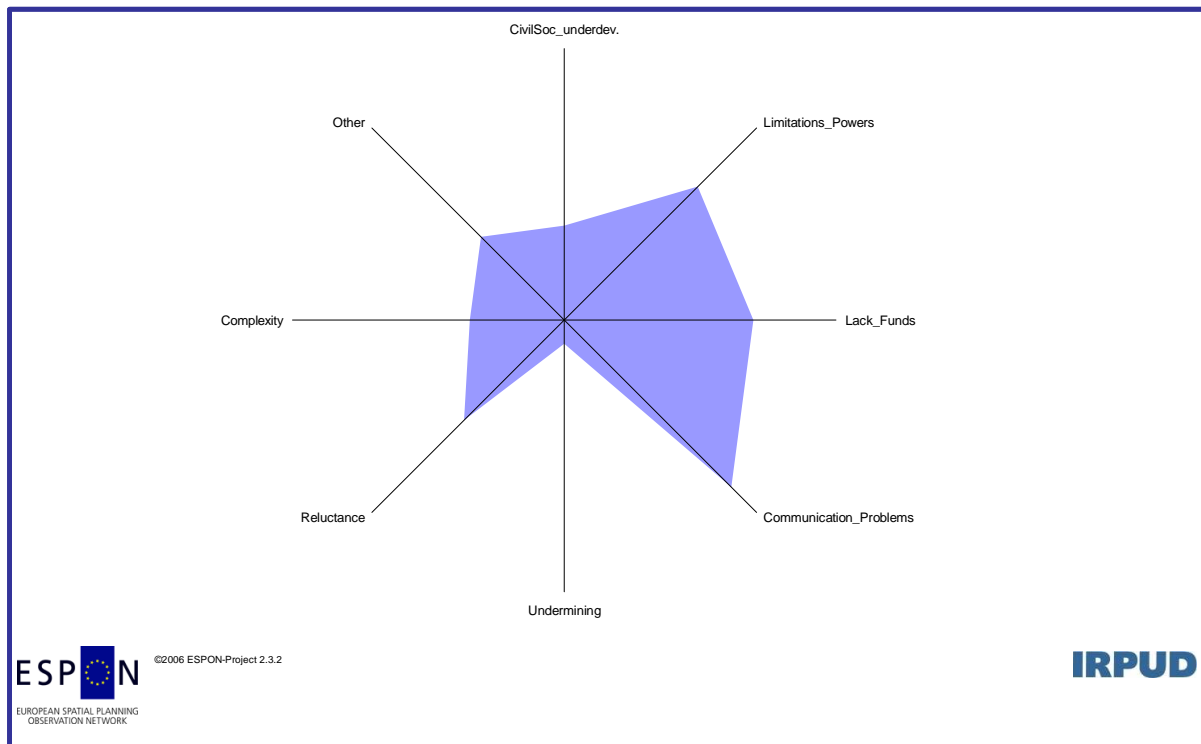


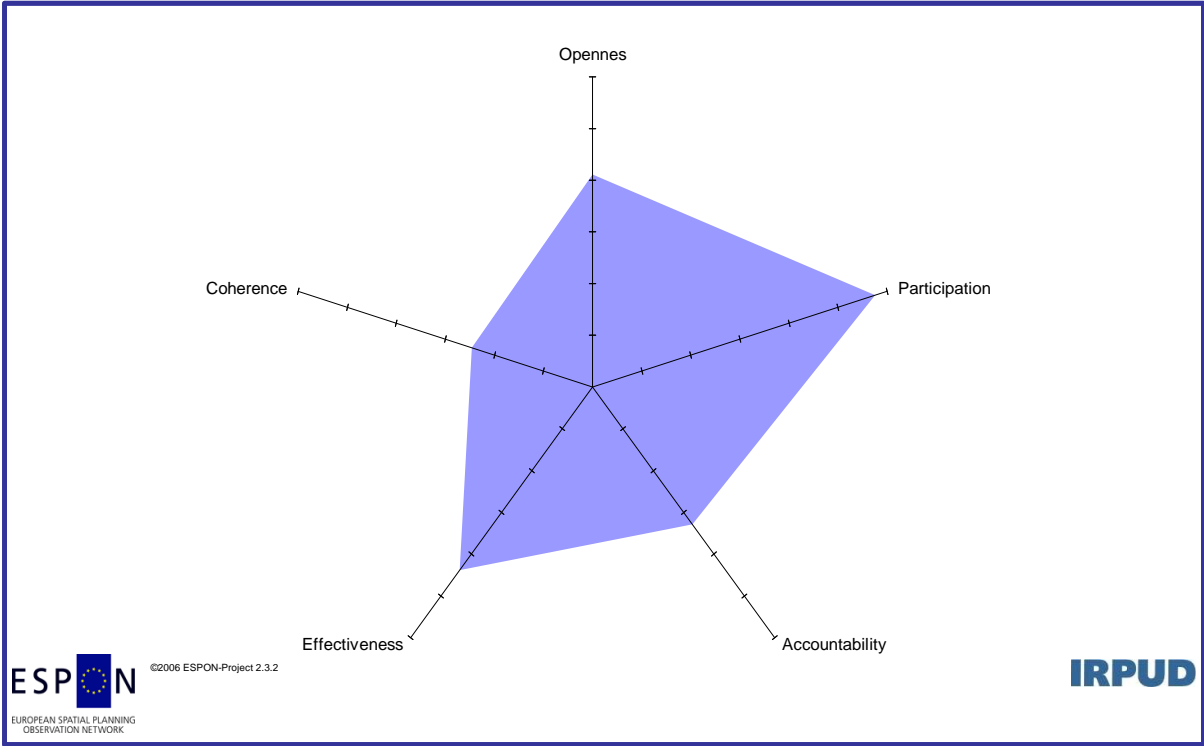
Figure 4<sup>9</sup> reveals the barriers to partnership formation, which seem to be rather 'practical' dimensions, lack of power, lack of funds in particular.

As for governance pre-conditions, 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 5 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. These factors repeat so to say the favourable pre-conditions for governance, as expressed in the 'good' governance characteristics.

<sup>9</sup> Acronyms: 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.

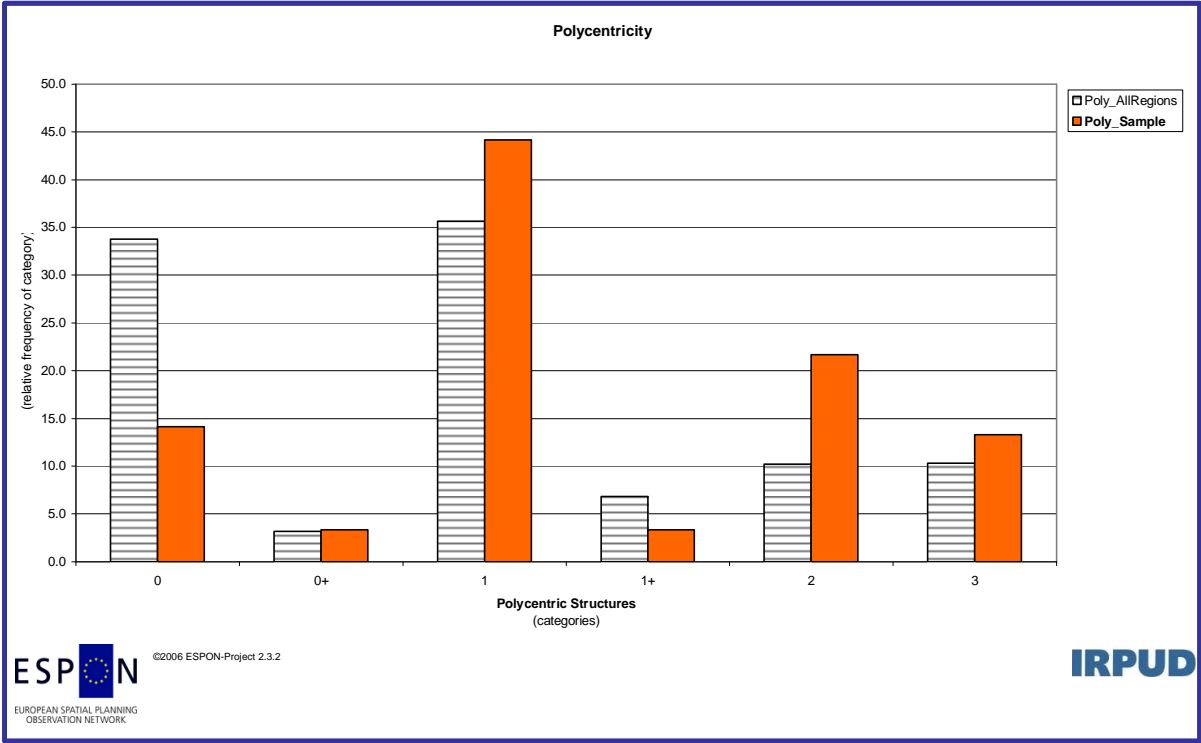
**Figure 5 Priority Emphasis on Governance Objectives (NR)**



**1.2.4 Case Studies – constructing a sample**

The set of case studies seemed in structural terms quite promising, as can be seen from the following figures. Below examples compare some structural features of the case studies with the rest of the regions, e.g. using information on policentricity or FUA.

**Figure 6 Case Studies - Polycentricity**



**Figure 7 Case Studies - FUA**

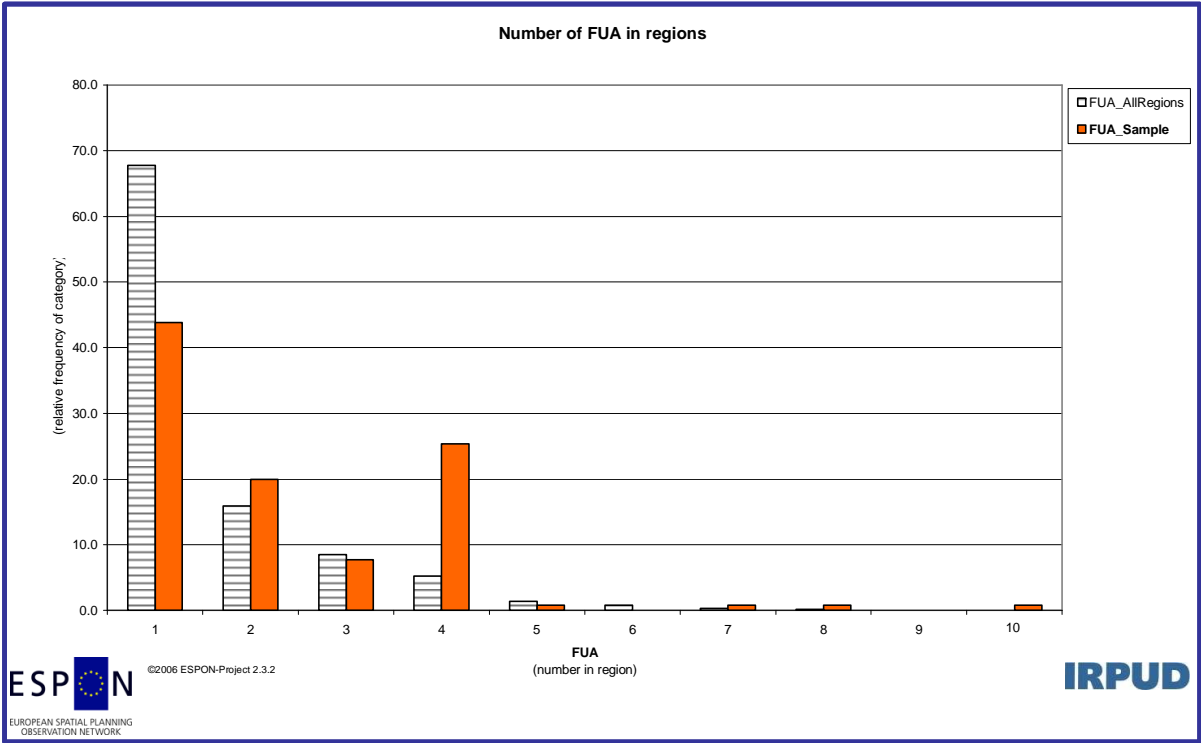


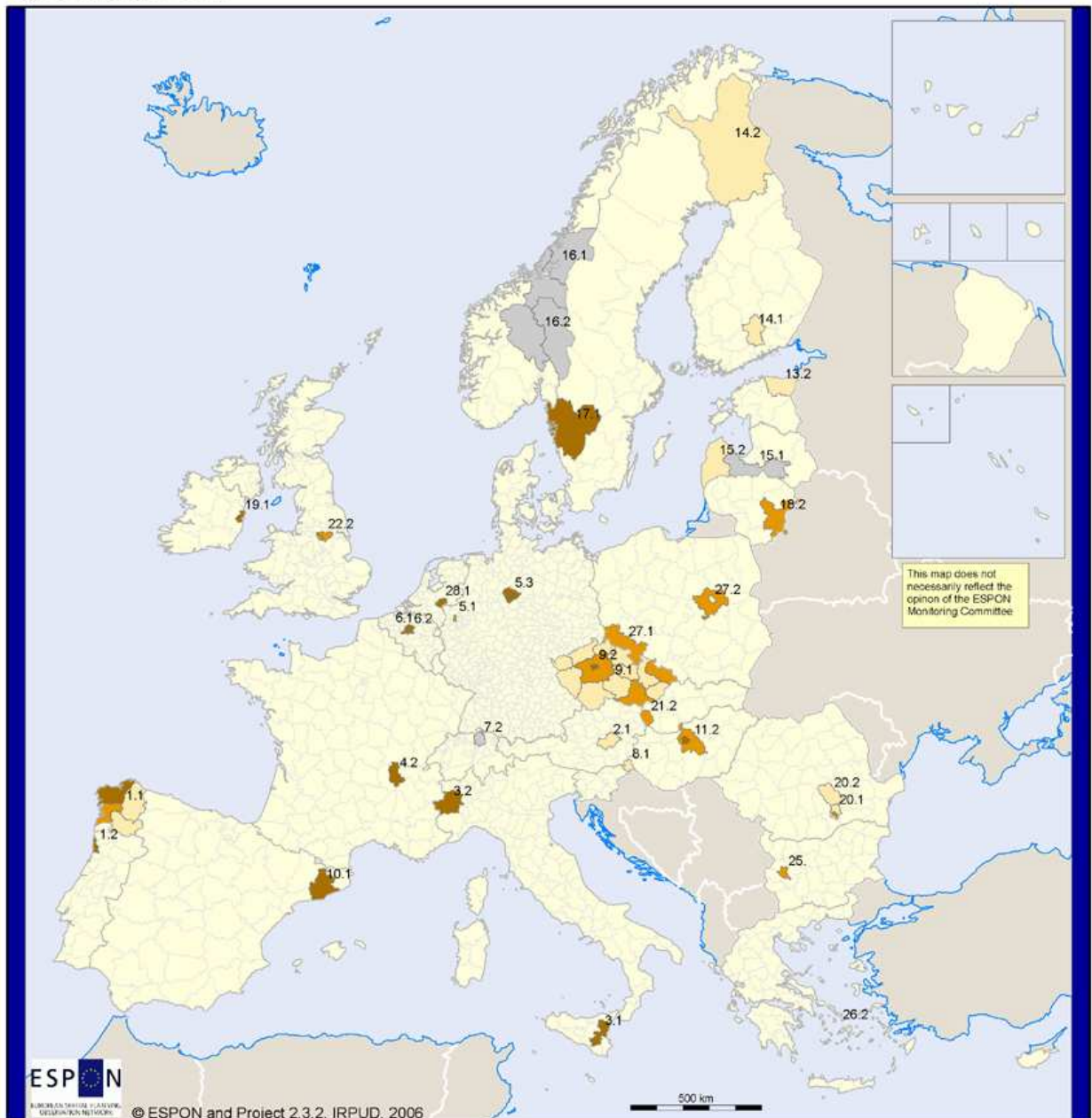
Figure 6 and Figure 7 show, that the selected case studies broadly follow the patterns observable with all other regions. The sample of case studies shows a slightly higher degree of polycentricity. The number of FUA (esp.

4) was more present in the sample. In any case however, the sample matches all other regions quite well.

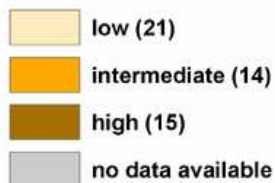
The next step was then to generate data on the dynamic aspects of the case study regions. The maps on the following pages form one starting point (attention – due to uncertainties regarding the precise allocation, the NUTS regions do not always precisely match the case study locations which are presented in the map on case study locations before).

## Map 5 GDP in Case Study Regions

### Case Studies GDP



#### GDP total 2002



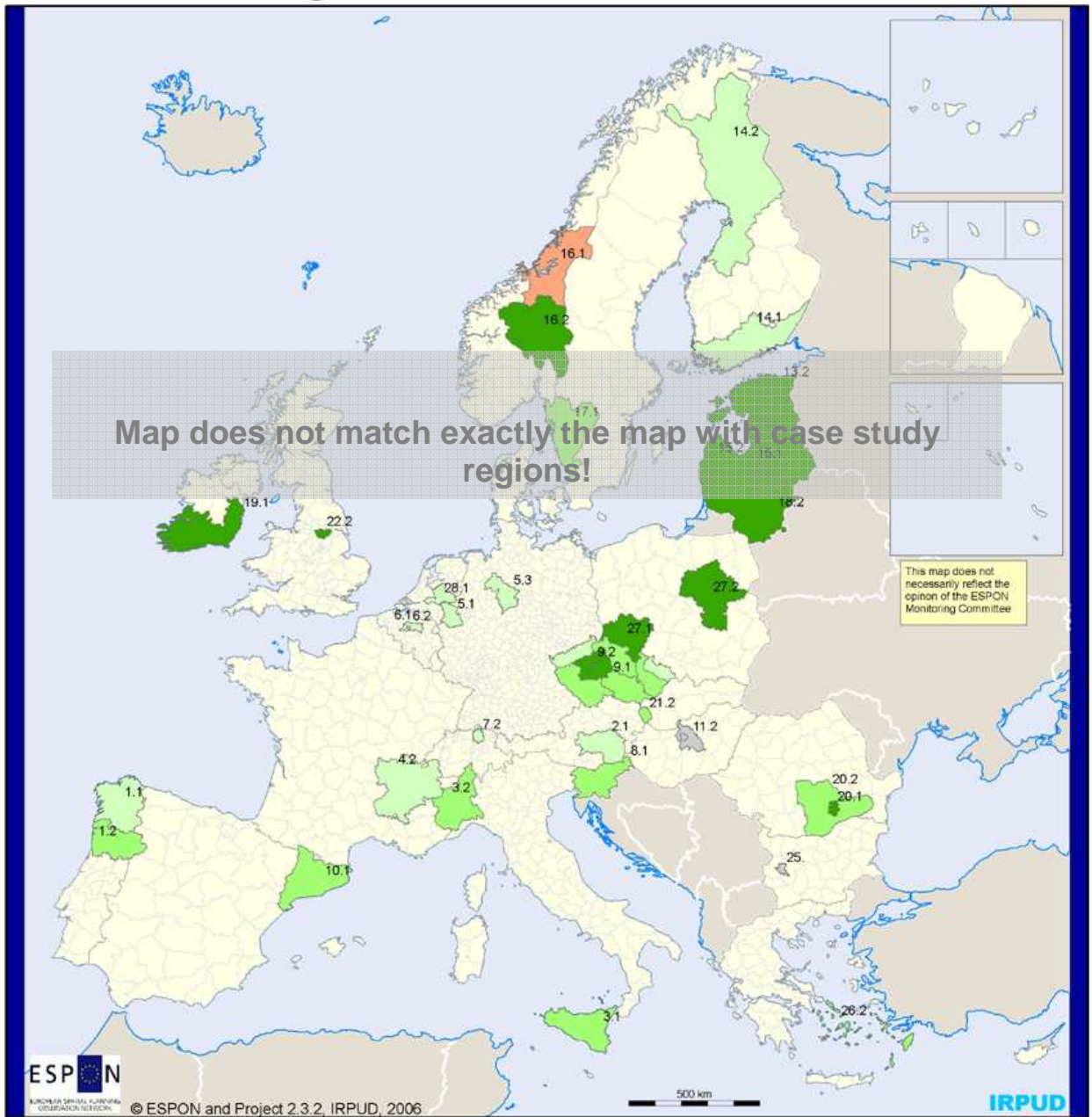
© EuroGeographics Association for administrative boundaries  
Regional Level: NUTS 3

Source: EUROSTAT

The GDP of case study regions (NUTS3) compares to the EU average in the following way (basis is three classes, 0.333 Quantile): 21 case study regions are lower, 14 intermediate, and 15 show a higher GDP.

## Map 6 GDP Development

### Case Studies GDP Change



#### GDP change 1995-2000

- negative (1)
- < 33 % (12)
- < 44 % (13)
- > 44 % (11)
- no data available

© EuroGeographics Association for administrative boundaries  
Regional level: NUTS 2

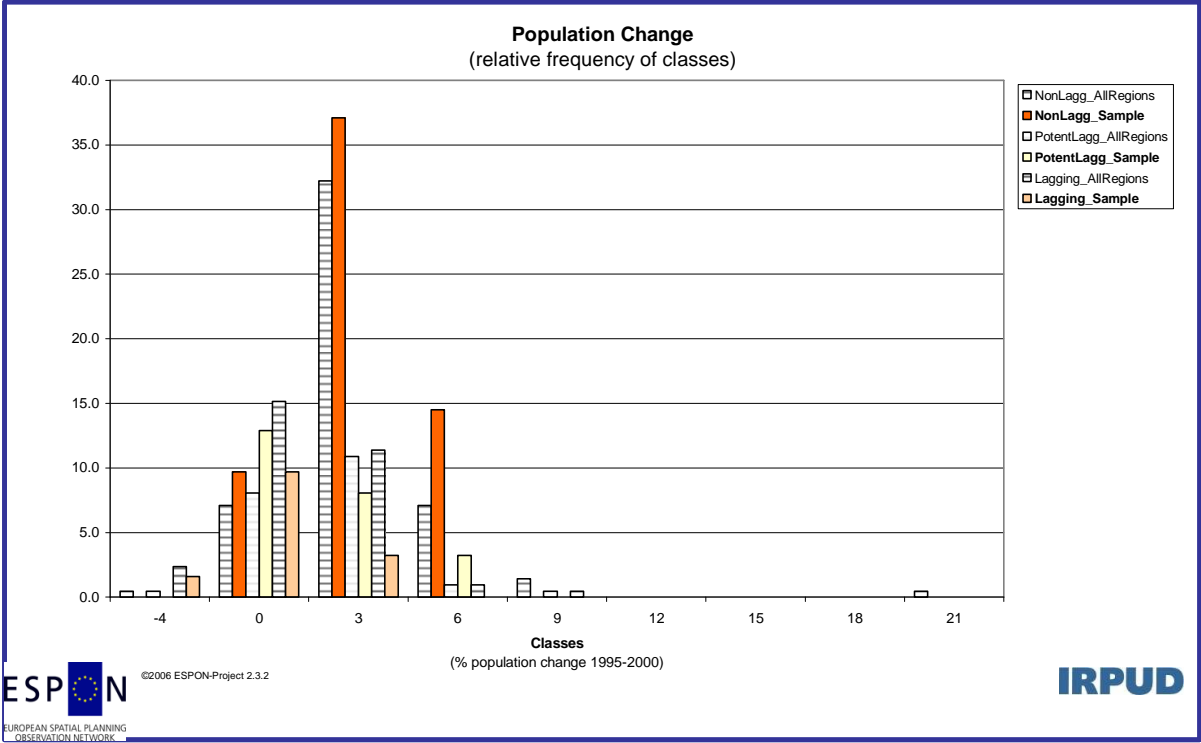
Source: EUROSTAT

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

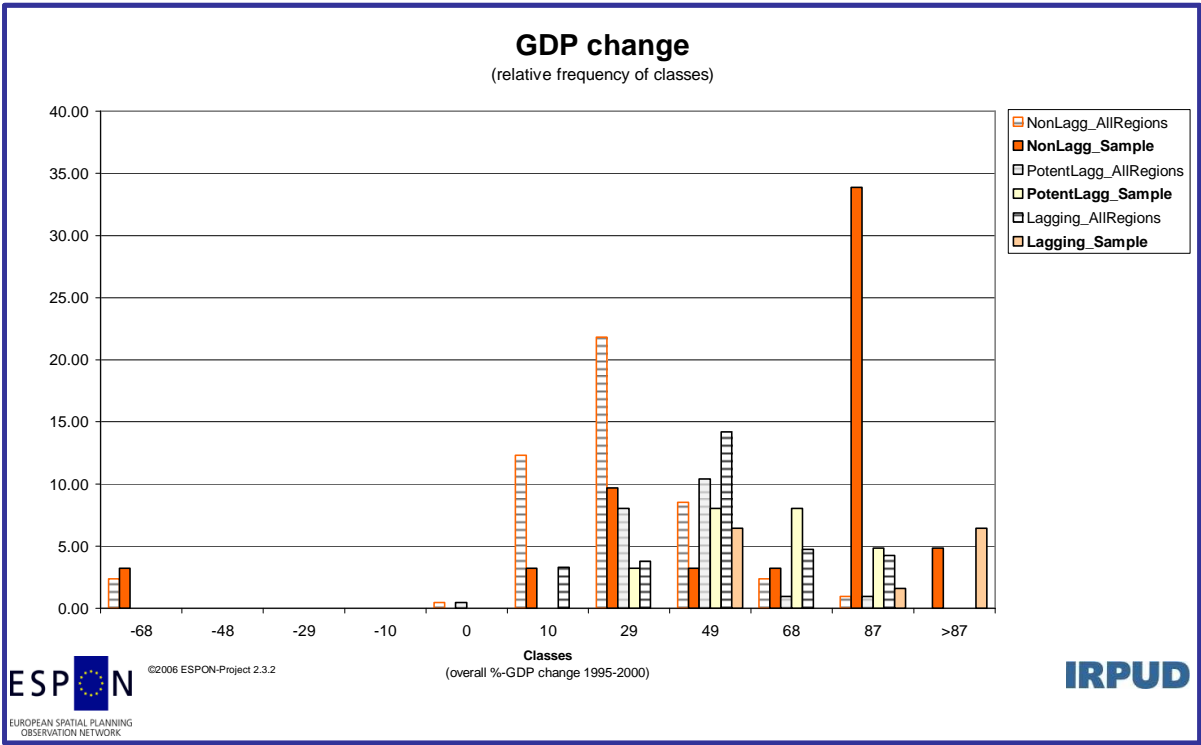
As was said at the outset, the intention of this approach was to use the CS as a sample and to draw conclusions for the wider set of regions in Europe, which fall into the same categories. With the help of statistical test the possible impact of governance was to be addressed.

Below examples compare the case study regions with all other regions from a 'dynamic' perspective (level NUTS2). Indicators used are population change and GDP change. They include a further differentiation following the lagging – potentially – non-lagging categorization of ESPON.

**Figure 8 Case Studies – Population Change**



**Figure 9 Case Studies – GDP Change**



Both figures (Figure 8 and Figure 9) show, that the sample (equals case study regions) is more dynamic: it has higher shares of non-lagging regions which also show a higher dynamic in terms of growth patterns. Population (Figure 8) tends to be in higher growth classes and lesser in lagging categories. Especially the GDP growth (Figure 9) is distributed more towards the upper end of the scale, indicating more dynamic settings.

The next consequent step in this analysis would be to combine these findings with the governance findings of the case studies. This however, proved to be impossible – not that the data for all other structural and dynamic aspects are either not available or full of gaps, but also the systematic definition of governance types in the case studies was not possible to the degree, of being statistically appropriate.



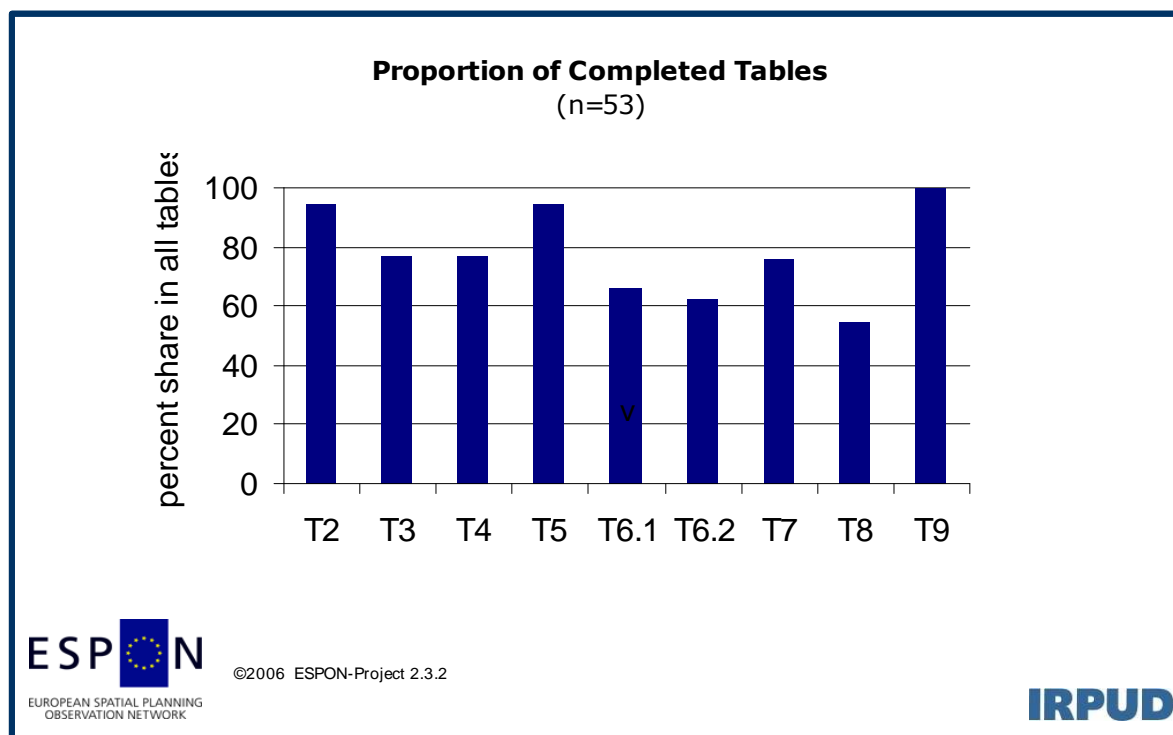
### 1.2.5 Numeric Approach

Before going into interpretation, an appropriate description of the main handicaps of the returned files is needed. Equally important is to address the degree of completion for single tables, which were included for the numeric analysis.

The Numeric Approach included nine different tables. Completion rates vary from 55 % to 100 % (see Figure 10). Furthermore, the completed tables had data gaps, where for example the author pointed out that a specific question was not applicable to the CS or two scores were provided (which had to be handled as an invalid entry if no clarification with the respondent was possible).

As can again be seen from Figure 4, the decision was made to further evaluate tables T2 and T9, because they both had a comparatively high rate of 94 % and 100 % and few internal data gaps (which is the reason, why Table 5 was not chosen).

**Figure 10 Proportion of Completed Tables**



In Table 2 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 questions therefore tried to shed a light on the characteristics of vertical relations existing between different bodies or representatives in the case studies. The answering options scored the general degree of involvement respectively the level of autonomy.

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.

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.

The 53 collected NA listed a total of 158 bodies <sup>10</sup> for the different territorial levels as being involved in the CS. As can be seen from Figure 11 most of the bodies were regional or local<sup>11</sup>. Different 'triangular' relations are obvious in the forthcoming figures related to geographical classes, forming tripartite relations between levels. As was to be expected, those relations unfold especially between local, regional, and national levels.

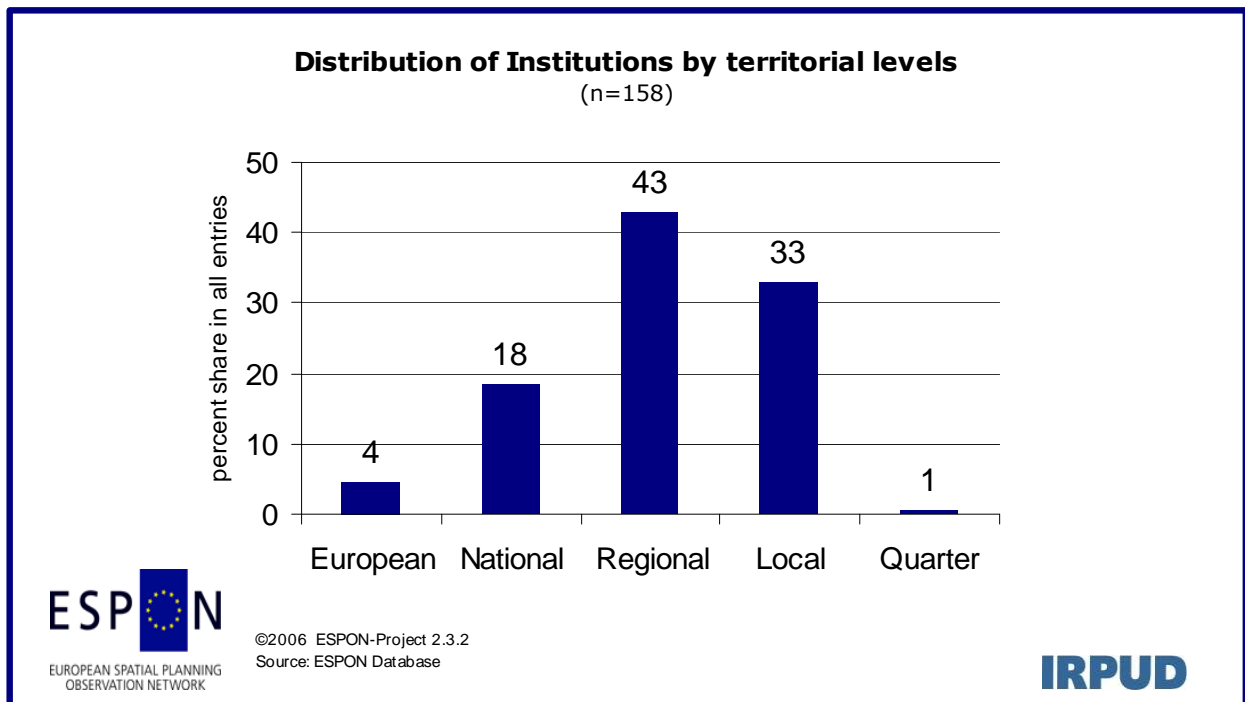
Overall, many actors involved in territorial actions obviously require governance approaches. In terms of levels, they mainly unfold at a regional and sub-regional level.

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<sup>10</sup> The term 'bodies' includes institutions and organisations or initiatives. It does not include persons.

<sup>11</sup> 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.

**Figure 11 NA T2 – Distribution of Institutions by Territorial Levels (in %)**



Additionally Table 9 was analysed assessing 'outcomes' and 'failures and successes' of the CS. Again 53 CS have been analysed regarding the distribution of scores and results.

Regarding interpretation of these categories, the following has to be kept in mind: "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" (TIR, p. 114).

Accordingly the first part of Table 9 examined outcomes that can be understood as *policies, strategies, and aspects of 'integrated policies'*. The second part of Table 9 analysed *failures and successes of the government processes* within the case studies during the decision making and implementation phases. They had to be scored as strong, possible to overcome or no obstacle existing at all.

### **1.2.5.1 Aspects of Governance in Territorial Case Studies**

In the following sections, the scoring 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, which will follow thereafter.

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. I.e. a straight forward interpretation e.g. on impacts of the governance in regions is not possible, yet.

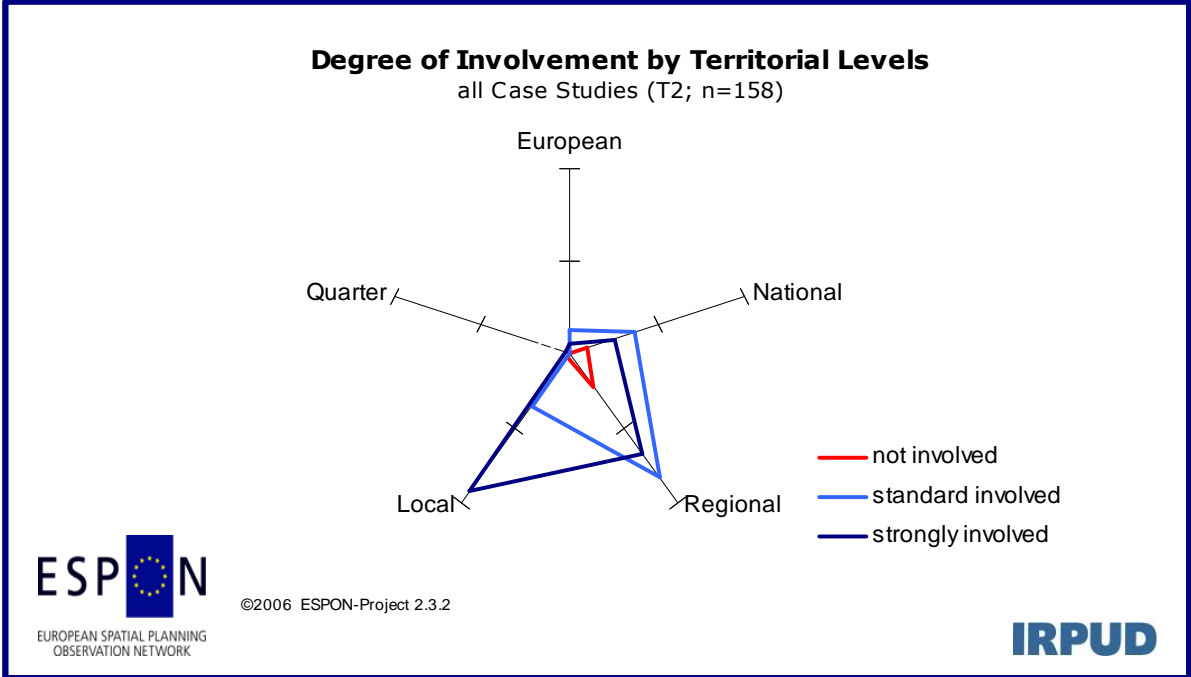
This is particularly important for the reading of the spider diagrams. The main axes of these diagrams stand either for the different territorial levels involved in case studies and establishing the vertical relations (cf. Figure 12) or for main characteristics of existing relations (cf. Figure 16). 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 answers (Figure 11) between regional, local and national levels has an impact on all following diagrams – the regional dimension is over represented.

The interpretation of the findings presented in the following sections deliberately keeps rather short. The results can help identify tendencies or characteristics of regional situation. The results do however not provide any cause&effect-chains on the 'impact' of governance.

#### **1.2.5.2 Vertical relations**

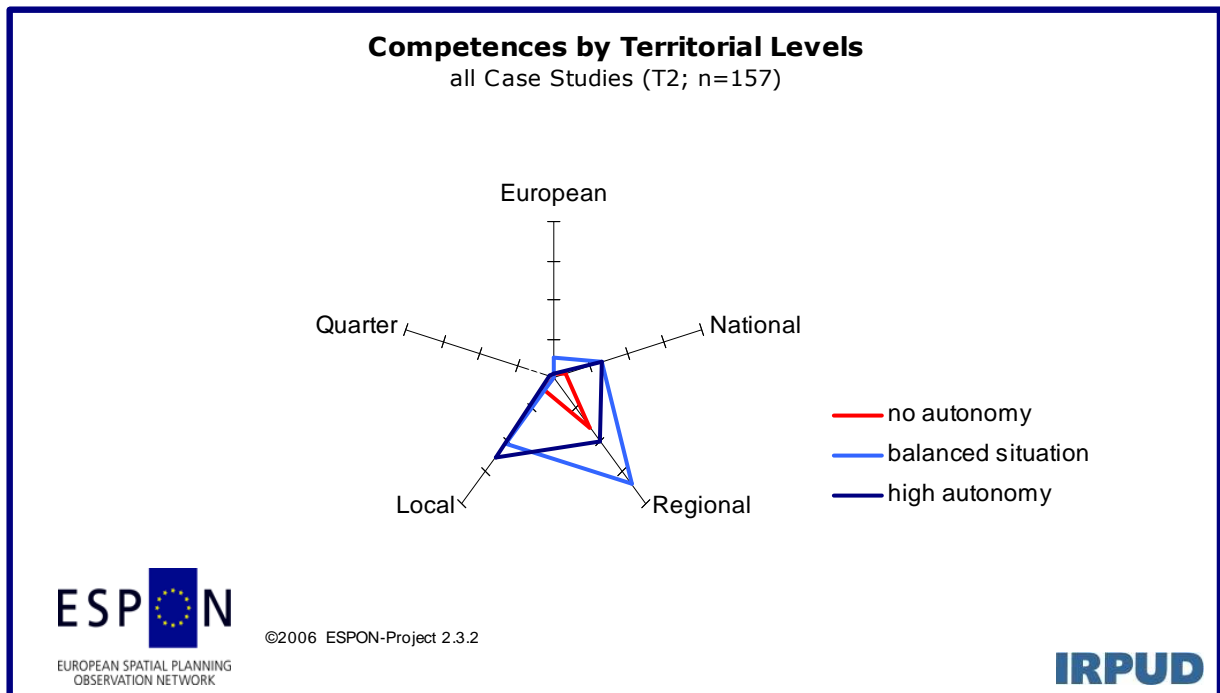
This chapter brings together an overview of answers related to Table T2 for all 53 case studies. As T2 allowed multiple answers, the 53 case studies led to 158 answers. In some cases not all entries were scored for all types of vertical relations so that the total number may vary slightly from figure to figure.

**Figure 12 Degree of Involvement by Territorial Levels, all Case Studies**



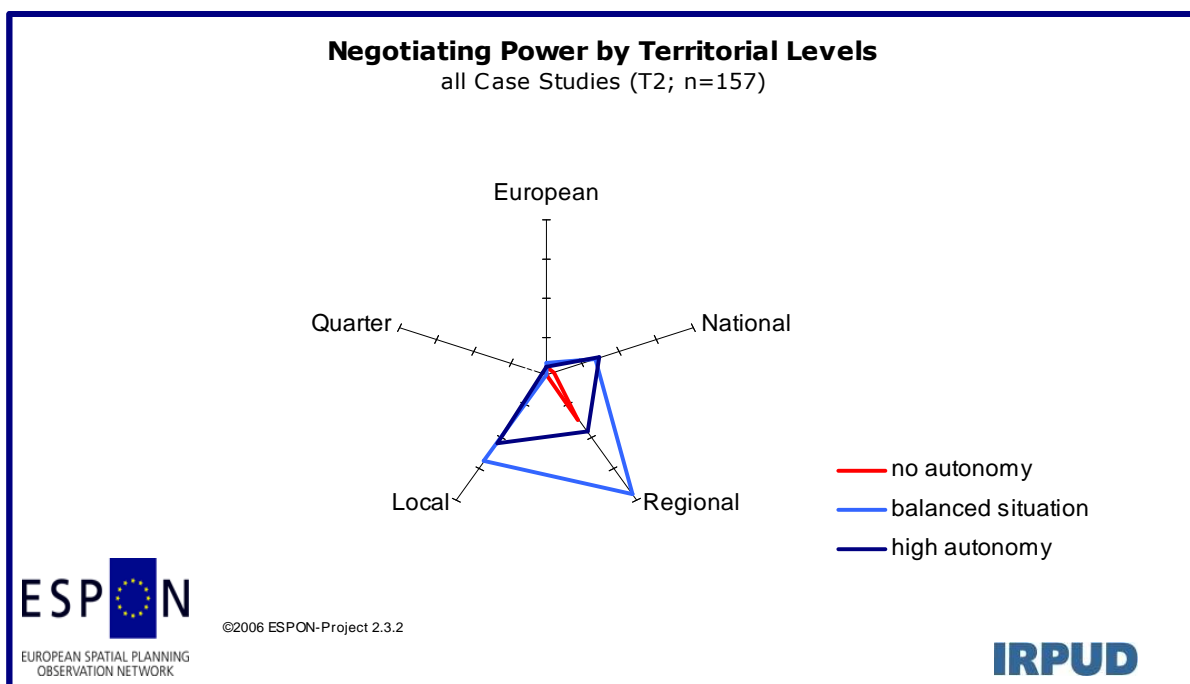
(Figure 12) The degree of involvement in all case studies shows that vertical relations are mainly characterised by local and regional actors. This is of course due to the fact that most of the case studies clearly had a regional context. But as can be seen later on this is not an exhaustive reason as for example even the trans-national case studies particularly show a high involvement of these territorial levels. In any case, 'strong' involvement is a question of local and regional actors.

**Figure 13 Competences by Territorial Levels, all Case Studies**



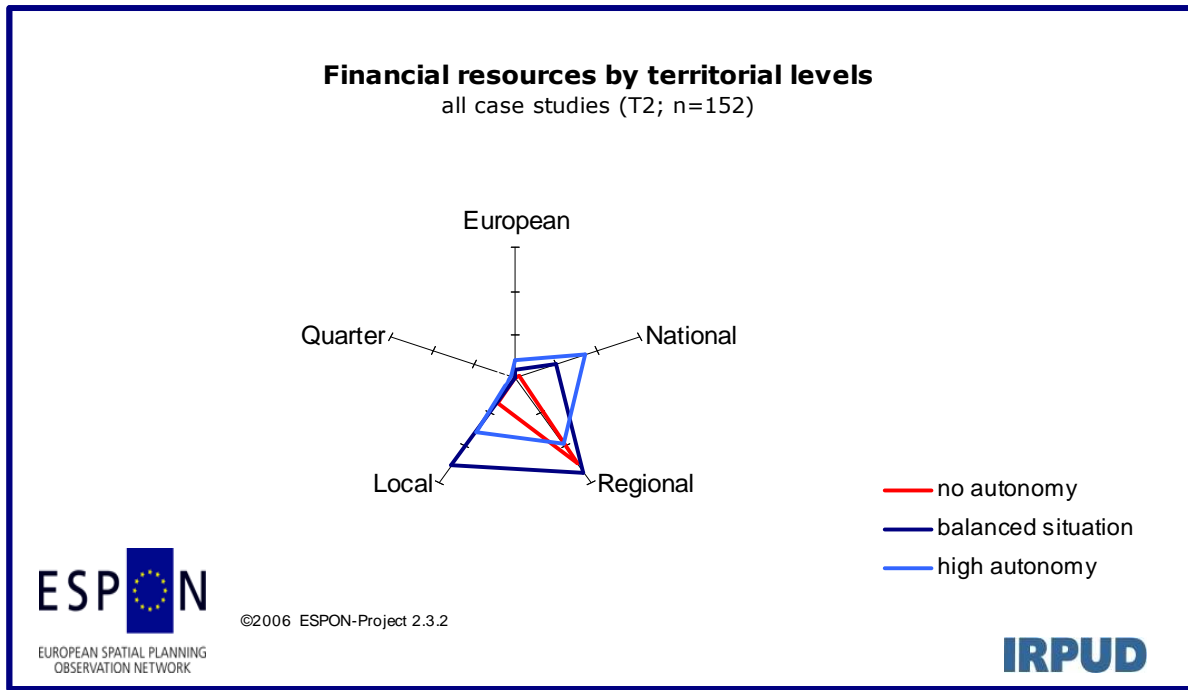
(Figure 13) When looking at competencies, the strongest relation exists between regional, local and national levels – and is characterized as ‘balanced’. The area reduces immediately, where ‘high autonomy’ is in focus, pointing towards its overall lesser importance. Both overlap considerably between local, regional and national level.

**Figure 14 Negotiating Power by Territorial Levels, all Case Studies**



(Figure 14) Concerning the negotiating power again the triangular figure becomes obvious, in the overall assessment describing a rather balanced relation of powers, mainly between regional, local and national actors.

**Figure 15 Financial Resources by Territorial Levels, all Case Studies**

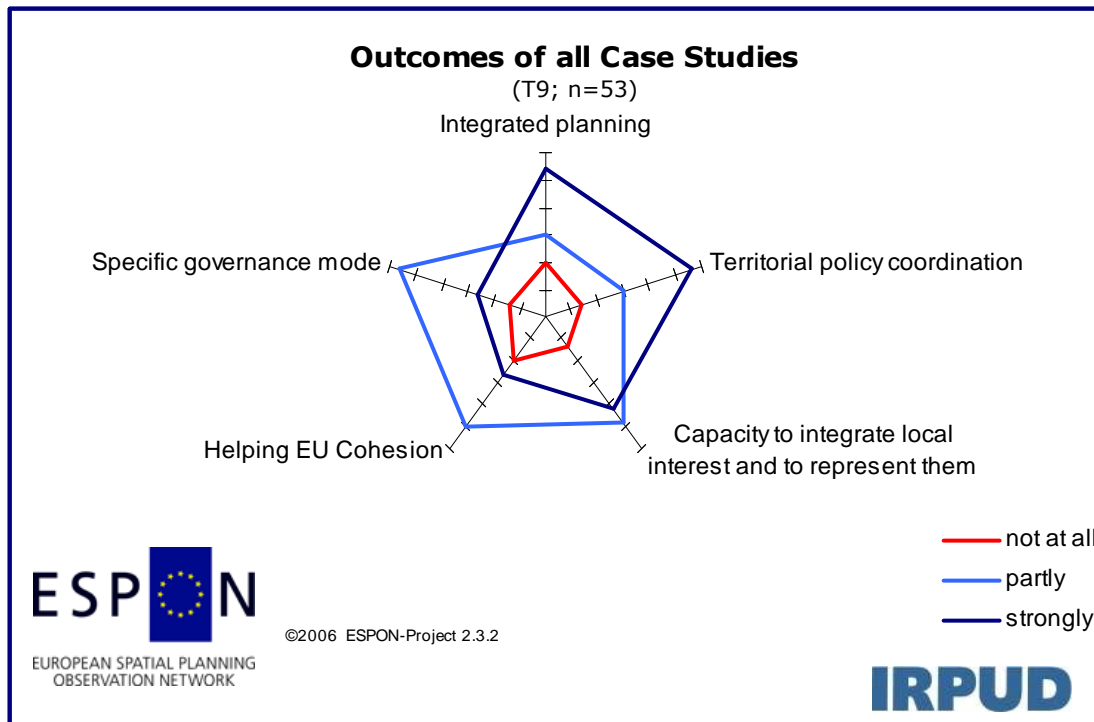


(Figure 15) In terms of financial resources, what can be largely observed is again a balanced situation between the different levels. What is also obvious is the slightly more complicated picture (see Figure 21), when the EU comes into the equation, which is particularly the case for all trans-national, cross-border, or in the urban-rural case studies.

Looking at the collection of all four subcategories of vertical relations the overall pattern looks very similar. Overall, experts consider the situation as 'balanced' especially between local, regional, and national levels. In all cases, the regional level stands out. The crucial aspect of 'financial resources' reveals an interesting picture in the sense that 'no autonomy' but also 'balanced' relations peak at the regional level – representing the different situations of regions in Europe. In high autonomy relations it is however the national (state) level, that dominates.

### 1.2.5.3 Outcomes, Failures and Successes

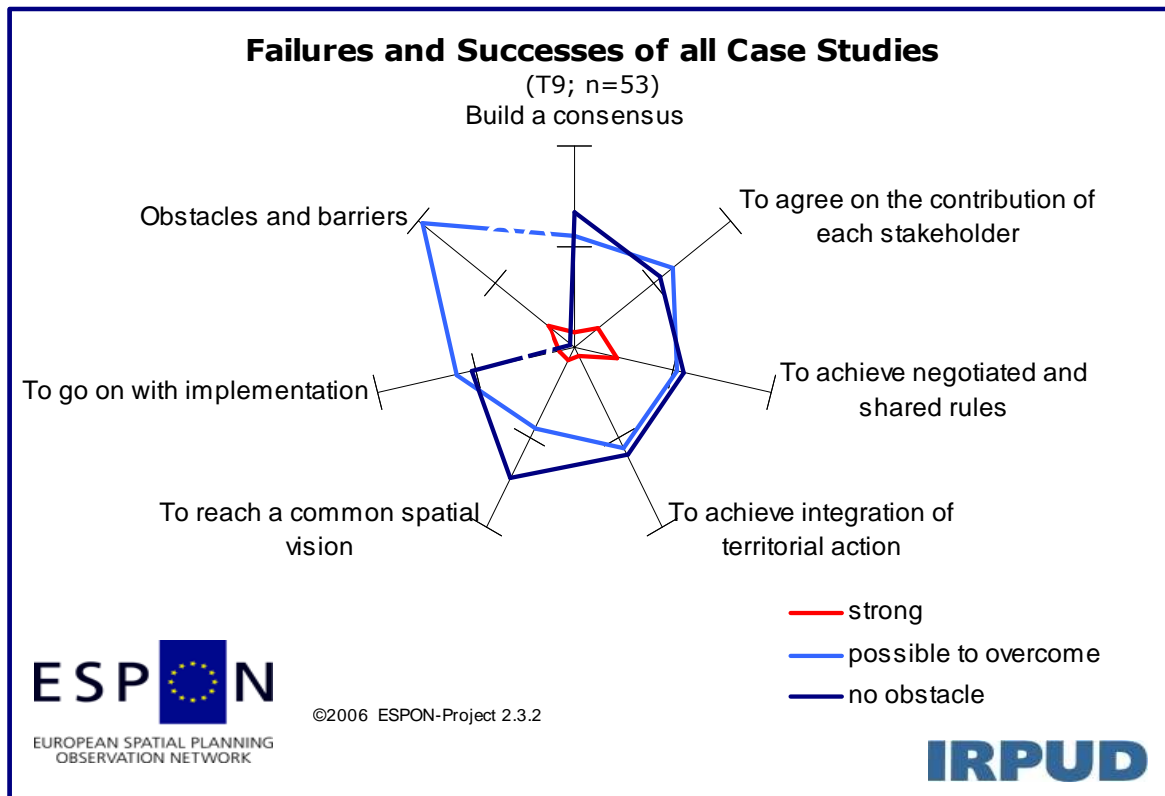
Figure 16 Outcomes of all Case Studies



The above Figure 16 demonstrates that outcomes of all case studies seem to be suspended between the two categories 'strong' and partial. The aspects 'integrated planning' and 'territorial policy coordination' achieved the higher counts under the strong category, implying that in these fields good results were achieved. All other aspects rather seem to fall into 'partial' outcomes, with the interesting peak in the category of 'specific governance mode' but also regarding 'helping EU cohesion'.



**Figure 17 Failures and Successes of all Case Studies**



(Figure 17) In terms of failures and successes in the majority of 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.

Favourable pre-conditions for governance actions according to these findings are strong and competent local and regional actors, which also command a matching set of resources. Territorial governance actions seem in particular to achieve positive outcomes when looking at integration of planning, coordination of territorial policies, and integrating diverse interests.

#### 1.2.5.4 Types of Territories and Governance aspects

The above given results have been further differentiated, using the different types of case studies as a filter. This approach followed the observations from national overviews. The grouping of actors, tools and mechanisms of government uses the geographical scale (or dimension) of the case studies – as was already envisaged in the tender:

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

The CSs were grouped to classes as shown in Table 1 Geographical Classification of Case Studies.

**Table 1 Geographical Classification of Case Studies**

| Geographical dimension                      | CS included in NA  |
|---|--|
| Trans-national/cross-border                 | 1.1; 8.1; 12.2; 13.1; 14.2; 17.2; 23.2; 27.1; 28.2                     |
| National                                    | 2.2; 4.1; 9.1; 11.1, 15.2; 18.1; 21.1; 26.1                            |
| 'Regional' polycentric urban network        | 3.1; 10.1; 12.1; 15.1; 16.1; 16.2; 17.1; 19.2; 22.1; 22.2; 28.1        |
| Functional urban areas/metropolitan regions | 1.2; 4.2; 6.1; 7.1; 7.2; 9.2; 10.3; 11.2; 14.1; 19.1; 24.1; 25.1; 27.2 |
| Urban-rural                                 | 2.1; 3.2; 5.3; 10.2; 20.1; 26.2; 29.2                                  |
| Intra-city                                  | 5.1; 6.2; 18.2; 21.2; 29.1   |

As can be seen from the following spider diagrams, the interpretation of the results is very difficult.

**With decreasing number of items per aspect (which means valid answers per table and aspect), the spider diagrams increasingly attain the quality of 'mental maps', which have been applied by experts when deciding about the scores.**

To avoid an over-interpretation for the overall project, the decision has been made to provide the results of the territorially further differentiated analysis in the annex of this sub-section.

Some of the potentially interesting interpretations are as follows:

- "Local Interests are the main focus of the case studies in general, though it is worth pointing out that also traditional governmental/inter-governmental concerns are of relevance." This statement of the Case Studies Synthesis on vertical relations in trans-national and cross-border cases (see p. 31) are underlined by the finding of the numeric approach.
- (Figure 18) For the trans-national and cross-border cases an interesting observation is the secondary inclusion of the European level when strong involvement is concerned. On the National and European levels a standard involvement is predominant. Main interactions seem to be directly between localities, regions, and the EU, following EU intentions of direct action.
- (Figure 19) The cross border cases can obviously be characterised as 'balanced' competence systems between all relevant actors at regional, national, local and European level.
- (Figure 22, Figure 23) An overly interpretation of the outcomes and failures would be misleading, as the total number of responses was N=9. However, these few cases emphasise that in a trans-national setting the aspect of helping EU cohesion (as strong outcome) and establishing specific governance modes (as partial outcome). Being an indication here only, the findings of the Case Studies Synthesis (see p. 40) repeat the message: "The development has improved the access to infrastructure and knowledge and contributed to more polycentric spatial development." The nine respondents were equally positive considering failures and successes, pointing out in general the category 'possible to overcome'.
- (Figure 24 and Figure 25) On vertical relations in all cases at national levels, the results of the following figures show the importance of regional actors in vertical relations for national CSs. Accordingly the Case Studies Synthesis pointed out that most "often the implementing bodies of the state policy or plan are found at regional level" (see p. 46). But in contrast to the Case Studies Synthesis the role of the national level was scored lower in the NA. Surprisingly when it came to vertical relations only few CSs mentioned the national level as being involved at all. But considering financial resources again the national level gains importance.
- (Figure 28, Figure 29) Compared to the national overviews there seem to be less strong outcomes in the national CSs. Whereas "Integrated planning" and "Territorial policy coordination" were mostly assessed as strong outcomes for the national CSs the majority scored them as "partly". This points into the same direction

as the findings of the Case Studies Synthesis say that “Only two of the national cases were clearly identified as successful, and one was considered as partial success” (see p. 52).

- (Figure 30, Figure 31) The regional polycentric networks, FUA and metropolitan regions, reveal a setting, in which a cooperation between local and regional actors is very vital. The main outcome of territorial governance actions seem to be interpretation and coordination of planning and policies, as one might expect.
- (Figure 46, Figure 47) In urban-rural case studies an interesting characteristic is the strong impact regarding the integration of territorial actions, the continuation of implementation, and the shaping of a common vision.
- (Figure 48, Figure 49) Intra-city cases are in that respect interesting, that the EU as an actor merely features - the perceived importance is low (despite the likely financial importance?).

## **Annex**

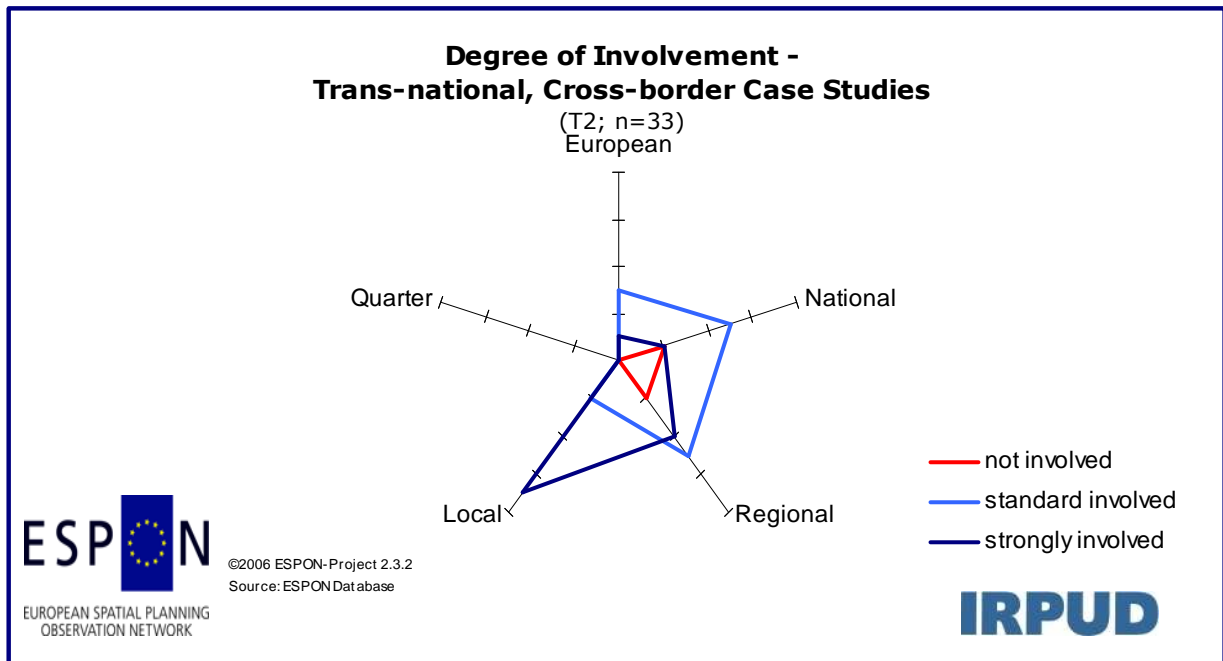
### **1.2.5.4.1 Trans-national and Cross-border Regions**

### **1.2.5.4.2 Vertical relations**

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.

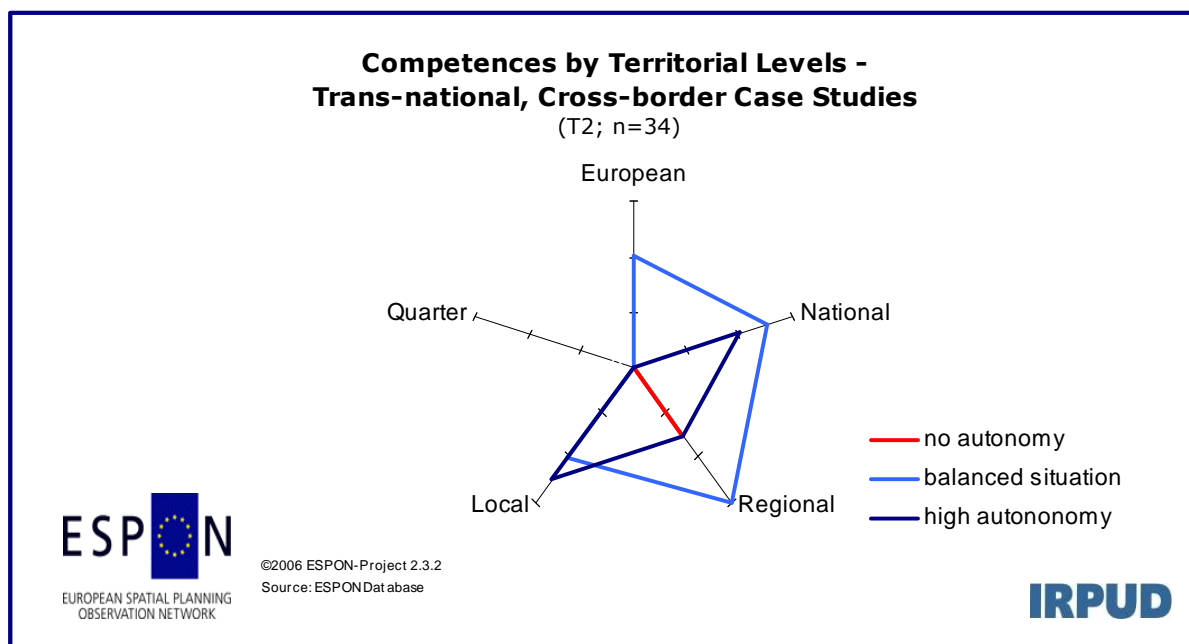
“Local Interests are the main focus of the case studies in general, though it is worth pointing out that also traditional governmental/inter-governmental concerns are of relevance.” This statement of the Case Studies Synthesis on vertical relations in trans-national and cross-border cases (see p. 31) are underlined by the findings of the NA.

**Figure 18 Degree of Involvement - Trans-national, Cross-border Case Studies**



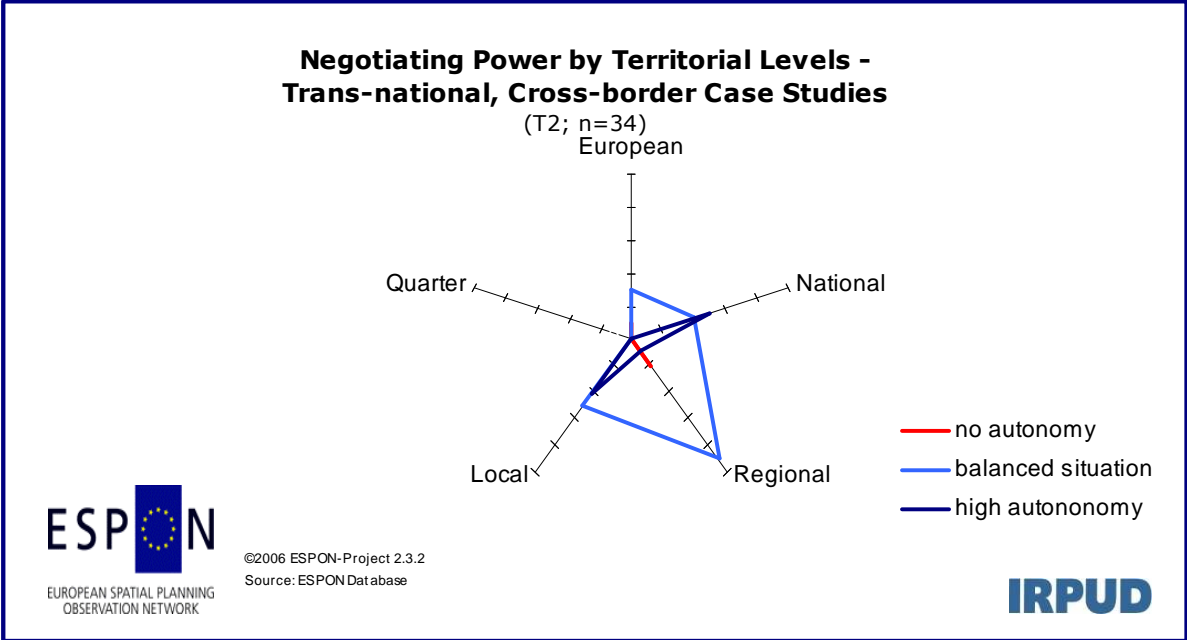
(Figure 18) For the trans-national and cross-border cases an interesting observation is the secondary inclusion of the European level when strong involvement is concerned. On the National and European levels a standard involvement is predominant. Main interactions seem to be directly between localities, regions, and the EU, following EU intentions of direct action.

**Figure 19 Competences by Territorial Levels - Trans-national, Cross-border Case Studies**



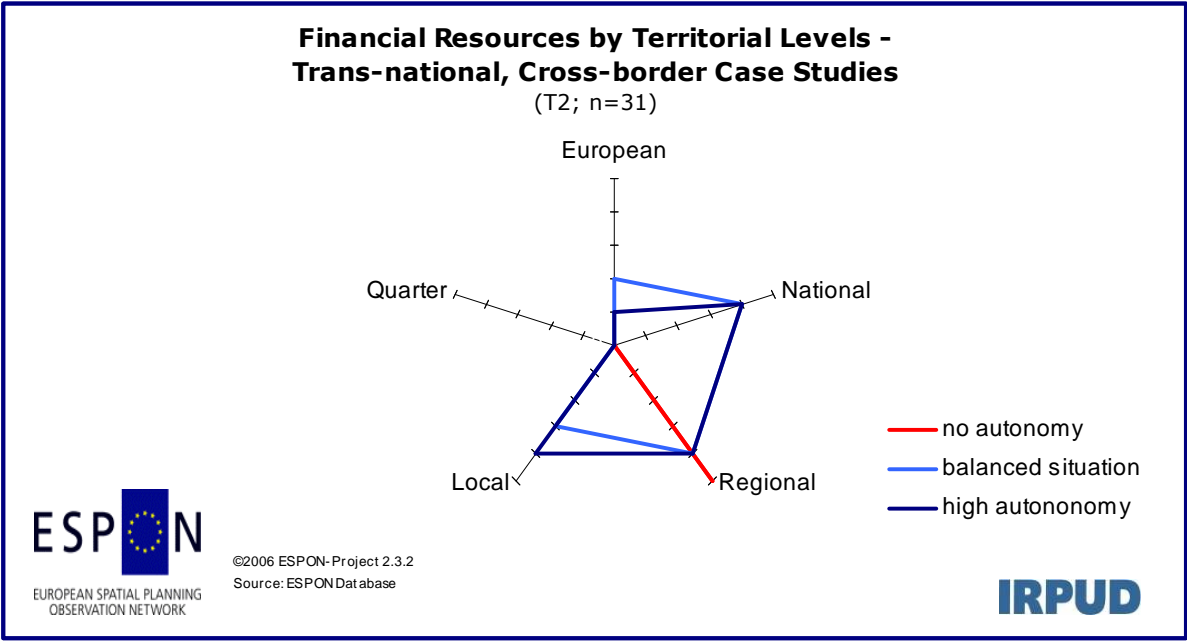
(Figure 19) The cross border cases can obviously be characterised as 'balanced' competence systems between all relevant actors at regional, national, local and European level.

**Figure 20 Negotiating Power by Territorial Levels - Trans-national, Cross-border Case Studies**



(Figure 20) Again a rather balanced situation can be seen from above figure.

**Figure 21 Financial Resources by Territorial Levels - Trans-national, Cross-border Case Studies**



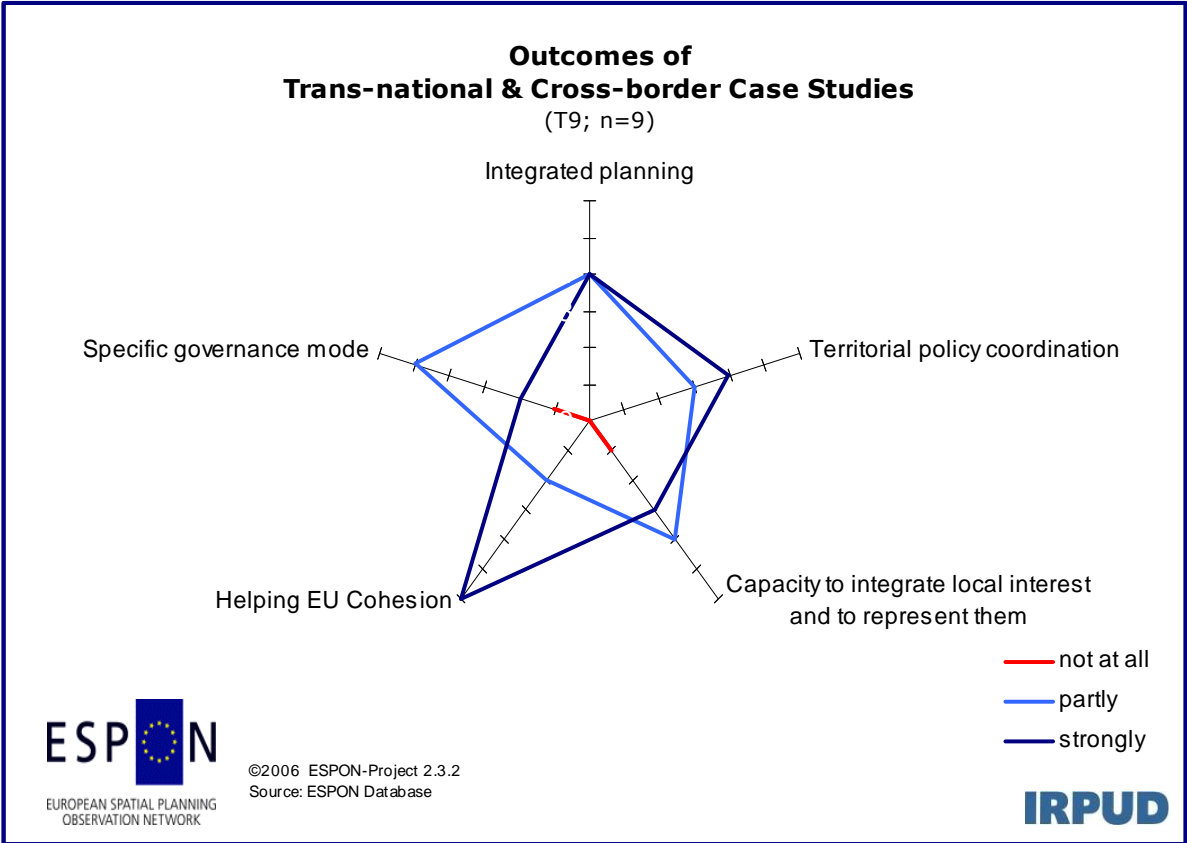
(Figure 21) In above figure the 'no autonomy' marker clearly stands out.

No autonomy was seen to be a problem only at the regional level and only in few replies.

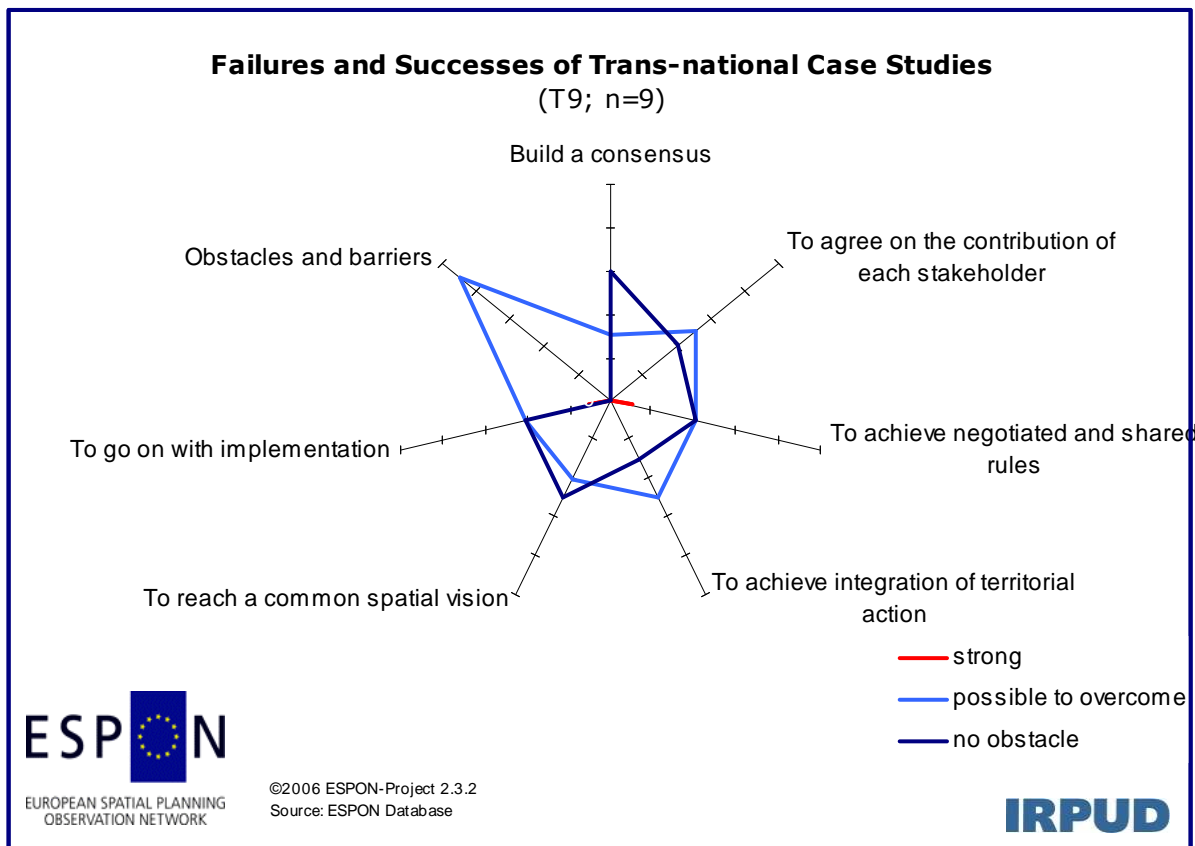
Summarising the trans-national and cross-border CSs it can be said that main interactions take place in the triangle between local, regional and national actors – plus the EU.

**1.2.5.4.3 Outcomes, Failures and Successes**

**Figure 22 Outcomes of Trans-national and Cross-border Case Studies**



**Figure 23 Failures and Successes of Trans-national Case Studies**



(Figure 22, Figure 23) An overly interpretation of above two figures would be misleading, as the total number of responses is N=9. However, these few cases emphasise the aspect of helping EU cohesion (as strong outcome) and establishing specific governance modes (as partial outcome). Being an indication here only, the findings of the Case Studies Synthesis (see p. 40) repeat the message: “The development has improved the access to infrastructure and knowledge and contributed to more polycentric spatial development.” The nine respondents were equally positive considering failures and successes, pointing out in general the category ‘possible to overcome’.

#### 1.2.5.4.4 National Case Studies

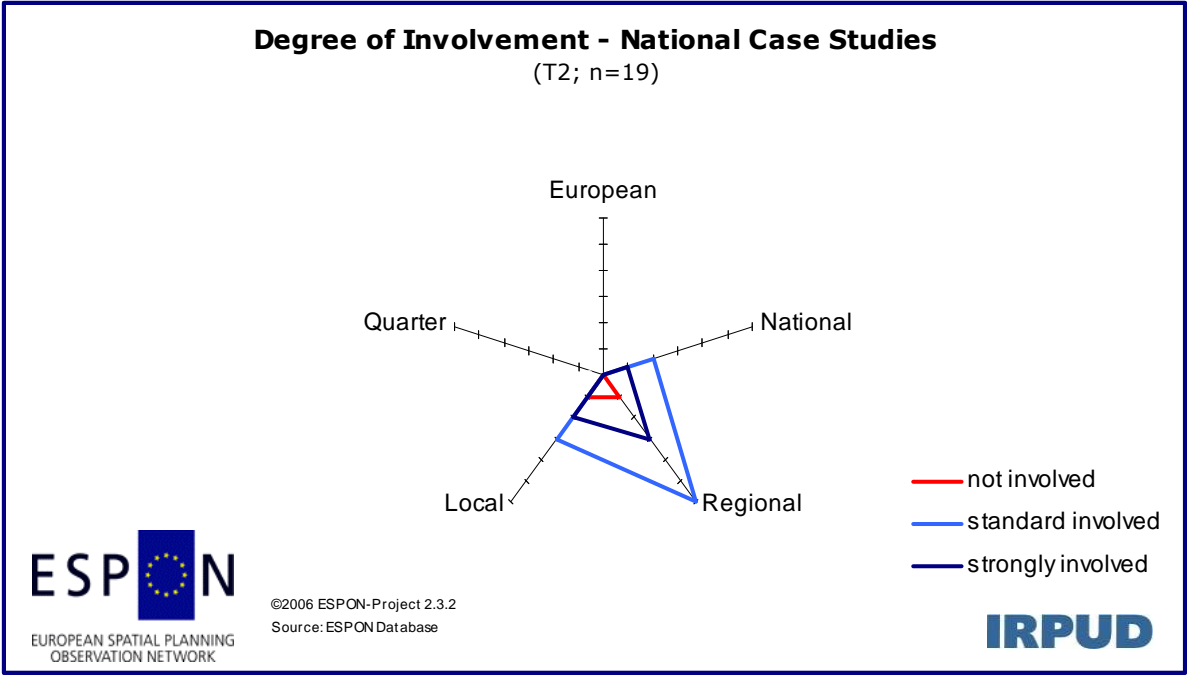
#### 1.2.5.4.5 Vertical relations

An overly interpretation of Figure 24 and Figure 25 would be misleading, as the total number of responses is N=18/19. However, the results of the following figures show the importance of regional actors in vertical relations for national CSs. Accordingly the Case Studies Synthesis pointed out that most “often the implementing bodies of the state policy or plan are found at regional level” (see p. 46). But in contrast to the Case

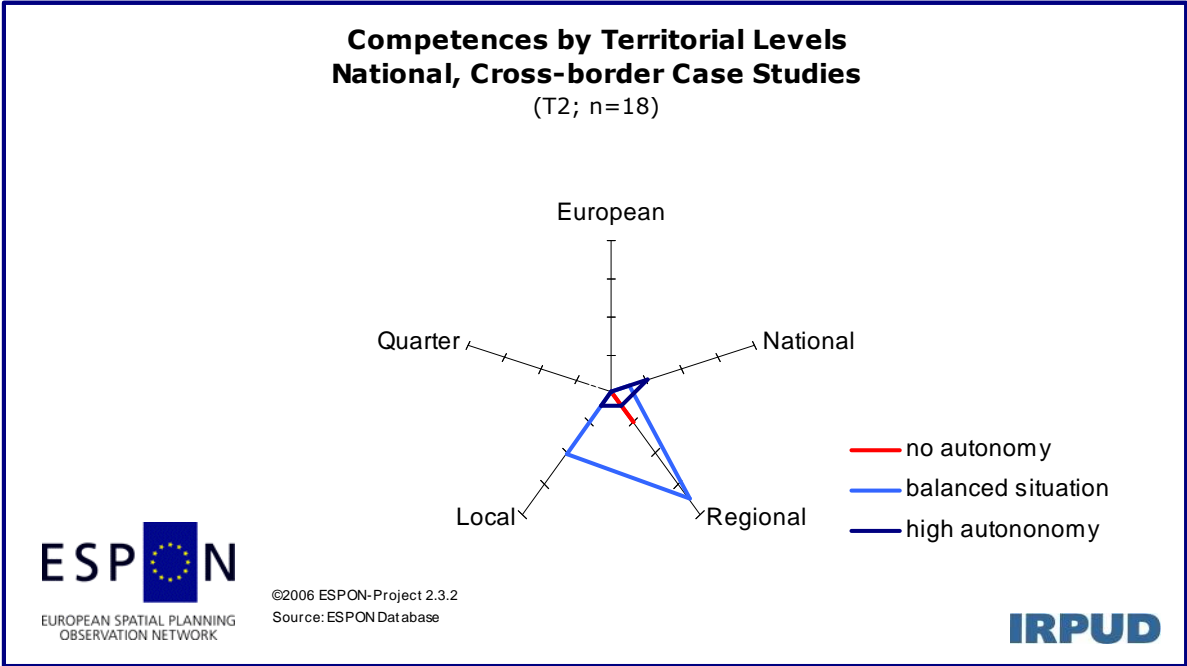


Studies Synthesis the role of the national level was scored lower in the NA. Surprisingly when it came to vertical relations only few CSs mentioned the national level as being involved at all. But considering financial resources again the national level gains importance.

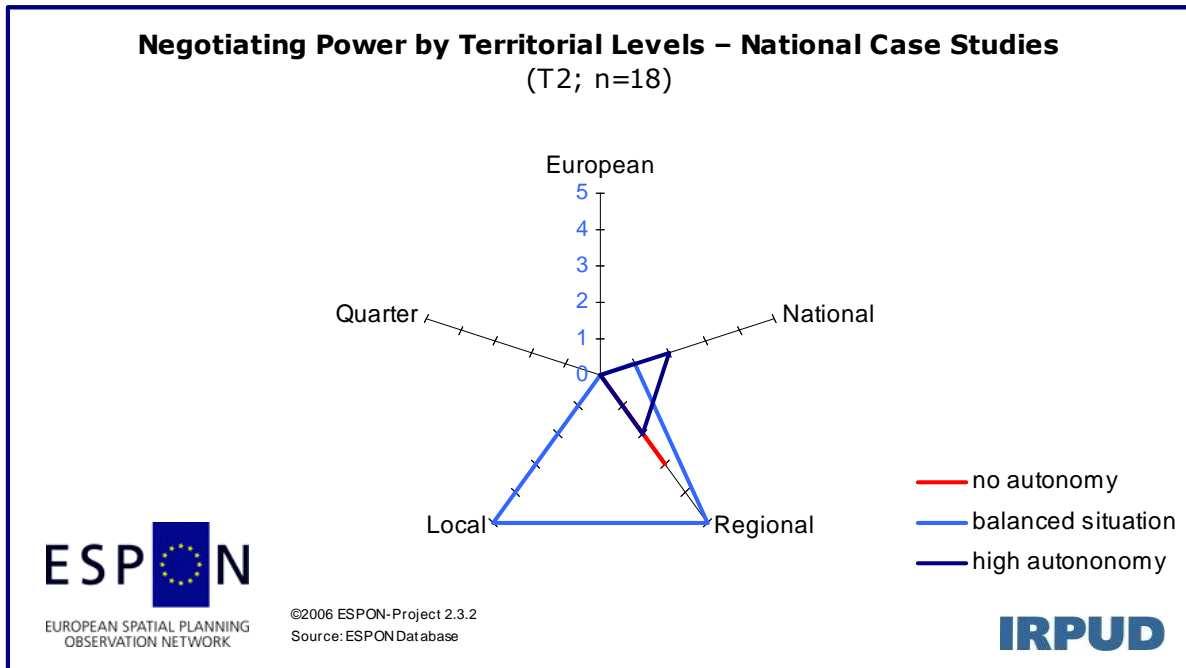
**Figure 24 Degree of Involvement - National Case Studies**



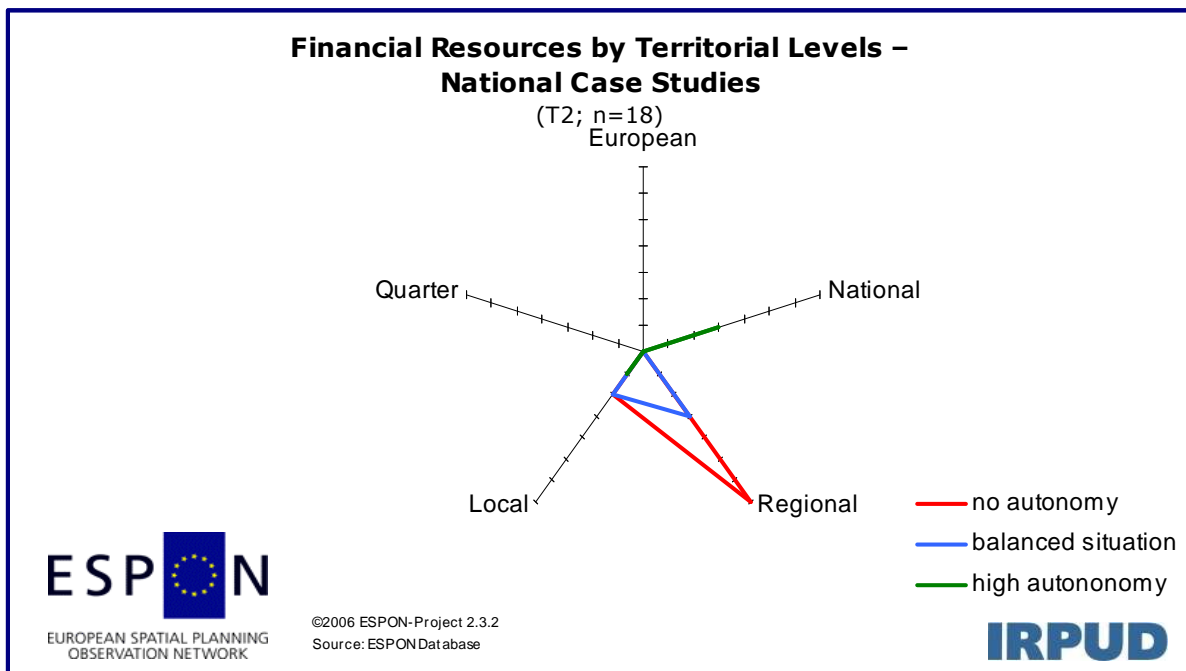
**Figure 25 Competences by Territorial Levels – National Case Studies**



**Figure 26 Negotiating Power by Territorial Levels – National Case Studies**

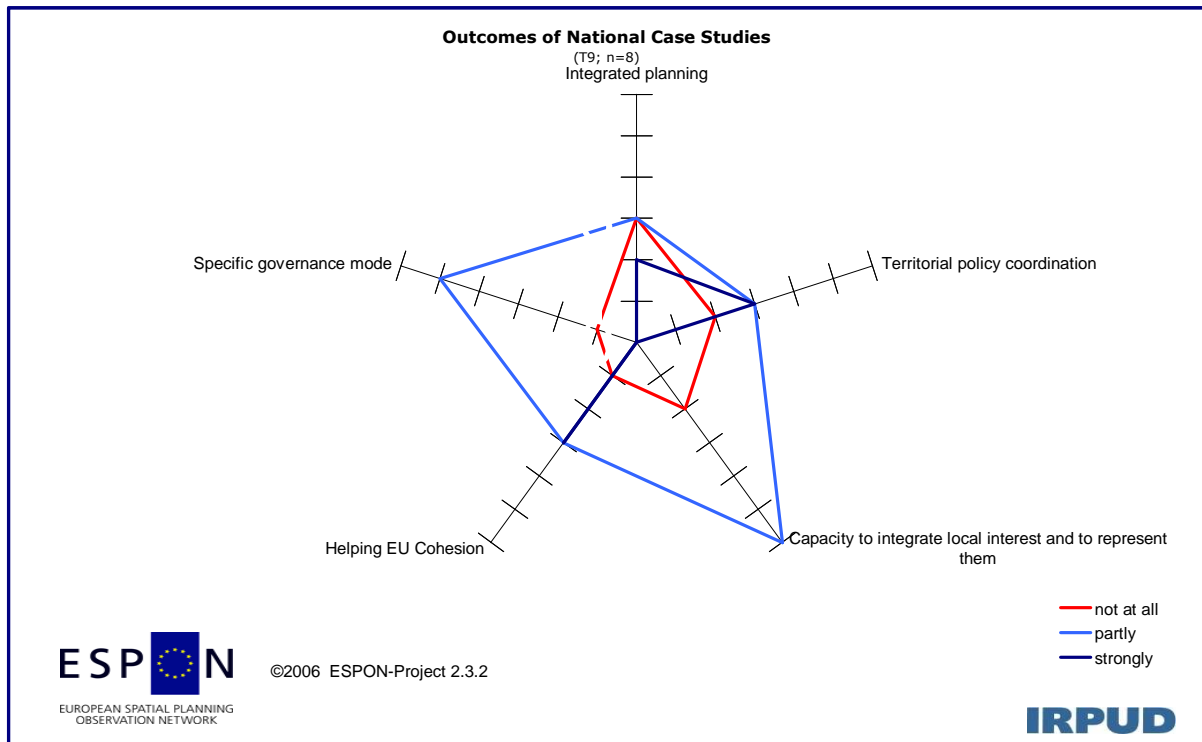


**Figure 27 Financial Resources by Territorial Levels – National Case Studies**

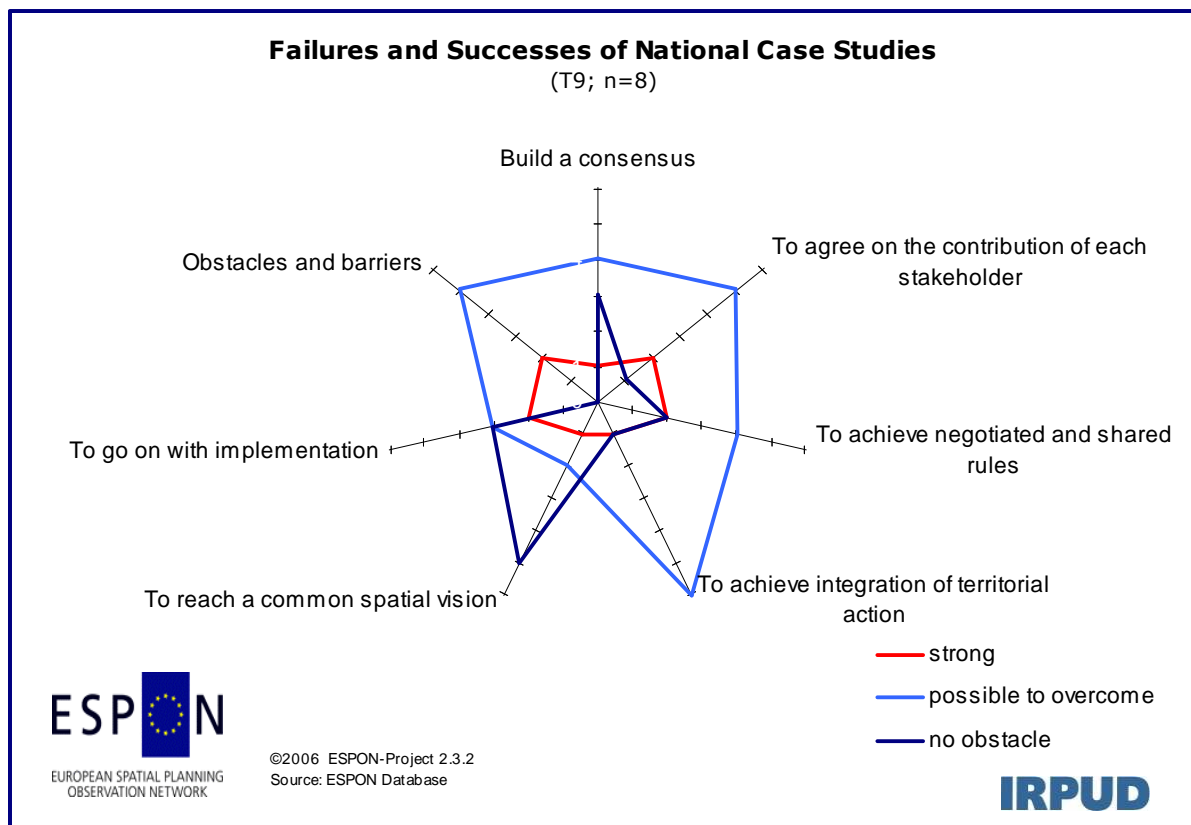


### 1.2.5.4.6 Outcomes, Failures and Successes

**Figure 28 Outcomes of National Case Studies**



**Figure 29 Failures and Successes of National Case Studies**



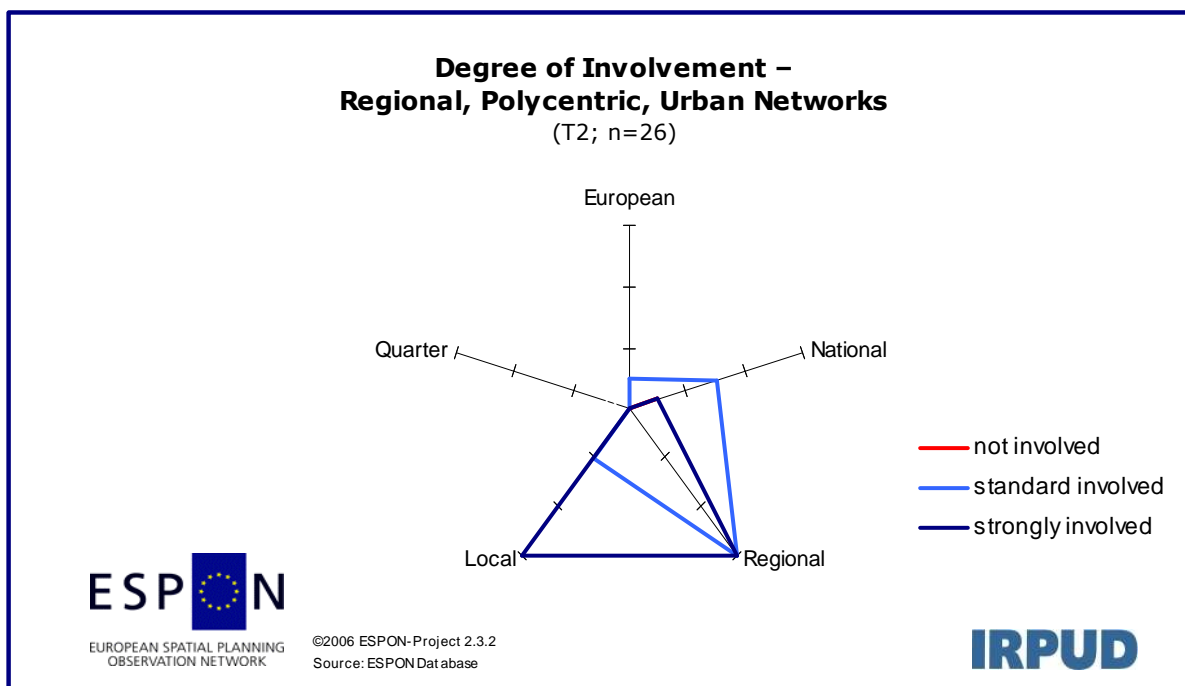
(Figure 28, Figure 29) Compared to the CS overview there seem to be less strong outcomes in the national CSs. Whereas “Integrated planning” and “Territorial policy coordination” were mostly assessed as strong outcomes for the national CSs the majority scored them as “partly”. This points into the same direction as the findings of the Case Studies Synthesis saying that “Only two of the national cases were clearly identified as successful, and one was considered as partial success” (see p. 52).

Looking at failures and successs there is again a dominant assessment in the medium range meaning that obstacles were possible to overcome. No obstacles were only predominant concerning a common spatial vision.

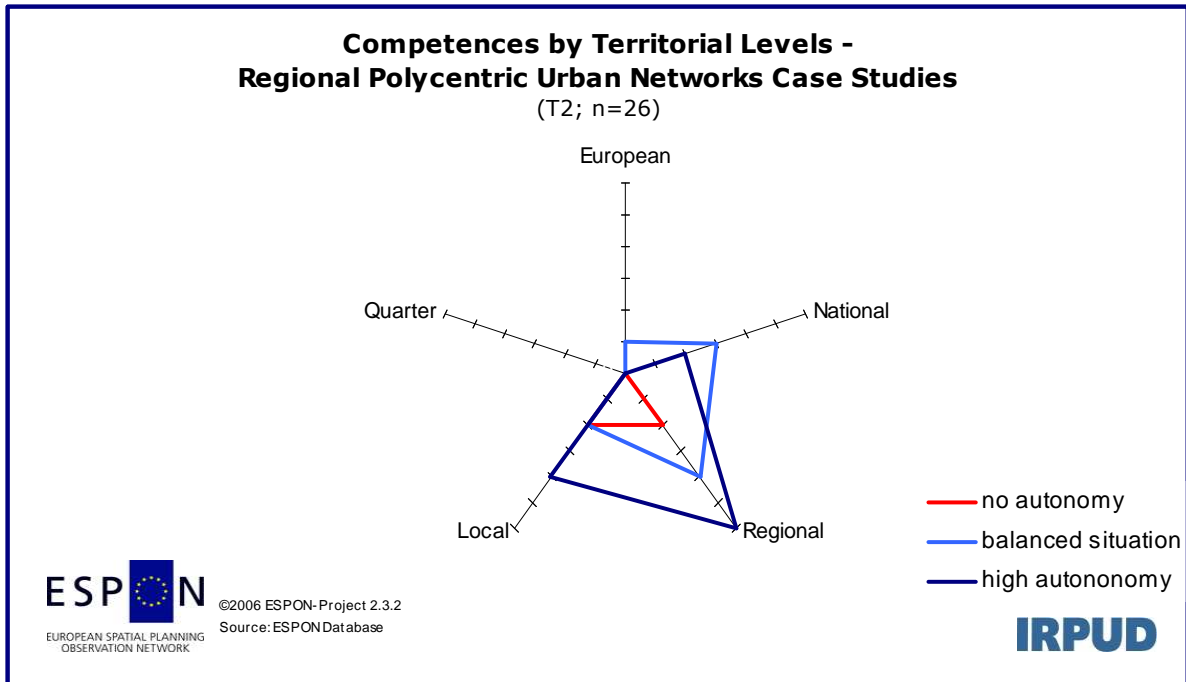
#### 1.2.5.4.7 Regional, Polycentric, Urban Networks

#### 1.2.5.4.8 Vertical relations

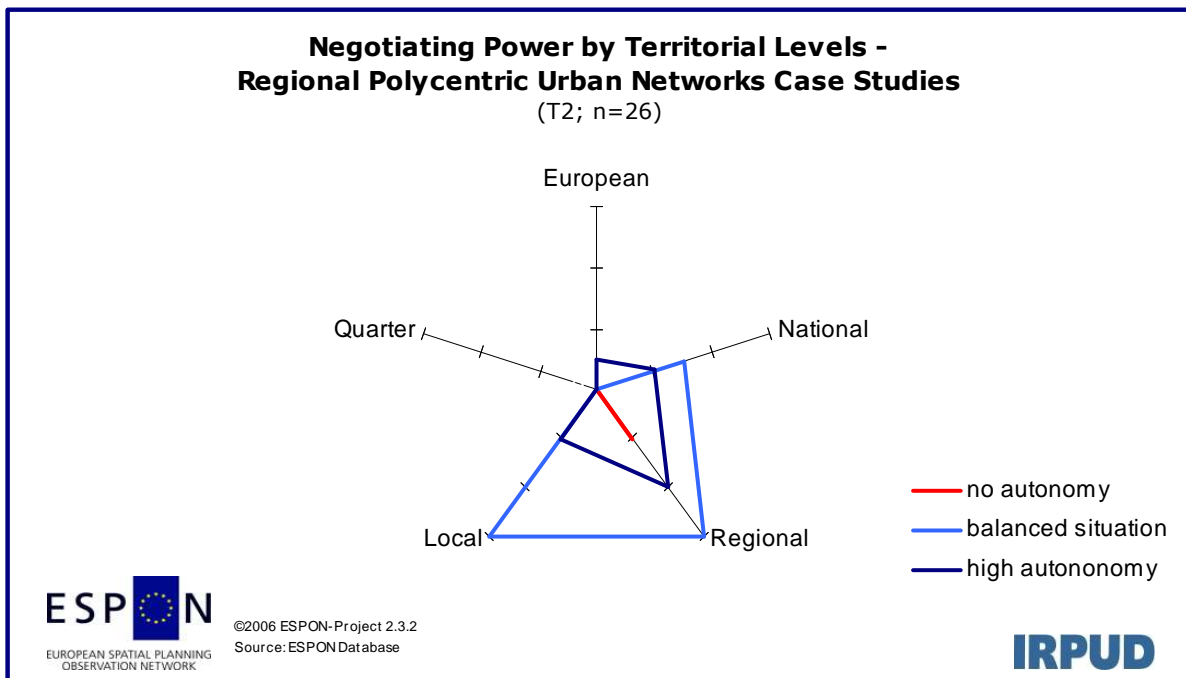
**Figure 30 Degree of Involvement – Regional, Polycentric, Urban Networks**



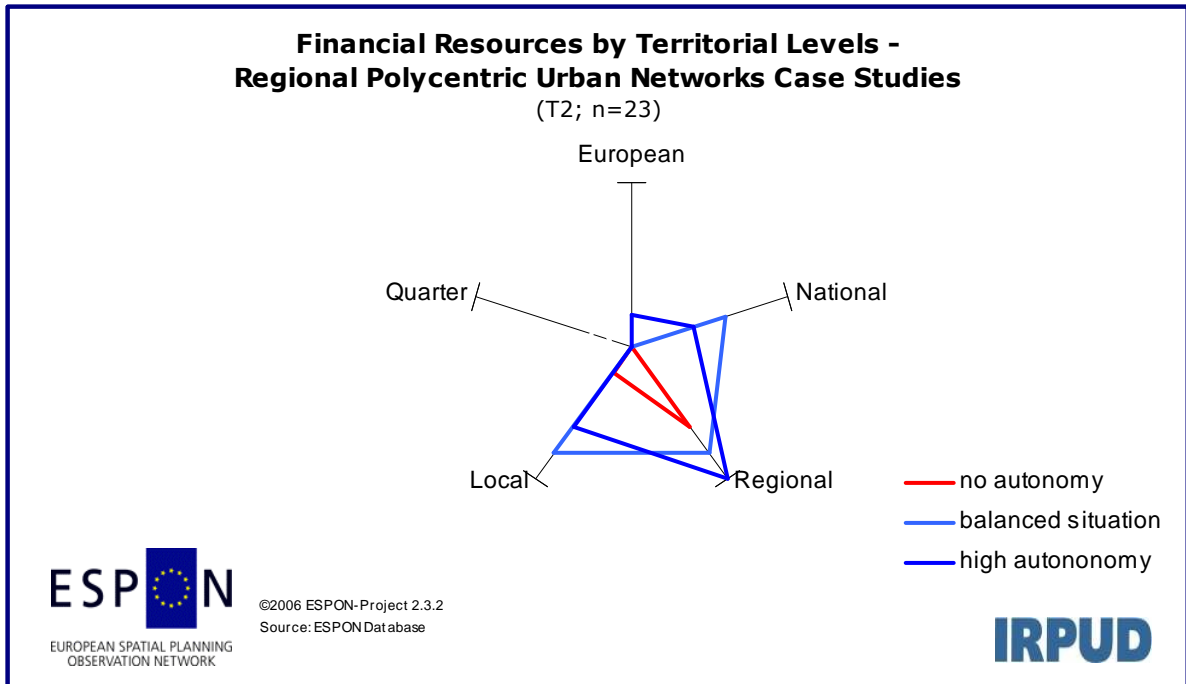
**Figure 31 Competences by Territorial Levels - Regional Polycentric Urban Networks Case Studies**



**Figure 32 Negotiating Power by Territorial Levels - Regional Polycentric Urban Networks Case Studies**

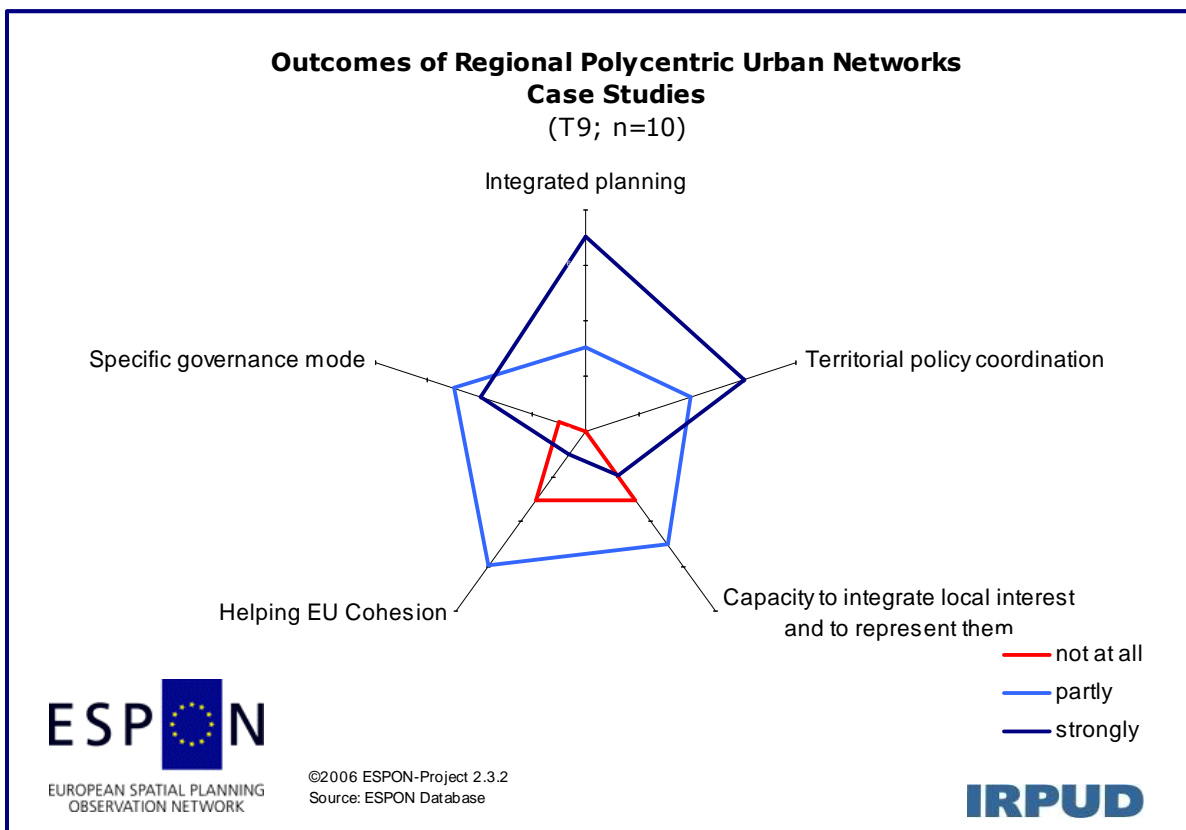


**Figure 33 Financial Resources by Territorial Levels - Regional Polycentric Urban Networks Case Studies**

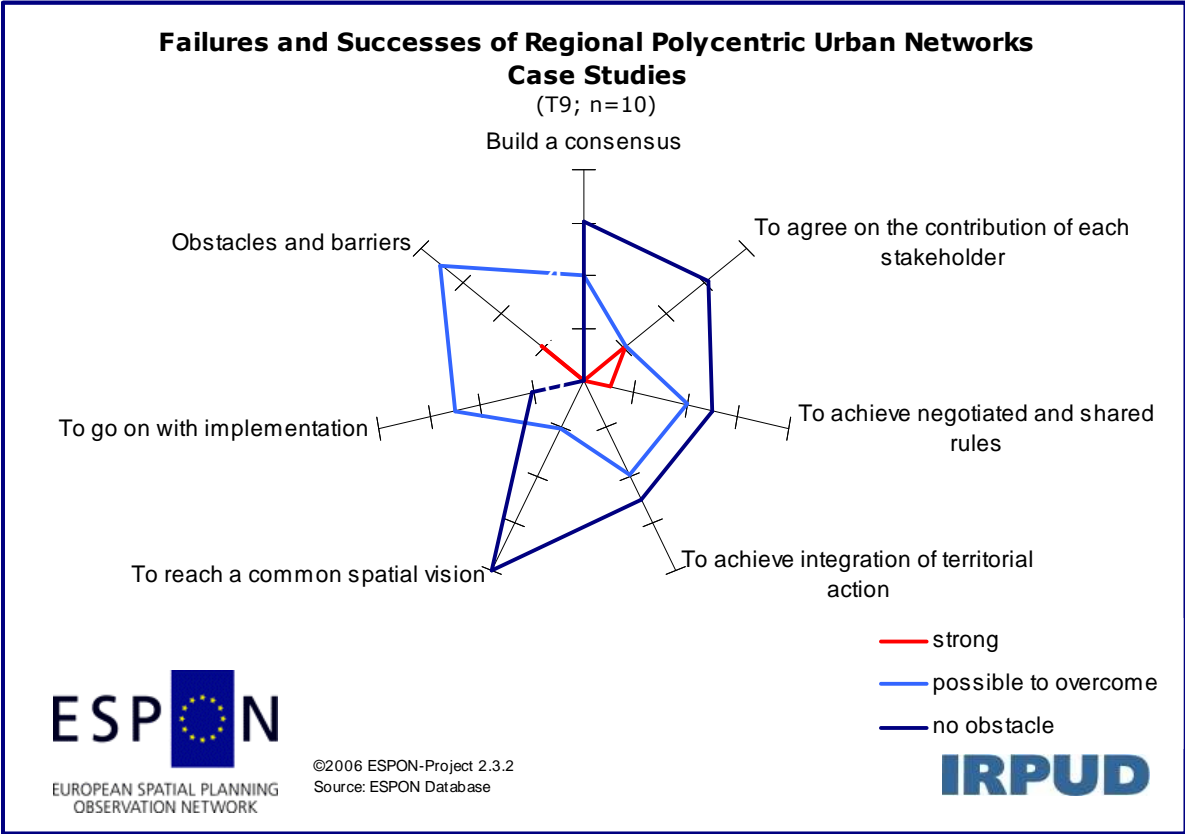


#### 1.2.5.4.9 Outcomes, Failures and Successes

**Figure 34 Outcomes of Regional Polycentric Urban Networks Case Studies**



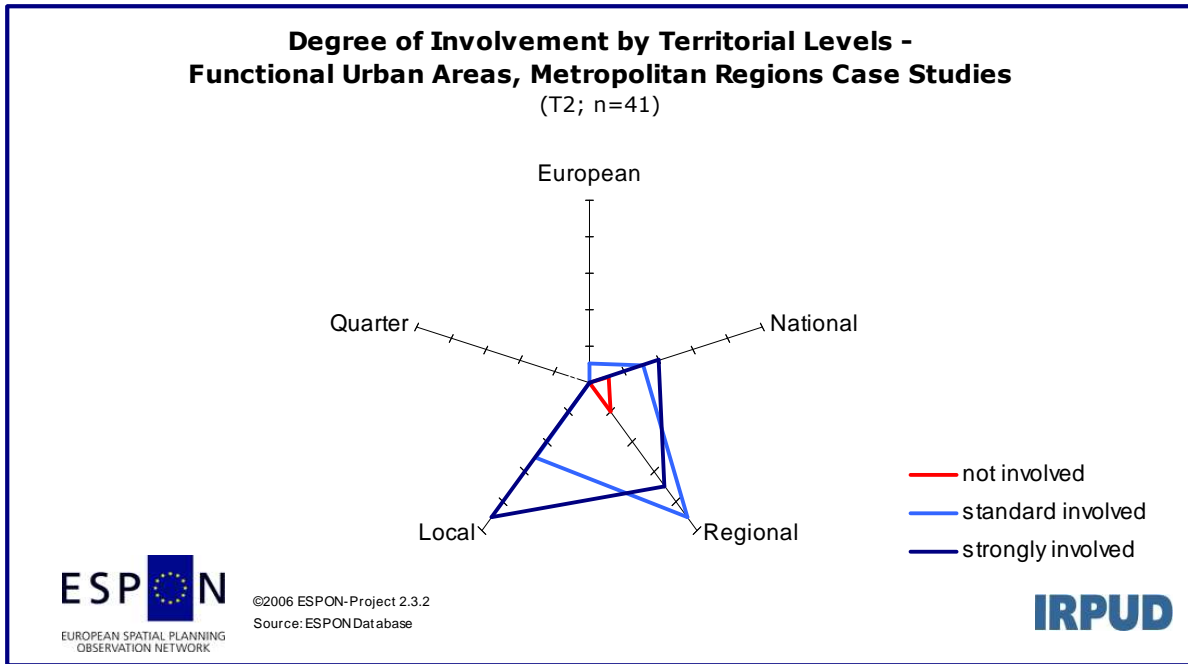
**Figure 35 Failures and Successes of Regional Polycentric Urban Networks Case Studies**



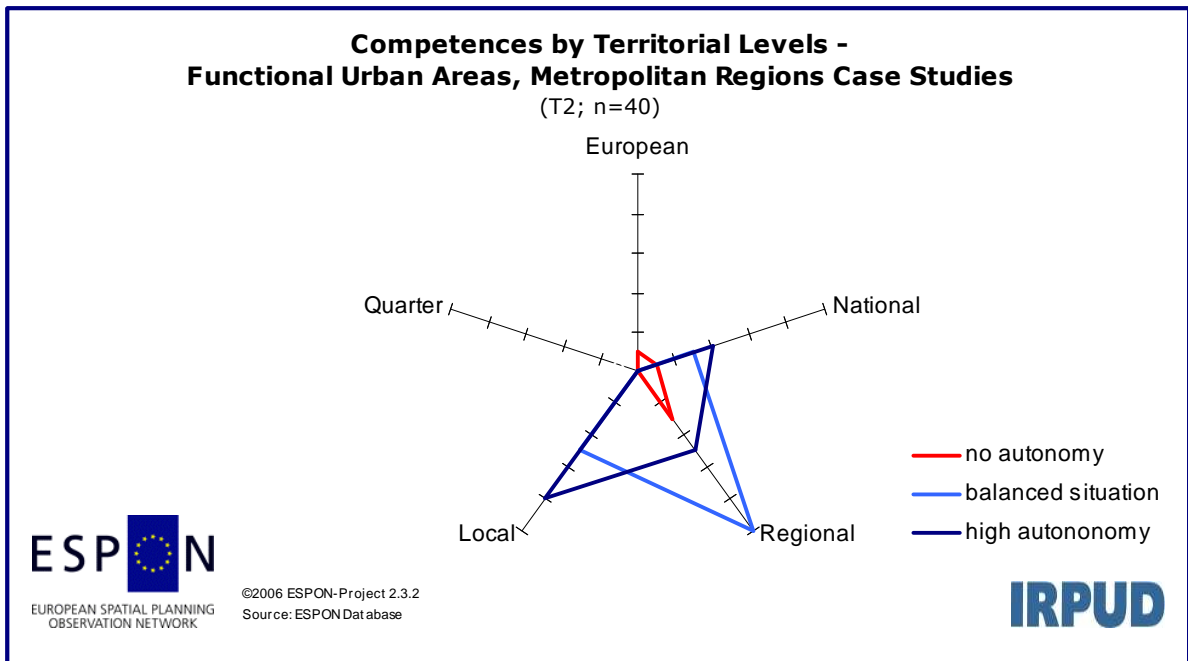
**1.2.5.4.10 Functional Urban Areas, Metropolitan Regions**

**1.2.5.4.11 Vertical relations**

**Figure 36 Degree of Involvement by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies**

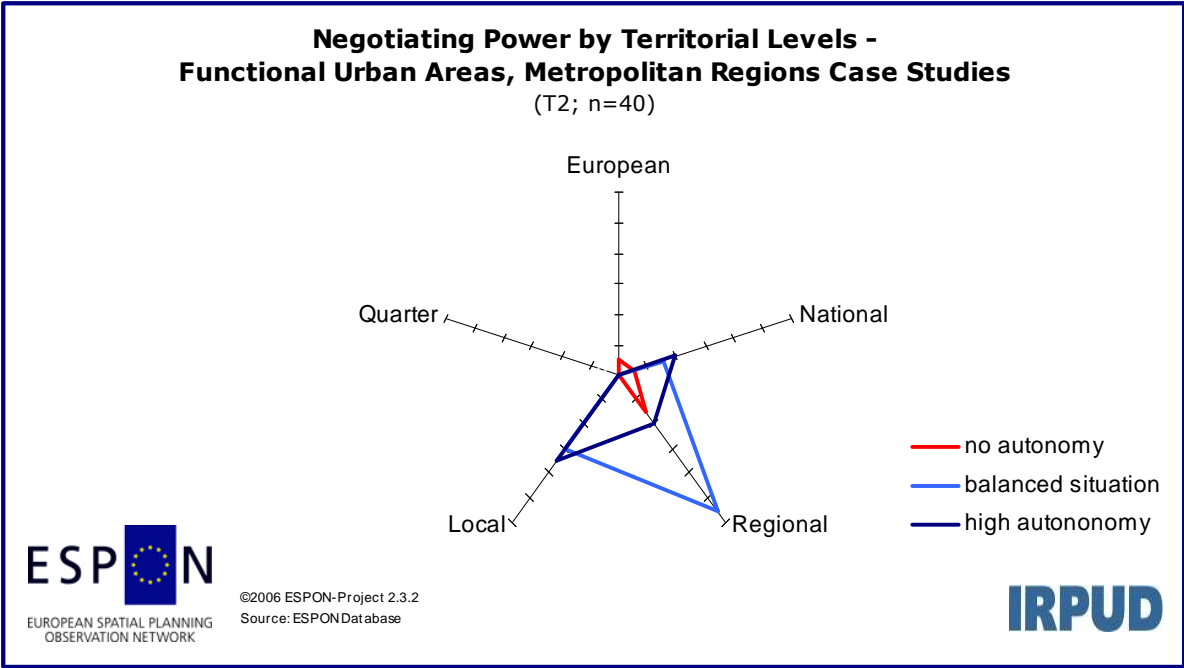


**Figure 37 Competences by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies**

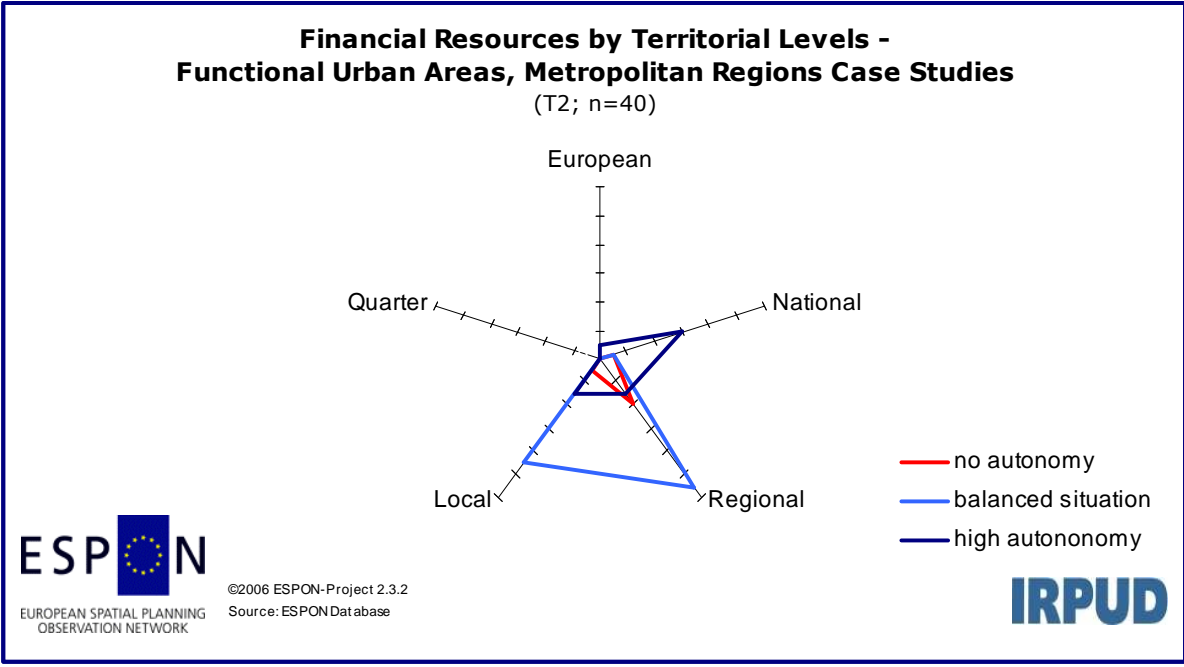




**Figure 38 Negotiating Power by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies**



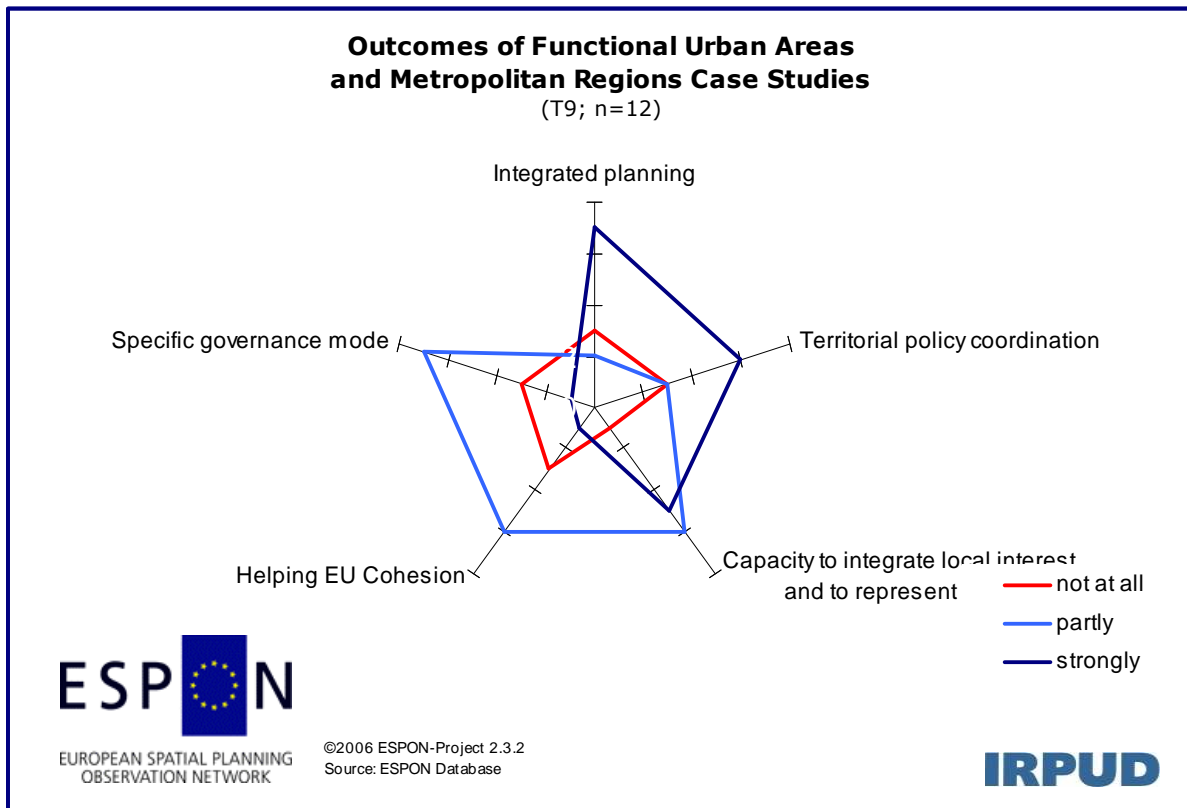
**Figure 39 Financial Resources by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies**



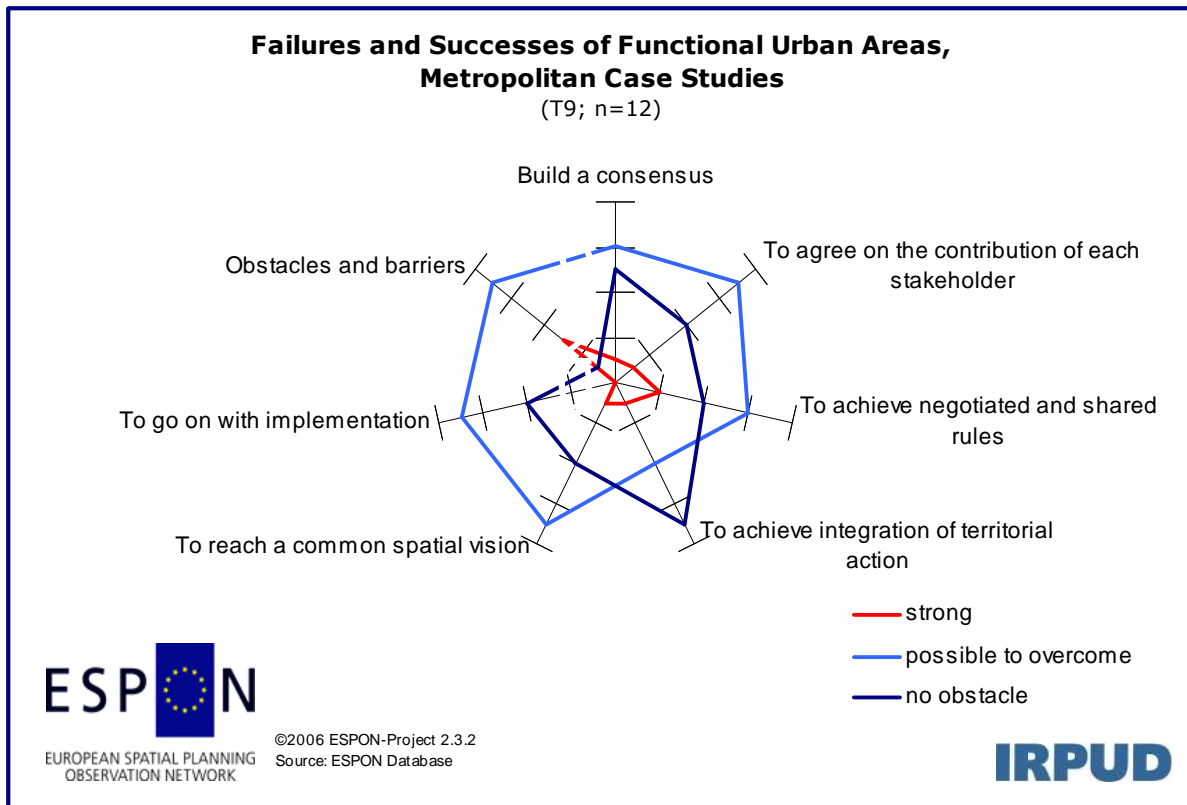
The previous figure (Figure 38, Figure 39) address an increasingly important territorial setting, that of new metropolitan regions. It is obvious that in such a situation the regional and local bodies define a balanced situation.

### 1.2.5.4.12 Outcomes, Failures and Successes

**Figure 40 Outcomes of Functional Urban Areas and Metropolitan Regions Case Studies**



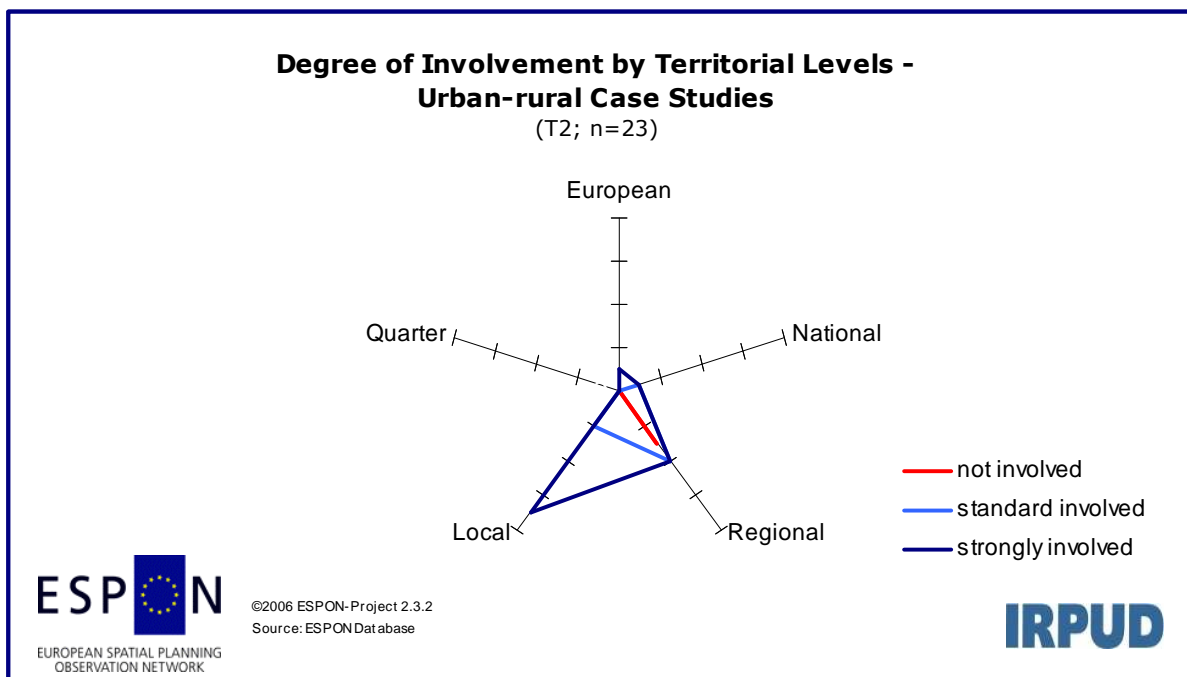
**Figure 41 Failures and Successes of Functional Urban Areas, Metropolitan Case Studies**



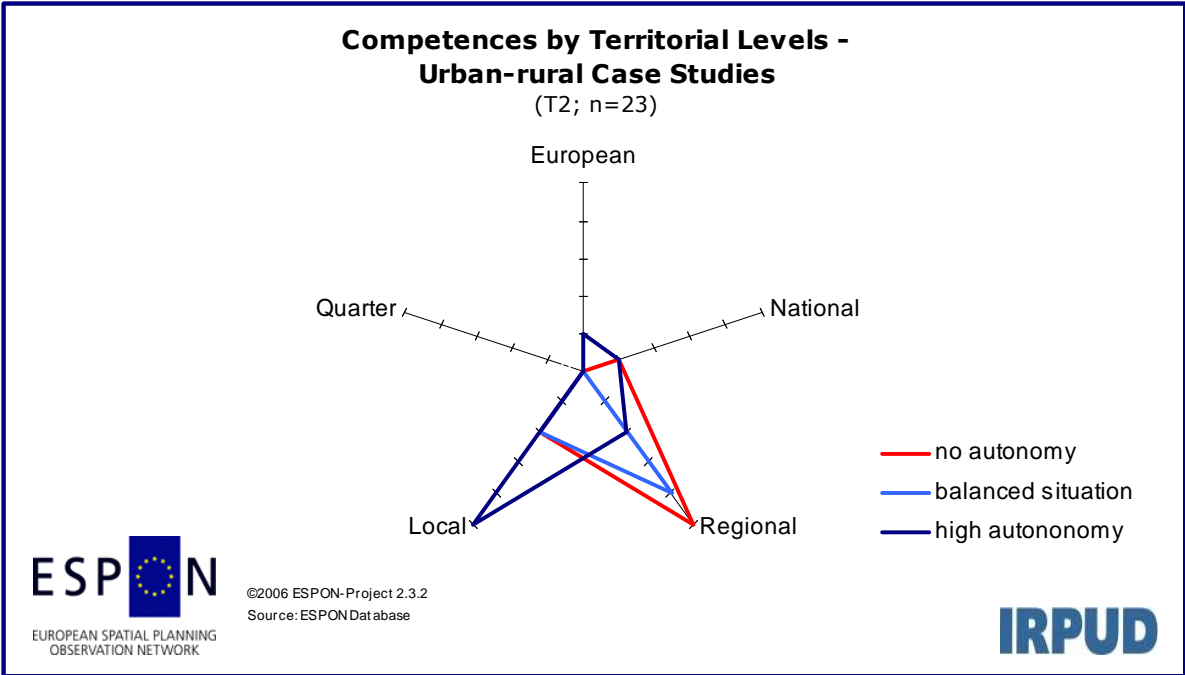
**1.2.5.4.13 Urban-rural Areas**

**1.2.5.4.14 Vertical relations**

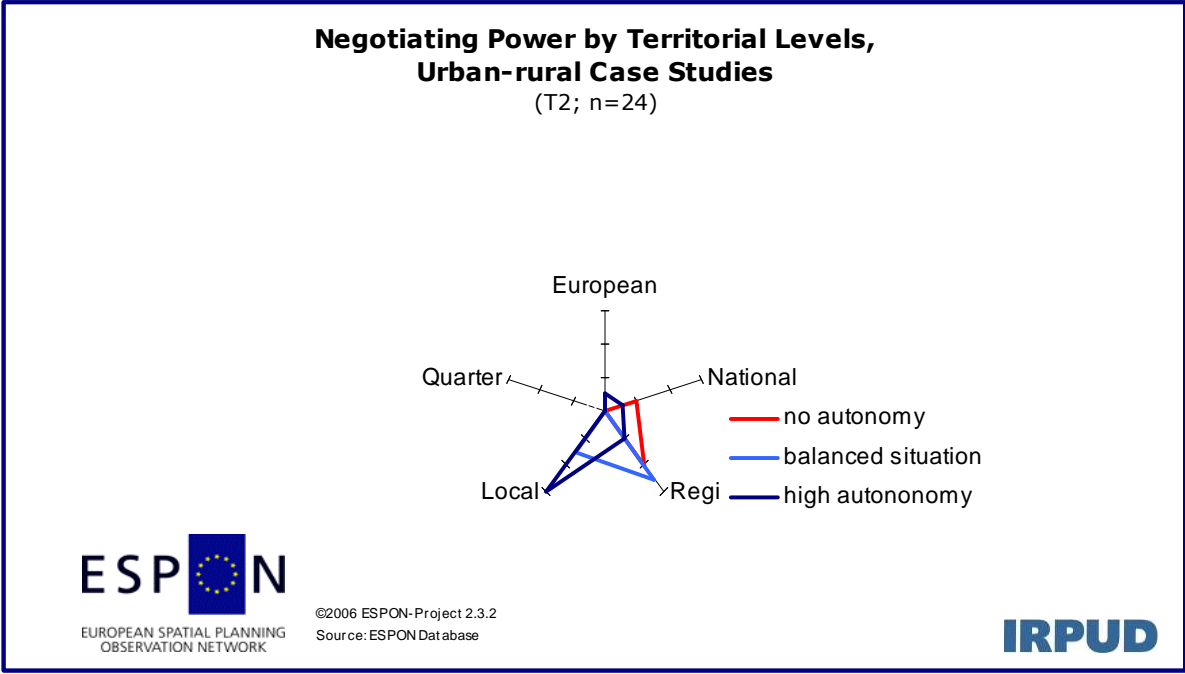
**Figure 42 Degree of Involvement by Territorial Levels - Urban-rural Case Studies**



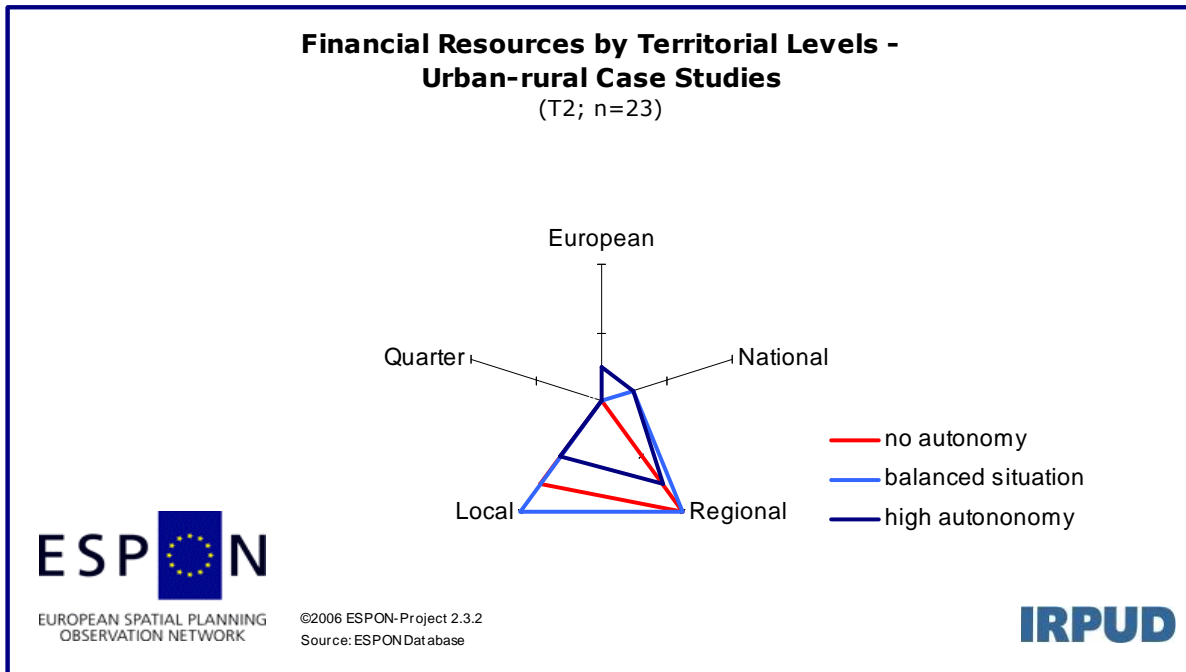
**Figure 43 Competences by Territorial Levels - Urban-rural Case Studies**



**Figure 44 Negotiating Power by Territorial Levels, Urban-rural Case Studies**

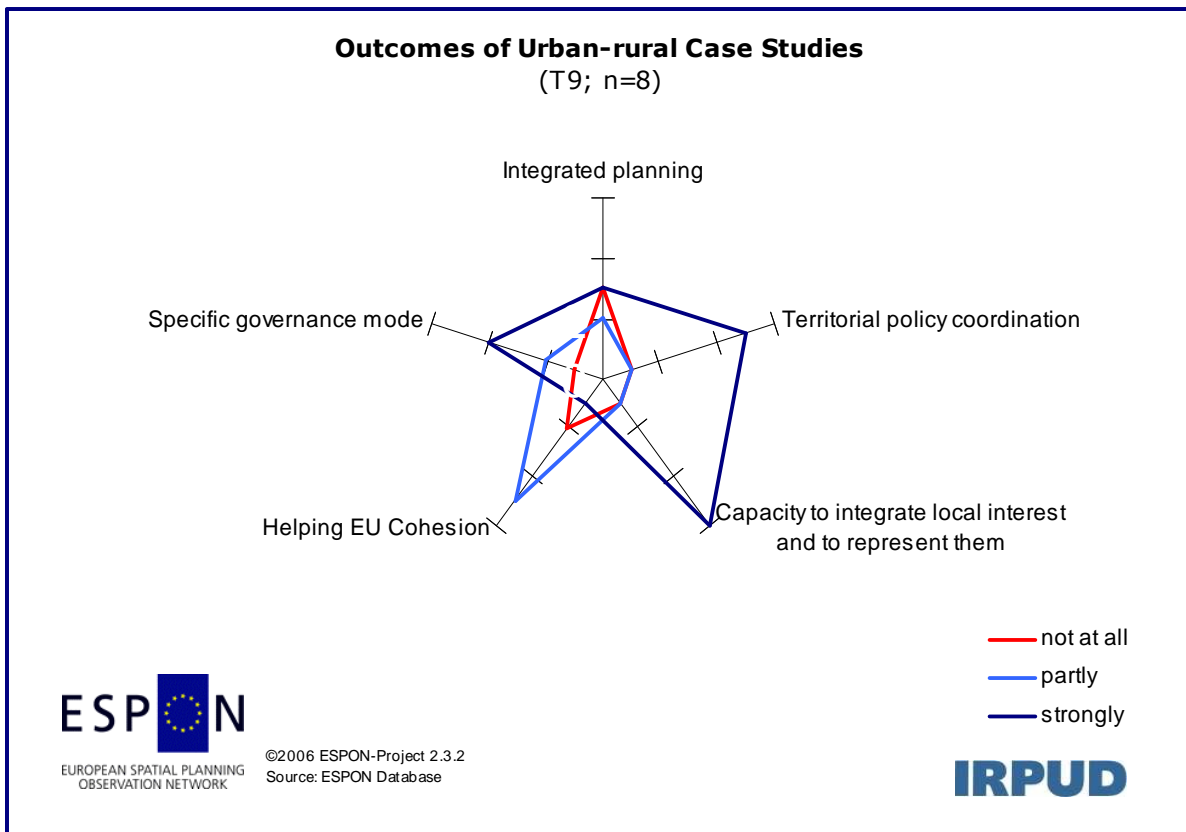


**Figure 45 Financial Resources by Territorial Levels - Urban-rural Case Studies**

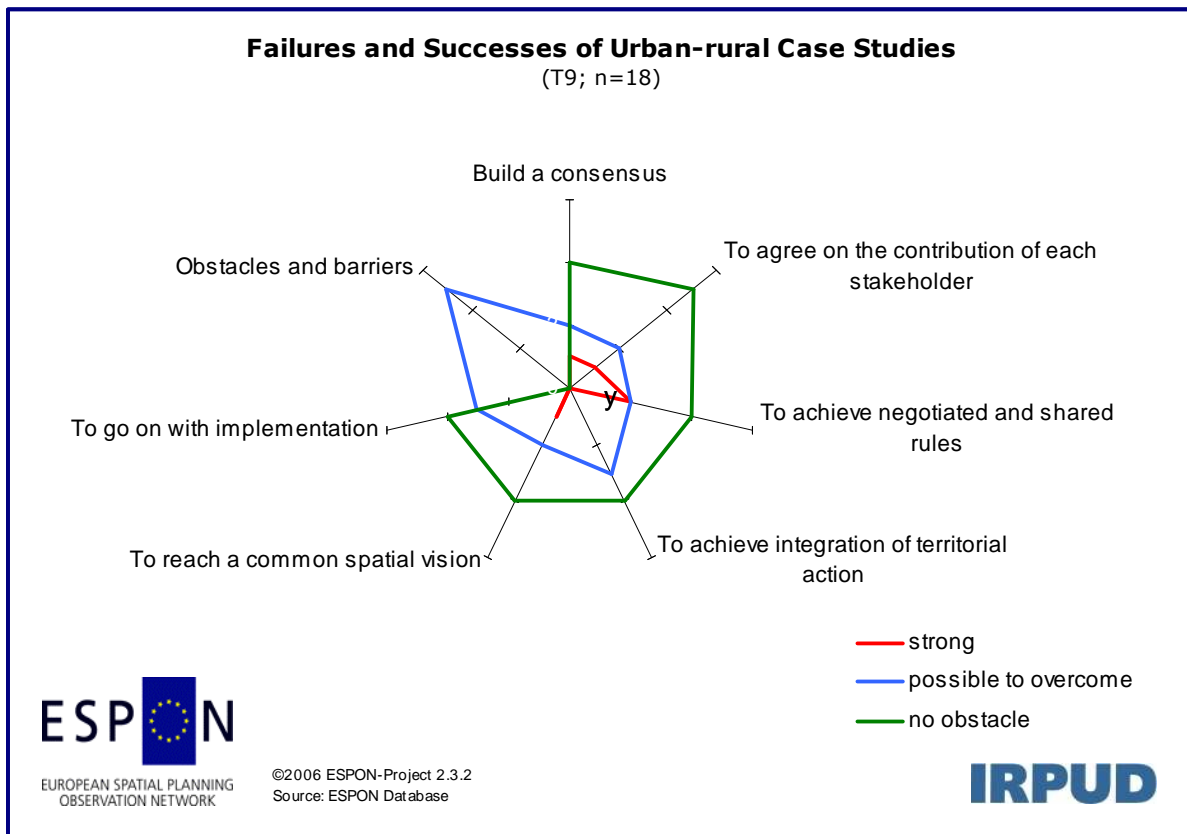


### 1.2.5.4.15 Outcomes, Failures and Successes

**Figure 46 Outcomes of Urban-rural Case Studies**



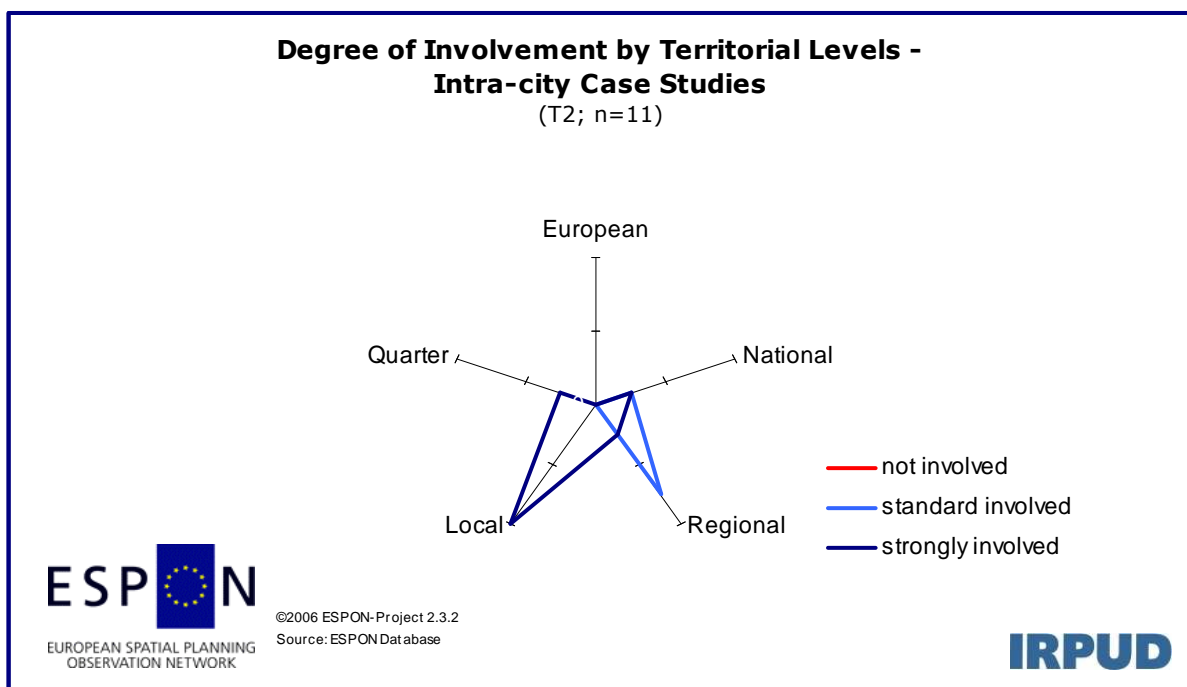
**Figure 47 Failures and Successes of Urban-rural Case Studies**



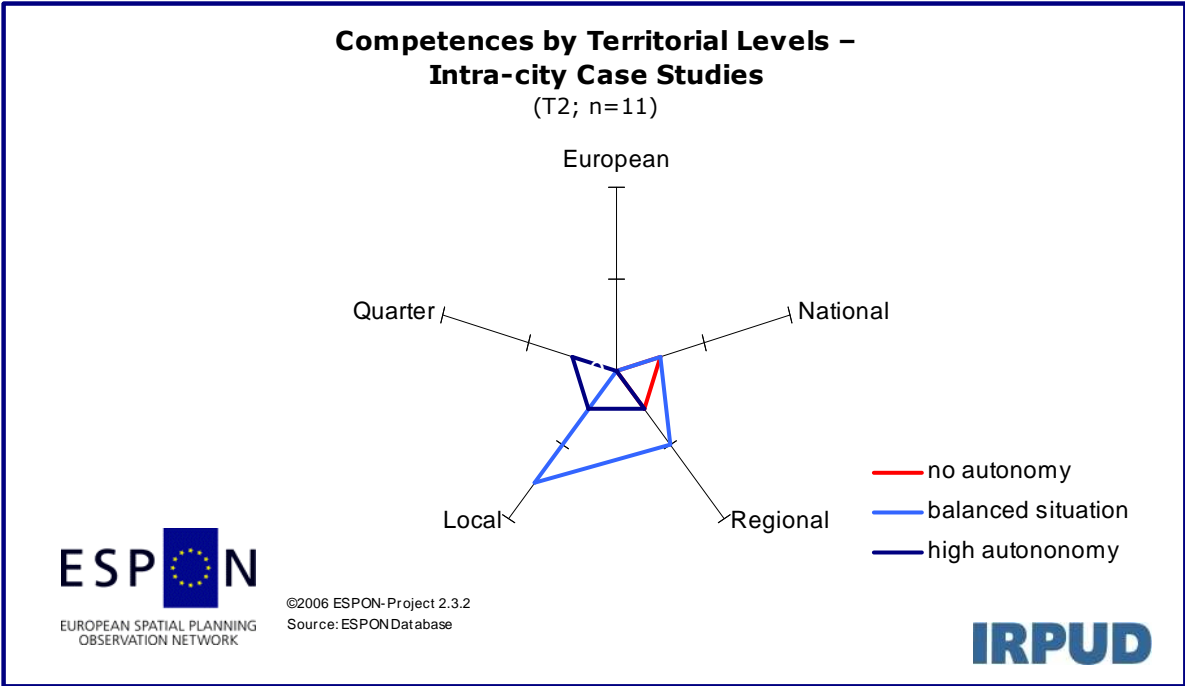
#### 1.2.5.4.16 Intra-city Case Studies

#### 1.2.5.4.17 Vertical relations

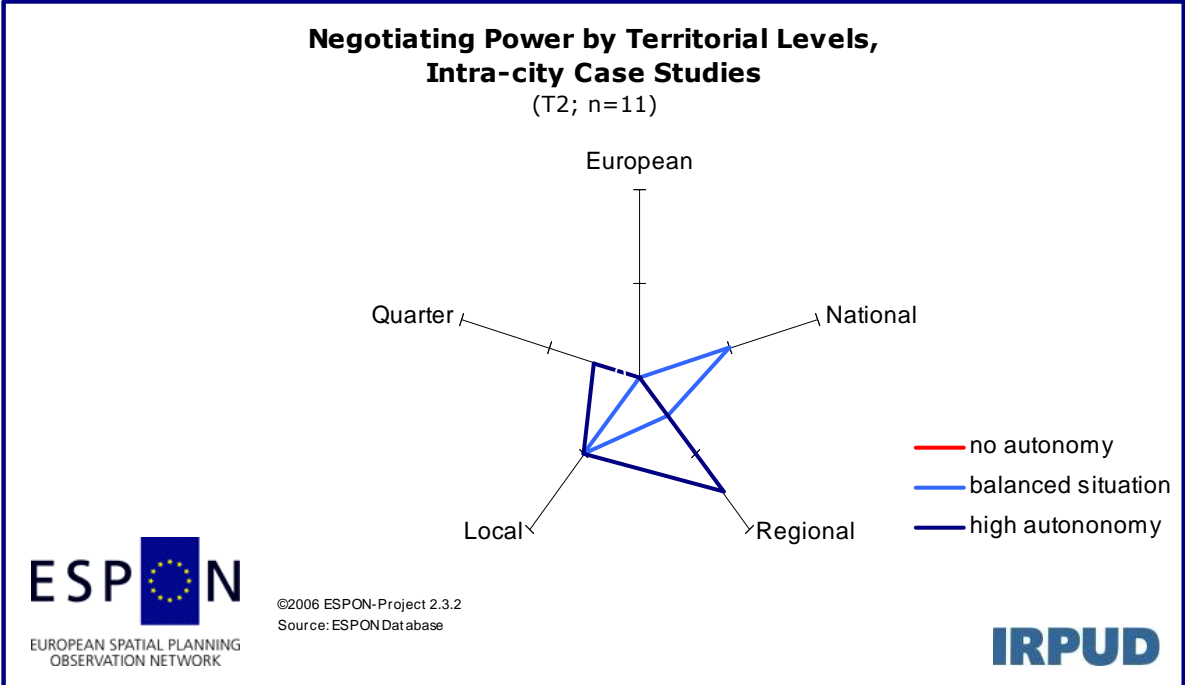
**Figure 48 Degree of Involvement by Territorial Levels - Intra-city Case Studies**



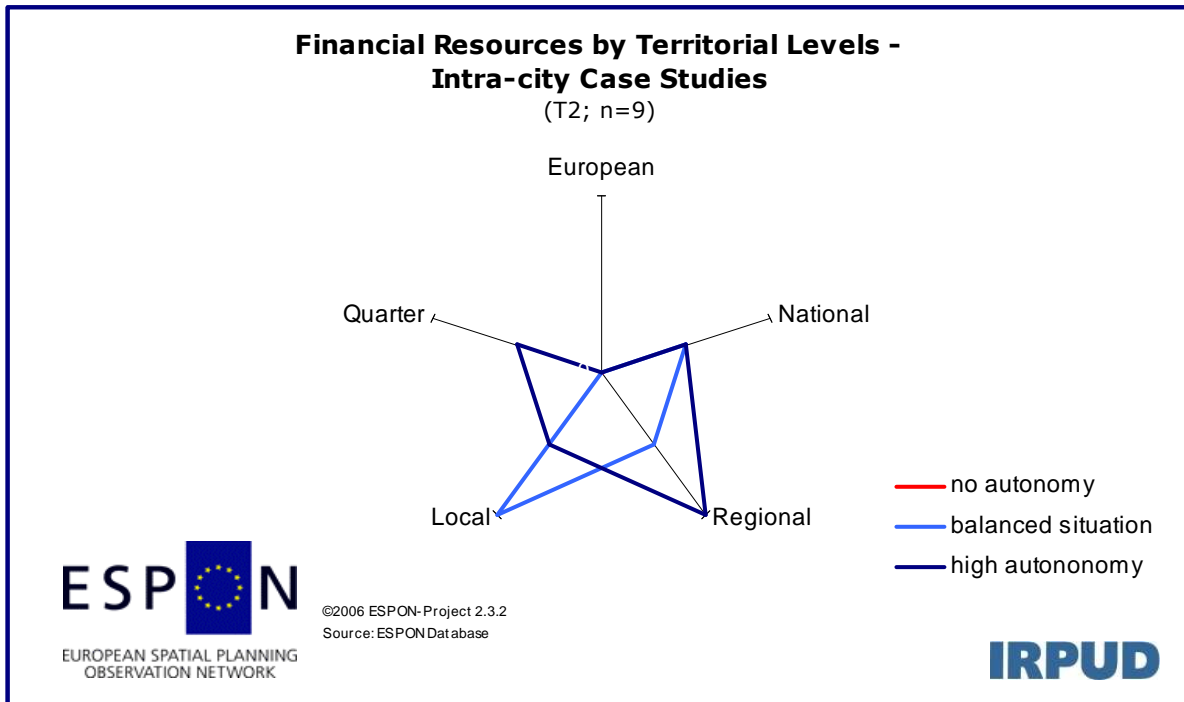
**Figure 49 Competences by Territorial Levels – Intra-city Case Studies**



**Figure 50 Negotiating Power by Territorial Levels, Intra-city Case Studies**

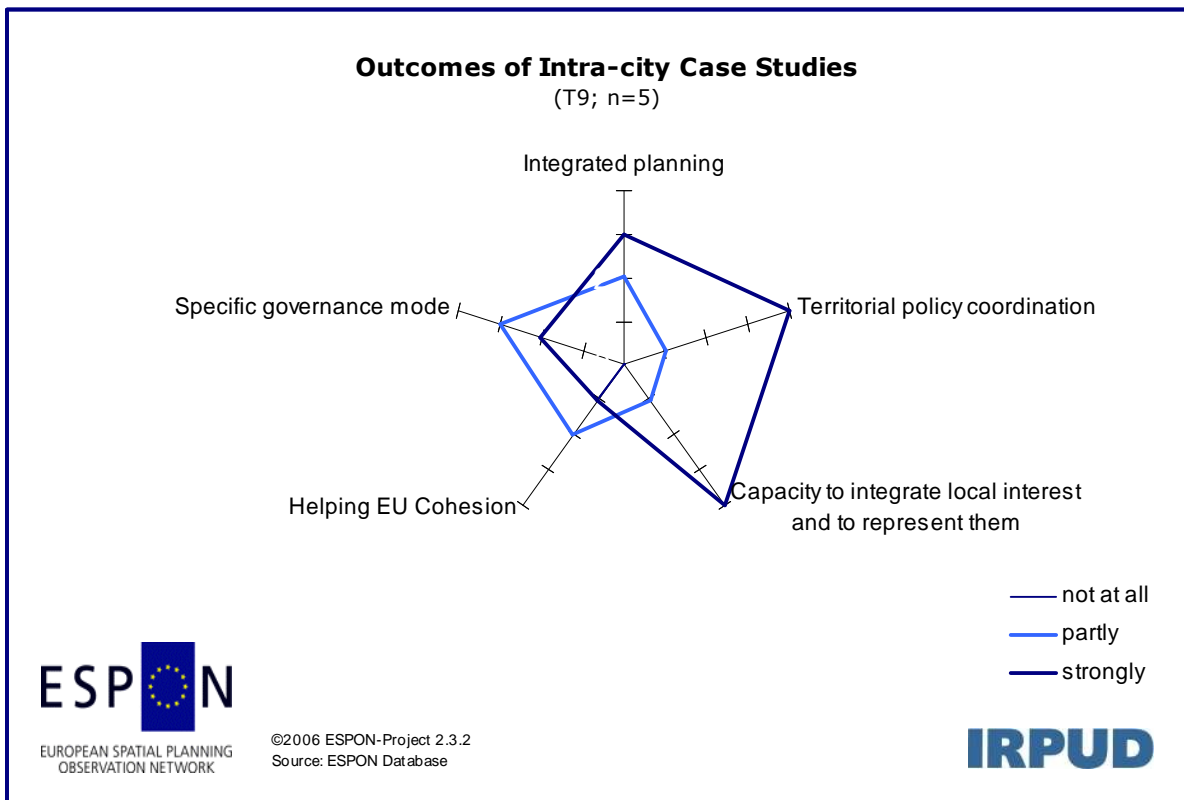


**Figure 51 Financial Resources by Territorial Levels - Intra-city Case Studies**



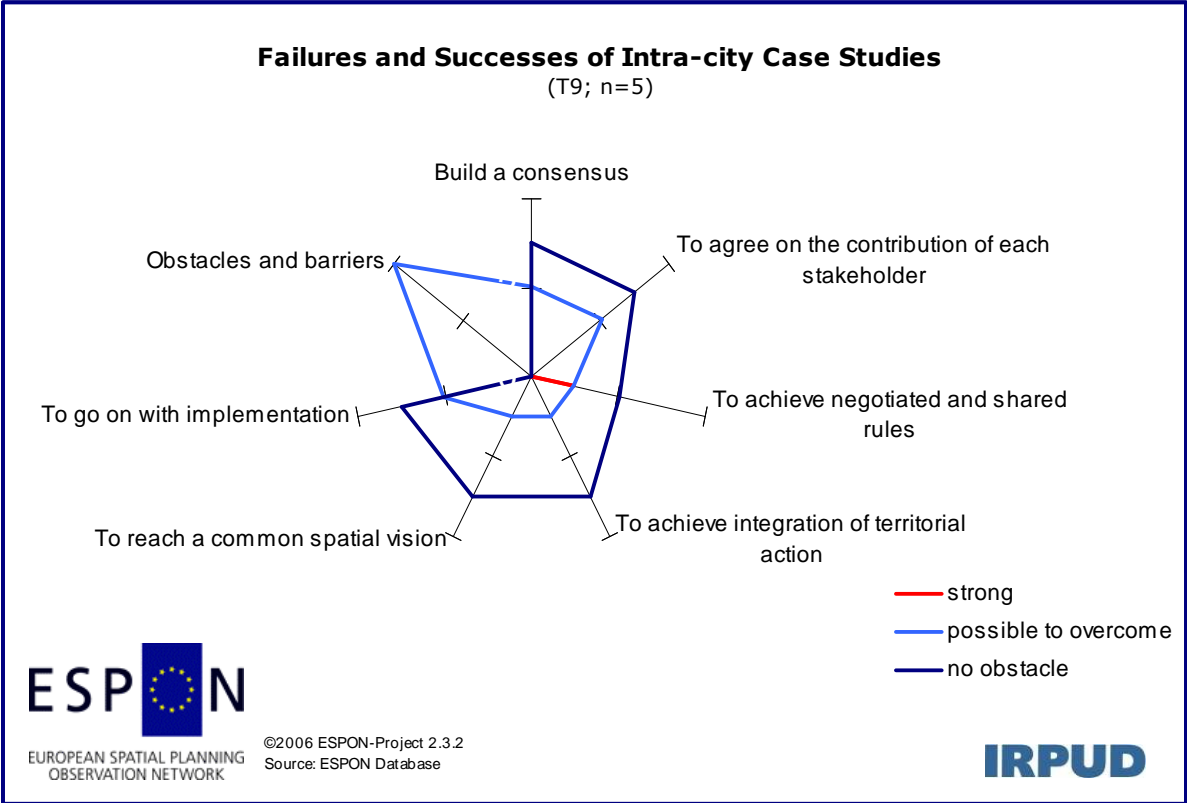
**1.2.5.4.18 Outcomes, Failures and Successes**

**Figure 52 Outcomes of Intra-city Case Studies**





**Figure 53 Failures and Successes of Intra-city Case Studies**



### 1.3 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. Various parts of the FR address aspects of the aspects and methods, which can be used trying to identify 'impacts' of different modes of governance.

In a short meeting with all project partners in Valencia it was agreed, that the project will follow a step wise integration of results generated by different working packages. 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 2 Domains and Features of Governance represented by Indicators**

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

Source: IRPUD 2004

IRPUD followed the approach outlined in FIR and refined in SIR and displayed in above Table 2 for the 'quantitative' part of TIA. The work on data & indicators was continued (documentation provided in the Annex) - and results have been seen on the previous pages.

IRPUD was partially successful to substantiate the - abstract - work (again Table 2) with the existing data. All below outlined ideas have been at least partially applied to identify a kind of 'typology' on the basis of specific characteristics.

When looking at Table 2, what sort of indicator/data have been included?

- ISS – The original idea was to use quantitative data on employment total, Nace L-P (services in the public sector), population, on public budgets. In qualitative terms, several indicators including World Bank surveys were thought to combine.
- ***ISS – finally, for this typology data on Nace L-P per inhabitants were used as an indicator on state structures (taking the employment numbers as indicator of the presence of the state in the regions, NUTS 2 level)***
- ISP – The quantitative data contributing to the ‘dynamic’ side of the state were the delta values (between certain dates) for employment, L-P Nace, population, budget figures. On the qualitative side, the World Bank surveys on government effectiveness, which are the only indicators available as time series and for 29 countries, were collected such as regulatory quality index, e-government contact for SME <sup>12</sup>.
- ***ISP – finally concentrated on the delta values for Nace L-P employees.***
- *ITS - from a territorial point of view, tried to include data mainly from ESPON DB on Pentagon regions, polycentricity, settlement structure, FUA, urban-rural typology.*
- ***ITS –data on FUA were chosen for ITS.***
- ITP – Again, from a territorial point of view, data on lagging regions, multi modal accessibility, MEGA were considered.
- ***ITP – finally was based on data on lagging regions, multi modal accessibility, and MEGAs.***
- *[NB: To use the indicators on spatial aspects – italics – for a further differentiation of the regional situations proved to be not possible.]*
- IES – The quantitative data on economic structures were sought as data on GDP/GVA, HQ function, or other specific services.
- ***IES – finally was taken as the GDP in PPS per capita, to describe the situation in various regions.***
- IEP – To describe the ‘dynamics’ in the economic system, the delta for GDP values were considered appropriate;
- ***IEP – finally was constructed as the delta of GDP in PPS per capita.***

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<sup>12</sup> However, both latter indicators have gaps, more than half of the countries show no data. This is why only one set of indicators was finally picked.

- ICSS – The domain civil society, this was clear at the outset, needed a set of data on rather qualitative aspects. Several attempts and ideas were waged in this respect, a.o. to capture the current situation with respect to spatial planning; data were supposed to come from National Overviews – one result has been provided in a different chapter.
- **ICSS – finally was constructed with data on legal systems, government, national democracy, parties, national parliaments, coming from Eurobarometer.**
- ICSP – The dynamics in civil society were considered as the development over time in specific aspects.
- **ICSP – finally could be constructed using the Eurobarometer data mentioned under ICSS, as they come in time series and can be used to construct a delta.**

Again, the original idea thought to integrate the indicators ISS & IST & IES & ICSS and to interpret 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. (cf. Figure 54)

All in all, the data available, the coverage, and ultimately the theoretical foundations are still too weak, to do so. The latter is particularly important for a systematic test of features of governance and their impact – not only on economic performance indicators but also on social or environmental indicators. Having stated this, the current project has tested some of the data and can be used to define a route into an extended study of governance impacts at a regional level, probably feasible in a coming round of ESPON.

**Figure 54 Synthetic Indicator Governance**

|  | Data on                | Indicator on |            |  |
|--|------------------------|--------------|------------|--|
|  | ISS & IES & ICSS & IST | → Structure  |            |  |
|  |                        |              | → Typology |  |
|  | ISP & IEP & ICSP & ITP | → Dynamics   |            |  |

(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'.

A specific 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 at 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 or the World Bank only provide information for entire countries or states.

IRPUD tried various ways to break these down to lower regional levels, but this proved to be impossible. One hope to do so, were the case studies. These could serve as a sample for all other regions in Europe.

For the future with still to be defined characteristics, it may well be possible to develop regional typologies, which can then be used for further analysis.

The synthetic indicator in Table 2 results in a regional typology as displayed in above

Map 7.

In terms of method, above typology is a first attempt to look at specific combinations of several factors considered to make a difference with respect to governance but also with respect to results (though the latter part is under-developed still). The basic approach rests on a simple comparison of indicator values (Again Table 2) with the respective average value for all regions. In many cases not all indicators were available for all regions (144 regions have all indicators; in

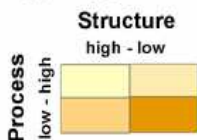
Map 7 all other regions have been captured with the transparent representation), leading especially to an overemphasis of territorial indicators (ITS, ITP).

## Map 7 Typology of regions

### Typology of Regions and Governance



#### Typology 2006



Transparent Regions: indicative only

© EuroGeographics Association for administrative boundaries  
Regional Level: NUTS 2  
Origin of data: IRPUD synthetic indicator

Cyprus: Data for government controlled areas only.

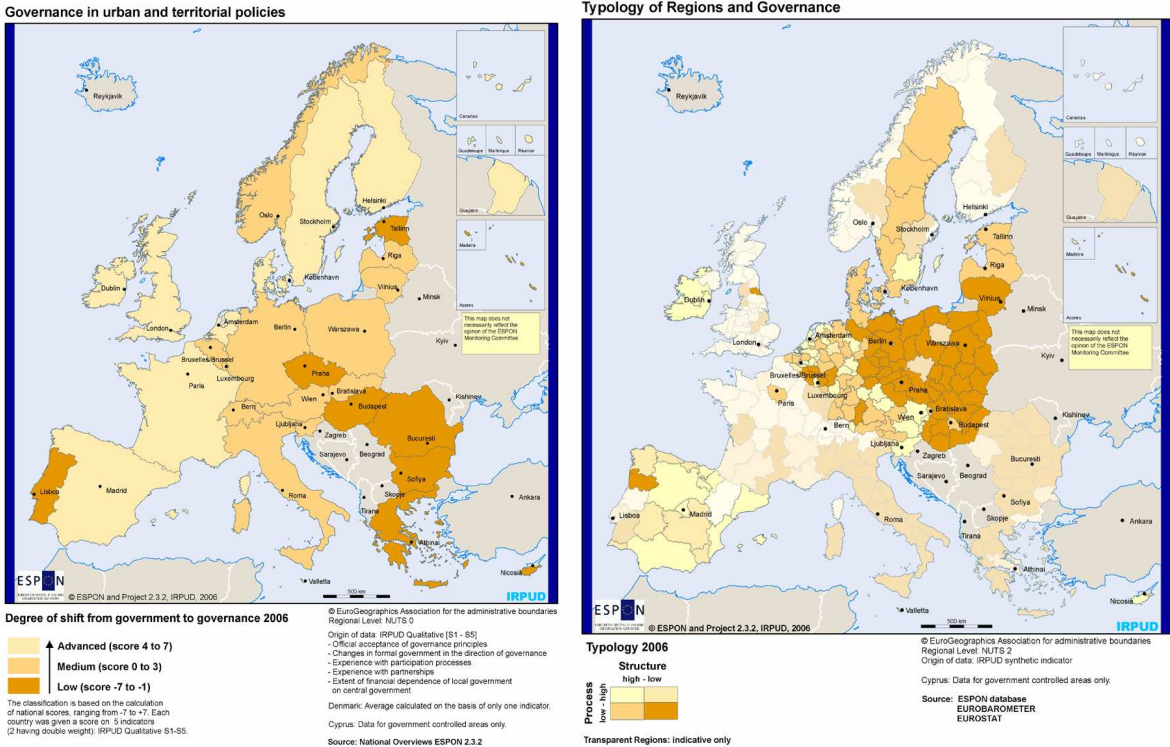
Source: ESPON database  
EUROBAROMETER  
EUROSTAT

The typology depicts against an average those regions, which are less advanced, and those, which are more advanced:

- Regions with high scores in both, structural and procedural data - about 20 % fall into this category; these regions are above average regarding the structural and procedural domains and features of governance;
- Regions with low structural and high procedural data - about 22% fall into this category; these regions show below average indicators in the structural domain of governance, e.g. in the field of state and economy;
- Regions with high structural but low procedural data - about 19% fall into this category; these regions are less dynamic compared with all other regions e.g. in the field of state and economy;
- Regions with low structural and low procedural data - largest share of regions with about 39%; all domains and features of governance are under average.

When comparing above figure with the qualitative indicators on governance the overall picture seems to be very consistent.

**Map 8 Governance and Typology of Regions**



### **1.3.1 Data Wishlist**

As has been said several times throughout the project, a number of data could be useful for future studies on governance and its impacts:

- Data on the description of government structures in the European regions (e.g. regionally differentiated data on budgets; budget figures as such are available but they mainly follow financial concerns and not regional concerns); further: administrative structures, administrative processes (response times), e-government (ESPON dB as incomplete start);
- Data on the description of civil society in the European regions (e.g. voting patterns can be a start and are available but the coverage is insufficient; besides, as political scientists in the team pointed out, the interpretation is heavily debated); further: ESPON 2.3.2 established a starting point regarding governance aspects in territories, i.p. with the qualitative indicators S1-S10. This work should be continued and systematically extended, e.g. with a targeted collection of precisely these aspects across all EU regions.
- Data on the potential impact side of governance beyond the economic are in particular missing (e.g. the Eurostat data on social structures and characteristics rather address the welfare system [transfer payments] but are weak in other respects); further: environmental state in region.

## **2 Appendix**



### Table 3 Data List

ESPON 2.3.2 Metadata

Stand:  
11.11.2005

| Title                    | NUTS Level | Nuts Version | Time Reference | Source   | Comments                                    | Classes | Unit          |
|--------------------------|------------|--------------|----------------|----------|---|---------|---------------|
| 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 | 6       | typology      |

|   |        |      |           |          |   |   |            |
|---|--------|------|-----------|----------|---|---|------------|
|   |        |      |           |          | NACE  |   |            |
| 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   |
| 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   |

| Title   | NUTS Level | Nuts Version | Time Reference | Source     | Comments  | Classes | Unit     |
|---|------------|--------------|----------------|------------|---|---------|----------|
| Typology Urban-Rural                          | NUTS 3     | 1999         | 1999           | ESPON      |   | 6       | typology |
| Typology multidimodal 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 |
| - Government Effectivness                     | NUTS 0     | 1999         | 1996-2004      | World Bank | Calculated delta '96-   |         | %        |

|  |            |              |                |                  | '04 out of percent values                      |         |      |
|--|------------|--------------|----------------|------------------|--|---------|------|
| - Regulatory Quality                   | NUTS 0     | 1999         | 1996-2004      | World Bank       | Calculated delta '96-'04 out of percent values |         | %    |
| - Overall e-government contact SME     | NUTS 0     | 1999         | 2003-2004      | EUROSTAT         | Calculated delta '03-'04 out of percent values |         | %    |
| - Internet access                      | NUTS 0     | 1999         | 2002-2004      | EUROSTAT         | Calculated delta '02-'04 out of percent values |         | %    |
|  |            |              |                |                  |  |         |      |
|  |            |              |                |                  |  |         |      |
| - Trust in national legal system       | NUTS 0     |              | 2004           | Eurobarometer 61 |  |         | %    |
| - Trust in national government         | NUTS 0     |              | 2004           | Eurobarometer 61 |  |         | %    |
| - 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 |  |         | %    |
|  |            |              |                |                  |  |         |      |
|  |            |              |                |                  |  |         |      |
|  |            |              |                |                  |  |         |      |
| Title                                  | NUTS Level | Nuts Version | Time Reference | Source           | Comments                                       | Classes | Unit |

|  |        |      |  |  |   |
|--|--------|------|--|--|---|
| Official acceptance of governance concepts and principles (S1)   | NUTS 0 | 2006 | 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,<br>0 = Indirect acceptance and/or neutral position,<br>-1 = Low degree of acceptance and/or still at a stage of initial dialogue |
| Changes in formal government in the direction of governance (S2) | NUTS 0 | 2006 | 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      | 1 = Existence of specific reforms which are already implemented,<br>0 = Existence of intended reforms or of reforms under way,<br>-1 = No initiatives so far                            |

|   |        |  |      |  |   |   |
|---|--------|--|------|--|---|---|
|   |        |  |      |  | "0".  |   |
| Experience with participation processes (S3a) |        |  |      | 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 |
|   | NUTS 0 |  | 2006 |  |   |   |

|   |        |      |  |   |   |  |
|---|--------|------|--|---|---|--|
| Experience with partnerships (S3b)  | NUTS 0 | 2006 | 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 (S5) | NUTS 0 | 2006 | 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                           | -1 = dependant, 0 = Fairly independent, 1 = independant |  |

|   |        |      |  |                |  |
|---|--------|------|--|----------------|--|
|   |        |      |  | number is "0". |  |
| Devolution of powers to 1st tier local authorities (S7) | NUTS 0 | 2006 | file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National |                | 1 = substantial powers have been allocated to local authorities<br>0 = it is expected that substantial powers will be devolved to local authorities<br>-1=relative powerless local authorities |
| Centralization / decentralization / devolution (S8)     | NUTS 0 | 2006 | file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National |                | 1= substantial powers allocated to the regions<br>0 = expected to devolve substantial powers to the regions in the near future;  |



|  |        |  |      |   |   |
|--|--------|--|------|---|---|
|  |        |  |      |   | Countries with no regional authorities, primarily because of size<br>-1 = Countries with powerless regions  |
| Number of conditions leading to shifts towards governance (S9) |        |  |      | file "final version matrix29Countries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National | one class contains a third of the range of values mentioned in the sample (i.e. if 10 items were given but only 1 to 5 selected, the range was 1 to 5)<br>1 = upper third (9-7)<br>0 = middle third (6-3)<br>-1 = lower third (2-0) |
|  | NUTS 0 |  | 2006 |   |   |

|   |               |             |   |  |   |  |
|---|---------------|-------------|---|--|---|--|
| <p>Number of factors operating in favour of adoption of governance approaches (S10)</p> | <p>NUTS 0</p> | <p>2006</p> | <p>file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National</p> |  | <p>one class contains a third of the range of values mentioned in the sample (i.e. if 10 items were given but only 1 to 5 selected, the range was 1 to 5)<br/>1 = upper third<br/>0 = middle third<br/>-1 = lower third</p> |  |
| <p>Number of forms of cross-border co-operation (S11)</p>                               | <p>NUTS 0</p> | <p>2006</p> | <p>file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National</p> |  | <p>one class contains a third of the range of values mentioned in the sample (i.e. if 10 items were given but only 1 to 5 selected, the range was 1 to 5)<br/>1 = upper third (7-5)<br/>0 = middle</p>                      |  |

|                  |  |        |      |  |  |  |          |
|------------------|--|--------|------|--|--|--|----------|
|                  |  |        |      |  |  | third (4-3)<br>-1 = lower<br>third (2-0) |          |
| Governance Score |  |        |      | 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               |  |          |
| ISS              |  | NUTS 0 | 2006 | based on NACE L-P per inhabitants in 2004, FuA   | the scale range is -7 to +7<br>Indicator on state structures |  |          |
|                  |  | NUTS 2 | 2006 |  |  | 3<br>(calculated as below/above average) | typology |

|     |        |      |      |  |                                 |  |          |
|-----|--------|------|------|--|---------------------------------|--|----------|
| ISP |        |      |      | concentrated on the delta values for Nace L-P employees                | Indicator on State Dynamics     |  |          |
| ITP | NUTS 0 | 2006 |      | based on data on lagging regions, multi modal accessibility, and MEGAs | Indicator on spatial dynamics   | 3<br>(calculated as below/above average)   | typology |
| ITS | NUTS 0 | 2006 |      | Based on FUA typology  | Indicator in spatial structure  | 3 (+1: at least one MEGA or trans-/national FUA; 0: at least one regional/local FUA; -1: no FUA) | typology |
| IES | NUTS 3 | 1999 | 2006 | Based on the GDP in PPS per capita                                     | Indicator on economic structure |  |          |
|     | NUTS 0 |      | 2006 |  |                                 | 3<br>(calculated as below/above average)   | typology |

|                |        |      |            |   |                                    |                                       |          |
|----------------|--------|------|------------|---|------------------------------------|---------------------------------------|----------|
| IEP            |        |      |            | Based on the delta of GDP in PPS per capita   | Indiatore on economy, dynamic      |                                       |          |
| ICSS           | NUTS 0 | 2006 |            | constructed with data on legal systems, government, national democracy, parties, national parliaments, coming from Eurobarometer  | Indicator on Civil Society         | 3 (calculated as below/above average) | typology |
| ICSP           | NUTS 0 | 2006 |            | constructed using the Eurobarometer data mentioned under ICSS, as they come in time series and can be used to construct a delta   | Indicator on Civil Society Dynamic | 3 (calculated as below/above average) | typology |
| Model of State | NUTS 0 | 2006 |            | ESPON 3.2<br>2 <sup>nd</sup> interim report,<br>National Basic Laws<br><a href="http://www.espon.lu/online/documentation/projects/cross_thematic/2913/sir-3.2_part2_15.04.2005.pdf">http://www.espon.lu/online/documentation/projects/cross_thematic/2913/sir-3.2_part2_15.04.2005.pdf</a><br><br><a href="http://www.cor.eu.int/es/documents/progress_democracy.htm">http://www.cor.eu.int/es/documents/progress_democracy.htm</a> |                                    | 3 (calculated as below/above average) | typology |
|                | NUTS 0 | 1999 | 2003, 2005 |   |                                    |                                       | Raw data |

|   |                   |      |               |  |          |
|---|-------------------|------|---------------|--|----------|
| Typology of Regionalisation                                   |                   |      |               | <a href="http://confinder.richmond.edu/">http://confinder.richmond.edu/</a>  |          |
|   |                   |      |               | ESPO 3.2<br>2 <sup>nd</sup> interim report, National Basic Laws<br><a href="http://www.ccre.org/membres_en.htm">http://www.ccre.org/membres_en.htm</a>   |          |
|   | NUTS 0,<br>NUTS 2 | 1999 | 2005,<br>2006 | National Basic Laws,<br>Devolution in the United Kingdom: A Revolution<br>in Online Legal Research<br><br><a href="http://confinder.richmond.edu/">http://confinder.richmond.edu/</a><br><br><a href="http://www.llrx.com/features/devolution.htm">http://www.llrx.com/features/devolution.htm</a> | Raw data |
| Constitutional reconnaissance of local and/or regional levels |                   |      |               |  |          |
| Allocation of spatial planning powers                         | NUTS 0            | 1999 | 2001,<br>2005 | Mixture of spatial planning styles; inter-State but also<br>intra-State. General presence of Land Use;<br>convergence towards the Comprehensive integrated<br>approach and the Regional economic approach Style  | Raw data |
|   | NUTS 0            | 1999 | 2006          |  | Raw data |

|  |        |      |      |   |  |  |          |
|--|--------|------|------|---|--|--|----------|
| New spatial planning powers at supra-local / sub-regional level (innovative) |        |      |      | Tres propuestas para una relación efectiva entre las escalas regional y local en materia de ordenación del territorio.            |  |  |          |
|  | NUTS 3 |      | 2006 |   |  |  | Raw data |
| National Territorial Chambers  |        |      |      | <a href="http://www.senat.fr/senatsdumonde/pays.html">http://www.senat.fr/senatsdumonde/pays.html</a>                             |  |  |          |
|  | NUTS 0 |      | 2006 |   |  |  | Raw data |
| Regular multi-level governmental meetings                                    |        |      |      | <a href="http://www.cor.eu.int/es/documents/progress_democracy.htm">http://www.cor.eu.int/es/documents/progress_democracy.htm</a> |  |  |          |
|  | NUTS 0 | 1999 | 2003 |   |  |  | Raw data |
| Extent of financial dependence of local governments on central government    |        |      |      | National Technical University of Athens<br>Synthesis of national overviews (p. 111-115)   |  |  |          |
|  | NUTS 0 | 2006 | 2006 |   |  |  | Raw data |

|  |        |      |      |  |  |          |
|--|--------|------|------|--|--|----------|
| Devolution of powers to 1st tier local authorities                 |        |      |      | National Technical University of Athens<br>Synthesis of national overviews (p. 116-121)  |  |          |
|  | NUTS 0 | 2006 | 2006 | 2nd Interim Report (p. 90-92)<br><br><a href="http://www.espon.lu/online/documentation/projects/policy_impact/2785/2.ir-2.3.2.pdf">http://www.espon.lu/online/documentation/projects/policy_impact/2785/2.ir-2.3.2.pdf</a>   |  | Raw data |
|  | NUTS 0 | 2006 | 2006 | 2 <sup>nd</sup> Interim Report (p.90)<br>Synthesis of national overviews (p. 27-33)<br><br><a href="http://www.espon.lu/online/documentation/projects/policy_impact/2785/2.ir-2.3.2.pdf">http://www.espon.lu/online/documentation/projects/policy_impact/2785/2.ir-2.3.2.pdf</a> |  | Raw data |
| Forms of cooperation between agencies, departments and authorities | NUTS 0 | 2006 | 2006 |  |  | Raw data |
| Approaches for vertical co-ordination and co-operation             | NUTS 0 | 2006 | 2006 |  |  | Raw data |
| Integrated Spatial Planning  | NUTS 0 | 2006 | 2006 | Instituto Interuniversitario de Desarrollo Locak<br><br>Annex F (p. 55-70)   |  | Raw data |



## Table 4 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](mailto:peter.ache@udo.edu) , [Joaquin.Farinosa@uv.es](mailto:Joaquin.Farinosa@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) |
|---|--|----------------------|---|------------------------------|---------------------------------|
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
|   |  |                      |   |                              |                                 |
| <b>Scores</b>                                       | -1 = not involved/not applicable,<br>0 = standard involvement;<br>+1 = strongly involved | -1 =<br>0 =<br>+1 =  | no autonomy<br>balanced situation<br>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?  |  |              |          |                        |
|                              |  |              |          |                        |
|                              |  |              |          |                        |
|                              |  |              |          |                        |
|                              |  |              |          |                        |
|                              |  |              |          |                        |
|                              |  |              |          |                        |
| <b>Scores</b>                | <b>-1 =</b> inexistant<br><b>0 =</b> balanced<br><b>+1 =</b> 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> ,<br>not mentioned before? |  |   |                    |                    |                          |
|  |  |   |                    |                    |                          |
|  |  |   |                    |                    |                          |
| <b>Scores</b>  | -1 = mainly formal<br>0 = balanced<br>+1 = mainly informal | -1 = no influence/involvement;<br>0 = balanced / fair;<br>+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) |
|---|---|--------------------------------------|----------------------|------------------|-------------------|---------------|---------------|---------------|--------------------|----------------------|
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
|   |   |                                      |                      |                  |                   |               |               |               |                    |                      |
| <b>Scores</b>                                       | -1 = non existent / negative ;<br>0 = balanced/fair ;<br>+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)*

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

**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)*

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

**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)

| T7 - Other Actors (please list) | IN DECISION MAKING PHASE                                  |   |                     | IN IMPLEMENTATION PHASE                                   |   |                     |
|---------------------------------|---|---|---------------------|---|---|---------------------|
|                                 | 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?     |   |   |                     |   |   |                     |
|                                 |   |   |                     |   |   |                     |
|                                 |   |   |                     |   |   |                     |
| <b>Scores</b>                   | -1 = no influence<br>0 = balanced<br>+1 = strong position | -1 = no involvement<br>0 = fair position<br>+1 = pro active | 0 = no<br>1 = yes   | -1 = no influence<br>0 = balanced<br>+1 = strong position | -1 = no involvement<br>0 = fair position<br>+1 = pro active | 0 = no<br>1 = yes   |



Part II – Section IV: **Innovative tools, practices and mechanisms**

| T.8 - Innovative tools, practices and mechanisms (Please list) | Levels of Public Power involved | Integration (strategies, policies) (Q3)        | Partnership (Q3) | Co-operation (Q3) | Co-ordination (Q3) | Dialogue (Q3) | Conflict (Q3) | Non Relations (Q3) | Other (Specify) (Q3) | Achievement of Objectives (Q9)                   |
|--|---------------------------------|--|------------------|-------------------|--------------------|---------------|---------------|--------------------|----------------------|--|
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
|  |                                 |  |                  |                   |                    |               |               |                    |                      |  |
| <b>Score</b>   |                                 | -1 = not at all<br>0 = partly<br>+1 = strongly |                  |                   |                    |               |               |                    |                      | -1 = not at all<br>0 = partly<br>+ 1= completely |

**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.**

|  |  |
|--|--|
| <b>Outcomes</b>  |  |
| <b>Part II. Sec. V-A Q4</b>                                  |  |
| - Integrated planning  |  |
| - Territorial policy coordination                            |  |
| - Capacity to integrate local interest and to represent them |  |
| <b>Q6</b>  |  |
| - Helping EU Cohesion  |  |
| <b>Part II. Sec. V-B Q3</b>                                  |  |
| - Specific governance mode                                   |  |
| <b>Score:</b>  | <b>-1 = Not at all</b><br><b>0 = Partly</b><br><b>+1 = Strongly</b>              |
| <b>Failures &amp; Successes</b>                              |  |
| <b>Part III.</b>   |  |
| <b>Q 3</b>   |  |
| - 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                               |  |
| <b>Q 11</b>  |  |
| - Obstacles and barriers                                     |  |
| <b>Score:</b>  | <b>-1 = Strong</b><br><b>0 = Possible to overcome</b><br><b>+1 = No obstacle</b> |

**Thanks for your cooperation**

**Table 5 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)                                      |            |      |           |      |      | Readme!   |
| Employment (.000)   |            |      |           |      |      |   |
| Prim Sector (%)   |            |      |           |      |      |   |
| Sec Sector (%)  |            |      |           |      |      |   |
| Tert Sector (%)   |            |      |           |      |      |   |
| Employment NACE L-O (.000)  |            |      |           |      |      | Readme!   |
|   |            |      |           |      |      |   |
|   | 1984       | 1989 | 1994      | 1999 | 2004 |   |
| Unemploymentrate %  |            |      |           |      |      |   |
| Social Questions  | 1984       | 1989 | 1994      | 1999 | 2004 |   |
| Foreigners (.000, not home nationality)                           |            |      |           |      |      | (x where appropriate)   |
| Dependency Rates (% of Population receiving welfare support)      |            |      |           |      |      | Do you observe features of a 'Parallel Society' in you country, case study? |
| Sustainability  |            |      |           |      |      |   |
| Does a Local Agenda 21 activity exist? (delete where appropriate) | <b>Yes</b> |      | <b>No</b> |      |      |   |
|   |            |      |           |      |      |   |
|   |            |      |           |      |      |   |
| 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 | <i>Readme!</i> |
| Local                        |      |      |      |      |      |                |
| Regional                     |      |      |      |      |      |                |
| National                     |      |      |      |      |      |                |
| European                     |      |      |      |      |      |                |

| Assessment  |                               |                              |                         |
|---|-------------------------------|------------------------------|-------------------------|
| <i>(x where appropriate)</i>  | -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 6 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   | x  | José Rio Fernandes, Teresa Sá Marques | x  | x  | x  | x  | x    | x    |    | x  | x  |
| 2. Austria  | 2.1 Leoben   | x  | University of Graz                    | x  |    | x  | x  | x    |      | x  |    | x  |
|             | 2.2 Regional managements in Austria                                    | x  | University of Graz                    | 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   |    | Abegg/Thierstein                      | x  | x  | x  | x  | x    |      | x  | x  | x  |
|             | 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   | x  |                                       | x  | x  | x  | x  |      |      | x  | x  | x  |
| 14. Finland | 14.1 The Structural Land Use Plan of Lahti Region                      | x  | Arto Ruotsalainen                     | x  | x  | x  | x  | x    | x    | x  | x  | x  |
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| 15. Latvia  | 15.1 Zemgale Technological Park  | x  | Ralfs Spade                           | x  |    |    | x  |      |      |    | x  | x  |
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| 16. Norway  | 16.1 Trøndelag counties: common reg. development plan fylkesplan       | x  | Jon Moxnes Steineke                   | x  | x  | x  | x  | x    |      | x  | x  | x  |

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|               | 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                                      |   | Margareta Dahlström                  | x |     |   | x | x | x | x | x | x |
|               | 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       | x | Nijole Valeviciene, Rasa Sukeviciute | x | x   | x | x | x | x | x | x | x |
|               | 18.2 Vilnius city strategic plan 2002-2012                       | x | Nijole Valeviciene, Rasa Sukeviciute | x | x   | x | x | x | x | x | x | x |
| 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 |
| 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 |
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| 28. Netherl.  | 28.1 Knooppunt Arnhem Nijmegen KAN-region                        | x | Bas Hendrixx                         | x | x   | x | x | x | x | x |   | x |
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# ESPON project 2.3.2

Governance of Territorial and Urban  
Policies From EU to Local Level

## **Annex Report B**

**Synthesis of National Overviews**

# B



# **ESPON Project 2.3.2**

## **GOVERNANCE OF TERRITORIAL AND URBAN POLICIES FROM EU TO LOCAL LEVEL**

### **Annex Report B**

#### **Synthesis of National Overviews**

Louis Wassenhoven  
With Kalliopi Sapountzaki, and assistance from  
Evangelos Asprogerakas, Elias Gianniris and Thanos Pagonis.

#### **Separate volumes**

##### **Project Report**

Governance of Territorial and Urban Policies from EU to Local Level

##### **Annex report A**

Data & Indicators

Identifying Favourable Pre-Conditions for Territorial Governance Actions

##### **Annex report C**

Case Study Synthesis

##### **Annex report D**

Multi-Level/Vertical Dimension of Territorial Governance

##### **Annex report E**

Horizontal Dimension of Territorial Governance

##### **Annex report F**

Spatial Planning Styles: A new Physiognomy for Europe

National Technical University of Athens  
(Department of Urban and Regional Planning -  
School of Architecture)  
Laboratory for Spatial Planning and Urban  
Development



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.

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# **Chapter 1. Introduction and methodology**

## **1.1 Content and purpose**

An important task of the project, included in Work Package 2, was the production of national overviews for 29 countries and then their synthesis, which now appears in Annex B of the Final Report. Therefore, this report contains the synthesis of the national overviews produced for the purposes of the project ESPON 2.3.2 <sup>1</sup>. The national overviews were a basic source of information for the project, particularly for work in Work Package 2 (Application of governance practices: An overview at European and national level), but also, after their analysis, as input to other WPs. They covered 29 countries and provided up to date information on a very broad range of issues.

In this Annex we also present the steps of this process, i.e. the guidelines issued to all partners for writing the national overviews <sup>2</sup> and then of the guidance given to members of the team of the National Technical University of Athens (NTUA) to help them analyze in a structured way the overviews and thus prepare the ground for the overview synthesis.

The countries represented in this analysis are the following:

|                   |                       |                    |
|-------------------|-----------------------|--------------------|
| 1. Austria        | 11. Greece            | 21. Poland         |
| 2. Belgium        | 12. Hungary           | 22. Portugal       |
| 3. Bulgaria       | 13. Ireland           | 23. Romania        |
| 4. Cyprus         | 14. Italy             | 24. Slovakia       |
| 5. Czech Republic | 15. Latvia            | 25. Slovenia       |
| 6. Denmark        | 16. Lithuania         | 26. Spain          |
| 7. Estonia        | 17. Luxembourg        | 27. Sweden         |
| 8. Finland        | 18. Malta             | 28. Switzerland    |
| 9. France         | 19. [The] Netherlands | 29. United Kingdom |
| 10. Germany       | 20. Norway            |                    |

In the original tender of the project, in the section on “aims and objectives” of WP2, it was made clear that “one of the primary issues envisaged for the research is a comprehensive overview of formal and informal cooperation and coordination tools and mechanisms (institutional and instrumental approach), relevant for the management of territorial and urban – oriented development policies... An overview of the great diversity of situations will be

---

<sup>1</sup> This report was compiled and written by Professor Louis Wassenhoven, assisted by members of the research team of the National Technical University of Athens, i.e. Dr E. Asprogerakas, Dr El. Gianniris and Dr A. Pagonis, and, in particular, Dr K. Sapountzaki.

<sup>2</sup> These guidelines, with their annexes, were first presented in the 1<sup>st</sup> Interim Report.

made through the elaboration of national reports using national policy documents and reports, secondary and specific bibliography... The work package aims at national level to identify existent and tentative groupings of relevant territorial and urban oriented policies (cross-sectoral approach of territorial development). Also, how new ways of governance, including the level of implication of civil society, are present in both phases, design and application of policies at national level. Particular attention will be paid to the involvement in experiences of governance at trans-national level, highlighting the progressive construction of a 'macro-region system'... From a vertical approach, national studies should take into consideration different policy traditions and regional planning systems. As a specific part, each national report must describe and analyze how far (or not) the Open Method of Coordination has been implemented".

Work Package 2, always according to the tender, had to follow a "wide approach to horizontal and vertical cooperation and coordination practices and tools (formal and informal, legal and non-statutory – including civil society participation) existing in decision-making and application processes of territorially – oriented policies at national level". It would contribute to other work packages (3 and 4) in various ways.

The aim of the national overviews was discussed further in the 1<sup>st</sup> Interim Report of the project, in connection with the updating of the *EU Compendium of Spatial Planning Systems and Policies*. It is true that the ESPON 2006 Programme, at its section on Action 2.3.2, included among its "primary research questions" the "assessment of strategies for the update of the EU Compendium". The ESPON 2.3.2 project was therefore seen from the outset as an important step towards this goal, but from a new perspective, largely influenced by ESDP (European Spatial Development Perspective / Potsdam version), the 3<sup>rd</sup> Cohesion Report and the White Paper on European Governance. In the present project, the ground had to be prepared for updating the Compendium. We had of course in mind that according to our terms of reference, "the final aim of the project should not be to provide a comprehensive updated review of the governance chapter of the *EU Compendium of Spatial Planning Systems and Policies*, which would be too ambitious. However, the policy recommendations should in a way be drafted in the perspective of providing suggestions, orientations, to a future possible revision of the document".

As explained in the 1<sup>st</sup> Interim Report, it was with these objectives and intentions in mind, which were enriched later through an internal project dialogue, that we proceeded to draft the guidelines

<sup>3</sup>, which were to be issued to all project partners to help them in their task of writing national overviews for 29 European countries. The guidelines were organized to cover as many aspects of governance as possible, within the limitations of time and available resources. Our argument was that the overviews should provide a good diagnosis and a picture of territorial governance, where the departures from old style spatial management and planning were evident. We kept in mind the need to produce later a synthesis of the national overviews, which is now presented in the final report as Annex B, and a typology of situations. We were aware that it would be impossible, given the time constraints, to exhaust all possible sources of information. What we hoped however, through the overviews, was to capture the essence of the practices, processes, mechanisms and agencies, which are akin to the spirit of governance. We were also aware that at a later stage, with the benefit of a large number of case studies, we would be able to refine our conclusions.

We also agreed that in writing the overviews we should not hide weaknesses or underplay the resistance to change. Equally, that we should avoid being uncritical and over-respectful to policy and guidance emanating from whatever level of governance, EU or national. Given that we expected an impressive variety of situations, we knew that the various faces of government and governance were not by definition positive. The guidelines encouraged the overview writers to throw light on the way the "governance debate" has generated positive and / or negative responses and on the factors that played a role in determining these attitudes.

The guidelines, as finalized in December 2004, which were deliberately kept concise and short, allowed in some cases the use of representative examples instead of a complete record of all available information, which might be prohibitively time - consuming to compile, and at the same time tedious to read. This approach was to be developed further through the elaboration of case studies (see Annex C of Final Report). Overview writers were encouraged not to hesitate to report that no progress towards governance had been made. Instead they were asked not to evade answering all questions, but to provide answers which would convey the prevailing climate, without excessive detail.

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<sup>3</sup> The guidelines were drafted by two of the project's partners in close collaboration with the Lead Partner. They were the National Technical University of Athens (Laboratory for Spatial Planning and Urban Development) and the Delft University of Technology (OTB / Research Institute for Housing, Urban and Mobility Studies), and more specifically Louis Wassenhoven from NTUA and Dominic Stead and Bas Waterhout from OTB. L. Wassenhoven wishes to express his thanks to the NTUA research team (K. Sapountzaki, El. Gianniris, E. Asprogerakas, A. Pagonis and Ch. Petropoulou) for their assistance and observations.



As we explained in the 1<sup>st</sup> Interim Report, the guidelines were accompanied by an annex, which was more extensive, at least relative to the guidelines themselves. This annex contained notes designed to help overview authors in their task. Once again, the intention was to avoid imposing excessive constraints, without however missing essential information. Naturally, both the guidelines and the explanatory notes aimed at making comparisons meaningful and feasible, to enable the compilation of a typology and classification, which also formed part of Work Package 2 and of the present synthesis. It goes without saying, that the guidelines and the explanatory notes became the object of an intense dialogue, by e-mail, between the partners involved and the Lead Partner. They were also checked by members of the project core group. Even so, they were re-adjusted on the basis of comments received from some partners, after they had been disseminated to all partners.

There was a second annex <sup>4</sup> attached to the guidelines, which focused on definitions of the concept and content of governance. This theoretical text was by no means a substitute of a far more extensive effort by other partners to provide a theoretical input with a more structured approach to the subject. It was felt however that it was essential to send to all partners, and send it at an early stage, a support instrument which would be of assistance in collecting the information necessary for the national overviews and in clarifying the spirit of the task at hand. Although this annex had such a clearly instrumental purpose, it is nevertheless included here.

The synthesis of national overviews started in February 2005, when most of the overviews had been submitted, although some were submitted or revised later. The first results appeared in the 2<sup>nd</sup> Interim Report. Two synthesis reports, for different sections of the overviews, were prepared by the teams of NTUA (National Technical University of Athens) and OTB / Delft (Research Institute for Housing, Urban and Mobility Studies / Delft University of Technology). They were presented to the partners in their outline form. All partners were invited to study them and provide a feedback in the form of comments, corrections and additions.

The NTUA report, which now in its final form is Annex B of the Final Report, included a number of tables in which countries were classified in terms of criteria, such as official acceptance of governance, extent of devolution of powers to regional or local

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<sup>4</sup> This annex was prepared by Popi Sapountzaki and Louis Wassenhoven of the NTUA team. A diagram was added by Joaquin Farinós of the Lead Partner.

authorities, experience of working with partnerships etc., which appear in the analysis that follows. It also included short paragraphs on each country, now fully presented in Annex B of the Final Report, which were drawn from the national overviews, in some cases *verbatim* or by summarizing and editing the relevant sections. The authors of the national overviews checked these comments, some times repeatedly, and made corrections or additions, in an iterative process. They also checked the position of countries in the tables, a process which was completed almost at the time of drafting the final report.

Although these tables and short paragraphs did not appear in the 2<sup>nd</sup> Interim Report, because of the process of validation by the partners, an exception was made for some subjects, because of their relative importance, e.g. the Open Method of Coordination, transfrontier cooperation, spatial problems and styles of planning. At that stage of course there were still information gaps in the national overviews. Incidentally, it is worth repeating that the process of validation by the partners continued almost to the end of the project cycle, through regular communication between the NTUA team and other partners. The 2<sup>nd</sup> Interim Report also included tentative conclusions from virtually all the sections of the synthesis of national overviews, not only of the NTUA report, but also of the OTB one. The NTUA synthesis (now Annex B of the Final Report) was divided into 23 sections, a classification which remained to the end and is still followed in the present text.

## **1.2 The structure of national overviews: Guidelines**

We reproduce here the guidelines which were finalized in December 2004 and sent to all ESPON project 2.3.2 partners, to help them compile the national overviews and to ensure co-ordination and compatibility. As mentioned already, they were accompanied with "guidance notes", appended as "Annex A" to the guidelines and a set of "definitions, principles and criteria specifying the concept and the operational content of governance", appended as "Annex B" to the guidelines. These two annexes are included later in this report.

### Structure of the national overviews

(20 – 40 pages)

Part I: Institutional context (11 pages)

1. Country profile (3 pages)

- 1.1. Essential socio-demographic and economic statistics
- 1.2. Spatial structure and urban system
- 1.3. Key spatial problems, conflicts and issues

## 2. General institutional structure of government (3 pages)

Levels of government, and for each level a description of:

- the structure of government departments
- the division of responsibilities / competences
- resources (tax system, main budgetary source, legislative abilities, etc)

## 3. The system of governance (5 pages)

### 3.1. Responses

Integration of governance concepts / principles / processes in national statutes and / or official policy statements. Changes in formal government / administration aiming to make them more open, transparent etc. to allow a modification in the direction of the principles of governance. New agencies to address innovations in the practice of governance. Impact of Structural Funds as mechanism to support new governance practices.

### 3.2. Debate and attitudes

- Debate on new governance approach and attitude towards the White Paper on European Governance (acceptance, criticism, rejection?).
- Rationale behind the introduction (or reluctance to introduce) of innovative governance approaches.
- The influence of national / regional / local political culture and / or tradition on the system of governance, and expected trends in the future.

### 3.3. Methods

- Introduction of new management / co-operation methods, such as the Open Method of Coordination.<sup>5</sup> Fields where such methods have been applied (e.g. employment, pensions, health care etc.).
- Guidelines, if any, issued to regulate operation of partnerships, public involvement / participation / consultation in line with governance principles. Use of examples.

### 3.4. Forms of cooperation

Examples of agreements, contracts, pacts, etc. between formal, informal, social, voluntary and/or, private agencies (in any combination), to enable better co-ordination (vertical, horizontal, lateral, diagonal) and effectiveness. Examples of government /

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<sup>5</sup> The Open Method of Coordination (OMC) is a systemised soft law technique which, through a wide range of tools seeks to induce compliance with commonly agreed EU objectives, even without binding legislation or formal sanctions, in areas that may be wholly within the competence of the Member States. Examples include guidelines, indicators, benchmarking systems, networking and peer review.

university / research consortia set up to address territorial issues (e.g. innovation, knowledge dissemination etc.).

Part II: Territorial governance (28 pages)

4. Territorial competencies and responsibilities (7 pages)

- 4.1. Overview of planning legislation
- 4.2. Key institutions and important planning agencies at national level (public / semi-public / partnership etc.). Examples of similar agencies at regional or local level.
- 4.3. Roles and responsibilities of governmental layers and agencies
- 4.4. Roles and division of competencies between departments
- 4.5. Allocation of resources by agency / department
- 4.6. Centralization / decentralization / devolution of spatial planning
- 4.7. Involvement of politics in actual policy implementation

5. Cross-border and transnational co-operation (2 pages)

- 5.1. Arrangements for trans-national and cross-border co-operation, with emphasis on spatial planning (transboundary, transnational, within the EU, with non-EU countries, international networking of regions, cities, etc.). Use of examples.
- 5.2. Existence of cross-border joint planning agencies, joint plans or cross-border standing committees. Use of examples.

6. Instruments for spatial planning and policies with territorial effects (6 pages)

- 6.1. Planning instruments: What are they? Who has main responsibility? What is their territorial coverage? Are they binding or not? What is their emphasis (e.g. land use, location of activities, spatial development, infrastructures)? Spatial development monitoring systems.
- 6.2. Territorial and urban policies, which are explicitly related to the planning, management and / or governance of space (regional, urban etc.), as they appear in the latest relevant official documents and / or statements.
- 6.3. Sectoral policies (not mentioned in 6.2) with an important spatial impact, concerning e.g. transport, the environment, rural development etc. and any other relevant policy area, as they appear in the latest relevant official documents and / or statements, and short analysis of their territorial dimension. If possible, indicative discussion of the spatial impact of one sectoral policy of special significance.
- 6.4. Problems arising out of inadequate policy co-ordination. How do policies suffer from this lack of co-ordination?
- 6.5. Examples of policy packages (especially with spatial content), aimed at securing intersectoral policy integration and enhanced synergies (e.g. business location in the Netherlands – ABC policy)

## 7. Processes for spatial planning (5 pages)

- 7.1. Co-operation between official agencies and agencies outside formal government system (NGOs, citizen groups, trusts etc.)
- 7.2. Examples of existing professional and public "*fora*" for dialogue and debate
- 7.3. Examples of mechanisms of participation and spatial conflict resolution: the nature of existing procedures, within the formal system; categorization of actors invited to participate; available mechanisms for objection and arbitration.
- 7.4. Examples of existing informal and ad hoc mechanisms for planning and development, such as the involvement of agencies outside formal government system:
  - 7.4.1. NGOs assigned observation / watchdog role (e.g. WWF)
  - 7.4.2. Secondment arrangements between government and universities
  - 7.4.3. Spatial development observatories

## 8. Approaches for horizontal and vertical cooperation and coordination (5 pages)

- 8.1. Relationships between different agencies at one level of government and between different levels of government with specific reference to spatial planning
- 8.2. Co-operation between agencies, departments, authorities and / tiers of government in relation to the production and implementation of planning instruments. Use of examples.
- 8.3. Relations with EU policies and / or programmes<sup>6</sup>
- 8.4. Examples of regional / local initiatives for integrated territorial planning (e.g. planning of functional urban regions, inter-municipal or inter-regional planning arrangements, transfer of responsibilities to jointly created bodies)
- 8.5. Examples of strategic planning initiatives, especially at regional and / or metropolitan level.

## 9. Final comments (2 pages)

- 9.1. Brief description of the style of planning which is characteristic of the country.
- 9.2. Conditions leading to shifts in governance.

## 10. Proposed case studies (1 page)

Preliminary list of 3 – 5 possible case studies (at any level: local, Functional Urban Areas, Regional, National, Transnational), which best illustrate the issues touched upon in the previous sections of the guidelines and best reflect the

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<sup>6</sup> Examples include:

- The influence and / or interaction between national instruments and EU policies / programmes / initiatives (e.g. Interreg, Urban or Leader), within the existing formal system of planning and EU / country relationship
- Spatial elements and provisions resulting from EU policies / legislation / programmes which have been incorporated in formal planning system
- Spaces administered under special EU status (e.g. Natura 2000 areas)

current governance situation of the country and its overall development profile. The cases proposed should cover a variety of issues and situations. Each case should be accompanied by a description of a few lines.

11. Bibliography and websites
12. Scientific team responsible for national overview

### 1.3 Guidance notes for writing the national overviews

In this sub-section we reproduce the "guidance notes" appended as "Annex A" to the guidelines for writing the national overviews (see above, section 1.2), which were sent to all ESPON project 2.3.2 partners in December 2004.

#### General comments

- a) There should be particular, but not exclusive, emphasis throughout the document on important changes over the last 10 years, especially since the publication of the European Spatial Development Perspective (1999). The current situation should be compared against the EU Compendium of Spatial Planning Systems and Policies and other similar compendia <sup>7</sup> prepared before the publication of the ESDP. The national overviews should also highlight similarities between the planning system of the country concerned and the styles of planning identified in the EU Compendium of Spatial Planning Systems and Policies.
- b) The main focus of the national overview should be on the level(s) of government with the main competence(s) for spatial planning. In some countries this may be the national level, in others this may be the regional level. ESPON 2.3.2 is about "governance of territorial and urban policies", hence we should approach the overviews through the "governance" lens. The term is described extensively in the White Paper on European Governance, in the ESPON 2.3.2 proposal (section 4.1), in Annex report C on "governing polycentrism" of ESPON project 1.1.1 and in an Annex B of these guidelines. However, notwithstanding remark (a) above, the overviews should not concentrate exclusively on processes, practices, instruments, policies or agencies introduced after the publication of the White Paper, since such processes etc. may have existed earlier, even though at the time of their introduction there was no explicit reference to governance, as defined today. It goes without saying that we are interested in processes etc. of some importance and with clear relevance to the principles, which we associate with governance.

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<sup>7</sup> For the Slovak Republic, Hungary, Slovenia, Bulgaria and Romania see Vision Planet ([http://www.bbr.bund.de/raumordnung/europa/vplanet\\_download.htm](http://www.bbr.bund.de/raumordnung/europa/vplanet_download.htm)), for Bulgaria and Romania see ESTIA (<http://estia.arch.auth.gr/estia/eng>), for Norway, Poland, Lithuania, Latvia and Estonia see VASAB (<http://vasab.leontief.net>), for Norway see also the Nordregio report by Kai Böhme entitled 'Nordic Echoes of European Spatial Planning: Discursive Integration in Practice' (<http://www.nordregio.se/publicat.htm>), and for Switzerland see the Swiss National Planning Agency (<http://www.are.admin.ch/are/en/raum/verkehrsinfra>).

- c) Attention should be given to the difference between formal and informal processes, practices, instruments, policies and agencies. "Formal" is e.g. a policy or practice which is official, legislated and/or established, regardless of whether it follows an old formal government style or an innovative and novel approach, which is nearer to governance principles. It may or may not have been a recent introduction into official, legislated and/or established policy and practice. Besides, as mentioned above, quite a number of policies and practices did follow these principles, even before "governance" entered the official vocabulary. It would be however important to know whether they were adopted after the White Paper on European Governance and / or as a result of it. "Informal" is e.g. a policy or practice, which is voluntary or simply non – obligatory, i.e. is not compulsorily initiated and is rather the outcome of voluntary initiatives. Such policies, practices, agencies etc. are frequent and can have all the attributes which link them to governance principles, in the White Paper sense.
- d) An *indicative* number of pages of text (excluding diagrams, etc) is identified per section: this is only meant as an indication of the relative proportion of material to be provided per section. The national overview is thus expected to amount to around 40 pages for a 'typical' overview, without sections 11 and 12.

## Part I: Institutional context

### 1. Country profile

Under "essential social, demographic and economic statistics", the national overview authors can include population and area of the country, national GDP, GDP per sector, population breakdown (sex, active / non active, ethnicity, urban / non urban), and employment (total and by sector). It would be preferable to draw this information from the latest EUROSTAT statistics, where possible, or from the latest UN statistics (last 10 years). If this information is obtained from recent similar projects and / or planning compendia, this should be clearly indicated.

For information on "spatial structure", the authors can direct the reader to other ESPON projects or similar studies, but it is important to provide here a brief comment on the broad, basic geographical structure of each country, the relative isolation of particular regions, the islands (number, population, area), mountain zones (population, area), protected areas and distant territories. Particular emphasis must be given to spatial problems and sources of spatial conflict (e.g. in peri-urban or tourist zones), which are the result of competing uses or of competition over the use of resources (e.g. water). A grouping into e.g. "urban / rural" or "islands / mountains / other" would be desirable, but individual partners may propose groupings which are more suitable to the conditions of each country.

### 2. General institutional structure of government

The headings of this section are self-explanatory. Revenue should be related to levels of government, depending of course on each country's system (centralized, federal etc.), but its sources should be broadly indicated in figures for each country as a whole (national taxation, regional / local taxation, special charges

and dues, revenues from properties etc., depending on the country concerned). Public investment should be again subdivided according to source (central, regional, municipal), with a separate indication of EU sources (e.g. through the Community Support Frameworks, EU Initiatives etc.).

### 3. The system of governance

National overview authors are reminded of the introductory remarks in these guidelines, especially (b) and (c). (see page 1 of this annex of the guidelines).

According to Rhodes (1996), the concept of governance is currently used in contemporary social sciences with at least six different meanings:

1. the minimal State
2. corporate governance
3. new public management
4. good governance
5. social-cybernetic systems
6. self-organised networks

The European Commission established its own concept of governance in the White Paper on European Governance (CEC, 2001), in which the term 'European governance' refers to the rules, processes and behaviour that affect the way in which powers are exercised at European level, particularly as regards openness, participation, accountability, effectiveness and coherence. These five 'principles of good governance' reinforce those of subsidiarity and proportionality.

3.1. Our interest here lies in the extent to which references to governance concepts, principles and processes have been incorporated in national legislation and policy statements, and when (date or period). Reference should be made to changes in the structure of government and administration at all levels to make them more consistent with the pursuit of governance objectives, and when (date or period). Of special interest are changes supported by the Structural Funds, as a mechanism for new multilevel (vertical) relations or horizontal ones (cross-sectoral, partnerships among organizations and private-public stakeholders)<sup>8</sup>. In addition to this information, more information is requested on whether new agencies have been created to promote the objectives of governance. Such agencies are not necessarily parts of the official government and administration and they may be created to ensure greater independence and impartiality.

3.2. Here we need information on the debate that has (or has not) taken place in each country, following the publication of the White Paper. Was it discussed? What views (positive or negative) have been expressed? We need to know the arguments used to introduce (or hesitate / refuse to introduce) reforms and innovations in line with governance principles, before, but mainly after, the publication of the White Paper. In connection with the social and political culture and tradition of a country, the focus should be on how they have influenced decisions in relation to the above reforms and innovations, in a positive or negative way. Are these factors expected to change in the future? Difficulties and obstacles should be highlighted in this sub-section.

3.3. In this sub-section the emphasis is on whether specific steps were taken (e.g. by issuing guidance) to encourage the creation of partnerships and the involvement and participation of citizens, always with the aim of implementing

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<sup>8</sup> Results of 2.2.1 ESPON project "Territorial Effects of Structural Funds" should be explored.



reforms consistent with principles of governance, as interpreted in each country's conditions. We are concerned here with methods. To ensure better governance, management and more effective policy – making, a number of innovative management methods can be used. It is of interest to know whether such methods have been used. Of special importance is the use of the Open Method of Coordination, reference to which is made in the following sources:

- CNRS – UMR Géographie-cités (2004), *Critical Dictionary of Polycentrism*, ESPON Project 1.1.1 (Potentials for Polycentric Development in Europe) / Annex report A (see section 4.5, under Coordination);
- Commission of the European Communities, *European Governance: A White Paper*, COM(2001) 428 final, 25.7.2001 (see section 3.2);
- Faludi, A. (2004), The Open Method of Coordination and 'post-reulatory' territorial cohesion policy, *European Planning Studies*, 12(7): 1019-1033;
- Gore, T. (2004), The Open Method of Coordination and policy mainstreaming: The European Employment Strategy and Regional Conversion Programmes in the UK, *European Planning Studies*, 12(1): 123-141.
- Presidency Conclusions, Lisbon Council, 2000.

Answers to these questions can rely on the use of examples.

3.4. A variety of instruments are being used in European countries to enable more effective co-operation between sectors and better co-ordination of effort. Although the names and content may differ, they have similar objectives. Information is requested on such instruments. A second concern here is the emergence of consortia and schemes of co-operation between "knowledge producers" (universities or research centres) and government, aiming, in a systematic way, at promoting objectives associated with the concept of governance, e.g. knowledge dissemination and the spreading of innovations. What is needed here is examples of such practices.

## Part II: Territorial governance

### 4. Territorial competencies and responsibilities

National overview authors are reminded of the introductory remarks in these guidelines, especially (a). (See page 1 of this Annex A).

4.1 – 4.3. These sub-sections should be answered briefly, using a diagrammatic presentation, when and where this is possible. If the existing situation does not differ from that presented in recent projects and / or compendia, this should be pointed out and the reference should be given. Changes since the last such project or compendium should be mentioned clearly. This is the place where planning agencies or bodies undertaking planning tasks will be presented. Apart from central government bodies, agencies at regional or local level should be mentioned, using examples. In addition to key institutions and agencies, there may be others, outside formal government, which deserve mentioning, even by way of examples. These may be e.g. *ad hoc* authorities or voluntary agencies or bodies with a partnership nature. Equally, they may be non-profit or non-governmental agencies set up to co-ordinate and integrate planning activities.

4.4. The division of responsibilities between departments of the same agency should be presented only for certain key agencies (e.g. the central government ministries primarily concerned with territorial issues) or for typical cases (e.g. a

regional authority or a municipality). The exact presentation will inevitably vary according to the country concerned.

4.5. The issue of resource allocation should be addressed with reference to layers of government (e.g. central government, federated states or regional authorities, municipalities) and to individual key agencies and typical cases, as in 4.4. The exact presentation will inevitably vary according to the country concerned.

4.6. The best way to approach this question is by making a brief comment on how the issue has been approached in the particular circumstances of each country.

4.7. A brief comment is required on how politics (at any level) influence (or interfere with) the implementation of policies. The particular socio – political culture of the country concerned plays here an important role.

## 5. Cross-border and transnational co-operation

Information in this section is complementary to that supplied in the previous section. It can be answered with the use of examples.

5.1. Such arrangements are given special emphasis in the context of EU policies. The answer must include examples and the nature and tasks of these arrangements (see also next sub-section).

5.2. In addition to sub-section 5.1, this sub-section must provide information on specific agencies etc., entrusted with cross – border initiatives on a regular basis, which goes beyond *ad hoc* initiatives.

## 6. Instruments for spatial planning and policies with territorial effects

National overview authors are reminded of the introductory remarks in this annex of the guidelines, especially (a). In relation to policies (6.2 and 6.3) they are encouraged to comment on the openness of their formulation processes, the level of participation, their coherence and the accountability of actors involved.

6.1. This sub-section should be answered briefly, using a diagrammatic presentation, when and where this is possible. If the existing situation does not differ from that presented in recent projects and / or compendia, this should be pointed out and the reference should be given. Changes since the last such project or compendium should be mentioned clearly. If particular instruments are considered of special importance in the context of ESPON project 2.3.2, then additional comments can be included.

In the *EU Compendium of Spatial Planning Systems and Policies* (table B.1, p. 52), spatial planning instruments were classified as follows: (a) National Policy and Perspectives (national perspectives, spatial planning guidance, sectoral plans / guidance); (b) Strategic (general strategic instruments, second level strategic instruments for part of an area, sectoral instruments, city region plans); (c) Framework (masterplan); and (d) Regulatory (regulatory zoning instruments, local building control instruments, implementation instruments).

6.2. Policies included here are those which have been officially adopted and have territorial management and governance as their explicit aim. Urban or

metropolitan government is an example. The influence of similar policies of the European Union should be discussed briefly.

6.3. Policies included here are those which have been officially adopted to address other sectors, which indirectly affect national, regional or local space. Apart from the examples of sectors mentioned in the guidelines, it is of interest to consider the sectors mentioned in the European Spatial Development Perspective, as having an impact on spatial development. The influence of similar policies of the European Union should be discussed briefly. The spatial impact of sectoral policies can be discussed very briefly and in an indicative way, using one example of such policy.

6.4. The problem of inadequate sectoral policy co-ordination is extensively discussed in the European Spatial Development Perspective and in the 3<sup>rd</sup> Cohesion Report. Here we are keen to obtain information, in the form of comments, on how the lack of co-ordination affects spatial development in individual countries and on whether the principle of subsidiarity is adequately taken into account.

6.5. This sub-section is related to sub-section 6.3. However, here we should report on example(s) of specific policy packages (especially those with a territorial dimension) which have been implemented in order to overcome the friction of inconsistency between policies and actions, create more "value added" and achieve better results.

## 7. Processes for spatial planning

Although there may be overlaps between this section and sections 4 - 6, this section is necessary in order to bring out processes of "formal-informal" and "public-private" co-operation, of conflict resolution, of participation and dialogue and of "informal" mechanisms for planning and development. This information is categorized in sub-sections (see guidelines). Our aim is to throw light on the richness of initiatives which may or may not be of a statutory character. Such initiatives are a good reflection of the "governance culture" of each country. Often their existence is a telling comment on the difficulties encountered by official governments and administrations to respond to changing circumstances. Given the probable multitude of processes, initiatives etc., the section can be answered through the use of examples.

## 8. Approaches for horizontal and vertical cooperation and coordination

This section is devoted to aspects not covered in previous sections and can be answered through the use of examples.

8.1 - 8.2. These sub-sections are about vertical and horizontal relationships within and between official agencies and tiers of government, with specific reference to spatial planning and planning instruments. The aim is to capture an essential dimension of effective governance. In contrast to section 7, the emphasis is on coordination within the government system.

8.3. Our interest here is to examine links and relations between the formal planning system of a country and EU policies and / or programmes, e.g. of the type explained in the footnote in the guidelines.

8.4. In this sub-section we aim to cover initiatives not mentioned elsewhere which promote integrated spatial planning. Certain types of such initiatives are already emerging and are closely related to European policies, e.g. the co-ordinated planning of functional urban regions.

8.5. A particular case of great interest, which may or may not be related to the previous sub-section, is instances of strategic planning at regional and / or metropolitan level. Such strategic planning exercises are not necessarily examples of statutory instruments. Strategic plans are often undertaken outside the formal planning system, as a response to the changing international context and the role of regions and cities in it.

## 9. Final comments

9.1. National overview authors are invited to describe here their perception of the style of planning which has prevailed gradually in each country. They can, if they wish, consult the classification of planning systems proposed in other sources, without being constrained by them. E.g. the authors of the EU Compendium of Spatial Planning Systems and Policies differentiate between the Regional Economic Planning approach, the Comprehensive Integrated approach, the Land Use Management approach and the (mostly Mediterranean) Urbanism tradition (European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, Office for Official Publications of the European Communities, Luxembourg, 1997, pp. 36-37). A different classification is adopted in 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), which follows Newman and Thornley (Newman, P. and A. Thornley, *Urban Planning in Europe*, Routledge, London, 1996, ch. 3). Here, a distinction is made between planning systems which belong to the British, Napoleonic, Germanic, Scandinavian and East European families. In the context of ESPON 2.3.2, what is expected of the national overview authors is to describe in a nutshell the essential features of each country's system.

9.2. An equally short comment is expected in this sub-section. Here the emphasis is on the situation that produced responses conducive to "governance" as understood in the context of ESPON 2.3.2. The comments in the introduction to this annex of the guidelines are again pertinent, especially (b) and (c). The relevant questions regarding these responses are: What was there in the given national culture or political system that produced them? What were the dynamics that led to their introduction? Being fully aware of the difficulty of answering these questions without producing a special study, we still think it worthwhile to provide some tentative suggestions. The reason is that it is not sufficient to know what "governance practices" are in place. We also have to address "contingent" shifts from government to governance regimes, to locate "governance occurrences and scenes", to reveal the forces generating these developments, to evaluate relevant structures, processes and outcomes in terms of "good governance principles" and finally to identify their territorial impacts at different spatial levels. We also have to take into account negative attitudes to governance, motivated by the belief that it contributes to the dismantling of the welfare state and to the surrender of elected government powers to mechanisms controlled by private interests. A good deal of this debate forms part of other sections of the overviews, but here we can dwell more on what has given birth to "governance practices" or on what circumstances created a favourable or unfavourable climate for their adoption.

## 1.4 Guidance on the concept and content of governance

The next text which we reproduce here is the second annex of the guidelines of national overviews (see above, section 1.2). This text, with the title "Definitions, principles and criteria specifying the concept and the operational content of Governance", was appended as "Annex B" to the guidelines for writing the national overviews, which were sent to all ESPON project 2.3.2 partners. It was meant to assist overview authors and provide them with a set of theoretical definitions and comments from the governance literature:

### *Governance: Definitions and criteria*

- The concept of Governance is a complex one. It involves working across boundaries within the public sector as well as between the public, private and community sectors. It is a process rather than a product. It operates at different levels and it is important to develop the Governance systems at the appropriate layer (ESPON, 2004).
- Urban Governance is not simply urban management. Governance processes are not simply managerial processes, instead they are heavily politicized (ESPON, 2004).
- Urban Governance may also be perceived as the set of actions and institutions within an urban region that regulate or impose conditions for its political economy (Sellers 2002)
- Eurocities (2002) perceive the structure of Governance as one of "spheres" of influence and expertise rather than tiers of subsidiarity in a hierarchy of powers.
- Governance implies not just a decentralization of government, but also an expansion of horizontal linkages in the political and administrative system.
- Governance, in its descriptive sense, directs attention to the proliferation of agencies, interests, service delivery and regulatory systems which are involved in making policies and taking actions (Healey *et al.*, 2002). In the normative sense, Governance is defined as an alternative model for managing collective affairs. It is seen as "horizontal self-organization among mutually interdependent actors" (Jessop, 2000). In such case, government is not the only actor and indeed has only imperfect control (Rhodes, 1997).
- For a definition of the meaning of Governance, Salet, Thornley and Kreukels (2003), turn to Gualini: "Governance is – in general terms – a notion that deals with the reframing of both 'formal' and 'working' relationships between ideal types of social order in realizing governing effects". The key words are "state" (public interest, hierarchy, coercion, monopoly of legitimate violence, territorial sovereignty), "market" (private interest, competition, exchange, failure in producing collective goods), "community" ('commons', reciprocity, cooperation, trust, solidarity), "firms" (corporate interest, hierarchy, principal – agent relationships, instruction – based relations, vertical integration), and

“associations” (concertation of collective interests, collective self – regulation, ‘private government’).

- “The systems of governance of a society or community refer to the processes through which collective affairs are managed. Governance involves the articulation of rules of behaviour with respect to the collective affairs of a political community; and of principles for allocating resources among community members... [G]overnance activity is diffused through the multiplicity of social relations we have, and may take many forms. It is a matter of specific geography and history how responsibilities are distributed between formally-recognised government agencies and ... other arenas of governance... [G]overnance is not the sole preserve of governments. We are all involved in some way, and have experience of managing collective affairs. This experience, though largely neglected by those writing on politics and planning, provides a resource through which new forms of governance can be invented” (Healey, 1997).
- The shift from government to Governance means a change in focus which is then placed more on processes and less on institutions. Hence Governance may be defined “as a process through which local political institutions implement their programmes in concert with civil society actors and interests, and within which these actors and interests gain influence over urban politics” (Pierre, 1997).
- “Governance refers ... to any form of coordination of interdependent social relations – ranging from simple dyadic interactions to complex social divisions of labour. Three main forms are usually distinguished: the anarchy of exchange (for example, market forces), the hierarchy of command (for example, imperative coordination by the state) and the heterarchy of self-organization (for example, horizontal networks). Sometimes I will refer to this third form as governance... This involves the reflexive self-organization of independent actors involved in complex relations of reciprocal interdependencies, with such organization being based on continuing dialogue and resource-sharing to develop mutually beneficial joint projects and to manage the contradictions and dilemmas inevitably involved in such situations... Governance organized on this basis need not entail a complete symmetry in power relations or complete equality in the distribution of benefits: indeed, it is highly unlikely to do so almost regardless of the object of governance or the ‘stakeholders’ who actually participate in the governance process... Governance mechanisms and practices have key roles in modulating the scalar and spatial divisions of labour and allocating specific tasks to different time scales and periods” (Jessop 2002b: 52).
- Bob Jessop mentions typologies used to classify welfare regimes. He refers first to G. Esping – Andersen’s typology: The liberal type, the conservative type, the social democratic regime and the the familial or Southern European regime. He then discusses a six-fold typology: Market liberal (subdivided into American and Antipodean variants), social democratic, conservative – corporatist (or Christian Democratic), Mediterranean (or Southern European), and Confucian (or East Asian) (Jessop 2002b: 62-63). There is here an underlying parallel with classifications of planning systems.
- From the regime theory perspective, the problem of Governance understood as the challenge of collective action, can be resolved by forming governing coalitions or regimes that are informal, stable, have access to institutional resources, have sustained role in decision-making and draw on actions from public and non-public sectors (Stoker, 2000).
- “Metropolitan governance may be defined in simple terms as co-operative approaches in city – regions / metropolises between the stakeholders who can

influence development strategies. Those co-operations may take on different forms and mostly a necessary reaction to the mismatch between the metropolitan challenges on one hand, and the fragmented political and administrative organization on the other hand" (Interact Network, 2004).

- "The theoretical framework of local governance explores the emergence of policy frameworks and institutions in which a wider range of (public, private and voluntary sector) actors are involved in regulating the local economy and society... In the open debate on the transformation of local government, a number of authors stress the central role of the local authority in organizing and mobilizing the modes of governance... The increased importance of non-state organizations in local politics constitutes, it is argued, a distinct local response to industrial and socio-political restructuring processes..." (Chorianopoulos, 2003).
- In the glossary of the French monthly *Le Monde Diplomatique* on "*Europe, frémissements au bord du gouffre*", governance (*gouvernance*) is defined as follows: "Issued from the anglo-saxon administration science, the concept of governance, or good governance, is used by the European Commission to evaluate, in particular, the democratic character of third states benefiting from European funds (countries of the East, non EU-member states, or countries of the South). Far from being neutral, the concept of governance, is inscribed in the liberal vision of the minimal state. By maintaining a confusion between 'good administration' and 'good government', it allows, in the name of 'democracy', the weakening of public power" (Translation from French. See website: <http://www.monde-diplomatique.fr/cahier/europe/a1069>).

#### *Changes in the Political/Administrative system and structure signifying a shift from Government to Governance*

- A relative decline in the role of State in the management of social and economic relationships.
- The involvement of non-governmental actors in a range of state functions at a variety of spatial scales.
- A change from hierarchical forms of government structures to more flexible forms of partnership and networking (Stoker, 1997).
- A shift from provisions by formal government structures to the contemporary sharing of responsibilities and service provision between the state and civil society (Stoker, 1991).
- The shift from "government" to "governance" has an interesting parallel with the movement from "modernism" to "postmodernism", the characteristics of which are listed by Wigmans (2001).
- The emergence of new local / regional forms of Governance as a result of mobilization and construction of scale-specific state policies and institutions (Brenner, 2000).
- Brenner (2004) describes three successive approaches to urban governance: Spatial Keynesianism (1960s – early 1970s), endogenous development strategy (1970s – early 1980s) and urban locational policy (early 1980s to the present).
- Herrschel and Newman refer to arguments, which examine "city and regional issues from a political and institutional perspective. Arguments here seek to clarify the complex relations between nation, region and locality and the

changing relationships between public and private sectors in managing cities and regions. Core theoretical debates focus on a transition from government (concentrating on formal institutions) to governance (more flexible, networked arrangements involving private as well as public actors) and on 'rescaling' of states that can be seen in both a weakening of the traditional roles of nation states and increasing importance of regional and local scales" (Herrschel and Newman 2002: 12-13).

*Sources and forces of motivation and initiation of Governance structures*

- EU law and EU funding programmes (Grote, 1996).
- National / regional law or national / regional funding.
- Structural reforms of the political and administrative systems.
- From the part of local authorities (LAs), efforts:
  - To enhance local autonomy and political power,
  - To combat bureaucracy of the central state,
  - To contradict central public policies,
  - To address issues of mutual dependence and common interest,
  - To create critical mass in terms of infrastructure, personnel, expertise, economic and other resources,
  - To assume the role of a more influential player,
  - To achieve integration and coordination of sectoral and territorial policies.
- From the part of firms, state agencies, L.As etc., efforts to construct new "spaces of engagement" in order to secure the continued existence of their "spaces of dependence" (MacLeod, 1999).
- "[C]hanges in our cities can be depicted as the triumph of chaos and disorder... [W]hether this means that cities are 'unruly' and thus impermeable to the forces of governance is debatable, for urban complexity (like other complexities) is subject to human intervention... Thus, urban governance is not an attempt to regain control so much as an attempt to manage and regulate difference and to be creative in urban arenas which are themselves experiencing considerable change" (Kearns and Paddison, 2000).
- "[U]rban government in the 1990s faced a movement towards fragmentation and more differentiated forms of governance: local government became urban governance. New forms of urban governance were also triggered by local initiatives on a global scale" (Elander, 2002).
- Putting forward the views that "globalization takes shape in the world city" and that "urban society makes states", Roger Keil refers to Bob Jessop's notion of "governance of complexity" and argues that "regime-, regulation-, and discourse – theoretical approaches be merged critically and selectively into a theory of local governance. Only such a comprehensive approach ... can do justice to 'the governance of complexity' " (Keil 2003: 290). He argues further that "the question of how agency must be understood in the context of governance of complexity poses a serious problem in a world where structural change seems to originate either abstractly in global flows of information and capital or concretely in the boardrooms of transnational corporations. Much of the current literature on world city formation still treats this process and its governance as mere derivatives of hegemonic material and discursive realms



that are said to occur on the global level. This view of the political sphere of the world city is erroneous: for urban politics is also an important factor in world city formation" (Keil 2003: 291).

### *Policies and interventions generating new Governance structures*

- Central government policies may steer processes of coordination and collective action across public, private and voluntary sector boundaries. Nevertheless, government cannot impose such policies, it must rather negotiate both policy-making and implementation with partners from the public, private and voluntary sectors.
- Government can steer Governance by using its moral authority to persuade others to work in partnership to solve problems and take action. Here the key tension is lack of legitimacy (Stoker, 2000).
- Government can steer Governance by subsidizing partnerships. Financial incentives are strong motivators for partnership (Stoker, 2000).
- Government can also steer Governance by setting up monitoring procedures to check the development of partnership. It can also organize cross-institutional learning by identifying and disseminating best practices. However, such plans and performance reviews can create over-rigid procedures which might stifle innovation and undermine the development of social capital (Rhodes, 1997). R. Rhodes also comments that some forms of governance systems can be characterized by "self-steering inter-organisational networks that are no longer under direct democratic control", thus resulting in significant reduction of local government powers and in a shift towards control by unelected agencies (Burns, 2000).
- Another way of encouraging partnerships is to provide for a forum in which learning can be facilitated through communication. However, a key dilemma is the limits to openness of the forum, i.e. who should be included and who excluded.
- Governance can be steered through the appointment of new agencies which consist of multiple stakeholders. However, there is the problem of who is appointed to join these agencies and how they can be held to account.
- In many EU countries, Structural Funds have effectively become a mechanism for regional capacity building.
- At the local level, local government has an important role to play in promoting new forms of Governance, given that it is situated at the crossing point between the traditional vertical axis of power and public administration and the new horizontal axis of partnership between government, private and civil sectors.
- "The concept of urban governance encompasses the view that local authorities today have to co-exist and collaborate with a much wider network of agencies and interest-groups than in the past, amongst them more organized and active business elites" (Bassett, Griffiths and Smith, 2002).
- The implementation of a strategy requires attention on three key aspects: (a) Governance context (governance system as it evolved through time, institutionalized or informal, liberal globalization, integration of strategies, articulation of metropolitan and local perspectives), (b) Governance forms (managing partnerships, citizen participation, projects and networks), (c) Development of underlying processes (leadership, decision making, building

trust, managing power system, consensus building, conflict management, organizational learning, evaluation, monitoring) (Interact Network, 2004).

- The appearance of neoliberalism is a major force which induced adaptations to new conditions. Jessop (2002a) mentions 4 strategies to promote or adjust to global neoliberalism: Neoliberalism, neostatism, neocorporatism and neocommunitarianism.

#### *What is Good Governance? Framework for evaluating Governance structures.*

- The capacity of Governance initiatives to achieve a common goal to make a difference depends on the character and quality of three forms of capital and the ways these interact (Intellectual capital including knowledge resources, Social capital referring to trust and social understanding, and Political capital, i.e. the capacity to act collectively).
- Partnerships and networking are the keys to success. The United Nations Centre for Human Settlements (UNCHS) defines Good Governance as “an efficient and effective response to urban problems by accountable local governments working in partnership with civil society” (in BSHF, 2002). According to the above definition the main characteristics of Good Governance are: Sustainability (balancing the social, economic and environmental needs of present and future generations), Subsidiarity, Cooperation (developing collaboration between spheres of government and shared competencies), Equality of access in decision-making, Efficient delivery of services, Transparency and Accountability, Civic Engagement and Citizenship.
- Similar are the principles proposed by the White Paper on European Governance: Openness (enhanced communication and information about EU actions and decisions, using a language accessible to and understandable by the general public), Participation (from conception to implementation), Accountability (so that the roles in the legislative and executive processes become clearer), Coherence (presupposing political leadership and a strong responsibility on the part of the institutions to ensure a consistent approach within a complex system), and Effectiveness.
- Partnerships should be examined and evaluated in terms of their structure and process. The structure is the organizational entity of the partnership such as a committee, a local enterprise agency or a development company. In contrast, the process refers to the development of formal and informal linkages and networks between the individuals and organizations involved (Moore and Pierre, 1988).
- “Partnerships represent one form of co-operation or governance ... It is based upon some kind of formal agreement ... to implement a policy or a project. It gathers partners seeking a positive and concrete outcome from the co-operation, that they could not reach alone. The actual achievements ... depend on ... commitment, ... the will to achieve a win-win outcome for all partners, .. trust and respect ..., common belief .. in the value of the partnership...” (Interact Network, 2004).
- Partnerships are the site of potential conflict as well as the site of consensus construction. Hence, outcomes of partnership working depend on who has the power to determine consensus and where and how that consensus is achieved.
- “[T]he term ‘partnership’ belongs to a broader family of network concepts used in recent academic literature on urban policymaking and implementation.

For example, sometimes a particular organizational unit of local government joins other actors in a coalition to develop a policy to solve a particular problem. This coalition may be just an ad hoc arrangement for one particular occasion ('an issue network') or it may be an element of a long-term strategy for a set of actors ('a policy community')" (Elander, 2002).

- Governance process evaluation involves queries about how issues are put on the agenda (what filters are used), how they are evaluated and proposals generated, how decisions are made on preferred options and the relationship between those who implement policies and those formulating them. Eurocities (2002) believe that the new Governance relations should bring together policy-making and policy implementation so that the social and political system as a whole obtains the capacity to learn and adapt.
- The roles and legitimacy of both the representative system and the Governance networks should be acknowledged and clearly defined. The representative system usually assumes the primary role in initiating and setting the parameters and scope of policies whilst Governance networks are more appropriate to the detailed work on policy development and implementation and should provide a stronger basis for the direct involvement of citizens.
- An appropriate distribution of resources is essential to guarantee normal operation of Governance networks (Eurocities, 2002).
- An improved flow of information is vital to the successful operation of Governance arrangements and the establishment of transparency, openness and trust in the relations between institutions, agencies and citizens.
- There is a need for a new approach to the management and work programme of Eurostat and the National Statistical Services including the introduction of a new platform of territorial levels of analysis. The status of city-regions as key elements in modern Europe must find clearer reflection in statistical territorial units.
- Horizontal co-ordination between sectoral issues is a prerequisite for effective Governance. In the view of Eurocities (2004), this concept should be "applied in relation to a wide range of policies that have consequences for cities. These include: social and economic policies, especially in relation to issues such as employment, the integration of immigrants, and the provision of services of general interest; policies concerning the environment, transport and sustainable development; policies related to education, culture and heritage, urban security and the knowledge society".

#### *Integration and co-ordination pressures*

- The Vertical dimension of Environmental Policy Integration (VEPI), that is within the purview of Ministerial sectors. The mechanisms for achieving VEPI are: A report → a forum → a strategy → an action plan → a green budget → a monitoring programme (Lafferty, OECD 2002).
- The Horizontal dimension of Environmental Policy Integration (HEPI). It involves the extent to which a central authority has developed a comprehensive cross-sectoral strategy for EPI. This central authority can be the government (cabinet) itself, a particular body or commission which has been entrusted with an overarching responsibility for sustainable development or an inter-ministerial body assigned to handle what is considered to be important overarching issues. The mechanisms for achieving HEPI (integration

within the purview of the government as a whole) are: A constitutional mandate → an overarching strategy → a politically responsible executive body including a strategic national forum → a mandated information agent and programme → a national action plan with targets and calendar → a programme for assessment, feedback and revision → a system for open petition and conflict resolution (Lafferty, OECD 2002).

## 1.5 Guidance for classifying information from national overviews for the purpose of producing a synthesis

After most, but not all, national overviews had been received by end of January or early February 2005, urgent work was necessary to analyze and categorize the information contained in them, in view of a meeting of all partners in Valencia at the end of March 2005. The text we reproduce here, divided into parts A and B, was written<sup>9</sup> in February 2005 to help members of the research team of the National Technical University of Athens to analyze the national overviews, which had been meanwhile completed. The tables included here were later modified. Analytical work proceeded immediately on the basis of Part A. Part B foreshadowed further work undertaken towards the end of 2005. An explanation is provided at the beginning of Part B.

The selection of variables singled out for analysis in Part A followed our study of theoretical work, including work in this or other ESPON projects and in reports of international organizations. This background study is presented later in section 1.6.

### Part A

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<sup>10</sup>. In each section reference is made to the relevant sections of the guidelines and of the overviews themselves, although in some overviews the structure of the guidelines was not kept.

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

|   |  |
|---|--|
| Active and explicit acceptance and implementation |  |
| Indirect acceptance and / or neutral position     |  |

<sup>9</sup> By Louis Wassenhoven and the research team of the National Technical University of Athens.

<sup>10</sup> The contents of the tables were repeatedly altered during the process of analysis. Their final form can be found in Annex B, chapter 2.

|  |  |
|--|--|
|  |  |
| 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 the 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 <sup>11</sup> (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

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<sup>11</sup> Special because being example of inter-communal cooperation, transformed in “border” situation by the situation of conflict.

“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.

**23.** Key spatial problems. This section was added later in our analysis.

## **Part B**

The analysis to which the following guidance note applies did not originally take place. However, its intentions were partly fulfilled in late 2005, when, for the purposes of the 3<sup>rd</sup> Interim Report, further classification was attempted. The results of this effort were ultimately incorporated in the 3<sup>rd</sup> Interim Report and, in a reworked form, in Annex B of the Final Report. In spite of the fact that the following guidance notes were not originally used, they are reproduced here for the above reason:

1. In addition to attempts to classify information in individual sections and subsections of the national overviews, a certain amount of classification of a more general nature would be useful. It may serve later to cross-tabulate information and help to draw certain conclusions. It is obvious that we are not interested in classification for its own sake. Rather, we try to give an adequate indication of developments in the 29 countries under study, with respect to governance.

2. Categorizations with excessive detail and multiple entry tables must be avoided. But a minimum of tabulation is unavoidable. A good starting point is EU membership. We have the countries of EU-15 and the recent 10 enlargement countries, to which we can add the 2 accession countries (Romania and Bulgaria). The 2 “outsiders” (Norway and Switzerland) could be aggregated, if necessary, with the EU-15 countries. In this case we shall have 2 categories:

- EU – 15 countries + Switzerland + Norway
- 10 accession countries + Romania + Bulgaria

3. A second possible classification could be based on the degree of concentration or decentralization of powers, in other words a variant of the government system. We could for example use 3 categories, according to the degree of decentralization:

- High degree of decentralization
- Medium degree of decentralization
- Low degree of decentralization.

It is advisable however to take into account the following classification adopted in the *EU Compendium of Spatial Planning Systems and Policies*, which of course covers only EU-15 countries:

|              |  |
|--------------|--|
| Unitary      | Denmark, Finland, France, Greece, Ireland, Luxembourg, Netherlands, Portugal, Sweden, UK |
| Regionalised | Italy, Spain   |
| Federal      | Austria, Belgium, Germany  |

It is accepted in the Compendium that (a) there are certain "complicating factors" in Portugal and the UK, because of the relative autonomy of certain regions, and (b) that countries like Denmark, Finland, France and the Netherlands have a high degree of decentralization. We can therefore adopt a modified classification, which takes also into account the post-Compendium devolution in the UK.

|  |                                       |
|--|---------------------------------------|
| Unitary  | Greece, Ireland, Luxembourg, Sweden   |
| Regionalised                                   | Italy, Spain, Portugal, UK            |
| Unitary, but with substantial decentralization | Denmark, Finland, France, Netherlands |
| Federal  | Austria, Belgium, Germany             |

Perhaps certain countries must be moved to another box. The remaining 14 countries will have to be added to this table.

4. With respect to spatial structure, we can attempt yet another classification. We can observe a great deal of spatial differentiation in a number of countries, due to geomorphology, history, ethnic origins, economic growth inequalities etc. Some small countries, at the other extreme, seem fairly undifferentiated. To avoid complicated categorization we can produce groupings in terms of only (a) geography and geomorphology and (b) regional economic inequalities, as follows. Individual countries will appear in the right hand column.

*Geographical and geomorphological differentiation*

|                                    |  |
|------------------------------------|--|
| Negligible spatial differentiation |  |
| Low spatial differentiation        |  |
| Medium spatial differentiation     |  |
| High spatial differentiation       |  |

*Regional economic inequality*

|                                    |  |
|------------------------------------|--|
| Negligible spatial differentiation |  |
| Low spatial differentiation        |  |
| Medium spatial differentiation     |  |
| High spatial differentiation       |  |

5. Another possible classification concerns the devolution of spatial planning powers to local authorities. This is of course related to the system of government, tabulated in paragraph 3 above, but here we can focus on spatial planning at the local level. Our question here is to identify who holds the lion's share of competencies with respect to local planning. The central government? The regional authorities? The municipalities? Where is the main locus of power? We

can therefore classify countries as follows, without excluding the possibility that certain countries may appear e.g. twice in the right hand column.

|  |  |
|--|--|
| Central government   |  |
| Deconcentrated central government agencies or services       |  |
| 2 <sup>nd</sup> tier local authorities or federated states   |  |
| 1 <sup>st</sup> tier local authorities (municipalities etc.) |  |

6. We can produce a table about key spatial problems as well, although it will be of a different type. In the table that follows we have grouped and listed various problems, inspired from material in the national overviews. Countries will be entered several times in the right hand column. Naturally the groupings can change and the list may be shortened or lengthened.

|  |  |
|--|--|
| Broad regional inequalities, of the North – South or centre – periphery type                                   |  |
| Urban expansion, urban sprawl etc.   |  |
| Regional isolation, problems of remote and inaccessible areas etc.   |  |
| Urban – rural relationships and role of cities as drivers of development                                       |  |
| Poorly developed polycentric urban system  |  |
| Management of cross-border areas, e.g. economic regions, river basins etc.                                     |  |
|  |  |
| Pressure on land, difficulty of maintaining land supplies for increased needs                                  |  |
| Preservation of non-urban open land and spaces   |  |
| High density urban regions, congestion, accessibility etc.   |  |
| High density areas within cities, congestion, accessibility, obsolescence etc.                                 |  |
| Housing supply at low price and for specific social groups   |  |
| Pressures on historic settlements and urban districts and on cultural heritage                                 |  |
| Land use conflicts between activities (e.g. tourism and mineral extraction or industry, peri-urban areas etc.) |  |
| Unlicensed and / or illegal development  |  |
| Urban environmental problems, especially pollution   |  |
| Urban areas and economic decline, crisis of particular economic activities etc.                                |  |
| Shortage of financial resources of local authorities   |  |
|  |  |
| Problems associated with location and impact of large infrastructures  |  |
| Waste management   |  |
| Water management and quality, flooding etc.  |  |

|   |  |
|---|--|
|   |  |
| Loss, transformation or deterioration of agricultural land, desertification etc.              |  |
| Development pressures on sensitive landscapes and ecosystems (coasts, mountainous areas etc.) |  |
| Degradation of natural habitats and ecosystems  |  |
| Degradation of marine ecosystems  |  |
| Loss of forest reserves, soil erosion etc.  |  |
| Other problems  |  |

## 1.6 Variables analyzed

As indicated above in the opening paragraphs of section 1.5, an issue we had to address was the selection of variables with respect to which we were to analyze the national overviews. Up to the time of the 3<sup>rd</sup> Interim Report, NTUA, in charge of coordinating WP2, had analyzed 27 national overviews<sup>12</sup> and the synthesis report had substantially progressed. The process of validation and control by particular partners was still continuing. In the meantime however, it was felt that further in depth analysis was required, with respect to certain variables, which were considered as crucial from the point of view of territorial governance. Additional analysis of overview material was carried out, in an attempt to improve our understanding of the trends towards a governance culture and to single out governance practices that are being used in the ESPON countries.

The variables which we selected as deserving investigation in greater depth were the following:

- Styles of planning;
- Devolution of spatial planning powers;
- Forms of cooperation;
- Citizen participation in spatial planning;
- Cross-border cooperation.

In all these cases, spatial planning and policy was the focus of our attention.

The reasons of the selection were the importance of these components of governance and the fact that in the overview guidelines specific questions had been asked regarding these variables, which facilitated further processing and the production of tables of classification. In some cases we were only able to put

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<sup>12</sup> Two overviews had not been completed at that stage. Additional material was produced later on other countries too.

forward some hypotheses, which deserve more research. Thus we carried out work, which appeared in the 3<sup>rd</sup> Interim Report, but is also included here, in sections of chapter 2, in an improved and updated version, because we now have all the information. The rationale, methodology and problems encountered are explained in the relevant sections of the present report. Naturally, the limitations imposed by our exclusive reliance on the information contained in the national overviews still exist.

In the section on cross-border cooperation we included a further piece of analysis, which was the only one not based on the overviews. It is an analysis of the participation of EU NUTS II regions in networks, which deal with territorial and other relevant issues, such as environment, planning, transportation and development. Information for this analysis was derived from the data base "Welcomeurope".

The 23 variables analyzed in our synthesis of national overviews in its entirety, which correspond to the 23 sections of chapter 2, may not present, in combination, a complete picture of the progression towards territorial governance in each country. But they reflect a multi-faceted situation from a variety of viewpoints. They were chosen on the basis of theoretical work undertaken in the project and of a survey of the relevant literature. The definition of governance adopted in this project, which appeared in the 2<sup>nd</sup> Interim Report, is that territorial governance is an organisational mode of collective action based on partnerships and coalition - building amongst public and private partnerships, oriented towards a commonly defined objective (see also Annex C).

In selecting the variables we deal with in the present analysis, we relied also on a broad range of definitions and theoretical theses on governance. In the ESPON projects it is recognized that the concept of Governance is a complex one. It involves working across boundaries within the public sector as well as between the public, private and community sectors. It is a process rather than a product. It operates at different levels and it is important to develop governance systems at the appropriate layer. Urban governance is not simply urban management and governance processes are not simply managerial processes; instead they are heavily politicized<sup>13</sup>.

Several authors throw light on the concept of governance in a way that has helped us to single out those aspects into which we were keen to delve in the overviews. According to Healey *et al.*, governance, in its descriptive sense, directs attention to the

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<sup>13</sup> ESPON Coordination Unit (2004), *ESPON 1.1.1, Potentials for Polycentric Development in Europe*, Annex Report C: Governing Polycentrism, Luxembourg.

proliferation of agencies, interests, service delivery and regulatory systems which are involved in making policies and taking actions. In the normative sense, governance is defined as an alternative model for managing collective affairs<sup>14</sup>. It is seen as "horizontal self-organization among mutually interdependent actors"<sup>15</sup>. In such case, government is not the only actor and indeed has only imperfect control<sup>16</sup>.

Gualini, in Salet, Thornley and Kreukels (2003)<sup>17</sup>, extends the meaning of governance: "Governance is – in general terms – a notion that deals with the reframing of both 'formal' and 'working' relationships between ideal types of social order in realizing governing effects". The key words are "state" (public interest, hierarchy, coercion, monopoly of legitimate violence, territorial sovereignty), "market" (private interest, competition, exchange, failure in producing collective goods), "community" ('commons', reciprocity, cooperation, trust, solidarity), "firms" (corporate interest, hierarchy, principal – agent relationships, instruction – based relations, vertical integration), and "associations" (concertation of collective interests, collective self – regulation, 'private government'). And Pierre adds that the shift from government to governance means a change in focus which is then placed more on processes and less on institutions. Hence governance may be defined "as a process through which local political institutions implement their programmes in concert with civil society actors and interests, and within which these actors and interests gain influence over urban politics"<sup>18</sup>.

More in particular, in connection with changes in the political / administrative system and structure, which signify a shift from government to governance, Herrschel and Newman refer to arguments, which examine "city and regional issues from a political and institutional perspective. Arguments here seek to clarify the complex relations between nation, region and locality and the changing relationships between public and private sectors in managing cities and regions. Core theoretical debates focus on a transition from government (concentrating on formal institutions) to governance (more flexible, networked arrangements, involving

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<sup>14</sup> Healey, P., Madanipour, A. and de Magalhaes, C. (eds.), 2002, *Urban Governance, Institutional Capacity and Social Milieux*, Ashgate, Aldershot.

<sup>15</sup> Jessop, B., 2000, Governance Failure, in G. Stoker (ed.), *The New Politics of British Local Governance*, Macmillan, London.

<sup>16</sup> Rhodes, R., 1997, *Understanding Governance – Policy networks, governance reflexivity and accountability*, Open University Press, Buckingham and Philadelphia.

<sup>17</sup> Salet, W., A. Thornley and A. Kreukels (eds.), 2003, *Metropolitan Governance and Spatial Planning: Comparative case studies of European city – regions*, Spon Press, London.

<sup>18</sup> Pierre, J. (ed.), 1999, *Governance*, Oxford University Press, Oxford; Pierre, J. (ed), 1998, *Partnerships in Urban Governance-European and American Experience*, London, MacMillan.

private as well as public actors) and on 'rescaling' of states that can be seen in both a weakening of the traditional roles of nation states and increasing importance of regional and local scales" <sup>19</sup>.

There are various approaches to the creation of governance structures, like those we tried to find in the overviews, and a variety of strategies. According to the report of an EU research programme, "the implementation of a strategy requires attention on three key aspects: (a) Governance context (governance system as it evolved through time, institutionalized or informal, liberal globalization, integration of strategies, articulation of metropolitan and local perspectives), (b) Governance forms (managing partnerships, citizen participation, projects and networks), (c) Development of underlying processes (leadership, decision making, building trust, managing power system, consensus building, conflict management, organizational learning, evaluation, monitoring)" <sup>20</sup>.

The essence of good governance and its underlying principles were a guide to our analysis and to the selection of variables. Partnerships and networking are widely perceived as the keys to success. The United Nations Centre for Human Settlements (UNCHS) defines good governance as "an efficient and effective response to urban problems by accountable local governments working in partnership with civil society". According to the above definition the main characteristics of good governance are sustainability (balancing the social, economic and environmental needs of present and future generations), subsidiarity, cooperation (developing collaboration between spheres of government and shared competencies), equality of access to decision-making, efficient delivery of services, transparency and accountability, civic engagement and citizenship <sup>21</sup>.

Similar are the principles proposed by the White Paper on European Governance: Openness (enhanced communication and information about EU actions and decisions, using a language accessible to and understandable by the general public), participation (from conception to implementation), accountability (so that the roles in the legislative and executive processes become clearer), coherence (presupposing political leadership and a strong responsibility on the part of the institutions to ensure a consistent approach within a complex system), and effectiveness.

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<sup>19</sup> Herrschel, T. and P. Newman, 2002, *Governance of Europe's City Regions: Planning, policy and politics*, Routledge, London.

<sup>20</sup> Interact Network / Urban Governance in Practice, 2004, *Interact Guide*, A project of the 5<sup>th</sup> Framework Research Programme, European Commission.

<sup>21</sup> BSFH (Building and Social Housing Foundation), 2002, *New Frontiers in Good Urban Governance*, Consultation, 28-30 June 2000, St. George's House, Windsor Castle, London.



## 1.7 Structure of synthesis sections

On the basis of this knowledge, we structured the synthesis of national overviews in the following 23 sections, into which chapter 2 is divided. The numbering of paragraphs follows the "Guidance for classifying information from national overviews" (see above, section 1.5), an internal document used to help members of the research team to analyze the overviews.

|    |  |
|----|--|
| 1  | Official acceptance of governance concepts and principles  |
| 2  | Changes in formal government in the direction of governance  |
| 3  | Criticisms regarding the lack of progress towards governance and / or the weaknesses of the present situation        |
| 4  | Priority emphasis on governance objectives   |
| 5  | Factors operating in favour of adoption of governance approaches   |
| 6  | Internal variations within a country, in terms of acceptance of governance reforms                                   |
| 7  | Use of methods (emphasis on OMC)   |
| 8  | Experience with participation processes and partnerships   |
| 9  | Forms of cooperation   |
| 10 | Progress towards cooperation and partnerships  |
| 11 | Partnership formation and co-operation: Barriers and catalysts   |
| 12 | Policy sectors in which the pursuit of governance principles and practices is more promising                         |
| 13 | Basic laws regulating (a) urban development / land use and (b) regional development                                  |
| 14 | Key spatial planning institutions - Presence of a dominant institution   |
| 15 | Roles and responsibilities of governmental layers  |
| 16 | Extent of financial dependence of local government on central government   |
| 17 | Centralization / decentralization / devolution (devolution to regions and to 1 <sup>st</sup> tier local authorities) |
| 18 | Involvement of politics in actual policy implementation  |
| 19 | Forms of cross-border cooperation  |
| 20 | Style of planning  |
| 21 | Conditions leading to shifts towards governance  |
| 22 | Factors which act as obstacles to progress towards   |

|    |                      |
|----|----------------------|
|    | governance           |
| 23 | Key spatial problems |

In Annex B of the Final Report (chapter 2), each of these 23 sections includes a short paragraph on every one of the 29 countries. In some cases the reader is simply referred to the position of the respective country in the table of the section, when there is one. In a large number of sections there are tables in which the 29 countries are classified in categories. Several of these tables served as input for the formulation of governance indicators (see Annex A). Finally, each section leads to conclusions. Some sections include additional analysis, which was carried out during the preparation of the 3<sup>rd</sup> Interim Report, in which it appeared originally.

## **Chapter 2. Analysis per country and conclusions by section**

## Section 1. Official acceptance of governance concepts and principles

|  |  |
|--|--|
| Active and explicit acceptance and implementation                      | Austria, Bulgaria, Czech Republic, Denmark, Finland, Ireland, Italy, Latvia, Netherlands, Poland, Slovenia, Spain, Sweden, Switzerland, U.K. |
| Indirect acceptance and / or neutral position                          | Belgium, France, Germany, Lithuania, Luxembourg, Malta, Norway   |
| Low degree of acceptance and / or still at a stage of initial dialogue | Cyprus, Estonia, Greece, Hungary, Portugal, Romania, Slovakia  |

### **Austria**

Generally speaking, the integration of governance concepts and processes in national statutes and official policy statements is well advanced in Austria. The 1995-entry in the EU has launched and intensified changes in formal government and administration, aiming to make existing concepts, principles and processes more transparent for the general public.

### **Belgium**

The inclusion of Belgium in the box of a neutral position is explained by the fact at the intrafederal level it is characterized by "active and explicit acceptance", while the situation at the interfederal level would justify its inclusion in the box of "low degree of acceptance".

A contrast exists between actual progress and reforms at specific aspects, while there is a lack of consensus in the big picture according to writer of the national overview. Concerning relations between public authorities in different federated entities, Belgium does not function with "governance", since this implies a consensual atmosphere. This is definitely not the case in Belgium, although it has become famous for the "*compromis à la belge*" (Belgian style compromise). In the government and public authorities in general, the concept of "governance" does not seem to have a great success and when it is used, it is not in relation with the White Paper, but more generally concerning a new way of taking decisions.

### **Bulgaria**

In Bulgaria there is clear official acceptance of governance concepts and principles, but a number of difficulties have to be overcome. Bulgaria has not conducted a broad debate following the publication of the White Paper. However, the governance principles and proposals laid down in this document are fully acceptable. To a large extent they are contained in the substance of the governance reforms underway in the country and

affecting all levels of government – national, regional and local – as outlined in the item above.

The system of governance is undergoing a process of radical adaptation (1) to new market conditions, (2) to a new strategic planning approach and (3) to the EU integration. Significant steps have been made for development of the system of governance at all levels – central (national), district and local (municipal). In the 1990's a number of reforms have been implemented - administrative reform; local self-government reform; economic and structural reform (all of them accompanied by appropriate legislation), which have resulted in a gradual improvement of the system of governance and approximation to the EU requirements. Presently, this process of upgrading of the system of governance in the country is advancing further. The development of the system of governance in Bulgaria stumbles upon a considerable number of exclusively complex challenges.

### **Cyprus**

As stated in the national overview of Cyprus, the effort to integrate governance concepts in the national statutes is not a strong one as yet. Governance concepts were somehow adopted as part of the process of accession to the EU and the need to adjust the legal system accordingly.

### **Czech Republic**

The governance approach expressed in *the White paper on European Governance* has not been explicitly and intensively publicly debated. However, it was reflected in several changes in legislation, public governance and policy making in the Czech Republic. The gradual process of adaptation is currently continuing. The reform of public administration in the Czech Republic has not included only the changes in territorial administration. It aims at higher efficiency in decision-making, at increasing transparency and openness, at bringing the decision-making process closer to citizens, and at attaining European standards in public administration. Major innovations include the adoption of a civil service act and the introduction of a human resources management and training system.

### **Denmark**

Denmark supports the European Commission's initiatives with the proposed principles of openness, accountability and effectiveness and the White Paper's aim of making the EU's decision-making procedure more flexible and democratic. In the Danish view, the followup to the themes of the White Paper should concentrate on those proposals that do not require Treaty changes.

## **Estonia**

The White Paper, issued before Estonia joined the EU, has been left without any remarkable attention in the country. No debate can be observed.

## **Finland**

The Finnish governance system has been modified and adjusted largely based on the European Regional Policy model of the Structural Funds. Other main policy influences have been more related to general trends and pressures brought about by the demographic changes, as well as typical problems faced by the peripheral regions (sparse population, poor accessibility and unemployment).

## **France**

The term governance has not been used yet in the basic legal framework that is directly or indirectly linked to spatial planning. However, the components of governance have been incorporated in the shaping of policies addressed to spatial planning. This is particularly true at the regional and local level where there is an enhanced experience in the processes of contract formulation. Although France can be classified as a case of indirect acceptance of governance concepts and principles, it is also true that these principles have been inherent in successive reforms after the 2<sup>nd</sup> World War and in particular since the early 1980s. Evidence of this indirect and cumulative acceptance can be found in specific instruments, such as the *contrats d'agglomération* and the *contrats de pays*, participation and consultation agencies and *fora* (e.g. *conseils de développement*), strategic planning frameworks involving negotiation between central government and regions, and local planning processes.

## **Germany**

In the German system of governance there is a precise division of responsibilities in the federal system, which is currently under discussion. Apart from this formal aspect, changes towards a more flexible and potentially rather informal system can also be traced. However, the results are usually a mixture of government and governance institutional structures.

## **Greece**

Explicit acceptance is still weak, but, as pointed out in the national overview of Greece, following international trends, governance has made its way into several contexts of the Greek public sphere over the last decade, although not necessarily with explicit recognition in official pronouncements. While direct references to the White Paper on European Governance may not be present, its content and the principles of governance advocated in it have fuelled discussions regarding the Europeanization of national policies and the evolution of the Greek state

and civil society. The introduction of governance concepts in Greece is strongly influenced by EU regulations 'trickling down' from the supranational level onto the national and local levels in the context of an intense and constant Europeanization of procedures, institutions and practices.

### **Hungary**

The political changes of the late 1980s and early 1990s, the changing economic climate and the EU accession have all paved the way for the transformation of governing practices. In this atmosphere the thought of the need to reform public administration thoroughly and the acceptance of – at least some – of the new principles of governance were born. However, lawmakers and people working in the public sphere in Hungary have not yet become fully receptive to the idea of governance and there are still a lot of systemic obstacles to be overcome.

### **Ireland**

Drawing from the White Paper, the Irish Government launched a public consultation process leading to a National Policy Statement on better regulation in economic and social life. The quality of governance was one of its 3 themes. The main driver for governance appears to have been the publication of the *OECD Report on Regulatory Reform in Ireland* in April 2001. The consultation eventually led to the publication of *Regulating Better*, a Government White Paper setting out 6 principles of better regulation in January 2004. In the Irish White Paper the term refers to "governance at all levels of Government: national, regional, local and – at times – at the level of specific economic sectors".

### **Italy**

Since 1990 the framework of territorial governance in Italy has changed, partially due to the influence of EU intervention in the field of urban and territorial policies. The main changes, often implemented through the adoption of new laws and a partial reform of the 1947 Constitution, are represented by: simplification, central level reorganisation, legislative and administrative decentralisation, institutional co-operation and competition, public capacity building, local and regional finance. However, these changes take shape in the framework of a national planning system still rooted on the "urbanism" tradition and on conformative regulation of territorial transformations. For this reason, the effectiveness of these changes needs to be verified in practice, case by case. However, there is no doubt that some innovations have been introduced thanks to the influence of EU territorial intervention, resulting in an overall redefinition of political and administrative actions.

### **Latvia**

Very high acceptance is reported in the national overview. Governance is seen through the filter of strengthening national and territorial identity

and promoting economic development in an EU and international context. Governance principles, such as openness, participation, accountability, effectiveness and coherence, specified in White Paper are accepted and integrated in national documents. Latvian policy and traditions at all levels (national, local) are aimed at preservation of national and territorial identity, at the same time enhancing and strengthening national identity on a global scale.

### **Lithuania**

Governance is seen as part of a larger process of transition. Profound political changes are occurring in countries of Central and Eastern Europe after collapse of socialism, leading to political liberalisation and consolidation of market economy. The public forces realising these changes strive for creation of legal democratic state and civic society.

### **Luxembourg**

On the basis of interviews in administrations and review by the press centre, the conclusion can be drawn that there was no debate about the White Paper on Governance. However, principles of governance are in use, e.g. with regard to participation, dissemination of information etc.

### **Malta**

The Government has in principle endorsed the governance approach as outlined by the Lisbon Agenda. This was made clear in public statements by the Prime Minister and Ministers. Moreover, certain government agencies like the CIMU (2002) and Ministries such as the Ministry of Education and Employment have worked or published National Action Plans in line with the Lisbon Agenda. The Lisbon Agenda itself was seen by politicians and associated bodies, including NGOs as an opportunity to redress some critical issues, e.g. related to employment, management of public bodies etc. Some methods of governance have already been put in practice, e.g. open consultation. Historically, government in Malta has been a very centralised activity, with the exception of special arrangements for the island of Gozo.

The following developments and remarks provide evidence regarding the existence of active and explicit acceptance and implementation:

- Full acceptance by CIMU;
- Lisbon Agenda has been implemented in Territorial Planning;
- Implementation of national projects namely infrastructure and urban development
- Public consultation and active participation is not a problem of conveyance from public bodies or the lack of 'best practice', but a cultural issue related to insularity; however the MEPA (Household Survey for Structure Plan Review) was accompanied by prizes to offer incentives to participation. NSO statistics' collection is in certain circumstances compulsory.



- Government projects especially targeting EU funding are vetted to make sure they are in line with the Lisbon Agenda.

## **[The] Netherlands**

The fundamental concepts and principles of governance are inherent in the Dutch system of government, administration and planning as it developed over the years. Consultation and deliberation with a broad range of officially recognised and well-represented stakeholders hold a central position in the country's public governing in all stages of policy development and implementation. This model is popularly known as the "polder model", a reference to the process of dealing with polder construction and land reclamation. As mentioned in the national overview "consulting and involving possible stakeholders during the various stages of policy development and implementation have become intrinsic parts of Dutch administrative culture. A more formal term to indicate this way of governing is '*overleg democratie*' ... or, in English, consensus democracy or 'consociational' democracy". One major feature of the system is a web of agencies and decentralized powers, enshrined in the country's constitution (see section 5). The governance model has been the object of intense discussion since the 1970s and underwent a series of adaptations. Social change, which affected religious and political ideologies and the so-called religious and political "pillars" of society, has in fact strengthened regional and local autonomy and the principle of co-governance. Nevertheless, the position of regions and local administrations is relatively weak compared to the national government, in particular as regards budget control and possibilities to raise taxes.

## **Norway**

Developments in Norway demonstrate acceptance of governance concepts and principles in practice. In general, the tendency in Norway seems to be in line with decentralisation, although there is still tension between the relative strengths of central state competencies and regional competencies. The current idea of regional development policies being formed in regional partnerships as an important engine for development was influenced in part by EU-policies relating to the Structural Funds. In 2001, a parliamentary report on the distribution of competencies throughout the Norwegian administration, proposed changes that would significantly strengthen the regional level. However, changes in the political makeup of the government have delayed these reforms. The issue of decentralisation has been linked to an ongoing discussion on the appropriate size of regions as well as on the issue of direct vs. indirect representation at the regional level. Another issue is whether all regions and urban areas shall have the same competencies, or whether they shall be differentiated according to the size of the region or municipality. There are several pilot projects underway, testing various models, that will culminate in recommendations in 2007. The degree of decentralisation will be more apparent at that time.

In 2001 and 2003, White Papers produced for the Ministry of the Environment came up with proposals for major reforms of the current Planning & Building Act and are still under discussion. The proposed reforms of the planning and building act discuss the role of regional partnerships, but only in passing. The proposal for a new law strongly emphasizes the need for cooperation and coordination between stakeholders in the process, governed by elected representatives within a traditional democratic system. At the same time the proposition will, as the committee sees it, comprise a simplification, increased effectiveness and flexibility, as well as increased involvement and cooperation, which will improve the quality of plans. The 2003 White Paper stresses the county councils' key role as regional developers, and has built its regional planning system on that assumption. The main changes in the proposal are designed to achieve a planning system based on partnership between regional and local level. Another aim is to increase flexibility in choosing among types of plans for either strategic or more comprehensive goals.

The White Papers produced by the Planning Act Committee in 2001-2003 are in favour of developing and strengthening the planning instrument further at the central level. However, this does not imply a weakening of the position of municipalities and local authorities.

The Ministry of Local Government and Regional Development has emphasised the importance of partnerships in regional development in several reports. In 2006 a report explored the relationship between regional partnership and democracy, while in 2003 a report gave a survey of the results of partnerships in regional development endeavours.

## **Poland**

Poland has incorporated clearly and explicitly governance concepts and principles in legislation and even more so in policy formulation procedures and practices. However, the dialogue on the content of the White Paper keeps going and there is strong relevant criticism from both political parties (especially the National Right) and NGOs.

## **Portugal**

The concept of governance is relatively recent in Portugal. Despite some written and oral references that seem to propose openness to criticism and participation, it is quite difficult to identify significant changes in local and central governance, or at the different levels of public administration.

## **Romania**

Integration of governance concepts, principles and processes, in the official political discourse and their statutory enshrinement are at a very initial stage.

## **Slovakia**

Current conditions in the Slovak Republic are marked by a yet undeveloped civil society, hence low acceptance and application of innovative governance approaches. These conditions stem from the historical background, slow changes in mentalities and population attitudes, economic malaise and current priorities of the citizens focusing basically on other issues such as livelihood, individualistic pursuits etc. However, things change and one can reasonably anticipate new non-formal, innovative approaches in the field of governance in the near future, especially at the local level.

## **Slovenia**

Fostering the dialogue with civil society is a permanent procedure in Slovenia. Slovenia has a long tradition of involvement of many actors in decision making in government and especially in spatial planning strategy development and its procedures. After May 2002, when the International Roundtable on "Building Open Government in SEE: Information, Consultation and Public Participation" was taking place in Ljubljana, the process became even more intensive. Official acceptance of governance concepts and principles is high. Recently improved legislation is encouraging governance. A government system with important governance ingredients is especially clear in spatial planning and regional development legislation, principles and procedures.

## **Spain**

Acceptance and implementation of governance concepts and principles in the case of Spain originates basically from the established –since the mid 70s- administrative structure of the country. The basic feature of this structure is the political autonomy enjoyed by the 17 Regions of the country (the so-called Autonomous Communities).

## **Sweden**

Active acceptance of governance principles is a reality in Sweden. However, relevant pilot efforts are still at the stage of experimentation. Since January 2003, the local authorities (L.As) and the County Councils / Regions have been able to form *Co-operation Councils* at the regional level. The new Co-operation Councils have a weaker legal status and considerably fewer state resources at their disposal than self-government L.As. In certain counties regional pilot projects are currently under way; these concern changes in the allocation of responsibilities between central and local government. Among the responsibilities transferred from County Administrative Boards (central state agency) to the new County Councils is the responsibility for regional development. On its part the Swedish Association of L.As and Regions is actively contributing to the debate on governance issues. The Association has financed and assigned research programmes addressing the issues of governance and regionalization. In particular, the themes under examination are: "Multi-level governance in Sweden", "Democracy deficiency at the regional level", "Cross-border

collaboration" and "partnership" (that is non-hierarchical collaboration in a network fashion)

## **Switzerland**

Switzerland as a federal republic and a direct democracy has a wide range of instruments and methods for governance. The reorganisation of intergovernmental financial equalisation schemes and of the respective functions of the Federation and the cantons (NFA) provides an opportunity to test the fundamental understanding of governance.

## **United Kingdom**

Section 3.1 is missing in the UK national overview, but as stated in another section, the UK provided the largest number of contributions to the consultation on the White Paper on European Governance – 54 out of a total of 260. The UK Government made its official response by the end of March 2002. It too generally welcomed the White Paper, and considered that, 'governance' is an idea whose time has come. The UK Government agreed with the focus on the five good governance principles of openness, participation, accountability, effectiveness and coherence. It also welcomes, in particular, the emphasis on the application of the principles of proportionality and subsidiarity. The UK intends to propose practical guidelines for a potential 'toolbox' to establish more coherence in the EU's policies. While accepting that some aspects of the governance agenda would be dealt with at the Convention on the future of Europe, the response urges the Commission to continue to pursue those improvements which can be made without recourse to Treaty change. The UK Government intends to continue to implement changes at a national level to improve governance, and to be... proactive in the governance agenda in the future.

## **Conclusions**

A relatively or very high degree of acceptance of governance concepts and principles is reported in most of the national overviews. Even when a low degree of acceptance is recorded, indications are still mentioned that a dialogue has started or that governance elements are making their appearance. It is of interest to speculate about the causes of this development, because it should not be interpreted as a direct consequence of the White Paper.

A number of countries, those with a long record of democratic and open public institutions and of decentralization, had already incorporated the essence of governance in their administration and planning. In fact, the whole conception of governance in the White Paper or EU policy documents may be modelled on their systems. Therefore, in their case "there was nothing new to accept", or at least nothing that would upset their existing practice. A second group of countries initiated an active debate on the White Paper at all government levels and responded with comments and proposals. It does not necessarily follow that they initiated

reforms on the basis of the White Paper, but they certainly accepted its fundamental philosophy. A third group includes the countries which strive to follow the policies originating in the EU, to catch up with opportunities which they feel they were closed to them in the past. There is genuine official acceptance, although the extent to which governance reforms are penetrating below the surface and the speed at which they do so may vary. There is also some doubt regarding the diffusion of governance ideas, or even of the universality of their acceptance. There is of course no country which rejects governance innovations, although we can be certain of doubts being expressed about their priority. The only countries which seem to be voicing some reservations (particularly on processes, not on principles) are those which are confident that they had made a lot of progress in the direction of governance, long before the White Paper.

The categories of "active", "indirect" and "low" acceptance (see table above) do not correspond to the groups of the previous paragraph. They seem on the contrary to include countries, which one would not expect to find in the same category. This is probably because countries in the same category are there either because the real presence or absence of governance in them or because of the existence or non-existence of active motivation. In other words, they may exhibit "active", "indirect" or "low" acceptance, but not for the same reasons.

Thus we find among "active acceptance" states, countries with a long tradition of governance practices, as well as countries without such experience, but with recent actual legislation encouraging governance; countries with a clear and unequivocal acceptance by government authorities; cases of a government system with important governance ingredients; countries where political conditions, albeit diffuse, cause urgent pressures in governance directions; federal, regionalized or unitary states, with an impressive geographical dispersion on the map of Europe.

"Indirect acceptance" does not denote countries with a poor governance performance. We find here countries with strong national traditions based on a long-established and largely successful system, already boasting practices which can now be placed under the governance umbrella. Again, as in the "active" category we have cases of positive intentions, but characterized by conditions of transition. Both here and in the following category, we have cases where clear official acceptance is called upon to counter-balance the resistance which is inherent in the dominant socio-economic structures. Lastly, indifference may also be the result of a satisfactory and successful *modus vivendi* and of complacency.

Finally, a "low degree of acceptance" may be explained by political problems at the national level, involving separate communities. Besides, the degree of acceptance may actually vary, depending on whether one judges the situation at national or sub-national level. No doubt important parameters in this category are domestic political and economic delaying factors, the low penetration of governance concepts in official thinking and the frictions of transition from a previous regime. It is not however clear why these parameters did not affect equally states found in different categories, for no obvious reason.

## Section 2. Changes in formal government in the direction of governance

|   |   |
|---|---|
| Existence of specific reforms which are already implemented | Austria, Belgium, Cyprus, Finland, France, Hungary, Ireland, Italy, Lithuania, Luxembourg, Netherlands, Poland, Slovakia, Slovenia, Spain, U.K. |
| Existence of intended reforms or of reforms under way       | Bulgaria, Czech Republic, Denmark, Estonia, Germany, Greece, Latvia, Malta, Norway, Portugal, Romania, Sweden, Switzerland,                     |

### **Austria**

Joining the European Union has not replaced one or the other form of governance in Austria. Rather one can observe a co-existence of hierarchical federal structures, co-operative negotiation system, competition (between regions for example) and self-regulating markets. The "traditional" actors (members of the political executive and members of the administration) still take a central role. Additionally, they have also adopted new representative and information functions and now act as multilateral brokers as well. The EU-principle of "partnership" has been accommodated through the foundation of 25 regional development organisations in Austria that also receive financial support from the office of the Federal Chancellor. The tasks of these regional management agencies are to improve the co-operation of regional actors (political and private), to develop bottom-up development strategies in co-ordination with the national and regional level, and to promote regional key projects in consensus with the most relevant actors of the region.

Austria fully endorses the following conclusions of the White Paper: Making greater use of the skills and practical experience of the regional and local actors, building public confidence in the way policy-makers use expert advice, supporting a clearer definition of the EU's policy objectives and improve the effectiveness of EU policies, setting out the conditions for establishing EU regulatory agencies, and refocus the roles and responsibilities of each institution

### **Belgium**

Examples of laws regarding the functioning of public administration with reference to White Paper principles:

- federal law on '*motivation des actes administratifs*', 1991
- federal law on '*publicité de l'administration fédérale*', 1994
- both followed by regional laws

Steps taken concerning the relation between administration and citizen:

- Ombudsman (1995)
- '*Guichet Unique*'

- E-government
- 'Reforme Copernic' (controversial attempt to change the culture of the administration by incorporating elements from the private sector).

## **Bulgaria**

Recent reforms with an impact on governance include legislation on public administration (1998), the civil service (1999 – 2003), regional development (2004), municipal finance (2003), the institution of the Ombudsman (2003), access to public information (2000 – 2003) etc. Initiatives such as a strategic national development plan, the improvement of the quality of legislation, the creation of national – local partnership bodies etc. are contributing towards similar objectives.

## **Cyprus**

Creation of new government departments and or institutions to respond to the principles of governance is gradually processing. The following offices have been so far established in line with EU policies and governance principles:

- a. The Office of the Ombudsman (Commissioner of Administration).
- b. The Office of the Commissioner for the Protection of Data of Personal Character.
- c. The National Organization for the Protection of Human Rights.
- d. The Service for the Revision and Unification of the Cypriot Legal System.
- e. The Council for the Study of Planning Departures (Ministry of Interior)<sup>22</sup>

The creation of the "Environmental Service" within the Ministry of Agriculture, Natural Resources and Environment, is a good example instigated to promote environmental awareness, sustainability of development projects and sensitivity towards environmental issues among the government departments and the private sector.

## **Czech Republic**

In 2003 the Government established a special Council of Government to secure the participation of non-governmental, non-profit organisations (NNOs). A report issued on this occasion argues for the strengthening of partnership between public authorities and NNOs on all governmental levels. In 2004 the Government approved a document entitled *Approach to Central State Administration Modernisation and Reform* expressing the basic principles of changes in state administration. The main objectives of the reform include the rationalisation of decision-making processes, the improvement of effectiveness, better horizontal co-ordination in central state administration, the introduction of modern management methods,

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<sup>22</sup> Also formal procedures for participation of local authority representatives for examination of objections during the Development Plan revision process has been established.

information and communication technologies and the improvement of the civil service.

The major issues addressed include openness and access to information as a step towards public and citizen participation in governance. Different forms of citizen participation in public life (e.g. participation of the civil society in political decision making, organization of public discussions, petitions) have gained ground since the end of the 1990s and further improvements in favour of greater co-operation and participation in community decision making are expected. The emphasis that European Union laid on a system of partnership consultations had a profound effect on the attitude of the state administration towards the involvement of citizens, as well as other actors, in public affairs.

## **Denmark**

The division of labour between the various levels of administration will undergo a fundamental change in the years to come as a major reform of regional and local authorities has been agreed upon by a majority of the parties in the Parliament in June 2004. Final approval is pending. The regional level will be reorganized and the number of regional authorities will be reduced from 13 to 5. The 'regions' (as opposed to the counties) will have to prepare regional development plans, which will be coordinating regional growth-oriented policies and a regional spatial plan much more explicitly than it has been the case so far. The reform will change the conditions under which regional policies are coordinated and implemented, but it is most likely that the tradition for multi-level governance and coordination will continue. It is a central goal of the local government reform to strengthen local democracy.

In the Regional Strategy for Growth, published in May 2003, the stated ambition of the government was to promote a sensible economic balance and to secure a balanced development in all parts of the country, so as to make them attractive to live and work. The governmental regional policy has changed its focus to peripheral regions that need assistance in developing conditions for growth and business. Economic support for regional development is directed at the compensation of differences, by means of regional growth partnerships (*vækstsamarbejden*) with the aim of developing strategies for regional growth. On a national level these efforts demand the co-ordination of different Ministries and a cross-sectoral way of working.

## **Estonia**

Recent reforms include:

- Collective Agreement Act (1993), on labour relations;
- President of the Republic's Roundtable on National Minorities (1998), a standing conference;
- Agreement (1999) between government, employers and trade unions, to form tripartite employment councils;



- Environmental Impact Assessment and Environmental Auditing Act (2000);
- Public Information Act (2000), providing more free access to public information;
- Local Government Associations Act (2002);
- Advisory body to the President of the Republic (President's Academic Council, 2002), to analyse key problems of the development of society;
- "Estonian Civil Society's Development Conception" (2002), outcome of a co-operation memorandum signed between political parties and citizens' associations;
- "Estonian Public Understanding Memorandum", signed by parties, on sustainable development; ;
- Small Islands' Committee, to discuss problems concerning the development of small islands;
- The Structural Assistance Act (2003), provides for the monitoring of the use of assistance and achievement of priority objectives.

## **Finland**

Reform of Finnish administrative system in the 1990's to create a simpler and more homogeneous level of administration in a formerly bi-polar system (state-local authorities). 19 Regional Councils (statutory joint municipal authorities) were established in 1994 also with the aim of coordinating the use of SF in anticipation of EU membership.

A first attempt to grant administrative power from the state to regional level was the case of the "Self-government experiment in the Kainuu Region".

## **France**

The administrative structure which is related to regional and local authorities has gone through important changes since the beginning of the 1980s. These do not imply a decreasing role for the central state. The regional level of State administration has obtained an important role in the bargaining process of the planning contracts at the regional level as well as in the management and administration of EU Structural Funds. To a certain extent the State can be considered as a partner of the local and regional authorities. This is a trend parallel to a gradual increase of tasks and duties delegated to local and regional authorities by means of a decentralization process recently relaunched by the Government. While the central state reinforced its role and arguably became more active in territorial governance, new legislation aims at taking better account of regional and local diversity and at strengthening lower administrative levels.

A clear progress has been made in the way local projects are planned and implemented through new forms of combining local resources, by securing improved vertical and horizontal coordination. The local territory has become the place where central state and local policies are coordinated and organized. Evaluation of policies is a new practice, which has been

established to deepen participation and transparency in policies building processes. A variety of urban agencies have been created since the beginning of the 1980s. A good example (urban and rural) are the "Conseils de développement". The so-called Time Agencies (*Bureaux du Temps*), which exist in some urban areas and are generally focused on transport issues, can also be mentioned here.

## **Germany**

The co-operative federalism has come under pressure in the recent past, especially due to political blockade in the law making process. The government at the federal level was obstructed by the coalitions in the Bundesrat. This led to the installation of a commission on federalism which delivered its first report in December 2004. The main result was, that it failed to fulfill its remit, mainly due to unbridgeable conflicts in the question of university regulations. Here, the Laender want to keep the federal government out (currently, a framework legislation is provided by the federation to assure a 'standard'). How the work of this commission will continue remains to be seen. The reform, however will still have to wait.

## **Greece**

The reason one has to speak only of intentions is not so much because there are no concrete steps in the direction of governance, but rather because implementation of the reforms which have been undertaken is still slow and often subject to reversals. According to the national overview, one is bound to recognize that governance is still a rather weak concept in the Greek social and political institutions and processes and that a lot remains to be done. International influence is of crucial importance. A direct way for the introduction of new processes is through the implementation of European Initiatives, such as URBAN or LIFE, the Habitat Agenda, etc. An indirect way is through changes in the national legislation, such as the changes regarding decentralization and empowerment of local authorities over the last decade. This is sadly a process which has become entangled in negative rulings of the Council of State, the supreme administrative court. Considerable progress has been made towards more open government, the protection of citizens' rights (e.g. the institution of the Ombudsman), the protection of personal data, the opportunities for partnership formation, especially at the level of local government, the formation of public – private partnerships for project construction and the participation of regional authorities in cross-border cooperation initiatives.

## **Hungary**

Reforms mentioned in the national overview:

- Local government Act, 1990 (Decentralization of power and transfer of responsibilities from the central state to local governments as a result of transition)
- *Act XXI of 1996 on Spatial Development and Planning* (legal

regulation for the decentralization of spatial development planning from the central to the regional level. This is a controversial example, which, because of some modifications and drawbacks, has failed so far to enhance the practice of governance.

## **Ireland**

According to the national overview, all three levels of government are steered in the direction of better regulation. Since the 1990s there has been, however, a gradual lessening of the responsibilities allocated to the local level, with the establishment of new national agencies, such as the Environmental Protection Agency, on the one hand, and a strengthening of the regional level, largely as a mechanism for administering EU funding, on the other. According to findings of the ESPON 2.2.1 project, significant influences on governance in the country were due to the receipt of Structural Funds.

## **Italy**

Institutional reforms regarding the competences and relations of the different levels of government since 1990's:

- *Organisation of local autonomies* (new roles as part of the territorial planning for provinces, creation of "metropolitan cities", with the status of provinces)
- Direct election of the mayor, the province president and the municipal and provincial council;
- Government delegation of functions and competencies to the regions and local bodies, for administrative simplification;
- Urgent measures for the streamlining of administrative activities and decision-making and control procedures;
- Assigning of functions and administrative tasks of the State to the regions and local bodies;
- *Regulations for autonomy and organisation of local bodies*;
- "Single Text on the organisation of local authorities", according to the principles dictated by the constitution;

The new version of chapter five of the Italian Constitution (2001) gives legislative powers to regions, especially in territorial policy.

## **Latvia**

There has been decentralization of competences to the local level following transition. No details are provided in the national overview. Reference is made to the Concept of Public Administration Reform and the Public Administration Development Strategy and associated Implementation Plan, which confirms the existence of reforms implemented on a national scale. However, the fact that no substantial progress in establishing regional authorities has taken place and administrative territorial reform is supposed to end in 2009, ranks Latvia among the countries where intended reforms are under way.

## **Lithuania**

Several laws are mentioned in the national overview that are linked with the reform of the administrative system since 1990 by creating a regional level of government (centrally controlled) and enhancing the role and number of municipalities:

- Law of the administrative units and their boundaries (1994)
- Law on local self government
- Law on governing of the county
- Law on Territorial Planning
- Law on Regional Development, (2000).

## **Luxembourg**

There is a certain amount of ambivalence in the current situation: "In Luxembourg, it seems that everybody is meeting currently, there are a lot of formal and informal dialogue between authorities of different level... Since 1988, when a new municipalities Act was drafted, it is possible to have referenda and public consultations at local level. Apart from that important step, the new Act is not changing a lot, but is supposed to ensure more democracy in the running of local councils. Municipalities were also given the right to appeal administrative decision". There has been no real administrative reform, but there has been a continuous adaptation to evolution. Because of size and distance, administrations are never out of reach from citizens.

## **Malta**

Reforms concerning "bipolarization" were made by the government. The first attempt to redress the issue was the Public Service Reform. This reform has slowly brought about a change within the public sector, through the introduction of a service charter, customer care lines, better services and efficiency in the provision of services offered. The introduction of e-government made the public sector less remote from the public. The 1992 White Paper on Local Councils and subsequently the Development Act (1993) were aimed at giving more voice to the people. During 2001-02 plans were made to use Structural funds for areas pertaining to governance. Various ministries worked with their counterparts and identified areas under the EU Structural Funds.

There are further examples, cited below, of implementation of governance through decentralization, subsidiarity, devolution, privatisation and the implementation of Public Private Partnerships:

- Decentralization: Local Councils extended the right to formulate by-laws, to manage and administer public areas
- Privatization led to a more competitive system of development and transformed public entities into Authorities or Corporations, thus making them more open to public scrutiny processes and transparent (MEPA, ADT, ENEMALTA, MALTACOM, Water Services Corporation). It also forced upon the local culture the tendency of limiting monopolies.
- The Private Sector involvement came to the fore with the development of hybrid PPPs in the implementation of

- Redevelopment Projects (National Projects) and currently for Landscaping Consortia and the Care for the Elderly sector.
- The benchmark for 2008 for the privatization of Public Transport is being implemented.

## **[The] Netherlands**

Several reforms, particularly from the 1980s onwards, have contributed to changes in the direction of governance, while others are on the way. Successive governments during this period pursued the goal of governance, which was politically defined in terms of liberalization, privatization and deregulation. Institutional arrangements and instruments introduced in that period include public – private partnerships and various forms of participation, contracts, covenants and agreements, linking levels of government in a vertical sense and public agencies and / or the private sector and the citizens in a horizontal sense. In the last 3 years the government emphasis on deregulation took the form of a negative attitude to the principles of consensus a consociational democracy, which also explains a relative hostility to the regulatory and restrictive character of spatial policy and the provisions of the revised Spatial Planning Act, which was available in a draft form in early 2005 and is expected to come into force in 2007.

This revision will probably increase the freedom of local authorities to interpret top-down policies as they see fit, but it will also give the provinces increased powers of supervision over them. On the other hand it is likely to enable the central government to plan and implement large projects, without the interference of provincial and local authorities. An additional emphasis in the revised act is on greater clarity, transparency, and clear and unequivocal procedures. Reforms in the direction of governance are evident in policy packages implemented in the 1990s, with their emphasis on horizontal and vertical coordination and on cooperation with private actors. They have also taken the form of decentralization of powers, rather in favour of the provincial (regional) level, public – private partnerships, city networking, internationalization of planning decisions and planning for sustainability.

## **Norway**

The 19 regions (*fylkeskommuner*) are directly elected public bodies with extensive responsibilities for regional development and planning. This includes preparation of the regional development programmes. The reform of responsibilities from 2003 and its focus on decentralisation (see section 1) means that the regions now have a decisive and leading role in the regional policy processes. The task is to take the regional resources and challenges as a point of departure, and in cooperation with partnership actors try to ensure the sound use of public resources. The role of the regions as a development - actor has thus increased markedly. As such, the economic support that was once given to the SND (the Norwegian Industrial and Regional Development Fund) for redistribution now goes directly to the regions themselves.

Limited fiscal reforms at the county level have taken place. Since 2002 some regional development funding items have been decentralised from the state budget to the county authorities.

### **Poland**

A major administrative reform was implemented in 1998-1999. A new regional (*voivodship*) and local (*poviat*) level of public administration has been introduced by this reform. These new intermediate levels of state administration are serving the increasing needs of co-operation and co-ordination between central state and self-government institutions.

### **Portugal**

In terms of initiatives, noteworthy is the publication of the report "Mission for the reform of the territorial organisation of the state administration", where considerations and proposals on administrative decentralisation are particularly relevant. ... The considerations found in this report were the object of thorough political evaluation and it is expected that the government will present new legislative initiatives in the near future.

### **Romania**

The Law on access to information and the Law on transparency of the decision-making process are mentioned in the overview. However, implementation remains uneven, in particular at the level of local administration. A public administration reform strategy was launched in 2004 and a framework law on decentralization was adopted in the same year. The Romanian authorities have made considerable efforts to develop a strategy for managing the process of decentralization in a transparent and stable manner. A strategy was prepared following the input of an extensive public debate with all main stakeholders. However, the proposed reforms are still at the design stage. A newly established Technical Inter-ministerial Committee is in charge of the co-ordination of the reform of public administration. It is the first time that the principles proposed by the White Paper are mentioned in a official document.

### **Slovakia**

The Slovak Republic is divided into 8 Regions which are at the same time State administration and self-government units. The country is divided also into 50 districts and 2,883 Municipalities / villages which are self-government units. Since 1990 a decentralization process has been taking place. Step by step certain functions and competences of central state administration are transferred to self-government authorities at the regional and local level. Decentralization of spatial planning competences is already complete.

## **Slovenia**

After independence, in June 1991, Slovenia started changing its formal government in the direction of governance. The Human Rights Ombudsman Law was passed in 1993. The public office of the "Commissioner for Access to Public Information" was established in 2003 in accordance with the Access to Public Information Act (APIA). This law is based on EU principles and guidelines regarding the access to information. Procedures for obtaining information are improving. In the past 3 years the Centre for Information Service, Cooperation and Development of NGOs – CNVOS was active in the direction of strengthening government - civil society dialogue.

Several programmes were successfully implemented concerning the strengthening of NGOs and their participation in partnerships for national and regional policy, policy formulation (with UNDP support) and government – NGO dialogue. There was partial success in promoting cooperation with the so-called *status networks*, which include various associations and institutions. In spite of extensive informal talks and cooperation within the *Initiative for the Future of NGOs* and the *Trust Consortium*, several problems remain unresolved.

## **Spain**

The 1978 Constitution introduced a strong regional level of government devolving power to the 17 Spanish Autonomous Communities. These Regions enjoy legislative and executive competencies in many fields (environmental policy, land use, physical planning, transport, forestry, protection of cultural heritage and economic development). Devolution to the Regions is extensive and relevant processes continue.

## **Sweden**

A process of power transfer from central state to the regional level is under way.

## **Switzerland**

The new Federal Constitution of Switzerland of 1999 transferred responsibility for framework spatial planning legislation to the confederation. The NFA is a preparation for a reform of federalism. Vertical co-operation is to be made possible on a partnership level, and a horizontal equalisation of burdens is to help ensure decentralised development. The socio-demographic equalisation of burdens is important for the agglomerations, since in this way the excessive burdens on the centres will be equalised by the Federation. The Federal Constitution requires the Federation to take more account of the concerns of the agglomerations. To implement this, the Tripartite Agglomerations *Konferenz* (TAK) was founded in 2001 as a platform for the promotion of

vertical cooperation between the Federation, cantons, municipalities. The Federation's 2001 agglomeration policy complements these steps.

### **United Kingdom**

As stated in the UK national overview (but not in section 3.1 which is missing), one of the principal foci of the government since 1997 has been on strengthening (creating) the regional layer of government. In Scotland and Wales referendums in 1997 enabled significant devolution of powers to elected national parliaments. Another referendum in 1998 in London enabled the establishment of the Greater London Authority. In the case of England, following on from the establishment of Regional Development Agencies in 1998, regional chambers were created. This was followed by legislation allowing for elected regional assemblies in the eight English regions (excluding London) in 2003.

### **Conclusions**

As in section 1 (acceptance of governance), here too we have a strange cohabitation in the same category (see table above) of very different countries. It is significant that overviews of some countries, with an "active" acceptance of governance (see section 1), speak of "intended", rather than of actual changes in formal government in the direction of governance. The feasible speed of reform is naturally a factor here, as well as judging the point of differentiation between an actual and an intended reform. Another important consideration is possibly the difficulty of overcoming resistance, which is rarely mentioned. It is nevertheless sometimes acknowledged that the representatives of existing structures are reluctant to embrace new processes and that two almost parallel systems seem to co-exist even in countries with a very advanced administration. It must be admitted that the existence of specific reforms is a delicate issue, because it is often bound with obligations imposed by the EU.

A variety of specific reforms, central to territorial governance or peripheral, are reported in the overviews. These may include innovations in the system of administration aiming at greater effectiveness, better quality of personnel, transparency (Ombudsman), access to information etc., or changes in the direction of better protection of human rights and personal data. Important reforms are reported relating to government – citizen communication (open government, referenda, consultation, participation).

Reforms of regional government and greater devolution of powers figure frequently among the changes reported. Of great importance are also initiatives towards strengthening local government, devolving powers to local authorities and enabling municipal co-operation.

Several actual or intended reforms are related to issues of coordination. This is the case of the creation of organs aiming at better co-ordination at the national level (advisory bodies, councils etc.) or of innovations in the field of partnership creation, both horizontally and, even more so,



vertically. Public – private partnerships are an important reform, sometimes only in enabling legislation,, which is dealt separately (section 8). In some cases broader economic reforms are included, e.g. on liberalization, deregulation and privatization

Spatial and environmental matters are also frequently the object of reform. E.g. environmental initiatives, the creation of environmental agencies, the reorganization of the spatial planning system, and the introduction of new planning instruments and agencies are among the reforms reported in the overviews.

It must be pointed out that it is clear that several reforms were intended to improve national responses to EU programmes and policies and to make domestic processes compatible with EU funding procedures. As implied earlier, particularly in connection with intended reforms, legislative measures are frequently reported, expressing future intentions rather than implemented changes. Thus, several cases of very recent reforms will be tested in the future.

## **Section 3. Criticisms regarding the lack of progress towards governance and / or the weaknesses of the present situation**

### **Austria**

The biggest problem of decentralisation is the poor co-ordination which arises from the random organization [of] spatial policies. Intensive cooperation is required in the areas of granting assistance in accordance with the rules of the EU. It will be a future challenge to harmonise the development policy and spatial planning policy measures to avoid that any of these measures induce opposing developments. Examples where harmonization would be sensible are investments in transport infrastructure, guidelines for granting the regional distribution of public facilities.

### **Belgium**

A "non consensual" atmosphere originates in the history of Belgium, with conflicting interests, and the fact that there is not anymore one central power: All the federated entities are on a par, between them, and with the federal state. As the conflicts between French speaking and Dutch speaking *Communautés* and Regions are continuing, the prospects are not optimistic. Nevertheless, it must be recognized that Belgium has succeeded to change from a unitary state to a federal – soon confederal? – state, without a ... civil war, so this may be a success of a form of "governance"...

### **Bulgaria**

In spite of the spate of new legislation aimed at a speedier adaptation to European Union rules, the main problem is the slow progress which is caused by a recent economic crisis, poor investment performance in the 1990s and the difficulties of transition from a centrally planned economy to a free market one. A challenge for Bulgaria is the completion of the transition of the public administration from the practice of a centrally planned economy towards the customer-oriented public administration and civil offices, which are typical for a market-based economy. The objective is to build the capacity to meet the growing demand of high-quality public services by the customers - individuals and public entities.

The process of reallocation of powers suffers from the same structural conditions inherited from the past. The whole system is in a state of transition. An analysis of the overall experience of the decentralisation process makes obvious that there is a process of a gradual transfer of services from the central to the local governments. Activities which have been a state monopoly now are going partially or in full volume under the competency of the local governments. Certain social services have been transferred to the municipalities but the majority of services are delivered in traditional manner. Although the specific programs undertaken and the

financing methods used are ultimately a result of the budget process and political settlement, new local government legislation provides several rationales for involvement of the private sector in public service delivery. Alternative forms have been applied such as contracting out private local or foreign enterprises. Forms of provision of concessions of service activities or licensing are regarded as innovative under the new conditions. The main trend in this area is characterised by the increasing significance of contracting as a mechanism to raise the effectiveness, reduce the costs, and improve accountability in the performance of certain activities by municipal administration.

The distribution of resources to local authorities is inevitably affected by the low level of revenues and investment, although the situation is improving fast. An indication is the fact that in spite of important planning powers, the municipalities are extremely slow in producing spatial plans, partly because of financial reasons.

### **Cyprus**

On the whole a criticism leveled against the current progress is the slow pace of change. According to the national overview, it is a fact, that change and adjustment of policies and behaviours towards governance principles, is taking place. This change however is gradual, slow and constant, though it can not clearly be defined as to when a change has been fully materialized and whether it is entirely within the context of governance principles. The absence of a new mentality, both in the body of citizens but even more so in the administration, is another source of complaint.

In a discussion of progress towards governance principles, the following extract is of interest: Most problems are observed in effectiveness. Although a conscious effort is been made towards a thorough clarification and statement of objectives, certain problems, in the timely and effective implementation of policies and or plans concerned, have not as yet been avoided. It must be recognized though, that effectiveness is consciously aimed at within the context of the new governance. However progress is slow and the ability for adjustment is demonstrated in the private rather than in the public sector.

The problem of resources is also mentioned. Many departments in their functions do not have the means to secure adequate income to perform their duties. In these cases the government through the budget allocates to these departments and or agencies the necessary funds. The intention however is to make every department or agency, financially independent as far as possible. In many cases the intention is to make them self sufficient.

### **Czech Republic**

The citizens are critical about the operation of public administration as well as the delivery of public services. They feel that the political system does not offer them adequate opportunities to influence existing problems

or participate in their solution. The government dominates while the concept and principles of governance are only slowly being understood and implemented. Regarding the weaknesses of public policy and administration, specialists have proposed several strategic innovations to achieve a systematic improvement of governance in the Czech Republic, e.g.:

- Strengthening the strategic dimension of government;
- Harmonization of links between the legislative, executive and judicial pillars of public power and the division of tasks among them;
- Adoption of new approaches of participative democracy and of direct democracy (e.g. referendum) and incorporation of lobbying in the legal system of the country;
- Enhancement of public policy and administration capacity to respond to changing living conditions and citizen needs;
- Elimination of the nexus between politics, economic power and media, to prevent clientelism and corruption.

## **Denmark**

Certain situations of conflict or which have caused criticism are mentioned by the national overview authors. A "classical" conflict arises from Parliament decisions concerning the construction of new motorways in the Western part of the country, to promote more economic development, and from the lack of national investment in public transport in the Eastern part of the country - specially I the capital region - where, from an environmental and functional perspective, there is a huge need.

The municipality of Copenhagen and other municipalities of the larger cities have on several occasions criticised the lack of formal possibilities to operate in and with public - private partnerships for urban redevelopment. National authorities have answered back that they find that there are wide formal possibilities for municipalities to work with PPPs , but that municipalities do not use them.

The imminent local government reform is also probably the result of past weaknesses, which have attracted criticism. Indeed, from 2007 a new administrative structure will come into force. 275 municipalities will be merged to 98 and 13 counties (regions) will be merged to 5 new regions. At the same time the regions will lose their power as (land use) planning authorities. Most of the planning responsibilities will be moved to the municipalities and a few rather technical duties will be moved to the national level. The loss of power of the regional level has been criticised by professional organisations (e.g. the Danish Association of Planners) and by organisations dealing with the protection of nature.

## **Estonia**

No information is available in the overview.

## **Finland**

Debate is presently going on at the national level regarding the efficiency and functionality of the Finnish governance system, and the relationship and distribution of responsibility between the central local and regional levels in the field of public service provision and administration, particularly regarding:

- the tasks and competences of government at the regional level and relative allocation of resources
- co-ordination and merging of local authorities in order to meet regulatory service needs

Regional Councils have no rights to levy tax, with the exception of the Kainuu region experiment. This leads to a position, where the Regional Councils have the responsibility for regional development but the resources are under state administration's control.

## **France**

The White Paper was welcomed by the French national associations of regional and local representatives. However, these associations expect definitions of practical methods and tools for consultation and they underline that local authorities are part of the system of government and are not to be equated with civil society. The academic community, or at least part of it, is worried about poor prospects of horizontal co-ordination between the various sectoral policies. This is considered a difficult task to achieve because it implies co-ordination and harmonization between heterogeneous fields adopting different approaches, methods and processes.

In a 2004 report commissioned by the Senate, evaluation processes are stressed as an instrument to improve the management work of the administration and to renew the mode of government. In another report of the same year, published by the *Comissariat Général au Plan*, the comment is made that the use of contractual procedures can lead to a, presumably desirable, transformation of the relations between different levels of decision making. In an earlier report, the former Prime Minister Pierre Mauroy makes the point that territorial competences and powers must be redefined for the benefit of citizens and to increase transparency in decision making. He also calls for improved citizen participation in local development decisions and for clearer relations between the State and local authorities. The local *Agences d'Urbanisme* (town planning agencies, not to be equated with local authorities) have insisted that the decentralization process must be deepened to render the local authority – citizen relations stronger, because past efforts tended to concentrate simply on reforming the relations between the State and local / regional authorities.

## **Germany**

The situation in Germany is quite complex compared to other countries in the EU. Some of the features of governance are already built into the

German system, e.g. with respect to participation and co-ordination. Currently, efficiency debates are in prominence, e.g. in the commission on federalism mentioned already. The social democratic government has propelled a number of changes in the German system (e.g. reforms of the health sector and of social security systems), which reduce the role of the state as main actor and transfer responsibilities to other sectors.

## **Greece**

Criticism of present government processes emanates increasingly from national and local NGOs and citizens' groups. It concerns mainly the lack of consultation and the violation of sustainability principles. Poor vertical, horizontal and intra-departmental co-ordination and labyrinthine procedures, as well as lack of transparency, corruption and patronage are targets of criticism. As mentioned in the overview, the processes and the operations of the Greek state are generally considered by the average citizen static, unchangeable, obscure and chaotic. Long and complicated processes and poor co-ordination are also recognized as the main reasons for the notorious ineffectiveness of Greek spatial planning. Although considerable progress has been made in the direction of reallocation of powers in favour of the regions, there is still a lot to be done particularly in strengthening the role of local authorities, which suffer from inadequate funding and human resources. The operation of local development companies is a promising experience.

## **Hungary**

The country is considered as extremely centralized (monocentric) with functions overwhelmingly concentrated in the capital. Despite considerable changes regarding political and administrative powers of local government since 1990, the central government has retained the economic power, and financially tied the local governments to itself. When relative financial independence was achieved in the early 1990s, the central grip has grown considerably on local governments, of which the level of independent income was severely cut. This was done on the specific request of the EU, which took the view that the development level of the regional system was not strong enough. In the new EU programming period, from 2007 onwards, the role of the regions will be increased, since they will become responsible to the development and execution of their own regional operational programmes.

## **Ireland**

A predominant characteristic of Ireland is a strong, centralised system of government and administration, with a relatively narrow range of functions performed by local government. Nevertheless, spatial planning is one of the functions that is mainly carried out at the local government level. Since the 1990s there has been, however, a gradual lessening of the responsibilities allocated to the local level, with the establishment of new national agencies such as the Environmental Protection Agency on

the one hand, and a strengthening of the regional level, largely as a mechanism for administering EU funding, on the other.

## **Italy**

Two weaknesses can be observed:

- Weak national responses: Until today there is still no official territorial reorganization strategy at the national government level.
- Obstacles to strategic planning: The recent strengthening of competencies and resources for regions has not been accompanied by a parallel process of strengthening of the role of local government in the regional framework. Second, new competencies for the regional level have been translated in a process of strengthening of sectoral policies, thus compromising the added value of strategic plans in terms of an integrated vision of territorial planning.

## **Latvia**

After the re-establishment of independence the number of functions of local governments was increased, their independence and responsibility rose, but no adequate financial resources were allocated and the administrative division stayed without changes. This creates a contradiction between the content of the new administration and the old territorial division.

To increase the efficiency of the public administration system, the introduction of performance planning, management and evaluation system, according to outputs related to mission and policy objectives, is necessary.

## **Lithuania**

The last 15-year period was marked by attempts to find an effective urban planning model in the market economy conditions. The current situation is contradictory. Contradictions in urban planning and development are determined by:

- Weak management of land-use, unsuited for urbanized territories;
- Inefficient mechanism of co-ordination of objective general urban interests and private interests, as well as of implementation.
- Complicated planning procedures, too many details in the comprehensive plan.
- Low credibility of planning solutions and absence of links with investment processes.

There have been proposals to restructure the present administrative system using the 4 historic ethnic areas of Lithuania as a basis.

## **Luxembourg**

Luxembourg is a small, rich country, with no decentralization, although municipalities have important autonomy. This leads to a peaceful "governance" model, without big risks. The situation would become more interesting if the process towards more shared governance was to continue. There is an ongoing debate about sharing of competences between the central state and municipalities.

## **Malta**

Governance concepts outlined by the Lisbon Agenda are seen as a model for the future. The positive views presented by a number of documents are a clear indication of this, however there are still a number of issues that need to be tackled. These include the role of NGOs within Maltese Society. Although very active, NGOs are not seen as legal entities and therefore they are perceived as having low accountability, transparency and insufficient evaluation procedures.

However NGOs are represented in various decision making bodies, namely:

- Heritage Malta Board, Malta Environment and Planning Authority Board (Heritage related)
- KMPD (Committee for the Disabled) is a legalized consultative body within the MEPA Permit Application vetting process.
- Lately Charitable institutions were given a regular legal status which was not recognized fully in normal circumstances (tax, VAT etc.)

## **[The] Netherlands**

Criticism since the early 1980s against the existing system of governance, especially in the field of spatial policy, a system which was already at an advanced stage of development, came in a sense from the central government itself. The identification of "better governance" with deregulation, more transparency and privatization was the ideological basis for the criticism that the government was carrying out tasks that should be sourced out for reasons of efficiency. The consensus model came under attack. As pointed out in the national overview, "for many supporters of the present cabinet and some cabinet members themselves as well, the concept 'polder model' [Note: See section 1] has become synonymous to a lethal disease". The restrictive nature of planning regulations were particularly questioned. But the dominant planning discourse was also criticized by academics as tantamount to a "rule and order" regime. Therefore, progress towards (or retrogression from?) governance must be judged according to the conception of governance. Naturally, the reforms now under way cannot be judged uniformly as progressive or retrogressive, given the complexity of the situation.



## **Norway**

In addition to the comments in section 1, it may be noted that the ongoing debate as to the size, composition and competencies at both the regional and local levels is influencing decisions related to governance issues. Norway has over 400 municipalities, varying in population from just under 500,000 (Oslo) to under 400. But all, at present, have the same duties and competencies. Likewise, counties vary in both population and size. The county level, in addition, has two sets of governance bodies: the county-municipality (directly elected) and the county governor's office (extended arm of central government). Discussion about the relative competencies of these two bodies has been extensive.

As long as there is uncertainty regarding the actual governing bodies, their size, extent, and competency, it is difficult to achieve progress in governance reforms in other directions.

## **Poland**

The White Paper has stirred an intense dialogue in the country. The political National Right is afraid of the emphasis on the regions and the fact that the national state will consequently be at risk of marginalization. Polish NGOs criticize the White Paper too but from another point of view: Why minimum standards of consultation have not been specified yet? The only element of interest for them in the White Paper is the "co-regulation" instrument. Their overall response may be summarized by the phrase: "The White Paper does not fulfill its promises, hence there is a lot to be desired in the future".

## **Portugal**

According to the national overview two negative attitudes can be identified: on the part of the decision-maker, the participation of the non-elected is often seen as an illegitimate interference to be avoided or to be minimized. On the part of the citizen the perception of participation without consequences drives the most active elements away. There are also two main factors that undermine local enforcement possibilities. Each municipality still looks very much to itself and the logic of regional understanding has not yet been achieved. Second the resources are mainly driven by central government decisions and are usually not adequately correlated with local responsibilities. Some sort of connection between the interfaces of the Regional Councils, at one level and the Municipal Councils at a lower level would be important.

## **Romania**

The public administration is characterized by cumbersome procedures, a lack of professionalism, inadequate remuneration and poor management of human resources. The transfer of responsibilities to local authorities has not been matched with an adequate transfer of resources. Financial transfers to local government lack transparency and grant a strong

controlling function to county councils at the expense of local councils. Institutions in charge of controlling public funds are weak at the local level and there have been credible reports of public resources being misappropriated for the interests of specific political groups. Most local authorities suffer from a limited administrative capacity. Local authorities find it difficult to implement newly decentralised responsibilities.

### **Slovakia**

Criticisms focus basically on the still undeveloped civil society and the shortcomings arising from the currently transitional stage through which the country is passing from the socialist political regime to the free market regime.

### **Slovenia**

The lack of progress towards governance and the weaknesses of the present situation are the result of a poorly developed regional level (NUTS 3), persistence of a traditional *modus operandi* in the administration, in spite of the new legal framework, ineffectiveness of administration, old mentality of part of the administration personnel, bureaucratization and complexity of procedures, especially because of EU policies, the weakness of powerless authorities at the regional level, but especially because of inadequate cooperation of NGOs and citizen groups with the so-called *status networks*.

### **Spain**

A clearly critical response to the White Paper comes from Catalunya. It is stated that it does not contain any new or different elements and that it is configured within an institutional framework that has already reached its limits. Without a radical reform of the existing institutional context and without assigning extended responsibilities to the Regions, the latter and the Committee of the Regions will not be able to operate in the future more decisively and efficiently than at present.

### **Sweden**

In general terms, formal discussions on the White Paper do not take place in Sweden. However, White Paper issues and principles are familiar to the administrative staff of specific interests and competences (e.g. those concerned with labour market policy). As regards criticisms on White Paper contents these more or less focus on two "vulnerable" principles: demanding responsibility and representative democracy.

### **Switzerland**

As Switzerland is not an EU member, there was no official programme that has developed out of the White paper. However, the discussion on Governance is an issue in political practice and in research in Switzerland. The OECD has released "Metropolitan Governance Principles" in 2001,

which show parallels to the White Paper and have been taken up in Switzerland. The European Spatial Development Perspective (ESDP) has been officially accepted and welcomed by the Swiss Federal Office of Spatial Development. Also, despite the status of a Non-EU member, there is a Swiss Commitment towards INTERREG and ESPON.

The country has begun to face a fundamental structural change that was not least spurred with the thorough economic recession and stagnation during the 1990s. The resulting deterioration of the Swiss overall economic performance produced slower growth and productivity rates as well as decreasing innovative achievement, which in turn generate fewer means to re-distribute. Thus, the country faces the question as to how outward competitiveness can be combined with inner "national" cohesion.

The duality of the Swiss economy – with a highly competitive export sector on the one hand and a well shut-off and protected internal local economy – will eventually lead to a steady erosion of overall factor productivity and slow moving gross domestic product (GDP). This trend already is visible and underpinned by strong statistical signs. But politics, politicians and the voters do not yet accept the necessary consequences to be taken.

Thus, it is a double challenge – politico-institutionally coming from outside of Switzerland and economically coming from within – that offers the opportunity for shifts in governance.

### **United Kingdom**

According to the UK national overview there seems to have been universal acceptance of the principles of governance, certainly from central and local governments. It can be noted that certain reforms, in line with the spirit of governance, e.g. the creation of elected regional assemblies, which are now made possible under enabling legislation, were not always welcomed. E.g. the establishment of a regional assembly was overwhelmingly rejected in a referendum in the North East of England. This region was supposed to be the area that was most likely to support the idea of a regional assembly. In the light of the referendum result it is unlikely there will be elected regional assemblies in England in the near future, if at all. The lack of coordination of policy and spending programmes is commonly criticised.

### **Conclusions**

The responses found in the national overviews reported criticism regarding the lack of progress towards governance and the problems of the present situation, but also interesting critical comments on the dangers of governance itself.

The adoption of governance principles and processes, while traditional structures are still in place, produces a sort of dual system. There exist serious mismatches between the existing institutional and administrative context and the dictates of governance. The current compartmentalized

administrative structure and the respective territorial organization are sometimes incompatible and produce a pattern of fragmented competences. Working across administrative lines, as governance processes would require, presupposes loosening or elimination of these dividing lines, which requires a radical administrative reform. Incompatibility of territorial jurisdictions of different government functions and the parallel incompatibility of old and unchangeable structures with new governance aims are related to the frequently observed poor coordination of spatial policies, lack of planning activity and weak spatial and land use planning. This may actually conceal a problem of communication between sectoral objectives, or even between disciplines serving different sectors. There seems to exist a shortage of new policy and planning instruments to bridge gaps, due to different knowledge bases and terminologies of individual policy sectors, different methods and processes, different spatial and time frames.

Devolution of powers and competences to regional and local levels is often unaccompanied by a commensurate transfer of resources, hence competences remain inactive. Financial problems are blamed for delays and disillusionment. The perpetuation of central control is no doubt an accompaniment of this situation, although it is also reported in situations where lack of funding does not seem to be a problem. It appears that there is an underlying reluctance of the central state to relinquish powers. In some cases the state grants powers and then takes them back.

The reverse situation has been noted too, i.e. the fear that the central state will become marginal, at the expense of territorial cohesion, and that local powers tend to become excessive. A fragmentation of views ensues and parochialism dominates. This may explain why particular innovations, like regionalization, are not always welcomed. There are also complaints that the central state does not provide sufficient guidance and strategic orientation to lower levels. Devolution of planning powers to lower government levels may entail a compromise of the added value of strategic plans, in terms of an integrated vision of territorial planning. This may be particularly acute when conflicts between communities are involved.

The persistence of a traditional *modus operandi* in the administration, in spite of a new legal framework, is a source of complaints. The mentality of administration personnel may be a cause, but not the only one. Corruption is hinted at, but not openly discussed. However, even in a governance context, the involvement of non-elected actors in decision-making is often considered, and may actually be, an illegitimate interference in democratic processes. This even raises questions of a competition of interests and of a struggle for power. There is in fact reference to the nexus of politics, economic interests and the media. Partnership mechanisms involving the private sector might compromise common societal objectives and interests, to the advantage of private interests.

Adoption of governance processes may raise questions of democratic representation and accountability. No doubt, the perpetuation of

bureaucratic and complex procedures is a recipe for “under the table” agreements. Interestingly, the blame for complex procedures is sometimes laid on the EU’s door. What is also blamed is the quality of education, knowledge and level of information of public officials, politicians and the general public.

Practical methods and tools for consultation and participation are missing. It is often felt that consultation must be extended beyond public agents (national, regional or local) to civil society, i.e. NGOs and citizens, and that participation must be more substantial. The underlying goal is that of securing consensus, which strangely may attract also criticism, as fostering inertia and inability to act effectively.

The problems of transition from previous political regimes are naturally mentioned in several situations. This is associated with the repeatedly mentioned complaint of an extremely slow progress of reform.

## Section 4. Priority emphasis on governance objectives

|                | Openness | Transparency | Participation | Effectiveness | Horizontal coordination | Accountability | Vertical coordination | Decentralization | Coherence |
|----------------|----------|--------------|---------------|---------------|-------------------------|----------------|-----------------------|------------------|-----------|
| Austria        |          |              | X             | X             |                         | X              | X                     |                  | X         |
| Belgium        | X        | X            | X             |               |                         |                |                       |                  |           |
| Bulgaria       | X        | X            |               |               | X                       | X              |                       | X                |           |
| Cyprus         | X        |              | X             |               |                         |                |                       |                  |           |
| Czech Republic | X        | X            | X             | X             |                         |                |                       |                  |           |
| Denmark        |          |              | X             | X             | X                       |                | X                     | X                |           |
| Estonia        |          | X            | X             | X             |                         |                | X                     |                  |           |
| Finland        |          |              | X             | X             |                         |                |                       | X                |           |
| France         | X        |              | X             | X             |                         | X              | X                     | X                | X         |
| Germany        | X        | X            | X             | X             | X                       | X              | X                     | X                |           |
| Greece         | X        | X            |               |               |                         | X              | X                     | X                | X         |
| Hungary        |          |              | X             | X             |                         |                |                       | X                |           |
| Ireland        | X        | X            | X             | X             |                         | X              |                       |                  | X         |
| Italy          |          |              | X             | X             |                         |                |                       | X                | X         |
| Latvia         | X        |              | X             | X             |                         | X              |                       |                  | X         |
| Lithuania      | X        |              | X             |               |                         | X              | X                     | X                |           |
| Luxembourg     | X        | X            | X             |               |                         |                | X                     |                  | X         |
| Malta          |          | X            | X             | X             |                         | X              |                       |                  | X         |
| Netherlands    | X        | X            | X             | X             | X                       | X              | X                     | X                | X         |
| Norway         |          |              | X             | X             |                         | X              | X                     | X                |           |
| Poland         | X        | X            | X             | X             | X                       |                | X                     |                  |           |
| Portugal       | X        |              | X             |               |                         | X              | X                     |                  |           |
| Romania        |          | X            |               | X             | X                       | X              | X                     | X                |           |
| Slovakia       | X        | X            | X             |               |                         |                |                       | X                |           |
| Slovenia       | X        | X            | X             | X             |                         |                |                       | X                |           |
| Spain          |          |              | X             |               | X                       |                | X                     | X                |           |
| Sweden         |          |              |               | X             | X                       |                | X                     |                  | X         |
| Switzerland    |          | X            | X             | X             |                         | X              | X                     | X                | X         |
| United Kingdom | X        | X            | X             | X             |                         | X              |                       | X                | X         |
|                | Openness | Transparency | Participation | Effectiveness | Horizontal coordination | Accountability | Vertical coordination | Decentralization | Coherence |

### **Austria**

See table above.

## **Belgium**

“Transparency” is a broad concept which involves public inquest, publication of report, and dissemination of document. In all contacts with the administration the name of a reference person is mentioned. With respect to participation, several processes exist, of consultation and involvement of civil society and organized interests, particularly in spatial planning.

## **Bulgaria**

Although it is clear that recent reforms aim at all the ingredients of governance, specific emphasis is placed in the Bulgarian national overview on the principles indicated in the table.

## **Cyprus**

Although emphasis is placed on all governance principles, it is mainly with regard to openness and participation that progress can be reported. Reaction is observed in the administration with regard to accountability, while effectiveness is certainly a weak point (see paragraph 3). Coherence is still not perceived in its proper dimension. It is acknowledged that the principles of governance will in time be fully introduced in the country. Although not a firm declaration has been made towards this end, the gradual changes and adjustments to the legislation, the definition of policies, the encouragement towards public participation and the growing awareness on environmental issues indicate that changes towards the new governance are taking place. It is true that the mentality of the people and traditional habits do not adjust easily to new ideas or within a short time. However, the complexity of issues and the widening of the horizons of each member state towards a common understanding and vision, will inevitably, although gradually, promote effectively the implementation of the governance principles and context.

## **Czech Republic**

See indications in the above table.

## **Denmark**

As mentioned earlier, Denmark supports the principles of openness, accountability and effectiveness and the need for more flexible and democratic decision making. The government’s priorities currently are greater decentralization and participation, improved horizontal and vertical coordination and enhanced effectiveness (see indications in above table). The current county and local government reform is consistent with these objectives.

The larger and more sustainable municipalities will be responsible for most of the welfare tasks and they will become the citizens’ main access point to the public sector. According to the government’s objectives, the

purpose of the local government reform is to create a new Denmark where a strong and forward-looking sector solves tasks efficiently and as close to the citizens as possible. Citizens in Denmark will experience an even better and more consistent public service. The local government reform is expected to have an impact on local democracy in Denmark. After the reform, the district councils will have more tasks and thus more political responsibility. A new democratic government body will be established, namely the regional council.

## **Estonia**

In addition to reforms mentioned in paragraph 2 it worth mentioning in this context the goals of "Public Understanding", which is an initiative of different social groups, which defines general development goals in Estonia and main courses of action to achieve them. Public Understanding is a forum for exchanging views about principal choices of development in Estonia and is a process, where similar views lead to agreements and where implementation of these agreements is supervised and assessed. Enhancing the standard of living, as the main goal, demands concentrating on knowledge- and innovation-based economy as well as on fair social structure. Equally important is knowledge-based governance and substantive co-operation and constant exchange of ideas between state authority and different groups of society. It is important to implement the principles formulated in the Estonian Civil Society's Development Conception and to develop a human-centred society.

## **Finland**

The European White Paper on governance has themes that are seen as relevant for the Finnish governance model, but it is argued that transparency, openness etc. are much more based on traditional Finnish and Nordic values of public government and government than inspired by European debates.

## **France**

As indicated in the above table the principles openness, participation,, effectiveness, coherence and accountability are widely represented in a variety of policy reforms concerning the regional and local levels, in spite of the fact that the word "governance" is rarely mentioned in official documents. But decentralization and vertical and horizontal co-ordination are also present, if one takes into account that the new governance trends originate in the decentralization process which started in the 1980s, that at the local level the attempt to combine resources in different fields involves better horizontal co-ordination and that State policies must be brought together at a local level, through vertical co-ordination. It is at this level that adherence to governance principles is manifested e.g. in the use of instruments such as the *contrats d' agglomération* or the *contrats de pays* or in the setting up of councils (e.g. the *conseils de développement*), bringing together representatives of elected bodies and of civil society. A similar result is obtained through strategic planning



frameworks introduced at the national and regional levels, which although less conducive to governance processes, nevertheless often rely on negotiations. Local land use and spatial planning instruments are also increasingly characterized by their reliance on a governance approach. The role of the State remains on the whole dominant, but the blending of the objective of maintenance of local diversity with that of equal treatment of citizens over the whole of the national territory implies an emphasis on bargaining and on a partnership approach between the State and regional – local authorities.

### **Germany**

Judging from the 'published' opinion, none of the topics of the White Paper are prominent in the media – or have been. In general the White Paper was not particularly discussed, especially with respect to urban and territorial policy, although the situation may be different in other policy fields. It must be repeated however that regardless of the discussion on the White Paper itself, the majority of its objectives are already present and established in daily practice, e.g. accountability, co-ordination, decentralization, openness, transparency, effectiveness etc.

### **Greece**

The principles of governance which have been singled out in the table (openness, accountability, coherence, transparency, vertical co-ordination and decentralization) were not selected because of their relative importance or because there has been no progress whatsoever with respect to the other principles. Rather the reason is that more progress has been achieved in these areas in relative terms, in spite of its slow pace and the resistance it comes up against. Openness, accountability and transparency have been improved, mainly because of administrative reforms (rights of appeal to the courts and the Ombudsman, procedures for entering the civil service, access to public information etc.). Coherence is very slowly improving. Progress made is due to a more comprehensive planning system established in the late 1990s. Decentralization is gradually happening, leading to better vertical co-ordination. Constitutional problems and the rulings of the supreme administrative court (Council of State) are serious obstacles. In all these areas progress is painfully slow, due to bureaucratic inertia, ineffectiveness, secretiveness and resistance to change.

### **Hungary**

See indications in the table above.

### **Ireland**

There is no specific reference in the Irish report to individual governance principles. It is clear that all of the above objectives deserve to be mentioned, due to the existing planning system, which seems to function well, with good co-ordination and participation functions. The most

significant recent legislation in the spatial planning area is the publication of *The National Spatial Strategy 2002 – 2020*. In fact, the NSS fully adopts the ESDP's perspective on the practice of spatial planning. As with the ESDP, the main thrust of the NSS is to promote a win-win solution where further growth in the less developed regions is to be gained without jeopardising growth in the economically buoyant areas. This clearly indicates that the Strategy has adopted a 'potential' rather than a 'redistribution' based approach to achieve balanced regional development, mirroring the ESDP's departure from traditional regional policy. In order to maintain EU funding for those areas, the government divided Ireland into two NUTS 2 regions.

## **Italy**

Objectives stressed in the overview are simplification, central level reorganisation, legislative and administrative decentralisation, institutional co-operation and competition, public capacity building, and local and regional finance. The key principles identified are autonomy, subsidiarity, responsibility, appropriateness of the public structures for carrying out of the responsibilities assigned to them, flexibility in inter-institutional relationships, citizen participation in collective choices, and streamlining of the bureaucracy.

## **Latvia**

Governance principles receiving emphasis in the national overview are openness, participation, accountability, effectiveness and coherence, as specified in the White Paper and accepted and integrated in national documents.

## **Lithuania**

After the restoration of independence a decision was made to prepare an administrative reform. Its goal was to deconcentrate administrative powers, bring administrative services nearer to those for whom they are meant, further develop democracy and lend more real power to the citizens in everyday life. Legal and physical persons have the right to obtain information about prepared and approved territorial planning documents. With respect to the hierarchy of territorial plans, it is pointed out that territorial plans are interactive. Regional and local plans have to follow plans at the national level

The Law on Territorial Planning underlines the open character of planning procedures, the emphasis on agreement as an element of the nature of plans and the requirement of cooperation during the planning process. The Government is accountable to Parliament (*Seimas*) for the implementation of national, regional and local territorial plans.

## **Luxembourg**

There is no specific reference in the Luxembourg report to individual governance principles and objectives. Participation takes place in spatial planning processes.

## **Malta**

In order to understand the role of governance in Malta one has to understand first the functioning of a small society with limited resources, which involves an intricate system of networks and personal ties. Everything tended to be controlled by people in power, namely politicians. The situation is summarized as "excessive power at the centre, too many infringements of the democratic process and an abnormally high level of political polarization". One of the main aspirations connected to the Lisbon Agenda and the entry into the European Union was the hope that the new introduction of governance would dismantle the culture of fragmentation that exists among different government departments, agencies and NGOs.

The following remarks are in order:

- Regionalization is difficult because of the contrasting systems in the Maltese Islands (geographic, political, sociological, demographic);
- Small Island with a limited population but high urban density and urban psyche;
- Citizens' aspirations although pronounced in favour of EU by the majority still inclined to resort to political favours even for 'petty' issues;
- Centralisation and polarization remain an issue even though highly attenuated by the new political climate created by EU long term political agendas. This is a cultural syndrome, affecting both society and civil service, attributed to historical reasons.

## **[The] Netherlands**

Given the complex nature, the deep roots and the long history of the governance system of the country, the presence of all the attributes of governance must be acknowledged (see table above). Current reforms are based on the view that deregulation and privatization are ingredients of equal importance, as explained in sections 2 and 3, while clarity and transparency are key objectives in the current revision of the Spatial Planning Act. A special act (1999 / 2001) regulates transparency in government. Accountability is also emphasized in all government pronouncements. The principle of subsidiarity, as manifested in the effort to reorganize planning so as to make sure that powers are exercised at the right (preferably lowest) level, is also present in current policy. Coherence is a central concern in the production of plans. E.g., plans developed at the regional level by the provinces on spatial development, water management, transport and the environment, have to indicate how one affects the other and how the other plans should be adjusted by the revision of each of them (the "leapfrog" principle). Coordination is

constantly present (but not always unproblematic) in all spatial policy making, both in terms of a tight cooperation between administrative levels (vertical cooperation) and in terms of allocating to spatial planning (characterized as a "facet policy") a role of binding together sectoral policies, considered as "line policies". A variety of policy packages are structured on a horizontal, vertical and "diagonal" cooperation basis. Horizontal cooperation is a regular practice at all levels: central, provincial, municipal.

### **Norway**

The debates regarding both size and competency at the local and regional level (see sections 1 and 3) have resulted in an extended process to review, judge, experiment and evaluate proposals to change both the size and the competencies of the local and the regional level. The driving forces are largely questions of efficiency, (small municipalities are deemed less efficient, two actors at regional level redundant), but questions of democracy and participation are also evident.

In 2007 the present set of trials will be evaluated, and new proposals will be put forward.

### **Poland**

There is no explicit reference in the national overview to individual governance objectives, except in the case of the legal provisions for the elaboration of the National Development Plan 2007-2013. One of the basic Plan's objectives is the so-called "building of social capital". Social capital is defined as the sum of social trust between the public and civil institutions and a formula of participation in the drive to the operation of the institutions of civil life.

### **Portugal**

There is no specific reference in the national overview to individual governance principles and objectives, but those indicated in the table are indirectly implied in the text.

### **Romania**

There is no direct response in the national overview but reference is made in previous paragraphs. It is also stressed that the implementation of the pre-accession instrument has played a significant role in the spread of governance principles, in particular at local level, where authorities, NGOs, individuals and private entrepreneurs have been confronted with the imperatives of co-operation, accountability, effectiveness, transparency etc., as requirements for the successful implementation of their projects.

### **Slovakia**

Apart from the indications in the table, it can be assumed from the national overview that the basic issues of concern are decentralization, public participation and above all transparency. There is a specific law referring to the provision of information and aiming at the transparent performance of public administration. All non-confidential information is subject to this law and should be available to the public upon request.

### **Slovenia**

See indications in the table above.

### **Spain**

As mentioned in the national overview, most of the initiatives relate to the efforts of the Autonomous Communities to expand their powers.

### **Sweden**

The overview does not make explicit reference to individual governance objectives, although several principles are clearly of importance, as indicated in above table. However, it seems that the focus of relevant pilot efforts is on horizontal and vertical co-ordination and effectiveness.

### **Switzerland**

See indications in the table above.

### **United Kingdom**

As mentioned in the UK national overview, the UK Government agreed with the focus on the five good governance principles of openness, participation, accountability, effectiveness and coherence. It also welcomes, in particular, the emphasis on the application of the principles of proportionality and subsidiarity. Much of the actual implementation of planning policy for which the executive is responsible have been either delegated to regional or local institutions or have been transferred to other public agencies and quangos. The clear conclusion is that, in the UK case, all of the above objectives are underlying both the current initiatives towards better governance and, to a large extent, the existing planning system.

### **Conclusions**

The majority of overviews did not treat separately and systematically, one by one, individual governance objectives. There is on the whole an absence of explicit reference to governance principles in the national overviews. Reference to individual objectives is limited, as these have been examined more or less in an aggregate way, as "governance principles" or "governance objectives". This is partly because there is not a set of criteria or indices to test adoption and actual implementation of each individual "governance imperative". It must be admitted that the

original guidelines for the writing of the national overviews did not request explicitly an answer on each governance principle. However, when a table was produced on the basis of the overviews, all overview authors had the opportunity to check the entries for their countries and make corrections or additions, as indeed was the case with all the tables of the synthesis of national overviews. Therefore it should not come as a surprise that apart from indications in the table there are only brief or no additional comments on some countries. The interconnections and overlaps between principles created problems both in addressing them in the overviews and in classifying them in the synthesis (e.g. transparency, openness and accountability)

In general, it should not be forgotten that direct reference to governance principles in national legislation or national policy documents does not in itself prove real integration of these principles in policy making and implementation. Reference to these principles can be ritualistic as in fact all statements about the acceptance of government. At the other extreme, absence of reference in legislation or policy documents should not lead to the conclusion that governance principles are not observed. In fact, in certain countries these principles are a cornerstone of their culture and policy. In some cases principles like transparency, openness etc. are considered as part and parcel of the culture of particular groups of countries, regardless of explicit pronouncements on the acceptance of the principles contained in the White Paper on European Governance.

Public participation is the most emphasized principle. However, it has been acknowledged in several overviews that while legislation offers the necessary provisions, actual performance suffers and the results are poor. Public participation actually ranges from the case of full involvement of citizens in all planning phases to the case of an opportunity given for objection or appeal. It is obvious that these cases, representing maximum and minimum participation, are very far from each another. One is entitled to suspect wide variations between countries with regard to participation, from the simple right to appeal to full involvement. There is by and large a tendency to claim that participation takes place everywhere. Undoubtedly this has to do with diverging perceptions of the meaning of participation. There is a contradiction here with the comments recorded under section 3 (criticisms). As a modicum of participation takes place during land use planning processes in all countries, this serves as an excuse to claim that participation is an accepted principle. More interesting results on the question of participation can be found in section 8.

Observance of governance principles is frequently identified with measures to improve conventional government, make it more efficient, better organized and more responsive. This should not be derided, because it is an extremely important precondition, before more radical and innovative reforms are introduced. Equally, when the existence of *fora* and councils and the dialogue taking place there are reported as evidence that governance principles are respected, one may express doubts, but this is a step towards a dissemination of new values.

Horizontal coordination has received minimum attention. This does not happen by chance. Several overviews have stressed the difficulties involved in horizontal coordination and the reasons why relevant attempts are likely to fail (territorial incompatibilities, administrative and professional barriers, introversion of individual policy agencies etc). On vertical and horizontal cooperation further comment are provided in section 10.

Minimal attention has also been given to the principle of coherence, and to those of subsidiarity and proportionality (which do not appear on the table for this reason). Coherence is to some extent interconnected with horizontal coordination. As one overview author put it, coherence is not yet perceived in its proper dimension. It is thought to result only from a properly nested and hierarchical administrative and / or planning system, which may in fact be too rigid and inimical to other governance principles. On the other hand, decentralization was frequently quoted, because of the widespread efforts to create and strengthen regional governments. As to subsidiarity and proportionality, these principles seem to be more meaningful in cases of countries and systems where either regional or local levels have extended legislative and policy-making powers.

Openness, transparency and accountability were given considerable weight. In this case however, reference to these principles gave the opportunity to overview authors to include, as evidence, comments on reforms, which are not directly related to territorial governance. Rather, they relate to reforms towards more democratic government in general, as we implied earlier. Analogous is the case of references to principles like deregulation and privatization, which are associated with an economic policy, accepted as better suited to the wider global economic environment.

## Section 5. Factors operating in favour of adoption of governance approaches

|   |  |
|---|--|
| European Union policies and integration processes   | Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Italy, Ireland, Latvia, Lithuania, Malta, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K. |
| Internal political imperatives (e.g. because of pressures towards decentralization or resulting from political / economic crisis) | Belgium, Cyprus, Finland, France, Germany, Greece, Hungary, Malta, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, U.K.  |
| Transition from a previous political regime   | Bulgaria, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Portugal, Romania, Slovakia, Slovenia   |
| Internal economic pressures, e.g. to increase competitiveness   | Bulgaria, Denmark, Finland, Germany, Greece, Ireland, Italy, Latvia, Lithuania, Malta, Netherlands, Poland, Romania, Spain, Switzerland, U.K.  |
| Strong national traditions (e.g. participation or local government traditions)  | Austria, Belgium, Denmark, Finland, France, Ireland, Luxembourg, Netherlands, Norway, Poland, Portugal, Romania, Slovenia, Spain, Sweden, Switzerland, U.K.  |
| Spatial and land use conflicts  | Malta, Poland, Slovakia,   |

### **Austria**

See table above.

### **Belgium**

See indications in table above. The effect of EU policies is felt mainly in the Walloon region as it is an important recipient of EU aid. Belgium has also a strong tradition of local involvement and co-operation.



## **Bulgaria**

It is clear that the prospect of EU membership and the need to adapt to a new economic environment are the key factors.

## **Cyprus**

The Republic of Cyprus was admitted to the European Union in May 2004. The expected impact of EU policies will be felt gradually. As to the other factors which will play a role in the future, one should not overlook the unique situation of the island, which is forcibly divided. The reunification of the island has not taken place to this day and therefore terms like "transition", "political imperatives" and "decentralization" take a special meaning, as long as this situation continues. The exact constitutional arrangements which will emerge, hopefully in the near future, will determine issues like that of regional and local powers.

## **Czech Republic**

The emphasis of European Union policies on partnerships caused a shift in the attitude of public administration towards partnership with the business and non-profit sectors and opened platforms for consultations, discussion and co-operation. Local and regional authorities realized the importance of partnership and co-operation in relation to financial aid from pre-accession instruments and later from the Structural Funds. The preparation of EU programming documents strengthened the role of non-governmental, non-profit organizations. Since the change of political regime an increasing number of active NGOs has been formed and their activity and pressure for greater citizen involvement in decision-making is now being reflected in actual policy making. Therefore, both pressures from the top (EU) and bottom (local NGOs) significantly contributed to the acceptance of participation and to a slow move towards simple modes of governance at the national, regional and especially local levels. In addition to the pressure from NGOs, another factor operating in favour of governance was the growing awareness of the population.

## **Denmark**

EU policies have been present in the National Planning Reports (but not in the two or three latest reports) or in cases where it is mandatory for EU policy to be communicated to the regions, via the formulation of national expectations and wishes for the new regional plans.

The influence of EU Structural Funds' policies has been important. National policies aimed at regional growth played an equally important role. Peripheral regions are now given priority, because they need assistance to develop favourable conditions for growth and business. Economic support for regional development is directed at the compensation of differences, by means of regional growth partnerships (*vækstsamarbejden*), with the aim of developing strategies for regional growth. The local government reform pursued presently consists of three main elements: A new map of

Denmark including new municipalities, a new distribution of tasks and a new financing and equalisation system. A regional innovation policy was launched in 2001 under the name "Regional Growth Environments", to enhance collaboration between companies, research and education institutions, technological services and other relevant actors, around a business "stronghold" in a given geographical area. 3 years later, a new initiative was launched called "Knowledge moves out" with the purpose of strengthening research and innovation in regions with a relatively low level of technology activities.

Denmark has a long tradition of local democracy and of citizen involvement, which a crucial advantage in the pursuit of governance objectives.

### **Estonia**

See indications in the table above.

### **Finland**

The sources of governance reforms have in most cases been domestic and endogenous rather than exogenous. The EU Structural Funds policies are seen as contradictory, as they have brought actors together and by so doing at times promoted policy coherence and cross-sector co-ordination, whilst at the same time being sector-based in nature due to their management structures. An often referred to problem here is also the problem of difficulty in promoting cross-regional co-operation: the SFs are not seen as suitable for this, as the eligibility criteria and regional boundaries of eligible areas set strict boundaries for co-operation. Also the bureaucratic burden is seen to have increased with the introduction of European structural policies.

In spite of the above, it must be said that globalisation and EU enlargement have also imposed new demands for more effective and economical governance. The aim is to secure the provision of democratically steered public services and allow new ways of service organisation and manners of public service production (e.g. public-private partnerships, strengthening the roles of regional councils).

### **France**

Strong national traditions, indicated in the table above, refer to the long-experienced contractual procedures. Internal political imperatives referred to in the table result from the complex ideological, economic and financial crisis of the 70s and 80s. The decentralization process which started in the early 1980s has been an important element in favour of the indirect adoption of governance approaches, notably through the use of contractual procedures. The role of the European Structural Funds was also crucial.

### **Germany**

The unification of the country in the 1990s was clearly both a political and an economic factor. It caused a general reorientation of federal policy, especially concerning the economy and regional development. The volume of resources directed to the new Laender was bound to affect the overall well being in the country.

### **Greece**

The influence of the EU goes far beyond its governance policy, because the whole array of legal rules, policies and structural fund procedures are impacting on the everyday practice of government and administration, enforcing novel ways of planning, monitoring, deliberating and making decisions. Internal political imperatives, themselves affected by EU membership, are associated mainly by the growing emancipation of the regions, especially those in the north of the country, centred on the city of Thessaloniki. Economic pressures originate in the private business sector, especially its most advanced, internationally oriented section, which experiences the effect of global competition.

### **Hungary**

Accession to the European Union has helped substantially to begin to incorporate governance principles. The preparation of the second National Development Plan – which is under way currently – places emphasis on the partnership approach, and foresees the conduct of a dialogue with actors both within and outside the public domain. However, there is still a danger that participation in this planning process will remain rather formal and that the strict adherence to EU regulations does not necessarily mean that innovative ideas will actually be incorporated.

### **Ireland**

The EU has had considerable indirect impact on spatial planning through its impact on environmental and agricultural policies, such as the establishment of the Environment Protection Agency.

### **Italy**

The movement towards a progressive decentralisation of administrative and political action is inspired by the “key principles” of the EU policy approach. Growing importance is assumed by particular local authorities, usually in order to place their city or territory within the context of international competition, by developing a strategic approach that takes into consideration different fields of action.

### **Latvia**

The impact of the Structural Funds as a mechanism to support new governance principles is seen via legislative mechanisms and in actual implementation processes. Essential role in the development of Latvia is

played by the assistance of the EU funds that facilitate structural changes of the national economy and help to reduce social and economic inequalities. Legacy of and transition from a previous political regime (USSR) inspired faster accession attempts into the European Union.

### **Lithuania**

With respect to the EU Structural Fund policy, there is reference in the national overview to the new administrative mechanism for the preparation and administration of the "Single Programming Document" of Lithuania for 2004-2006. The EU integration is not the only factor impacting on the economic development climate in Lithuania. Ongoing global economic and social changes are also bound to have a major impact. Globalisation is often used to point to the multi-faceted nature of those changes, which include the transition in many countries towards a knowledge-driven economy, the emergence of new centres of global economic power and the rethinking of social norms and structures.

### **Luxembourg**

See indications in table above. Luxembourg has a tradition of involvement at the local level.

### **Malta**

Pressures are caused by the need to deal with the problem of limited resources. The problem lies with the lack of resources, both human and mineral. Pressures are still felt today especially with the limitations and closure of Urban Scheme Areas and are also connected with the closure of stone quarries. Siting of a second 'Golf Course' has been met with intense criticism, which shows a greater consciousness of the loss of public space.

### **[The] Netherlands**

The main force operating in favour of governance approaches is no doubt the country's own government and administration tradition, most notably in involving officially recognised stakeholders in decision making (see section 1). As mentioned in the national overview, the Dutch constitution itself "has given comparatively weak opportunities for unilateral, top-down central steering and central control. The most important principle is that of autonomy and co-governance... It means that provinces and municipalities have veto and blocking power as well as a general right to rule their own affairs. This is the autonomy part of the principle, which is complemented by a structure that constitutes a system of interdependence and co-production of policy among various levels of government (co-governance). The institutional set-up of the system provides ample opportunity to challenge, modify, redefine, renegotiate and relocate national decisions".

Given this tradition, the European Union did not cause a major impact on the system of governance, but because of the sheer amount of EU

legislation now incorporated in national law there was a clear impact on policy implementation. The EU has also influenced practices and methods of government and administration, as e.g. in the case of the extensive use of benchmarking. The need to enhance competitiveness has obviously played a role as demonstrated by the insistence of the governments of the last 20 years on deregulation and privatization.

### **Norway**

The participation of the people in the political sphere takes place both through direct elections and through their membership of organizations. The average Norwegian is a member of four organizations and approximately 70% of the adult population is a member of at least one organization. Such organizations are able to exert influence on the authorities by means of formal and informal contacts with the public administration.

The Planning and Building Act, which also covers regional spatial planning, requires active citizen participation.

### **Poland**

Relevant is the urban-rural divide which influences political culture. A stronger involvement in local matters has been evident in the cases of rural communities. Internal economic pressures to increase competitiveness are seen as a search for means to fight unemployment, an especially acute problem in some Polish regions. Strong national traditions can be observed in the southern part of the country that has been for long, until 1918, part of the Hapsburg Empire.

### **Portugal**

See indications in the table above.

### **Romania**

The implementation of the pre-accession instrument has played a significant role in the spread of governance principles, in particular at local level. A clear shift towards governance has been promised by the new government. More and more local communities, NGOs and civic groups are getting involved. As for the planning system, it is relatively well prepared for governance. The right of the Executive to legislate through emergency ordinances has reduced the transparency of the legislative process, has limited the opportunity for adequate consultation on draft laws and has contributed to a situation of legislative instability. Interministerial co-ordination remains limited in terms of substance. The low-quality of the legislative output entails difficulties of implementation and enforcement.

### **Slovakia**

The country seems to adopt the new governance principles rapidly; the easiness in the adoption of reforms stems more or less from the transitional phase which the country is passing through, a phase that is characterized by evolving processes of administrative and political restructuring. The indication in the table under "spatial and land use conflicts" is due to the existence of extensive territories under strict protection regime.

### **Slovenia**

Factors operating in favour of adoption of governance approaches in Slovenia are:

- European Union policies and integration processes;
- Strong national and local government traditions in the case of spatial planning
- Transition from a previous political regime in the case of other sectors
- Pressures toward decentralization, which is going to happen in the near future.

### **Spain**

National traditions in the case of Spain are rather the traditions of autonomy in particular regions.

### **Sweden**

Internal political imperatives in the case of Sweden concern basically the empowerment of the intermediate regional level.

### **Switzerland**

According to the overview, in Switzerland only the concurrence of external challenges and internal threats leads to the emergence of sufficient political stamina and institutional energy for improving territorial governance.

### **United Kingdom**

In the national overview it is mentioned that the White Paper was discussed at a meeting of the Central Local Partnership on 20 March 2002, just before the end of the consultation period, chaired by the Minister for Local Government and the Regions. The Partnership brings together senior government ministers and leaders of the Local Government Association (LGA). The White Paper was generally welcomed by the LGA. The UK Government made its official response by the end of March 2002. It too generally welcomed the White Paper, and considered that, 'governance' is an idea whose time has come. In its response, the UK government placed emphasis on economic governance.

In connection with the influence of national traditions, the point has to be made that although the UK has a long local government tradition, it is still a relatively centralized country and became even more so in the 1980s.

## **Conclusions**

There can be no doubt, at least according to the national overviews, that the European Union policies, principles and processes of integration have been the dominant force, which has been operating on favour of the adoption of governance approaches. This basic conclusion has a variety of shades, which are discussed below. It is necessary to point out that other factors too have had a great influence, such as domestic political imperatives, internal economic pressures to adapt to the international competitive context, the transition from a previous political regime and strong indigenous traditions, embedded in national culture.

The EU has acted as a stimulus for innovation and change in several ways, from practical to psychological. Of particular importance were the EU regulations, e.g. of the Structural Funds and various European initiatives and programmes. The eagerness to embrace its policies and rules was sometimes due to a conviction that by doing so a greater distance would be put between a country's present and its political past as soon as possible. Internal political conditions, following the collapse of socialist regimes and / or authoritarian governments, enhanced this eagerness. Becoming more European (in the EU sense) was the best way to escape from the past, not overlooking the fact the countries, where this motive is most important, felt deeply that they had been cut off from their European identity and the opportunity to be part of the European experience. The EU was also seen as the vehicle of overcoming internal political divisions. The other side of the coin is the case of countries, where the EU principles of governance were already in place. Here, long traditions of "working together" and of citizen participation have existed for long. In such cases, it is the national culture, rather than the EU, which is considered as a crucial factor. The EU is not judged as the determining governance influence.

The mediating process, in the incorporation of EU principles and modes of action, was working within EU programmes and preparing national policies and plans for the purpose of either pursuing accession objectives or becoming eligible for European funding. Particular EU policies and priorities, e.g. regarding sustainable development, had the direct outcome of generating institutional responses, as in the case of creation of environmental agencies or the initiation of environmental protection policies. The realization of environmental problems and of the need for concerted action is a separate factor which pushes in the direction of a governance approach, but the prior existence of a European policy links this factor to that of EU influence. Similar considerations apply to other policy fields.

It must be noted that in some cases reservations are expressed with regard to the beneficial governance effects of the EU, for instance when it is pointed out that the EU follows an excessively sectoral or bureaucratic

approach in its policies and programmes. Another example is the remark that the strict regional focus of policies hinders inter-regional cooperation, a clear governance objective.

A governance approach seems to embody a hope that it represents a more effective policy for economic development and for overcoming backwardness. This is not stated explicitly, but reference is made e.g. to better use of resources and to resolving land use and resource-related conflicts. This is probably related to another indirect observation, namely that pluralism and multiple voices will promote local interests. In the context of the EU, another sign of its impact, non-governmental organizations are likely to have a more serious influence. They will have greater freedom of action and opportunities to make themselves felt. Regions too are likely to find a clearer identity in the EU framework and signs are reported of greater regional emancipation.

Such developments are linked to another factor favouring a governance approach, that of economic pressures to succeed or survive in the increasingly competitive and globalized international environment, which is repeatedly mentioned. The stagnation of national economies and the pressures for competitiveness are clearly indicated. The economic crisis of the 1980s was an experience which favoured innovative experiments to create a more entrepreneurial environment and the appropriate territorial conditions. The effort of regions, cities and metropolitan conurbations to occupy a place in international competition is given as an example.

Internal political developments and pressures are themselves linked to economic factors, but they have their own dynamic. They too are often associated either with the complex crises of the 1980s or with the stagnation of past regimes. The hopes of overcoming these problems are again placed in the framework of governance innovations. They also involve the emergence of local progressive political initiatives and pressures from new social elites.



## **Section 6. Internal variations within a country, in terms of acceptance of governance reforms**

### **Austria**

The acceptance of governance reforms is concentrated at the national level, whereas at regional / local level it does not seem very popular to promote these objectives.

### **Belgium**

Processes of governance are taking place independently in every region with regard to the different problems. In Wallonia sometimes they appear in response to EU programmes and policies, In Bruxelles they appear as a response to pressures for economic development and as a result of civil society struggles in relation to spatial planning and the absence of real estate policy. Finally, in Flanders they take the form of a movement towards more integration at the level of the region (merging of region and *Communauté*).

### **Bulgaria**

The issue is not addressed explicitly in the overview. But it can be hypothesized that the spatial structure of the country plays a role.

The main types of areas in the country are:

- Peripheral, poorly urbanized areas, with small human settlements, situated at a great distance from the urban centers;
- Central, strongly urbanized areas, with big cities and agglomeration formations around them;
- Natural, non-urbanized areas, without whatever human settlements.

The massive presence of backward mountain or rural areas and the existence of a pronounced "centre – periphery" relationship undoubtedly create attitude differentials. It is also pointed out in the report that the country does not benefit from the existence of a "western frontier", but turns rather to its southern and south western border, along which are located areas which will enjoy particular qualities in the process of integration in the EU.

### **Cyprus**

The particularity of Cyprus makes the answer to this question both obvious and difficult. The part of the island where the Turkish Cypriot community is bigger is different from the rest of the island, in terms of economic and social development and in cultural terms. Otherwise the country is small enough to escape serious divisions.

## **Czech Republic**

In spite of difficulties of generalization, it can be stated that most active NGOs are in urban areas, where there is the strongest pressure of citizens for involvement. Consequently, we can find here examples of innovative and advanced governance.

## **Denmark**

There are internal inequalities, which probably affect acceptance of governance (see also section 23). It is likely that governance principles are more readily accepted in large urban areas (especially concerning urban redevelopment) than it is in peripheral areas. These inequalities are due to the concentration of economic activities, private as well as public, in the metropolitan regions, which disrupts the balance of Denmark. The small and peripheral municipalities are under pressure in this process as they find it hard to attract investments and industries. This applies both to smaller cities and to rural districts. The existence of very small islands, without a bridge or dam to the mainland, is a special feature in the Danish spatial structure and presents a challenge to equal economic development in these peripheral areas.

## **Estonia**

The coalition agreement of the present Government aims at transferring the local government functions presently performed by county governments to local governments, reorganising the county management level of the state and improving its efficiency so as to ensure the balanced development of counties. It also supports the voluntary merger of local governments. In 2004 the Act for Promoting Amalgamation of Municipalities was passed. So far the majority of municipalities have not selected amalgamation. There is a continuing uncertainty in administrative-territorial reform, especially regarding the amalgamation of municipalities.

## **Finland**

There are variations but not linked directly with governance. The consequences and challenges of polarisation trends are naturally contrasting in the areas of out-migration and in the growth centres. The key spatial problems in the declining municipalities are under-used social and technical infrastructure, ageing population, decreasing public and private services, diminishing know-how and decline in purchasing power. In the growth centres, the results of intense in-migration are challenging urban planning, since local housing markets are overheated, public services are overloaded and rapid growth may lead to social problems.

## **France**

At a level of national debate and in terms of ideological standpoints, reference must be made to the difference between adherents and

opponents of centralization and decentralization, the so called "*centralisateurs*" and "*décentralisateurs*", the latter considered as more open to governance methods.

At a regional level, Regions have different ways to deal with the relations with infra-regional territories: from mainly bureaucratic approaches to real bargaining process with local authorities. It can be said that the capacity of each Region – both as an elected body and as a state institution (i.e. the Prefecture of Region, which plays an important role too) to use fully and appropriately European funds is a good measure of its role in mobilizing local resources. From this point of view, involvement in local development can vary from one region to another. In other words, there are variations of "pro-active culture" in different regions.

Differences of capacity to mobilise regional and local institutions and people can also be partly linked to regional traditions of relative autonomous organization (e.g. Alsace) or history of mobilisation for regional and local development, as in Brittany in the post war period. Naturally, strong local inter-municipal collaboration can help to deepen the process of local mobilization based on governance types of approach (cf. "*contrat de pays*", "*contrat d'agglomération*" and their local development councils).

### **Germany**

The differences between the Laender are occasionally quite wide, not least with respect to specificities of the local political system (e.g. election of mayors). Political cultures also vary between Laender (notoriously with Bavaria, a free state, also in constitutional terms). Therefore, in addition to the east-west divide (after the unification of the country) there exists a divide along Laender constituencies.

### **Greece**

Urban areas and classes are likely to be more open to governance reforms. But growing urbanization, the dwindling importance of the rural economy and way of life, the rise of a better informed society and a host of other reasons are leading to greater uniformity with respect to attitudes to change. Besides, acceptance and respect of a European mode of thinking are powerful forces. Undoubtedly however the geographical remoteness and poor accessibility of certain regions, especially in mountain areas or islands, are likely to cause attitudinal limitations. It should not be overlooked however that in certain isolated, island areas, the impact of the tourism economy is accelerating change. Regional variations within the administration are also caused by poor dissemination of information regarding EU policies.

### **Hungary**

As governance principles are only beginning to penetrate into public life in Hungary, it is premature to talk about spatial variations within the country.

## **Ireland**

There is no indication of internal variations in terms of acceptance of governance reforms. However, there are certain indications that such variations may exist:

- The 3<sup>rd</sup> National Development Plan 2000-06 moved away from a dominant discourse of 'Ireland as a region of Europe' towards recognising the 'regional problem' in Ireland. For the first time, the traditional goal of enhancing national growth was complemented by the objective of a more balanced regional development in order to reduce the disparities between and within the two Regions (BMW and S&E).
- The population of the Greater Dublin Area (GDA) is very high and totaled 1.5 million in 2002. This represents a greater proportion of a country's total population than any other city in Northwest Europe. The rate of increase in Dublin's population is almost twice that of Ireland as a whole
- The key spatial issue is that of Ireland's monocentric urban structure. Ireland has one of the most monocentric patterns in Europe, with an over-concentration of population and economic activity around Dublin
- Considerable disparities in living standards ranging from 116.7 in Dublin to 87.7 in the South East.

## **Italy**

In Italy different trends can be observed according to the territorial division examined: facts and figures are in fact very different in the northern part of the country (a north-western part of old industrialisation striving to succeed in the competition with Europe's strongest areas, a north-eastern part directly linked to the phenomenon of the "Third Italy" of SMEs, together with some central Italian regions), in the Centre (with a somehow intermediate situation between the northern and southern trends), and the *Mezzogiorno* (the southern part of the country plus Sicily and Sardinia, the economically weakest part of Italy).

## **Latvia**

Only 58.6% of the population is of Latvian ethnic origin. However this is not considered as a factor affecting the universal acceptance of governance reforms, as defined in the context of Latvian national aspirations and priorities.

## **Lithuania**

The country is described in the national overview as presenting a quite uniform distribution of inhabited localities, and nationally homogeneous.

## **Luxembourg**

It can be assumed that such an issue does not exist due to the small size of the country and the fact that there are only two levels of public power, i.e. the central state and the municipalities.

## **Malta**

In general there are limited variations, because of the small size of the country. There are variations between the Islands of Malta and Gozo. On the latter there are even more centralized administrative regimes with a Ministry for Gozo. There is a claim for regionalism and special status.

## **[The] Netherlands**

There is no evidence of the existence of internal variations in the Netherlands in terms of the acceptance of governance reforms. There are no doubt pronounced geographical variations (see section 23), especially between the highly urbanized and more affluent western part of the country and the north. There are also cultural territorial variations for historical reasons. It is conceivable that these differences affect attitudes to governance principles.

## **Norway**

Norway, having enormous disparities with regard to population density and economic activity, will, of necessity, meet with varying attitudes towards these issues.

## **Poland**

Variations exist between rural and urban areas, as well as between regions which in the past (19<sup>th</sup> century) were parts of different empires.

## **Portugal**

There is no specific information in the national overview. It must be noted however, that a new generation of local elected politicians and government officials, whose know-how gradually expands from limited physical aspects of planning to broader issues, is emerging, at least in some areas.

## **Romania**

There is no relevant information in the overview. The implementation of the pre-accession instrument has played a significant role in the spread of governance principles, particularly at local level.

## **Slovakia**

There are no relevant comments in the national overview.

## **Slovenia**

There are no internal variations in the country, in terms of acceptance of governance reforms.

## **Spain**

No relevant comments can be found in the national overview. No doubt attitudes are influenced by regional differences.

## **Sweden**

There are no relevant comments in the overview. Some parts of the country <sup>23</sup>, have made more progress in their governance efforts, than other parts of Sweden,

## **Switzerland**

The following remarks, made in the overview, have an indirect interest.

The socio-demographic equalisation of burdens is important for the agglomerations, since in this way the excessive burdens on the centres will be equalised by the Federation. The Federal Constitution, revised in 1997, requires the Federation to take more account of the concerns of the agglomerations.

By mid 2003 unemployment had reached 4.1%. The increase in the unemployment rate is, moreover, unequally distributed over the 26 Cantons.

The division of the country in two parts is reflected in the distribution of population, GDP and employment. From the total of 7.2 million inhabitants at the start of 2002, just about 1 to 1.5 million people live in the southern part. While the average population density in 1998 was about 180 per square kilometre, almost all regions in the north have densities above 210 with some regions reaching densities between 460 and 926 inhabitants per square kilometre. In the year 2001 82 per cent of all persons employed have their job within an agglomeration.

Territorial advantages have shifted from rural towards urban areas. An increasing polarisation between more urbanised and more rural regions can be observed, and also an increasing polarisation between the German speaking parts and the rest of the country.

Despite the small size of the country, a large number of economic, geographic, linguistic and ethnic lines cut the country into many distinct spheres. The territorial division of the country, the large number of federal

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<sup>23</sup> For example the Stockholm-Mälardal region, Gotland, Skåne and Västra Götaland.

states – more than any other federation except for the USA - and their extended autonomy reflect cultural and socio-economic reality of the second half of the 19th century... The former small scale disparities have gradually been replaced by a larger and coarser pattern, revealing that social and economic life is more and more organised in larger functional areas.

Stronger cantons, which are able to assume responsibilities themselves, have had to hand over some of them to the federation in order to be in line with the weaker cantons. In some policy areas, cantons have thus become mere agencies of the federation.

Differences in basic cultural values and behaviours are in many cases more marked than economic disparities. In some cases, spatial differences in cantonal and federal voting behaviour, particularly in areas such as ecological and social issues, or openness towards Europe, cannot be attributed to general conditions, but rather to cultural differences only.

### **United Kingdom**

Regional variations are evident, if one takes into account the separate identity of Scotland, Wales and Northern Ireland. But it is difficult to speak of differences in attitude. The fact that regional reforms were rejected in at least one English region, as mentioned earlier, is also indicative. The attitude of the government with respect to local authorities is also potentially a cause of concern. As mentioned in the national overview, in relation to political governance, while agreeing that the EU needs to reflect more fully the role and contribution of local and regional government, [the UK government] is wary of the Commission's proposal for 'tri-partite' agreements and retains the right to decide how authorities would be represented in any such partnership. There was much greater friction between central government and local government in the 1980s, often of an ideological nature, leading *inter alia* to the abolition of metropolitan authorities.

### **Conclusions**

Is acceptance of governance, or its rejection for that matter, affected by internal geographical, ethnic, political, social and economic differences? Is it manifested uniformly over a country's territory or across its social constituent parts? It is extremely difficult to extract information from the national overviews, for what is after all a matter of culture and behaviour. It was however tempting to put this question and to attempt to discover relevant indications in the overviews. At one level the response is not enlightening. On another, it is sufficient to open a field of enquiry which cannot be closed in the context of the present report.

Responses were limited and rather vague. This may be partly because such variations or differences cannot be documented easily and partly because the newly-emerging governance agenda has not yet passed the test of acceptance by either the public or the political – administrative apparatus, at least not everywhere. Differentiations in terms of

acceptance of governance are difficult to detect. Besides, the governance debate and its assimilation are in an early stage, to act as a differentiating factor. However, several overviews speak of variations and differences within a country's territory, which cannot be ignored as irrelevant. It could be that certain variations can be detected even at this stage, which might be worth investigating further. Other overviews of course contain no information at all or their authors reject the existence of variations of governance acceptance.

Variations may be due to practical reasons. E.g. certain regions or authorities need governance to bolster their capacity to bid for funds. Others may need it as an instrument in their struggle to gain higher status. It may be that individual regions are "in need" of governance as a vehicle towards very different goals and destinations (e.g. economic development, accessibility to EU funds, a broadened scope of local government competences etc). This consideration of governance from a utilitarian point of view entails preference of specific aspects of the governance concept and policy. The battle, in some instances, between those for or against decentralization perhaps conceals such different motives and aspirations. It is not without interest to remark that variations tend sometimes to exist in the acceptance of governance between national and some regional authorities.

Ideologies and political attitudes may differentiate the acceptance of governance. What is more, diverse predominant political ideologies and identities may have a regional basis. Regional differentiations can also have their roots in past history, since parts of a national territory may have followed a different historical trajectory, perhaps as parts of other, dissimilar state formations. There is evidence, in otherwise different countries, of diverging regional approaches to e.g. administrative reform, because of local traditions. Ethnic and religious composition may be playing a role, although this is very hard to document and in some cases it may be difficult to address openly. Cultural identities may have been subsumed within modern states and now within the EU family, but this does not exclude the possibility that some of the ingredients of governance are perceived as subverting their maintenance.

A fundamental division is urban-rural differentiations, especially in relation to mentalities of localism and citizens' interest in community matters. Urban - rural dichotomies can have a serious effect on attitudes vis-à-vis government policies and governance - related policies are not an exception. There are indications in the overviews of a polarization between urban areas and societies and rural, especially isolated, mountain communities. Such a polarization may reflect different levels of education, cultural values, political ideologies and economic affluence, although there are surely variations among countries. In less developed countries, such differences can be very sharp. Conservatism, fear of the consequences of reform and structural rigidities are also important in differentiating communities.

Social awareness and mobilization can be much higher in urban areas. The same thing can be said about readiness to innovate, absorb new ideas,



participate and get involved in cooperation partnerships, in other words be more receptive to governance concepts.

Even within the urban system, variations between e.g. the capital region, particularly in monocentric countries, and other cities may well exist. Citizen attitudes to local government usually vary, as citizens of large cities may not have the same attachment with and dependence on local power structures, as their counterparts in small cities. Variations can be observed even at the intra-urban scale, especially in the case of minorities. Racial tensions can be lethal for the prospects of governance. Finally, regional inequalities, the north-south or east-west divides, are certain to affect attitudes, especially when additional political divisions exist.

## Section 7. Use of methods (emphasis on OMC)

According to Faludi, the Open Method of Co-ordination (OMC) "is being promoted as an alternative in policy areas where the Community method does not apply, such as employment, social security and pensions"<sup>24</sup>. The possibility is being explored to use it in territorial cohesion policy. The use of the Open Method of Coordination is directly linked to the adoption of a governance approach and to the Lisbon Strategy. There are several references to OMC in the Lisbon Strategy (Presidency Conclusions, Lisbon European Council, March 2000):

"Implementing this strategy will be achieved by improving the existing processes, introducing a *new open method of coordination* at all levels, coupled with a stronger guiding and coordinating role for the European Council to ensure more coherent strategic direction and effective monitoring of progress... The European Council asks the Council and the Commission, together with the Member States where appropriate, to take the necessary steps as part of the establishment of a European Research Area to... encourage the development of an open method of coordination for benchmarking national research and development policies... The competitiveness and dynamism of businesses are directly dependent on a regulatory climate conducive to investment, innovation, and entrepreneurship... The European Council considers that an open method of coordination should be applied in this area and consequently asks...: [T]he Council and the Commission to launch... a benchmarking exercise on issues such as the length of time and the costs involved in setting up a company, the amount of risk capital invested, the numbers of business and scientific graduates and training opportunities... [T]he Commission to present shortly a communication on an entrepreneurial, innovative and open Europe... [T]he Council and the Commission to draw up a European Charter for small companies... Policies for combating social exclusion should be based on an open method of coordination combining national action plans and a Commission initiative for cooperation in this field...".

The Lisbon Presidency Conclusions also include an analysis of the Open Method of Coordination:

"Implementation of the strategic goal will be facilitated by applying a new open method of coordination as the means of spreading best practice and achieving greater convergence towards the main EU goals. This method, which is designed to help Member States to progressively develop their own policies, involves:

- fixing guidelines for the Union combined with specific timetables for achieving the goals which they set in the short, medium and long terms;

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<sup>24</sup> Faludi, A. (2004), The Open Method of Coordination and 'post-reulatory' territorial cohesion policy, *European Planning Studies*, 12(7): 1019-1033.

- establishing, where appropriate, quantitative and qualitative indicators and benchmarks against the best in the world and tailored to the needs of different Member States and sectors as a means of comparing best practice;
- translating these European guidelines into national and regional policies by setting specific targets and adopting measures, taking into account national and regional differences;
- periodic monitoring, evaluation and peer review organised as mutual learning processes”.

“Under the [Lisbon] strategy, a stronger economy will drive job creation alongside social and environmental policies that ensure sustainable development and social inclusion... To this end, the European Council also endorsed the use of the ‘open method of coordination’ (OMC) as a new technique of governance. The OMC circumnavigates traditional forms of EU policy formulation. This approach calls for setting targets and benchmarking progress, primarily through the EU Council. Instead of deciding on binding rules, common targets are set for the whole of the EU, while leaving each country free how best to reach these goals. The countries exchange experience, compare progress and work out suitable guidelines to follow. This is the procedure used for cooperation in economic policy, employment policy, social issues, pensions issues, and some other areas”<sup>25</sup>.

According to the Presidency Conclusions of the Brussels European Council (March 2005, “the reports on follow-up to the Lisbon Strategy sent to the Commission by Member States each year – including the application of the open method of coordination – will be grouped in a single document... [T]he first such document will be submitted in the autumn 2006”.

Our emphasis, in the guidelines for the writing of the national overviews was on the use of OMC within the countries reviewed, in particular in connection with territorial governance. In view of the importance attached to OMC, some tentative conclusions from the synthesis of national overviews were included in the 2<sup>nd</sup> Interim Report.

As shown in the table that follows, use of OMC in connection with territorial planning is reported in only 4 national overviews. However, use of the method in other fields is reported in a much greater number of overviews, i.e. in the 4 overviews mentioned in the first category, plus in another 12. No reference to the use of OMC is made in 12 overviews of countries, where, it is fair to assume, the method is not being used<sup>26</sup>. Some doubt still remains whether this is a correct conclusion.

|                                  |   |
|----------------------------------|---|
| OMC used in territorial planning | Denmark, Ireland, Netherlands                                       |
| OMC used in other fields         | Austria, Belgium, Czech Republic, Finland, France, Germany, Greece, |

<sup>25</sup> Lara Garrido Herrero and Tamsin Rose, *An introduction to the Lisbon Strategy*, EPHA Briefing for members, September 2004.

<sup>26</sup> This is clearly stated in the case of Romania.

|  |  |
|--|--|
|  | Hungary, Ireland, Latvia, Malta, Netherlands, Norway, Spain, Sweden, Switzerland, U.K.                     |
| No indication of use of OMC in national overview | Bulgaria, Cyprus, Czech Republic, Estonia, Italy, Lithuania, Poland, Portugal, Romania, Slovakia, Slovenia |

It should be noted that in the original synthesis of overviews the classification included other methods, such as statutes, guidelines, directions etc. for participation, consultation and / or partnership creation, as well as so-called "programming methodologies" (e.g. in Italy). Given the difficulties of classification, these items were finally omitted in the table, but the relevant comments are maintained in the paragraphs by country in Annex B of the Final Report.

### **Austria**

The OMC (Open Method of Co-ordination) is open for gender equality policies. As a new mode of governance that has been developed over the last decade it has also received considerable attention in the literature. A conservative-liberal coalition at Maastricht created hard law in fiscal and monetary policy to constrain its successors, while the social democratic majority at Amsterdam relied on soft law to promote its goals in employment and social policy. The contents of the Employment Title were determined by EMU; its form – the OMC – by social democratic reluctance to transfer power to the EU.

### **Belgium**

The OMC method is used in policies at European level, not in interregional issues, or between different federated entities. With respect to territorial planning it is used in connection with housing in the Walloon Region. Its use in other fields concerns social integration and pensions, employment and education.

In connection with statutes etc. about participation, reference is made in the national overview to the *Comité de concertation* (municipal dialogue committee on new projects in Bruxelles), the opinion of which is mandatory and to formal processes of participation in plan making, which exist in 3 regions. There is reference in the overview to the example of the "*contrat d'avenir*" (contract for the future). This is a public strategic document, presented to the population by the government of the Walloon Region in 2004. It is a kind of governmental declaration, agreed by the government (from the Walloon Region), which is then asking the population to express its comments and criticisms. After that, a new and definitive version is elaborated. In this document, several aspects of good governance, as well as the EU White Paper, are referred to. All three regional plans are following the same type of consultation process.

## **Bulgaria**

No such instruments are mentioned in the national overview. But a large number of commissions and councils of a specialized nature have been created, to ensure a high degree of participation and consultation, better management and effectiveness in policy making.

## **Cyprus**

No new management / co-operation methods have been introduced. Participation is definitely embedded in legislation, especially that related to planning. Partnership principles are also evident in new environmental services.

## **Czech Republic**

The NGOs have produced guidelines for public authorities on how to engage the participation of citizens and for citizens on how to get involved into public matters. A detailed guideline of participation process has been for instance published by Agora Central Europe in 2002 with the support of the Dutch Ministry of Foreign Affairs.

In January 2004 the Government approved a strategic document entitled *Policy of Partnership of Public and Private Sector in the Czech Republic*. In the policy the Government declared its support for implementation of public private partnerships and for changes in legislation. A forum on this subject was held later and new legislation is expected.

In 2003 the Government of the country prepared (with the European Commission) a Joint Memorandum on Social Inclusion with the purpose of preparing the country for full participation using the open method of coordination on social inclusion upon accession. Similar steps were taken with regard to national policy on employment and research and development.

## **Denmark**

At least one or two cases could be mentioned of use of OMC in territorial planning, e.g. the demonstration projects which followed the National Planning Reports and the recent efforts concerning new National Parks.

## **Estonia**

There is no reference in the overview to the existence of guidelines for participation. However, late in 2005, the Government of Estonia and several ministries have approved, publicised and are implementing their guidelines/principles of participation.

## **Finland**

The Open Method of Coordination has been central in the employment and labour policy sector. The preparation of the National Action Plan for Employment is a typical example of OMC and it works through the preparation and implementation process, ranging from the EU level all the way to the local level.

The following use of statutes etc. is also mentioned in the national overview:

- Statutes etc. for participation / consultation: Regional management committees (members of regional council, various national government authorities and social partners);
- Statutes etc. for partnerships: E.g. Centre of Expertise Programme (with the aim to promote cross sectoral innovation policies in regional development). Its organisational method has built upon the organisational structure that reflects the dualistic nature of governance in Finland, i.e. in this case not only local-central government, because it is rather being regionally steered through the regional partnership networks (formed by the public sector, businesses, public authorities and the R&D sector), operationalised by a network of Technology Centres based all around the country, and nationally co-ordinated by a broadly based national Committee, the members of which range from business representatives to the representatives of the public authorities, key ministries and universities, and innovation organisations

## **France**

OMC, conceived in its broad sense, i.e. coordination that is achieved by means other than "hard-law" and funds, is already in place. The method (or elements of it) is used in employment policy, although there is evidence of use, particularly of the orientation, of such methods in other policy fields as well. The use of the OMC method in territorial planning was only indirect.

With respect to the existence of guidelines for the creation of partnerships the French national overview mentions the guidelines given by the central State for the elaboration of "*Contrat de Plan / Etat-Region*" (the contractual method) and the guidelines for other contractual instruments at the local level (*contrats d' agglomération* or *contrats de pays*). The incorporation of OMC elements in the French conception of spatial planning can be seen better if we turn our attention not so much to top-down processes, but rather to those elements in the planning system which form the essence of OMC. It can be argued that the French system has incorporated these elements in a typically French context, where the central state still has an important role. The present planning policy of *aménagement du territoire* is less a case of a fully integrated policy emanating from the State and more a case of an attempt to mutually adjust different policies in different fields and at different territorial levels. As such, it implies a diversity of actors at various levels, a situation in which accountability for success or failure is shared by all the partners.

## **Germany**

"The OMC can be seen as a somewhat mystical creature in the German context – at least judging from a feedback by colleagues in several institutions working in the field of territorial and urban policies. The relevance of OMC is considered to be mainly related to inter-governmental negotiations in fields such as labour market policies. As a method of negotiations between *Länder* or regions within Germany, OMC seems not to be present. However, since long a system of co-ordination exists between the different *Länder* in Germany and also with the federal government". Some of the aspects of the existing system of government, which have been mentioned elsewhere, can be interpreted as an open method of co-ordination.

## **Greece**

As indicated in the national overview, the Open Method of Coordination has been used in Greece in the context of work organization issues, the reform of the pension system and implementing national policy regarding social protection. There has been no recorded use of that method in the context of territorial and urban governance.

There is no evidence of guidelines issued specifically to address the formation of partnerships, although "EU projects have resulted in the creation of partnerships and the involvement and participation of citizens. One cannot talk of course of a real breakthrough in the direction of major governance reforms.

## **Hungary**

Reference to OMC method being used in other fields concerns employment policy, social protection and pension system (reports have been issued or are in the process of making in all 3 fields).

## **Ireland**

There are examples of cases where the Irish government has introduced or promoted the use of the Open Method of Coordination. In a position paper produced in advance of the European Council meeting in Spring 2003, entitled 'Spring European Council 2003 – Irish Priorities', the Irish government restates its support for the Lisbon strategy and set out its priorities for the meeting. In relation to employment policy, the government gives its support for the wider usage of the open method of coordination. In the Irish White Paper the term refers to "governance at all levels of Government: national, regional, local and – at times – at the level of specific economic sectors".

## **Italy**

There is no reference to OMC in the national overview. However, programming methodologies include "negotiated programming

methodologies" and "new programming documents". The writers of the national overview refer to the diffusion of the Community method in the use of cohesion policy funding through rules of negotiation, to programme supervision committees, to thematic working groups and to the promotion of the co-operative method between public subjects and between them and private subjects.

### **Latvia**

The OMC method is used in public administration. Reference to statutes etc. for the creation of partnerships is made in the national overview with respect to the *Concept on promotion of concessions / 2002*, included in the Guidance document for the promotion of PPP's approved by the Cabinet of Ministers.

### **Lithuania**

The writers of the national overview mention strategic planning and programme budgeting as new approaches affecting plans, policies and the reorientation of the activities of institutions towards concrete results. In connection with statutes etc. about participation the writers of the national overviews mention mandatory *Regulations* on public participation and consultation as part of formal plan making process (legislation on territorial planning). Co-operation with environmental NGO's is foreseen in legislation.

### **Luxembourg**

The open method of coordination is not used inside national Luxembourg, as there is only one level of power: the national state. Nevertheless, a permanent dialogue exists with local level. The OMC is used at European level (e.g. social affairs and employment).

### **Malta**

According to the national overview, there are some concrete examples where governance has worked within Maltese society. It is stated that in most cases, the method adopted by the parties involved was an open method of co-ordination.

### **[The] Netherlands**

Although there is no direct reference in the national overview to the use of OMC as such, it is clear that there has been a long tradition of using similar methods and instruments. According to the overview, "a major characteristic of Dutch public governing is the large share of deliberating between stakeholders during the stages of policy development and implementation. Since the 1990s this way of acting has in popular language been called '*polderen*' or '*poldermodel*', referring to the many polders and reclaimed land in The Netherlands...". It is of interest to



reproduce here extracts from the national overview about the various methods used (BANS-agreements, Covenants, Benchmarking).

New methods and principles to improve administrative relations in general were introduced long ago. Often they apply to horizontal as well as vertical co-operation. Since 1987 the government makes agreements with provinces and municipalities regarding intentions and procedures which both administrative layers will pursue in their mutual relationship in order to strengthen this relationship. Such is the case of the so-called BANS-agreements (1999)<sup>27</sup>. on issues such as youth welfare, vital countryside and social inclusion. Covenants are an example of a method that is actively supported by the BANS-partners.

Although there is no permanent administrative body at sub-regional level, since 1985 there are 7 semi-permanent administrative organisations installed in urban regions around the major Dutch cities. The WGR Act (*Wet gemeenschappelijke regelingen* – Act on communal regulations), which came in force in 1985, provides the legal basis and is targeted at reducing political tensions at the city-regional level between the dominant city and the surrounding smaller municipalities. The Act provides a framework for cooperation between municipalities in various fields, including spatial planning. The co-operation in these areas was obligatory. The idea was to introduce on the basis of these areas a fourth formal and permanent administrative layer having more power: the 'city province'. But after negative outcomes of referenda in 1995 in Amsterdam and Rotterdam this idea was turned down. By the end of 2005 a renewed Act passed the Upper House of Parliament. This is called the WGR+. Its objective is to further strengthen the powers of this semi-permanent body. Also, it opens the possibility to start inter municipal co-operation on a voluntary basis.

A relatively new method, which might have been inspired by the European Commission's White Paper on Governance, is benchmarking. Although it has not been implemented on a wide scale yet, the Ministry of Interior is stimulating the use of this method. Benchmarking is understood as a method to compare the performance of public government organisations against each other and to further exploit this comparison. In addition benchmarking could be of help in making government acting more transparent. Without mentioning the term as such, benchmarking comes pretty close to what has been described as the Open Method of Co-ordination. The focus is at the national government as well as lower tier authorities. The objective is to make benchmarking an integral part of public administrative work.

## **Norway**

According to the national overview, the open method of coordination (OMC) has been explored in various ways in the different sectors of the Norwegian government. For instance, with respect to the Nordic cooperation in higher education, the considerations, opportunities and

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<sup>27</sup> *Bestuursakkoord Nieuwe Stijl*, i.e. Administrative Agreement New Style.

challenges related to the implementation of the Lisbon Agenda and the use of the OMC, have led to a number of issues for the Nordic authorities at the national and the Nordic level.

### **Poland**

There is no specific mention in the national overview.

### **Portugal**

There is reference in the overview to the existence of guidelines for participation.

### **Romania**

The Open Method of Coordination has not yet been introduced. Guidelines for participation etc. are being prepared under the Framework Law on Decentralization.

### **Slovakia**

The formation of partnerships and the new governance approaches to public issues are generated more or less on a voluntary basis. Pressures towards such informal approaches originate basically in organizations and associations with nature conservation interests and concerns. Prominent example of the application of the partnership principle is the National Development Plan and the Regional Development documents at the regional level. To accomplish formulation and implementation of the above planning documents specific management and implementation teams have been organized. These involve members and staff of public administration, universities, education institutes, business unions, non-profit organizations etc. Private consultants or representatives of other external non-profit organizations act as facilitators in these plan making processes.

Guidelines are being prepared in the context of EU-supported programmes, e.g. connected to rural development, environmental protection etc. This means that in the case of participation, guidelines are formulated not for general use but specifically for separate programmes.

### **Slovenia**

New management / co-operation methods are being introduced very slowly. Participation is embedded in legislation in many sectors especially when related to planning. Partnership principles are especially evident in services.

### **Spain**

The Ministry of Labour and Social Affairs applied the OMC in the process of elaboration of the National Plan for Social Inclusion. The Plan aims at

promoting a global education policy to be enjoyed by everybody, improving Compulsory Learning so as to adapt to the needs of the most vulnerable groups, adapting education programmes for the unemployed to labour market demands, improving the basic education programmes addressed to adults being at risk of exclusion etc. Moreover, the Ministry of Health and Consumption has applied the method in the General Strategy for a Decentralized Health System. The first step has been to define commonly accepted goals, the second to formulate indicators in order to monitor the results and the third to allow each participant to realize his own choices as regards the pattern of performance of general principles.

As regards existence of Statutes for co-operation it is worth-mentioning that each one of the Autonomous Communities has got a Statute providing for its competences and regulating its relations with State administration.

### **Sweden**

The OMC has been applied in labour market policy, IT issues and deregulation issues (railways, telecommunication networks). As regards guidelines for public participation / consultation such provisions are incorporated into the Planning and Building legislation and the Environmental Code. The Planning and Building Act (PBA) requires public information and consultation as part of the planning and approval process. Notices are placed in the local press and public exhibitions constitute an important stage of the process. However, in general terms, up to now promotion of governance principles and practices in Sweden occurs in an informal rather than concrete and official way.

### **Switzerland**

Although the term "Open Method of Coordination (OMC)" has not been adopted officially, there are a number of similar methods. Three formal principles of the Swiss political and legal System are the backdrop of public involvement, participation, institutional learning and experimenting, as well as the regulation of partnership and co-operation in Switzerland: Concordance, Popular initiative and referendum. Further methods are the Consultation Procedure (*Vernehmlassung*) and the Right for Complaint for NGOs (*Verbandsbeschwerderecht*).

### **United Kingdom**

In the government's response to the White Paper, it supported the use of the 'open method of co-ordination' to complement the 'Community method'. It agreed that it should be applied on a case by case basis, as a way of adding value, through co-operation between Member States, where there is little scope for legislative solutions. However, it did not support the notion that it should not be used when legislative action under the Community method was possible. It argued that the open method of co-ordination has an important role in benchmarking and disseminating

best practice. Public Service Agreements (PSAs) were introduced by the government in 1998, and set out in public clear targets showing what departments should be aiming to achieve in terms of public service improvements. A government website provides links to the reports so the public can access them all from a single point. PSAs have since been extended to local governments. A Good Governance Standard for Public Services was published in January 2005 by the Independent Commission on Good Governance in Public Services. The Good Governance Standard was aimed at the 450,000 people in the UK who hold 'governance positions' in non-departmental public bodies, local public sector authorities, voluntary sectors contractors and other such bodies.

Regional reforms in the UK are an important step towards greater vertical co-operation, although, as stated already, there is some reluctance to enter "tri-partite" agreements. Existing procedures of participation and public inquiries, which are well established, contribute to horizontal co-operation, for which guidelines are available.

## **Conclusions**

A general conclusion is that in a large number of countries the OMC is not used at all or is used in a very limited way. Even knowledge about the method seems to be limited, which is highly significant. One has to ask the question whether this has to do with the problems associated with the use of the particular method or is a natural outcome of the slow spread of governance practices in general. Particularly pronounced is the absence of the method's use in territorial development and planning, perhaps because of the increased difficulties in using it with a large and varied number of stakeholders, in a field where issues of land interests and property are dominant. In contrast to the field of territorial planning, the method has become relatively established in the social and employment policy fields, where it probably originated. These conclusions can be summarized as follows:

- Relatively low level of knowledge about the OMC method;
- Rare use of OMC in territorial planning and even then only tangentially;
- OMC seen as useful in international or at best national – sectoral negotiations and arrangements;
- Use of OMC in employment – social protection – pension policy negotiations.

One point which is mentioned in the UK national overview is worth stressing, because it probably accounts for the hesitation to use the method. The UK government "did not support the notion that [OMC] should not be used when legislative action under the Community method was possible". This is no doubt an issue in the heart of the dilemma of using conventional methods as opposed to more innovative tools, like OMC.

A large number of countries even those already imbued with a governance culture and experienced in governance practices show ignorance of OMC

or very limited use of the method. Of those overviews reporting some use of OMC most state that its practical application is restricted to fields other than territorial planning.

What is particularly interesting is the hesitation of the authors of certain overviews, particularly in cases of advanced countries in governance matters to report on the employment or not of the OMC method. Relevant comments are vague and usually of the type "although there is no direct reference to the use of OMC either in law or public policy documents there has been a long tradition of using similar methods and instruments or of taking advantage of the method's essential components in routine administrative practices". It seems that the profile of the method is not clear yet, nor is its added value in relation to already tested and experienced processes of benchmarking, contractual negotiations etc. Politicians, administrators and scientists or researchers find it difficult to distinguish between official pronouncements on the use of OMC and its actual use in decision-making and policy implementation.

Of special interest about the broad sense of the method is a critical comment found in the overview of France:

"OMC conceived in its broad sense, i.e. coordination that is achieved by means other than hard-law and funds, is already in place".

It may be the case that the above quotation reveals the underlying assumptions / purposes of the OMC as a driving force. Formulation and enforcement of implementation of territorial policies at the EU level – by means of funding or legislation measures - prove to be difficult. Funding implementation of territorial policies determined at the top EU level is a costly option. On the other hand legislative enforcement of such policies is barred at the moment as entailing EU intervention in national planning systems and / or cancellation of national and sub-national competences in territorial planning. OMC is a tool allowing for voluntary convergence of territorial policies and territorial objectives of the individual countries leading ultimately and hopefully to territorial cohesion.

The limited use of the method, for the purposes of homogenization of territorial objectives across the EU and the establishment of an agreed, ongoing monitoring system (based on territorial indicators) and for the purpose of criticizing and evaluating achievements in a given time horizon, indicates that this homogenization is still far from being desirable or perceived as reasonable. Spatial problems and priorities vary across the EU and the causal relations between spatial problems and targets of potential territorial policies also tend to differ.. Besides, quantitative territorial indicators and their temporal changes and fluctuations rarely represent comprehensively the existence, improvement or deterioration of a spatial problem / condition. Hence, monitoring the implementation course of an agreed territorial policy by means of quantitative indicators alone is not an efficient tool for the improvement of territorial conditions.

In conclusion, knowledge about the nature and potential use of OMC in territorial planning is limited. Suspected causes underlying the marginal significance of the method in territorial planning are the following:

- The slow dissemination of governance practices in general;
- Problems related to the rational and internal structure of the method;
- Unsuitability of the method for territorial planning, i.e. for securing convergence of territorial objectives across national, regional and other political / administrative boundaries. The convergence of stakeholder views and consensus building prove to be difficult even within one and the same jurisdictional area.
- Inappropriateness of the method for territorial planning, in terms of its use for monitoring the course of implementation of an agreed territorial action (i.e. quantitative indicators);
- Shortage of appropriate skills in the administration at all levels;
- Lack of official information regarding OMC and the benefits of the method.

A possible conclusion is that the dilemma "about the use or no use of OMC when legislative action under the Community method is possible", as stated in the UK overview, may not a real dilemma in most Member States, at least not yet. The method needs refinement and adjustment to territorial planning particularities so as to enjoy broader use. It will only then that an assessment of its value and implementation potential will have to be judged. In the meantime, a much greater effort for the adoption of the method will be necessary.

## **Section 8. Experience with participation processes and partnerships**

### Experience in participation processes

|   |   |
|---|---|
| Limited experience in participation processes   | Bulgaria, Cyprus, Czech Republic, Estonia, Greece, Hungary, Italy, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia, Spain |
| Extensive experience in participation processes | Austria, Belgium, Denmark, Finland, France, Germany, Ireland, Luxembourg, Netherlands, Norway, Slovenia, Sweden, Switzerland, U.K.      |

### Experience in working with partnerships

|   |   |
|---|---|
| Limited experience in the functioning of partnerships   | Austria, Bulgaria, Cyprus, Czech Republic, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, |
| Extensive experience in the functioning of partnerships | Belgium, Denmark, Finland, France, Germany, Italy, Ireland, Netherlands, Spain, Sweden, Switzerland, U.K.   |

### **Austria**

See table above.

### **Belgium**

See indications in table above.

### **Bulgaria**

See indications in table above.

### **Cyprus**

Participation has been advocated for a long time. Actually the Town and Country Planning Law recognizes and promotes participation in the course of the preparation of the development plans, on all regional, local and community levels. The idea of participation is widely acknowledged. However although participation is recognized as an essential tool in the process of spatial planning, it has not always been promoted in a

productive manner. In certain cases the impression was that an attempt was being made to avoid such a confusion in conflict resolution.

### **Czech Republic**

The participation of the public in decision-making processes is not a common practice in the Czech Republic and formal methods of communication between public administration and business and civic actors prevail. Although certain forms of co-operation and participation have developed the formal arrangements to regulate and stimulate the co-operation and participation are still lagging behind. The insufficient legislation framework at the level of government and the lack of expertise and abilities to represent the State in bargaining with private partners are among the major barriers to develop successful public private partnership (PPP) in the country. Existing legislation related to public private partnership is very fragmented.

### **Denmark**

At local level, municipalities have a long tradition in public participation. Individual citizens, citizen groups and NGOs are all engaged in planning activities.

Before working out a proposal for a plan according to the Planning Act the planning authority have to invite proposals and ideas for the planning process. Everyone - citizens, organisations, private companies, other public authorities - has the possibility to come up with suggestions. After this pre-plan hearing period a proposal for the plan is worked out and then given political approval. This plan proposal is subsequently published and submitted to a public hearing. It is possible again for all citizens, organisations etc. to comment on the proposal or to lodge objections. After the hearing, the political board (municipal or county council) evaluates all proposals and objections, before the final and formal binding plan is approved.

The approved plan can be appealed against in front of the Nature Protection Board (an independent, quasi judicial organ), but only on legal grounds. If the planning process had not respected the provisions of the Planning Act or if the plan contradicts higher level plans, the Board can rule that the plan has no formal power.

The National Agency for Enterprise and Construction (EBST) is one of several agencies that belong to the Ministry of Economic and Business Affairs (OEM). It pursues its aims in cooperation with the corporate sector, business associations and other public sector actors and coordinates its activities with other national, regional and local authorities. The implementation of Danish regional policies relies on the cooperation of regional and local authorities and actors, one example being a net of regionally based independent and professional advisory institutions (see also section 14).



Partnerships in connection with spatial planning can foremost be mentioned in connection with urban redevelopment in the largest urban areas and in connection with the designation of a number of new national parks, where the state is co-operating with local municipalities and different organisations, e.g. farmer's associations and organisations dealing with nature protection and recreation.

The counties (*amtskommuner* or *amts*) are the central institutions in the development of regional partnerships. Specific regional policies are thus mainly the concern of the regions themselves even if the government has selected a number of regions, based on functional rather than administrative borders such as the *amts*, as special targets for policies and funding. Danish regional partnerships have been seen to have a strong position and are acknowledged as being advanced, self-conscious and well organised.

### **Estonia**

See indications in table above.

### **Finland**

See indications in table above.

### **France**

Public participation processes have been active for long in the case of planning procedures at the local level ("*Contrat d' agglomération*", "*Contrat de pays*", land use plans). For the development of public infrastructures, projects and facilities a participation process is realized through a public inquiry (*enquête publique*). The involvement of civil society is secured through the operation of local councils (*conseils de développement*), with a consultative role. Citizen involvement is also made possible through the creation of wards with separate councils in cities with a population of more than 80,000, under the Democracy of Proximity Law of 2001 (*Loi Démocratie de Proximité*). Reference must be made again to the functioning of urban agencies promoting the dialogue between authorities and citizens on the full range of urban issues and facilities.

### **Germany**

See indications in table above.

### **Greece**

Participation is part of the process of production and approval of urban and regional plans. Promising signs of partnerships exist in the operation of local development companies and in public – private cooperation, mainly for large projects. Experience however remains limited. A new legislative framework of public – private partnerships has been introduced

recently but it is too early to assess its impact. A welcome development is the coming of age of citizens' associations, which are becoming increasingly active.

### **Hungary**

See indications in table above.

### **Ireland**

See indications in table above. It should be noted that planning acts facilitate planning authorities acting proactively as developers/ A planning authority may act as a developer in its own right, or in a joint venture.

### **Italy**

See indications in table above. The limited experiences in participation processes concern some innovative programmes of urban regeneration as Urban, Urban Italia and *Contratti di quartiere* (neighbourhood contract) I and II, and to strategic planning experiences of urban areas.

### **Latvia**

See indications in table above.

### **Lithuania**

See indications in table above.

### **Luxembourg**

See indications in table above. The issue is not addressed in the overview.

### **Malta**

The experience in participation can be found mainly in formal government processes. The experience of partnerships can be found mainly in local, personal contacts and alliances. So far the forms of co-operation that are institutionalized include inter-ministerial groups and boards that bring inter-disciplinary perspective. These include the Heritage Malta Board and the Malta Crafts Council Board, where the composition of the Board includes representatives from related ministries. At a 'lower' level, co-ordination is flexible and based on personal contacts and alliances. State agencies have co-operated with NGOs on matters related to spatial planning. Currently an extension and fine – tuning of PFI and PPP arrangements takes place, across the Board, in addition to implementing EU / EU based countries benchmarks:

- ELC Landscaping (implemented);
- Road Construction (implemented);
- Transit Projects (Park and Ride) (to be implemented 2006);
- Redevelopment (National Projects) (implemented from 1990).

## **[The] Netherlands**

Participation and partnership is an integral part of the Dutch system of governance, as we indicated already in sections 1, 2, 7 and elsewhere. The involvement of stakeholders and working in partnership have been standard practices for a long time. This is also true in land use planning, where elaborate processes are followed to ensure the possibilities for public participation and to take into account the interests of various stakeholders. This is facilitated, at the national level, by the existence of a large number of advisory and discussion agencies, councils etc., such as the Council of State, the Social Economic Council and others, all concerned with securing consensus and representing various interests. A large number of governance instruments (covenants, agreements, contracts) depend on the existence of vertical and / or horizontal partnerships. Among several examples, one can quote the so-called Framework Act Areas, around all major cities but also in any area where municipalities are willing to cooperate. Provincial and local authorities within such areas, making use of specific legislation, form partnerships to act on a very broad range of policy fields. E.g. the area around Amsterdam includes 16 municipalities. Other examples are city networks designated in the National Spatial Strategy or joint policy packages involving public and private actors, such as those for the so-called ROM areas, aiming at the integration of planning and environmental objectives.

## **Norway**

The Regional Development Programmes (RUPs) are intended to ensure that national and regional measures for regional development are in balance. The aim of the RUPs is also to stimulate new forms of cooperation between the municipalities, governmental authorities, the SND and the business sector at the regional level. The work is led by the region but is organised by means of a partnership model, thus including participants from the governmental level, the municipalities, the business community, NGO:s etc. The RUP:s are thus not a sole but a joint responsibility of different actors. The participation of business has been particularly emphasised. Cooperation between the county councils and the government takes place primarily through national government agencies at county level. The state representative in the county, the county governor (fylkesmann) supports the county council by supervising the participation and cooperation of the government agencies in the planning process and in implementing authorized plans. In Norway, the concept of regional partnerships [in planning] has to some extent been launched centrally, starting with the government White Paper mentioned in section 1 [St. meld. nr. 19 (2001-2002) *Nye oppgaver for lokaldemokratiet – lokalt og regionalt nivå*]. Here, the government defines the key role for the county authorities from administering governmental tasks to taking on a more active role as regional developers in close cooperation with public, private and voluntary sector actors (horizontally), as well as other public sector actors (vertically). RUP's (*Regionale UtviklingsPlaner*), are

considered an example of importing spatial planning models from the EU to the Norwegian context.

### **Poland**

See indications in table above. There is no specific mention in the national overview.

### **Portugal**

See indications in table above.

### **Romania**

The example of the procedure of preparation of the National Development Plan (NDP) is mentioned, because the government requires the establishment of a partnership to draft the NDP. The partners are organizations and organizational units at local, regional and central level of government, public administration, local authorities, public, private, corporate non-governmental and communities. In policy making and legislation affecting the business environment, the government has held consultations with the business community. Consultation procedures were also launched with civil society on a number of other legislative initiatives...,but consultation was largely procedural and not substantial.

### **Slovakia**

Experience exists in the context of specific EU-supported programmes.

### **Slovenia**

Experience exists in participation processes, which are improving in the process of regionalization especially through Regional Development Agencies. Experience in working with partnerships is very new.

### **Spain**

Experience has been built on the basis of the existing multiple forms of cooperation and partnership, facilitating harmonization between State and Regional policy-making. Information in the national overview was limited.

### **Sweden**

At the regional level, new collaborations in the field of regional development policies, such as the "growth council" in Gavleborg county maintain long relevant traditions. Partnerships in the form of Councils have been well-known since the mid-1960s. In particular, the "County of Varmland Trade and Industry Council" has been established in the '60s with the aim to disseminate information about the resources and potentialities for trade and industry in Varmland. The then Council had been funded by the County Council and had had members among L.As.

There are several examples of good and long experience of partnerships, which explains the indication in the table above, but Sweden taken as a whole and compared with other countries, should probably be regarded as of "limited experience.

### **Switzerland**

See indications in table above.

### **United Kingdom**

As indicated in the national overview, public consultation is a central component of plan-making and regulation. Participation has been an important feature of the planning system for a long time. There is wide experience of partnership formation in urban development and regeneration projects and programmes.

### **Conclusions**

On the question of experience in participation processes and partnership formation, the response of several countries is unfortunately limited to indications for the above tables. The issue of participation was also discussed in section 4, in connection with the priority given to governance principles. We indicated there that as some routine participation processes take place in land use planning virtually everywhere, this serves as an excuse to claim that participation is an accepted principle. The response to the present question however is probably nearer the truth.

Former communist countries, but also south European ones, have limited experience in public participation processes. The same remark holds with respect to partnership structures, although this is not true of large countries of the European South. Obviously, experience is affected by past, but still recent, political regimes. It should be added that while in some countries the formal provisions for such processes are in place, actual participation is absent or nominal. The effect of recent reforms of modernization should not be however underestimated, even if, for the time being, they are reforms "on paper", in the sense that they create the preconditions of popular mobilization to demand their implementation. They also make possible for citizen associations to resort to the courts.

There are exceptions to this situation and this may be attributed to the cultural and political history of individual countries. It can be assumed that participation is more historically determined, than partnership formation. Historical factors, often recent, e.g. struggles for democratization, may explain familiarization with participation.

Special attention should be given to the fact that countries with extensive experience in public participation are also experienced in partnership building and vice versa. Exceptions are some countries from the Mediterranean group, namely Spain and Italy. The autonomy of the

regions of these countries, which is still being expanded, is naturally accountable for the experience in partnership building between central state and autonomous communities.

Experience in participation and partnership formation is not correlated with the constitutional character of European countries. Centralized political structures do not necessarily imply lack of susceptibility to governance practices and of openness to innovative forms of cooperation and policy-making. Government centralization is not a necessary handicap.

Particularly interesting are participation processes embedded in forms of cooperation, beyond the conventional practice of urban and regional planning, e.g. in contractual forms of cooperation. Permanent structures facilitating participation are essential because they make participation a more regular feature of daily governance. The proliferation of cooperation structures (see section 9), typical of some countries with a deep culture of dialogue and consensus, multiplies the opportunities for the average citizen to have access to participation processes. This betrays a far more advanced stage, than the mere consultation of organized public agencies, which is usually the maximum achievement in some countries.

A successful partnership record is usually linked with the existence of cooperation among government agencies, in a vertical or horizontal sense as we shall see in section 10. Public – public cooperation aiming at the attainment of shared objectives creates a favourable climate for the extension of cooperation in a more inclusive direction, through partnership with the private sector and civil society.

A proposal for further analysis of participation in practice is appended at the end of Annex B, as an appendix of section 8.

## Section 9. Forms of cooperation

|  |   |
|--|---|
| Urban development contracts  | France, Germany, Ireland, Italy, Malta, Netherlands, Portugal, Romania, Switzerland, U.K.   |
| Specific urban regeneration contracts and / or partnerships                        | Belgium, Denmark, France, Germany, Hungary, Ireland, Malta, Netherlands, Portugal,  |
| Local development / planning agreements and / or frameworks                        | Austria, Belgium, Finland, France, Greece, Ireland, Italy, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovenia, Switzerland, U.K. |
| National and / or federal agencies / councils / committees for spatial development | France, Greece, Hungary, Netherlands, Switzerland,  |
| Various inter-municipal planning arrangements, e.g. under Local Agenda 21 schemes  | Belgium, Denmark, France, Germany, Luxembourg, Netherlands, Norway, Slovenia, Sweden  |
| Various national – regional and inter-regional planning arrangements               | Finland, Denmark, France, Germany, Malta, Netherlands, Norway, Sweden,  |
| Co-operation in the context of spatial planning studies                            | Malta, Poland, Portugal, Romania, Slovakia, Slovenia  |
| Various forms of participation   | Poland, Spain, Slovakia, Slovenia   |
| Public – private schemes for public works / construction                           | Czech Republic, Greece, Hungary, Malta, Norway, Slovenia  |

### **Austria**

One example is the so-called "GU 8", a co-operation agreement in the south-eastern periphery of Graz, among eight communities. The aim of this project is to enhance economic and spatial development in a sustainable way and to confront negative factors of uncontrolled settlement in the suburbs.

### **Belgium**

Several categories of forms of co-operation (including organizational forms) are mentioned in the national overview:

- Neighbourhood contracts (partnerships in urban renewal aimed at retaining the middle class);

- *Charges d'urbanisme* (tax from new office projects reinvested in housing and public spaces);
- *Intercommunales* (intermunicipal PPP arrangement, sometimes with private partners to deal with several issues, - water, waste management etc );
- Pararegionals – (quasi autonomous functional organizations of regional government dealing with investment and development);
- Parastatal – similar at the federal level, e.g. Belgian Railways is a parastatal.

## **Bulgaria**

No such instruments of co-operation are mentioned in the report.

## **Cyprus**

There are no specific agreements or contracts among the various partners to encourage or enable better coordination and effectiveness. However this goal is to a certain degree aimed at through the existing legislation. The private sector has been organized in professional associations, non profit organizations, and special interest bodies in order to promote co-operation. However coordination and effectiveness have not been achieved to a satisfactory level and problems, social, economic, operational are evident in most cases especially in works undertaken or supported by the public sector.

## **Czech Republic**

Representatives of NNOs participate in advisory committees of municipal and regional governments, although this practice is still very rare. Public – private construction contracts take the form of BOT (build-operate-transfer) schemes.

## **Denmark**

Public participation and public engagement have been the main principles of planning and development policy since the 1970s. At national and regional level this is often done in a close dialogue between planning authorities and NGOs: The National Trust of Nature, the farmers associations, business associations etc.

The National Association of Municipalities and the Association of the Regions play a specific role according to national policy while proposals for new laws or proposals for new national policies are often (if not always) negotiated with these associations, before the proposals are debated in Parliament and approved. These associations therefore have a tremendous influence on national policy in general. In specific cases other NGOs can also be involved e.g. the association of peripheral municipalities, the association of small islands or the farmers' association.



Cooperation frequently takes place between local authorities for the production of plans. Several examples of common municipal planning strategies have emerged during the last 4 years in different parts of the country. In these cases 5 to 10 municipalities, often with a small or medium sized city in the lead, have cooperated on a common vision and a strategy for the future of the entire area. In none of these cases has a transfer of power to jointly created bodies taken place. Regional partnerships were discussed in section 9.

### **Estonia**

We can refer to some *ad hoc* arrangements. E.g. the non-mandatory trans-national or cross-border planning co-financed by the EU under the Interreg initiative complements and influences particular county and comprehensive plans. This is the case, for instance, of the spatial plans for Via Baltica or Via Hanseatica, or, In addition, of thematic coastal planning of the coastal zone in the Saare County and the Spatial Development Corridor of the Emajõgi Riverland – a thematic county plan compiled upon initiative of the Tartu county government.

### **Finland**

An example of a voluntary local agreement is the Oulu Growth Agreement, which was drafted in 2002 in order to promote regional growth by cluster-based regional development. The City of Oulu has the main responsibility for the coordination of the growth agreement, with the Oulu Region Centre of Expertise being responsible for the largest share of the practical implementation.

The South Finland Regional Alliance can be mentioned as another example of a voluntary inter-regional co-operational organization. It promotes co-operation between the seven southernmost Finnish regions in the fields of logistics, information and environmental sectors. Furthermore, the alliance monitors common goals and interests of Regional Councils, promotes co-operation in Southern Finland, creates discussion *fora*, publishes and distributes reports and research material concerning Southern Finland. It also promotes, spreads and implements co-operation in the Baltic Sea Region. Similar inter-regional alliances have been established also for Northern and Western Finland.

As indicated in the national overview, regional councils act as statutory joint municipal authorities in the fields of regional development and spatial planning.

### **France**

In the field of spatial planning, the trend is to formulate policies on a contractual basis, with the objective of achieving a mutual adjustment of horizontal and vertical levels and a continuous dialogue between actors dealing with individual policy sectors or acting in specific territories. Consequently, the contractual form where State and regional / local

authorities share projects and funds has become widespread and is now the rule. An example of urban policy is the *Grand Projet de Ville*, launched in the context of a national urban renewal programme. These projects are multi-sectoral and multi-actor, involving State services, local authorities, residents' associations, local firms etc. Cooperation takes place not only between regional and local authorities, but also among local authorities, e.g. in the *Contrats de Pays*, which affect rural or rural / urban areas. Cooperation is facilitated by a variety of structures providing technical / professional support, which have a public or mixed character.

## **Germany**

The contracts referred to in the table concern urban planning initiatives involving public – private co-operation, but refer specifically to regeneration. In the context of spatial plan and programme formulation a broad range of agencies included in a special register, often including voluntary social and nature conservation organizations, contribute their views. In the context of "Local Agenda 21" initiatives and plans, a systematic consultation with stakeholder groups takes place. Processes of consultation and co-ordination are also followed in a rural development programme focusing on "Active Regions" and the programme "Urban Networks". Federations and associations of local authorities are in operation, jointly representing the interests of their members. There are hundreds of examples of regional / local initiatives for integrated territorial planning, taking the form e.g. of urban networks and regional planning groups. Such networks, often informal, frequently address issues of large projects, of which a prominent example are the International Building Exhibitions. In terms of co-operation, regional metropolitan planning deserves a special mention (e.g. in the Stuttgart or Hanover regions).

## **Greece**

As explained in the national overview, development contracts, in the sense of contracts as used in a number of West European countries, are not used in Greece. However, "programmatic agreements", between e.g. central government agencies and local authorities, are frequently used. Another example of governance practice at the local level, one that facilitated sustainable territorial development of rural regions, is the case of the so-called "quality agreements" in the tourism sector.

It is also worth mentioning the arrangements used for the development of large projects in Greater Athens, especially in connection with the Olympic Games of 2004, i.e. forms of co-operation between the "public" and the "private" in the context of territorial development. While these contracts were of long duration, they were not anchored in a more general statutory framework, that would determine in a clear way the obligations of the stakeholders and signify a more permanent commitment of the state in this form of collaboration. These agreements were isolated examples, each of them made possible by *ad hoc* enabling legislation. It was only recently that an act of general application on public – private partnerships was approved by parliament.

The level of interaction between research, government action and private firms is still relatively low and is concentrated in certain key sectors such as computer science. Interaction between research centres and firms regarding territorial issues is promoted through the actions on Research and Technology of the 3<sup>rd</sup> CSF.

### **Hungary**

See indications in the above table.

### **Ireland**

See indications in the table above. Public – Private Partnership arrangements have been set up by a parliamentary Act and are used, for example, in the context of Integrated Area Plans for Urban Renewal.

### **Italy**

Urban development contracts include a variety of instruments:

- *Programmi di recupero urbano* (Urban Recovery Programmes),
- *Programmi di Riqualificazione Urbana* (Urban Regeneration Programmes),
- *Contratti di quartiere* (Neighbourhood Contracts),
- *Programmi di Riqualificazione Urbana e di Sviluppo Sostenibile del Territorio* (Urban-Regeneration and Sustainable Territory-Development Programmes).

Local agreements equally include various forms of agreement introduced in the 1990s:

- *Intesa istituzionale di programma* (Institutional Programme Agreement), i.e. agreement between the state and the regions for decentralisation and for regional territory interventions;
- *Accordo di programma quadro* (Framework Programme Agreement), i.e. agreement between the state, the regions and local entities (or other public and private actors) for interventions of common interest;
- *Contratto di Programma* (Programme contract), i.e. procedure that regulates the relationships between the public actors and businesses for industrial development interventions in depressed areas;
- *Contratto d' area* (area contract), i.e. agreement among local administrations, employers and union representatives for accelerated development and job creation;
- *Patto territoriale* (territorial pact), i.e. agreement between public and private actors concerning local development;
- *Programmi Integrati Territoriali* (Territorial Integrated Programmes), i.e. operational tools for the development of less favoured regions.

Planning Agreements are older instruments, which include:

- *Accordo di Programma* (Planning agreement), which creates reciprocal commitments for the future in the case of urgent public works;
- *Conferenza dei Servizi* (Services conference), a procedure used for one particular intervention (1990 World Cup).

### **Latvia**

There was inadequate information in the national overview. With respect to addressing territorial issues, a legislative basis is established by adoption of laws and Cabinet of Ministers' regulations. On the level of government, there are several Commissions and high level Working Groups established to address implementation of produced strategies.

### **Lithuania**

Inadequate information in the national overview.

### **Luxembourg**

The issue is not specifically addressed in the overview. There is a tradition of local level co-operation (intermunicipal co-operation, e.g. SYVYCOL).

### **Malta**

The information included in the national overview concerns a EuroMed heritage programme, a public – private partnership to manage a home for the elderly etc. It is remarked that the tendency in the public sector is to outsource work to private contractors. Examples include:

- Redevelopment and Regeneration National projects under a PPP (land concession agreements);
- Inter-regional (Italian Protocol) arrangements for road network;
- Cooperation with the UK in training and policy development;
- Public Works – road construction and major projects often follow a Design, Build and Operate system with Public and Private Sector involvement,
- Management and administration;
- A pilot scheme through FP 5 (Interreg funded project) is seeking neighbourhood empowerment in regeneration through the development of a regeneration agency in Valletta based on a PFI /PPP.

### **[The] Netherlands**

The Netherlands figure in all categories of cooperation (see table above) and it could be argued that no form of cooperation is absent from its governance practice. Cooperation starts at the central inter-ministerial level and the level of the National Spatial Planning Committee for the production of coherent policies, continues at the regional level, as e.g. in the case of provinces and municipalities in Framework Act Areas (see section 8) or in areas covered by a covenant (see section 7), and is finally

present at the local level, through inter-municipal cooperation in urban projects and rural projects, as in the case of Groningen Blue City project or in "combination areas", where several municipalities are involved for the purpose of improving the living environment in high-density areas.

### **Norway**

One example is the Hedmark County, formed by the politically accountable elected regional council and the extended arm of national county administration in line with the 'enhetsfylke' pilot model. Unitary governance arrangements coordinating the regional administrative tasks of the county councils (*fylkeskommune*) and offices of the regional state representatives (*fylkesmenn*) have been set up in this context.

There is also a long tradition with strategic business development plans (not a mandatory plan) and more recently, with Regional Development Programmes. These are all created by public, private and NGO constellations. Recent developments have emphasised the importance of partnerships in regional development.

### **Poland**

"Alliances" are mentioned in the overview, i.e. a form of co-operation adopted for the purpose of job creation. Other important forms of co-operation are the so called "regional contracts" (financing of selected investments of a regional scale from government sources).

### **Portugal**

There have been recent important efforts for the co-ordination of different sectoral policies in the same territory, as in the case of less developed regions, where public investment is being associated with private capital with the supervision of a public agency. Another case is the Procom / Urbcom programmes for city centres, with co-ordinated central, municipal and private investment for their revitalization, especially for urban rehabilitation, retail modernization and global promotion. Some agencies and associations are being treated as partners in several different plans and projects, as it is the case for the business innovation centres in Porto and Braga, with CCDRN, AEP and both public universities.

### **Romania**

Examples of association to enable better horizontal co-ordination...are the agreements concluded for joint planning, concluded by the urban and rural communities in and around one big city. There are few examples of typical public administration (council) /university /research associations set up to address specific territorial structural issues, mostly with the aim encourage innovation and knowledge dissemination by creating Technology Parks. Iuj a.o.). The government has included in its programme the creation of "Technopoles".

## **Slovakia**

Significant examples of partnership networks are to be found mostly in the rural regions of Slovakia, taking the form of regional partnership networks. Their scope of action includes development policies, revitalization of villages etc. On the whole, participation by a variety of partners is on the rise in all spatial and regional planning studies.

## **Slovenia**

See indications in the above table.

## **Spain**

"Agreement reports" incorporate financial and economic arrangements between the State and the Autonomous Communities (Regions), as well as joint plans and programmes. Besides agreement report there exists also the "co-operation report" referring to legislative competences and organization issues as well as to the subsidies distributed to support conferences on sectoral policy issues. The terms "interested participation", "individualized participation" and "common participation" refer to the kind and formula of collaboration (bilateral or multilateral) between the State and the multiple Autonomous Regions. Open Administration is a term and a project introduced by Catalunya. The main goal is to improve the relations between the administration, the citizens, the enterprises and the professionals in Catalunya by utilizing among others new information and communication technologies.

## **Sweden**

Associations and Federations of L.As and County Councils arising from merger of former ones with more limited scope and competence constitute commonplace efforts and forms of co-operation. Furthermore, the "growth councils" at the regional level involving representatives from the state, L.As and trade and industry private economic sectors constitute a recent and challenging form of partnership in the field of regional development planning. These "Growth Councils" which are mandatory produce the so-called "Regional Growth Agreements".

## **Switzerland**

Forms of cooperation include:

- Tripartite Agglomeration Conference: National – regional platform to promote interests of agglomerations and ensure vertical cooperation between the Federation, cantons and municipalities;
- Regional planning associations: Powers delegated to associations by cantons to draw up regional structure plans;
- Promotion of cantonal spatial planning: Sectoral plans to address specific sectors (e.g. Sectoral Plan for Aviation Infrastructure);
- Federal Committee for Spatial Development to provide support to the government and administrative units, given that spatial

development touches all three tiers of the federal system, and to support dialogue;

- Comprehensive planning: Confederation, cantons and municipalities are jointly responsible for ensuring economical land use;
- Best Practice Model: Inter-community cooperation in order to establish a joint industrial zone between three communities, the *Zone d'activités régionale de Delémont (ZARD)*;
- Cooperative Development Planning in Zurich West: Forum for consultation and exchange of views;
- Réseau Urbain Neuchâtelois: Creation of a cooperation between three core cities.

## **United Kingdom**

Subsection 3.4 is missing in the national overview. It is however well known that a large number of legal instruments have been used in urban and local development and regeneration programmes.

## **Conclusions**

The range of cooperation forms reported in the national overviews is extremely broad. Cooperation forms range from systematic, regular and institutionalized cooperation between territorial units, which produces tangible projects, to cooperation between public agencies, limited to the participation of their representatives in government councils and committees. Or, from contractual agreements, linking national, regional and local authorities in integrated policy packages, to simple cooperation of municipalities in the production of joint planning studies. This created a difficulty of categorization. The effort in the overviews to present examples of cooperation, even in routine administration tasks, when no substantial forms of cooperation really exist, explains this unequal spectrum of cases.

Countries with long traditions of government and urban development and administration can boast a rich and wide spectrum of cooperation arrangements at all territorial levels. These arrangements are not correlated with national constitutional forms. They can be found equally in federal, unitary decentralized or regionalized countries, which proves that governance is not the monopoly of a particular form of government, a conclusion which is true with respect to several aspects of governance which we examined. This does not mean that there are no particularities associated with specific government systems. E.g. we found arrangements prevalent in the particular conditions of federalism to overcome limitations of co-ordination or cases of cooperation between municipalities, which are typical of Nordic countries, without being exclusive to them. A similar comment can be made about the use of contractual methods, as in France, which presuppose a familiarity grounded in history. Countries with systems based on consensus principles, e.g. the Netherlands, can show examples of cooperation in virtually every category.

An absence of innovative arrangements can be observed in countries, which normally operate only with conventional planning instruments. In such cases the examples tend sometimes to have an *ad hoc* character, e.g. they are related to extraordinary events, such as the organization of sports events. Examples in such countries are also of a conventional character, e.g. "Build - Operate - Transfer" (BOT) construction agreements, which are not considered as worth reporting elsewhere. There are however arrangements, which do have an innovative character even if they do not produce spectacular results, like municipal development companies, public - private partnerships for land development or quality agreements in certain economic sectors, which are important in their national context. Their potential deserves further investigation to examine whether it can be exploited and extended in the future.

The most numerous examples, and perhaps among the most interesting, are those focusing on cities. They often exhibit experimental, innovative arrangements, at neighbourhood, city or urban region level. They involve all sorts of cooperation forms, i.e. between national states, regions and cities, between regions and cities, between city authorities and / or between intra-city municipalities. They include agreements, contracts or simpler cooperation processes, usually aiming at economic development and urban regeneration. The terms used to describe these arrangements and the multiplicity of their objectives often cause problems of classification. In some countries we have a large number of such initiatives, while in others they have been introduced experimentally only in a handful of cases, which also makes difficult the distinction between countries.

Cooperation among regions, with intense or limited national involvement, is another frequently quoted example. They may have a basic urban development component, and thus overlap with the cases of the previous paragraph, or they may have a rural development emphasis. The aim is economic development, with a frequent emphasis on technological innovation. Sectoral coordination certainly figures prominently in these initiatives. The exact form of cooperation, e.g. between regional authorities or through intermunicipal arrangements, depends on the particular administrative structures of each country.

The emphasis on technology is present not only in these more ambitious and inclusive cooperation partnerships, but also in more modest efforts linking government departments, universities, research centres and technology parks. But other forms of cooperation too, like BOT schemes or simple PPPs, used only rarely in some countries, and usually in public works, may be used in more diverse sectoral situations in other countries and be integrated in more ambitious multiple - objective programmes. Therefore, the innovative character of specific cooperation arrangements depends also on the context in which they are used.



## Section 10. Progress towards cooperation and partnerships

Direction of progress towards vertical or horizontal cooperation and partnerships

|  |   |
|--|---|
| Vertical co-operation and partnerships, beyond the conventional hierarchical command structure of government | Austria, Bulgaria, Czech Republic, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands, Norway, Spain, Slovenia, Sweden, Switzerland, U.K.                         |
| Horizontal co-operation and partnerships   | Belgium, Cyprus, Czech Republic, Denmark, Finland, Germany, Greece, Hungary, Ireland, Italy, Lithuania, Malta, Netherlands, Poland, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K. |

Specific direction in case of progress towards horizontal cooperation and partnerships

|   |  |
|---|--|
| Public – private cooperation in economic initiatives                              | Austria, Belgium, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Malta, Netherlands, Romania, Slovenia, Sweden, U.K.  |
| Public – public cooperation, e.g. between regions, cities, local authorities etc. | Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Lithuania, Malta, Netherlands, Poland, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K. |
| State – civil society (NGOs, public) cooperation                                  | Austria, Belgium, Cyprus, Czech Republic, Denmark, France, Germany, Ireland, Lithuania, Luxembourg, Malta, Netherlands, Poland, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K.                               |
| Private – private agreements (consortia)  | Belgium, Malta, Netherlands, Slovenia, Spain   |
| Other form of cooperation, e.g. cooperatives                                      | Malta, Spain   |
| Public – Universities – research associations                                     | Finland, France, Germany, Lithuania, Romania, Slovakia, Slovenia, Sweden   |

## **Austria**

The EU-principle of "partnership" has been accommodated through the foundation of 25 regional development organisations in Austria that also receive financial support from the office of the Federal Chancellor. The tasks of these regional managements are to improve the co-operation of regional actors (political and private), to develop bottom-up development strategies in co-ordination with the national and regional level, and to promote regional key projects in consensus with the most relevant actors of the region.

An example is the so-called "GU 8" (see par.9). Of interest is also the example of Leoben, the second largest city in Styria, located in a declining industrial region, which has to struggle with different kinds of problems. The Institute of Geography and Regional Sciences in Graz has elaborated a strategic planning paper over the last years to confront the negative spiral of decline. The process called "Design Your Future" is a general action-framework that includes forms of democratic participation as well as dynamic and creative elements. Developing short and long-term objectives, "Design Your Future" attempts to up-grade the image of this town and to accord Leoben national and international prestige.

## **Belgium**

Public – public co-operation, e.g. between regions, cities, local authorities etc., is intraregional only due to tense political context. Private – private agreements (consortia) include several forms of cooperation (e.g. infrastructure projects).

## **Bulgaria**

Very little specific information is given in the national overview. Progress seems limited in both forms of co-operation (vertical and horizontal), given that the relative reforms are very recent. It is judged however that it has been more noticeable with respect to horizontal co-operation, primarily because of the creation of regional development councils, which bring together the three levels of government, central, district and local. But given the limited operation of the new system up to the present one cannot speak of real progress. New specialized commissions and councils, mentioned earlier, are a first step towards horizontal co-ordination.

## **Cyprus**

The various government departments co-operate as part of the government set up and operational system. The co-operation is among various levels within the same department and also between various levels among different ministries. Municipalities and communities also co-operate through a common understanding with all government departments and ministries depending on the specific need for cooperation and the declared objectives. Cooperation with NGOs and the

public, through processes of consultation and participation, is gradually becoming the rule, especially in environmental policy, although there is still substantial resistance.

## **Czech Republic**

Since the mid-1990s local governments attempted to cooperate with major actors from the business sector. Co-operation based on public-private partnership is still undeveloped. However, there are examples of joint ownership and operation in the utilities sector, build-operate-transfer schemes in the area of urban infrastructure and special arrangements in the field of energy saving. A special legislation on public - private partnership is now under preparation and the new Planning and Building Bill shall introduce several new instruments that provide the legal framework for negotiation processes between municipalities and private developers, for land property exchange, pre-emption rights for the acquisition of property and compensation for development rights.

Local governments may create municipal alliances (microregions) to secure common interests. There is a huge number of municipal alliances in the country with many municipalities participating in several alliances. Many alliances are formed for a single purpose and often cease to exist after its achievement. However, there is a wide range of microregions based on a complex co-operation. They often prepare strategies of microregional development. The formation of several microregions was stimulated by the possibility to draw financial support from the EU.

Horizontal cooperation however is absent in many instances in which it would be desirable for balanced and sustainable territorial development, e.g. in metropolitan areas where there is now competition between hundreds of individual municipalities.

Examples of cooperation include a scheme in the Olomouc region between the regional government and NNOs, the association of cities, towns and regions *Healthy Cities of the Czech Republic*, which follows Local Agenda 21 principles, and a common Dutch - Czech project (MATRA - *Quality Enhancement of Regional and Local Elected Councillors in the Czech Republic*), to improve the quality of elected representatives working relations between ministries, municipalities and regions.

## **Denmark**

The long-term informal co-operation among the regions and universities were formalised in 1997 with the creation of the *Øresund University* (see also section 19). The university is a voluntary co-operation between universities on both sides of the Øresund. The goal is to create a strong information centre, composed of the region's universities, in order to increase the effectiveness and quality of education, research and other activities at the university. This collaboration has helped to identify critical driving growth clusters and facilitate the development of networking associations in each of those clusters. *The Øresund Labour Market Council*

has been created to promote active integration of the labour market in the same region. *Øresund Networks* works for coordinating the marketing of the Øresund region regionally, nationally and internationally.

The National Trust of Nature (*Danmarks Naturfrednings Forening*) plays the role of a watchdog (see also section 8). The Trust has local divisions in all counties and in most of the municipalities. The Trust is very active during the public hearings of planning proposals. Besides issues of protection of nature, recreation and landscape, the Trust is also involved in planning proposals, in cases where the cultural heritage or urban environments are threatened.

Various forms of horizontal cooperation and partnership were discussed in the previous sections. The Greater Copenhagen Region is a special case. The Greater Copenhagen Authority (HUR) is a politically-governed regional organisation covering the Greater Copenhagen Region. The governing HUR Council is made up of regional politicians from the five local / regional authority units: the counties of Copenhagen, Frederiksborg and Roskilde and the cities of Copenhagen and Frederiksberg. HUR is the only authority of its type in Denmark. Under the provisions of the reform of regional and local government, HUR will be terminated and the Ministry of the Environment will take over the responsibilities for regional planning and coordination in the metropolitan region.

## **Estonia**

The examples given above (section 9) are cases of public-public cooperation.

## **Finland**

The *fora* are strategic tools of the Centre of Expertise, with a cluster-based dynamic as their core. Thus the potential or already existing growth branches in the regional economy are given particular weight here, i.e. telecommunications (Mobile Forum), electronics (NCEMForum), software industry (Software Forum), content and media industry (Media Forum), "wellness" technology ("Wellness" Forum), biotechnology (Bioforum) and environmental technology (Eco Forum). The actors involved in the *fora* are companies as well as research and educational institutes. The Lahti University Consortium links knowledge with the productive base of the region and regional development. Indeed, an example of public-research association is the case of the Lahti regional innovation policy.

Safeguarding public welfare services by municipal co-operation will be supported by a specific sub-region project (SEUTU-hanke). The aims of the project are to develop the methods of sub-regional co-operation, structures of decision-making and to encourage municipal co-operation.

A recent report from the Ministry of Interior presents a proposal for urban policy concerning the nine largest Finnish urban regions. The aim of this urban policy is to develop innovative urban regions, promote networking

between the cities and to increase their international competitiveness by strengthening partnerships and responsibilities between the central state and urban regions.

## **France**

In vertical cooperation, the overall trend is steadily towards a more partnership - oriented approach in spatial policy (see section 2 on changes in the direction of governance). In spite of the centralized nature of the French State, in practice there is a continuous process of cooperation and negotiation between levels of administration, dating back to first regional reforms of the post-war period.

Considerable progress has been made in horizontal cooperation. At the national level, both CIADT (*Comité Interministériel d' Aménagement du Territoire*) and DATAR (*Délégation à l' aménagement du territoire et à l' action régionale*) are inter-ministerial organs dealing with spatial planning in a multi-sectoral, multi-region perspective. At the regional level, the MIIATs (*Missions interministérielles et interrégionales d' aménagement du territoire*) plan projects in an inter-regional perspective. For this purpose France is divided into 5 large super-regions. At the local level, inter-municipal cooperation and partnerships have been already mentioned in section 10 on forms of cooperation, which have a multi-sectoral perspective, including economic development. Several other institutional innovations can be mentioned here, e.g. the regional *Commissariats au développement économique* and the institutes of venture capital, the regional / local *Sociétés d' économie mixte* and the local *Comités de bassin d' emploi*.

Apart from more routine involvement of universities and research centres in public spatial policy research and design, the role of two institutions is a case of innovatory approach. The first is IHEDATE, a higher studies institute offering courses on the development and planning of European territories and specializing in the dissemination of good practices in sustainable and balanced development. The other is a high profile *Observatoire des Territoires*, created by the central government and operated as a network by DATAR, which synthesizes information from all levels of government and from research agencies.

## **Germany**

In spatial planning the cooperation between federal level and Länder seems to be of great importance. Furthermore, with the establishment of new institutional structures between Länder (e.g. Berlin-Brandenburg), regions (e.g. Hanover), and cities (Oberzentrale Kooperationsräume), with the current debate about abolishing the Regierungspräsidien (regional representatives of Land government, intermediate institution, Lower Saxony), or with the introduction of city networks new forms of cooperation and co-ordination are experimented with. Another new form of cooperation between public and private sector, are the private contracts on behalf of the local authority in cases of urban regeneration or planning.

The impetus of the latter is to enhance efficiency – not always better communication.

## **Greece**

Although progress towards vertical or horizontal co-operation and partnerships is slow, important steps have been made by strengthening regional authorities, enabling local development companies and municipal associations and introducing forms of public – private co-operation, as explained earlier. “Programmatic agreements” (e.g. between central government and local authorities) are being extensively used.

## **Hungary**

There are two important forms of public-public cooperation in Hungary:

1. Fostered by the legal framework, micro-regions are formed by local governments. These are alliances which provide public services mutually, and get additional national funding for this.
2. The regions themselves – formed optionally in 1996, and made compulsory in 1999 – can be a forum of public-public co-operation. The creation of Regional Development Councils was designed by law to adhere to the partnership approach, with the regional representatives having a decisive power. However, later amendments changed the composition of these Councils, with the result that the central government retained control of the councils.

## **Ireland**

Partnership working is increasingly seen as the way forward in many areas particularly, for example, in the governance of urban regeneration and local development. Partnership, between the public and private sector, is the key principle underlying the preparation, financing, monitoring and assessment of performance of the National Development Plan and the Community support framework. The Dublin Functional Urban Region (FUR) is an example of public – private co-operation. The following non-governmental organisations play an important role in advising on planning matters and in the implementation of development plans: (1) The National Trust (*An Taisce*) – It is a watchdog organisation in relation to all facets of environmental policy. It has played an important role in terms of research into planning issues; (2) Construction Industry Federation (CIF) – represents the construction industry.

## **Italy**

A ‘contract culture’ in public management regarding urban and territorial policies has been established. Inter-Institutional cooperation between public authorities became common in the 90’s. New instruments have helped putting into practice older instruments of partnership introduced in the previous decade. Unions of municipalities are usually formed between neighbouring authorities to exercise their functions jointly. The

municipality implements forms of co-operation with other municipalities and with the province to perform functions in specific geographical areas.

### **Latvia**

The situation is still very fluid and administrative territorial reform is still underway and planned to end in 2009. Ministries are drafting relevant strategies and other relevant policy planning documents to properly address the issue of guidance documents to regulate operation of partnerships, public involvement / participation / consultation in line with governance principles. The Cabinet of Ministers will then approve the documents. To enable better coordination, effectiveness and the introduction of principles of governance, there is a strategy drafted by the Cabinet of Ministers. This strategy is being introduced informally without formal agreements presently. With respect to addressing territorial issues, a legislative basis is established by adoption of laws and Cabinet of Ministers' regulations. On the level of government, there are several Commissions and high level Working Groups established to address implementation of strategies.

### **Lithuania**

Agreements exist between State institutions and NGOs concerning environmental matters and social care. Agreements also exist between government agencies and universities.

### **Luxembourg**

Regional plans will be elaborated by ministers, administrations and municipalities. The possibility to integrate the « *forces vives* » is also open, through regional conferences. *Intercommunales* unions will be fully involved both in the elaboration and in the implementation of the regional plan. This is an example of the "integration" process that Luxembourg is putting forward, in the idea of a sustainable development., and which is also fully in line with the coordination and cooperation process promoted by governance principles.

### **Malta**

The direction towards public – private cooperation indicated in the table concerns the practice of government departments outsourcing work to private contractors, who are officially bound by contracts of work. This is more in line with the 'new' state of Malta as an EU member. Inter-ministerial groups and boards that bring inter-disciplinary perspective involve a broad spectrum of agencies and interest groups. There is a tendency towards non conventional vertical cooperation.

Public-Public cooperation may be identified in some cases. Private-Private cooperation exists in redevelopment projects or with NGOs for monitoring purposes. Malta has a long tradition of cooperatives which was boosted further by substantial grant schemes and tax break regimes. New

cooperatives of a varied spectrum have been developing (since the 1990s) from public cleansing, agriculture to archaeological protection.

### **[The] Netherlands**

Most of the forms of cooperation mentioned earlier are either recent innovations or long standing practices which have been renewed and expanded recently. Changes are therefore evident in virtually all the directions listed in the above table. Cooperation and policy coordination have been constantly present in the public debate since the 1970s and are promoted by a variety of national organs already mentioned (see sections 8 and 9), while similar efforts exist at the provincial and local levels. The various planning instruments have cooperation as a central concern. E.g. Regional Plans aim specifically at both horizontal and vertical integration. Reference has been made already to the 1985 act which introduced the Framework Act Areas (see section 7). As recently as 2006 a new act has further expanded this procedure, following intense discussion between central government and unions of both provinces and municipalities.

### **Norway**

According to the overview of Norway, in the introduction of the White Paper (see section 1) partnership seems to be limited to public-public partnership. County councils will not be given authority as an 'over-municipality' in planning and areal issues. There are two central points, concerning the regional planning system and its development in the form of partnership:

- 1) In the introduction of the White Paper, partnership seems to be limited to public-public partnership;
- 2) The partnership is originally limited to the selection of planning type;
- 3) The partnership is seen between county councils and municipal councils as planning authorities. Even though the state and the state's regional authorities also have tasks and authority in planning matters, it is here in an indirect way underlined that the state and other authorities are not involved in this type of partnership, institutionally linked to *de facto* planning authorities on regional and local levels.

The central government gives great priority to the establishment of a variety of regional and local partnerships, i.e. county-county, county-municipality and public-private. The strategy has been recommended in several reports of the Ministry of Local Government and Regional Development, submitted to the *Storting* (Parliament) on regional policy.

The main changes contained in the proposal relate to the evolution of the planning system towards a system based on partnership between regional and local levels. This will be a first step leading to the launching of a new form of planning.



## **Poland**

Various forms of consortia and partnerships (associations, development agencies, etc) emerge in Poland at both regional and local level. Initially their establishment has been connected with strictly specific objectives such as installing the gas supply infrastructure in the areas coming within the competence of a series of communes. Later on their scope of tasks and competences has been expanded to include a whole spectrum of diversified tasks.

## **Portugal**

The developed forms of cooperation imply a process towards a more decentralized administrative management with main targets horizontal co-operation and civil society participation.

At the regional level, the Commissions for Regional Co-ordination and Development (CCDRs) have a special role in fostering the relation between central and local government, which is expected to be reinforced. The CCDRs are responsible for the development of the PROT - *Planos Regionais de Ordenamento do Território* (Regional Plans for Territorial Planning), in accordance with the Government Master Planning Options and Programme and the existing Sectoral Plans, namely, the National Plan of Environmental Policies, the National Road Plan, the Special Rehousing Programme, and the Programmes for the construction of regional and national facilities.

Horizontally, there is progress in inter-municipal cooperation, specially for investment in water projects and waste landfills, and in tentative inter-municipal territorial planning. In the last few years, several civic movements have emerged throughout the country, at different levels of intervention: national, regional and local. For example, the Campo Aberto, and its PNED newsgroup, is an interesting informal case of a forum for the study and debate of urban and environment themes in the North of Portugal.

## **Romania**

See indications in the table above.

## **Slovakia**

At the national level the partnership principle was for the first time applied in the case of the preparation process of the National Development Plan and respective documents at the regional level. Horizontal co-operation efforts are also evident at the lower levels of districts and micro-regions. Non-profit and environmental organizations seem to play a key-role in such partnership and cooperation efforts.

## **Slovenia**

See indications in the above table.

## **Spain**

Horizontal cooperation appears basically at the local level wherein it is a matter of subsistence, especially in the case of small Municipalities which cannot provide for the locally needed infrastructure without horizontal agreements with neighbouring Municipalities.

## **Sweden**

See indications in the tables above. Progress towards better public-private co-operation is given more emphasis and higher priority, than cooperation with NGOs.

## **Switzerland**

An important example is the "Tripartite agglomeration conference". For the first time, strictly horizontal Swiss federalism gave way to a partnership across all three levels of government. An upgraded tripartite agglomeration conference will allow the confederation to co-ordinate policies vertically across government levels, whereas the *Raumordnungskonferenz* (ROK) would continue to coordinate policies horizontally across ministries (Public – public co-operation).

Examples of state – civil society (NGOs, public) cooperation are:

- Cooperative development planning in "Zurich West";
- the consultation procedure on the federal level is the phase where an important decision needs to be approved by cantons, political parties, NGOs, and other interested parties;
- Right of complaint for NGOs is the legal mechanism by which NGOs (especially environmental NGOs) can challenge planning decisions in addition to the investors and building departments. The NGOs are also eligible to make use of their right on the canton level.

## **United Kingdom**

Subsection 3.4 is missing in the UK national overview, however one can confidently indicate the existence of partnerships in the tables. Besides, in another section of the overview it is stated that partnership working is increasingly seen as the way forward in many areas particularly, for example, in the governance of urban regeneration. Partnerships between local governments, central government agencies, and local residents groups are now the norm. Some examples of participation by non-public bodies in the spatial planning process are of very long standing.

## **Conclusions**

The emphasis in this section is not on the existence of cooperation arrangements and partnerships, vertical and horizontal, but on the progress made towards cooperation and partnership and on the direction this progress has taken. Was it a direction towards vertical or horizontal cooperation, and then, more analytically, towards which specific forms of horizontal cooperation? In most national overviews we were able to find extensive comments with relevance for this section. "Making progress" has of course a temporal dimension. The national overview guidelines referred to recent progress, but the overview authors also provided comments on older practices too. The themes dominating these comments had similarities with those covered in previous sections (e.g. on partnerships).

The overall trend is clearly one of increasing use of contractual schemes, partnership working, regional cooperation, central state – regional coordination and intermunicipal alliance formation. The pace of reform varies (in some cases it is almost at the level of intentions), but the trend is clear. Although progress may be occasionally exaggerated, to the point that simple inter-ministerial cooperation is considered worth reporting, there is no doubt that the ideology of "joining hands", horizontally and vertically, is gaining ground.

The use of contracts binding together national government and regional and / or local authorities is established practice in certain countries, but in other countries too, where it is fairly recent, reference is made to the spread of a "contract culture". In other cases the use is reported, perhaps in a more *ad hoc* manner, of instruments, like programmatic agreements. The essential difference is of course between countries where the contract system emanates from a national integrated policy addressed to lower level authorities and those countries where a cooperation instrument exists in law but is used at random, when the need arises. In other words it is not the instrument as such that is of importance, but its use in the context of a comprehensive framework, which is guided by agreed goals and aims at creating synergies. This is where the innovation lies and not in the availability in law of an instrument or procedure.

National – regional and inter – regional cooperation is another important theme, regardless of the institutional form it takes and the instruments it employs. There are cases where this is a deeply entrenched practice in both economic and territorial development, both in federal and unitary states. It has been noted before that the constitutional structure does not seem to be a crucial differentiating parameter. We have federal cases where national – regional (state) cooperation is limited, almost non-existent. In fact, there are federal examples where an initiative of partnership cutting across the national – regional – local divides is hailed as a path breaking innovation. We have also several "unitary" examples where national – regional cooperation is limited to a hierarchical plan production, to recent and untested legislative provisions or to the processes imposed by EU Structural Fund regulations, in the context of

programming documents. Nevertheless, the latter should be welcomed as an important step.

Intra-regional cooperation exists not only in countries where national – regional and regional – regional forms of cooperation are common, but also in cases where the latter leave a lot to be desired. Intra – regional forms take frequently the shape of intermunicipal alliances and consortia. In some Central and East European countries they appear in a “micro-region” arrangement. Interesting forms of local government cooperation are e.g. those between county councils and municipal authorities or between local authorities of an urban region, throughout its territory or in its peri-urban area, around an important urban centre. The relative weakness of small municipalities may be a driving force for joining forces. The institutional arrangements and the terminology used vary (micro-regions, conferences, partnerships, alliances etc.) The scope of cooperation may be limited to routine tasks (e.g. water supply), a common traditional municipal activity, but in more innovative examples it can extend to more complex initiatives, such as social services. Cooperation may be found both in isolated examples, but also in cases integrated in a broader national policy context, which encourages urban networking.

Horizontal cooperation and partnerships occur chiefly at the local level. Lots of unions and alliances are created by local governments and neighbouring municipalities. The stimuli and motivations vary: (a) for expanding the scope of administrative competence, (b) for securing feasibility and viability of the locally needed infrastructure, (c) for achieving emancipation from higher level political patronage and control, (d) to bid for funds etc.

A variant of intermunicipal cooperation of a more ambitious character can be found in the creation of Functional Urban Regions, where a variety of partnerships flourishes, or in the national policy – induced creation of urban networks. The existence of an encompassing urban policy, formulated as a framework at state level, is a feature which differentiates such advanced efforts from random cooperation with a narrow range of objectives, which simply makes use of the existence of particular instruments in law. The legal possibility is not a substitute of policy, a principle which is not always appreciated. It is however a useful tool, once a policy framework is embraced and pursued.

Horizontal cooperation and partnerships at the national level usually take the form of a cabinet of Ministers, inter-ministerial committees / boards or inter-ministerial working groups. There are however also more complex arrangements, with long established agencies like the French DATAR playing a crucial role. Innovative tools and progressive processes of vertical cooperation mechanisms are to be found in federalized or regionalized countries, where regions enjoy a high degree of autonomy, but as we pointed out this is not a universal rule. Former socialist countries seem to experiment with new and originally informal horizontal partnership configurations; the traditional phase they are passing through facilitates such experiments.

Working with partnerships presents a wide spectrum of varying intensity and depth of application. The most frequent, sometimes the only one, pattern of horizontal partnership is “public-public” partnership between regions, cities, local authorities, various government agencies etc. There are countries where national guidance on partnerships is still awaited or where legislation on public – private partnerships (PPPs) is imminent or has just been enacted. Public-private cooperation is invited mostly for infrastructure and construction projects and, in more advanced situations, for urban regeneration plans and local development. In a limited number of countries the operation of PPPs is a regular practice.

Other forms of cooperation, sometimes stressed in national overviews, sometimes considered as too mundane to report, are horizontal forms of cooperation of government with NGOs, especially on environmental issues, or with universities and research centres. The cases where such cooperation becomes a tool for technological innovation in the context of a more comprehensive research and development policy present a greater interest in a governance perspective.

## Section 11. Partnership formation and cooperation: Barriers and catalysts

### Barriers to partnership formation and cooperation

|  |  |
|--|--|
| Limitations on powers and activity potential of partnership                      | Cyprus, Estonia, Greece, Hungary, Malta, Norway, Portugal, Romania,                  |
| Lack of funds and external dependence  | Czech Republic, Greece, Hungary, Lithuania, Slovakia, Slovenia, Poland, Romania,     |
| Communication problems between participants, antagonisms, mutual suspicions etc. | Austria, Cyprus, Czech Republic, Greece, Malta, Poland, Portugal, Romania, Slovenia, |
| Undermining from external sources  | Cyprus   |
| Complexity   | Italy, Lithuania, Spain  |
| Other  | Belgium, Denmark   |
| Undeveloped civil society and hierarchical decision-making                       | Hungary, Slovakia,   |

### Factors / catalysts favouring partnership formation and cooperation

|   |  |
|---|--|
| EU policies and funding   | Austria, Belgium, Bulgaria, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K. |
| National or sub-national legislation and policy   | Belgium, Bulgaria, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Netherlands, Norway, Poland, Romania, Slovenia, Spain, Sweden, Switzerland, U.K.   |
| Pressures to gain access to EU or national funding sources and economic interests of participants | Belgium, Czech Republic, Finland, France, Greece, Hungary, Ireland, Italy, Lithuania, Poland, Slovakia, Slovenia, Sweden, Spain, U.K.  |
| Political reasons (e.g. support for or opposition to central government)                          | Greece, Malta, Poland, Slovakia  |
| Public reaction to government policy and public projects  | Belgium, Czech Republic, Greece, Malta, Poland, Slovakia   |
| Tradition / Culture / Past informal procedures  | France, Netherlands, Spain, Portugal   |

## **Austria**

As a result of the Austrian decentralization, co-ordination and co-operation efforts of the complex legal situation are rare and such efforts tend to be based on voluntariness. For this the Austrian system of spatial planning is rather an obstacle than an appropriate instrument for spatial impact.

## **Belgium**

The tense political context is mentioned as a barrier.

## **Bulgaria**

Given the absence of genuine partnerships, the short life of new councils and commissions and the lack of specific information in the report, it is impossible to answer the question about barriers. Equally, given the absence of genuine partnerships, the short life of new councils and commissions and the lack of specific information in the report, it is extremely difficult to answer this question. However, it is true that both EU and national policies are likely to act as positive forces.

## **Cyprus**

It is too early to speak of the role of EU policies, but it is expected that they will become extremely important in the near future, particularly after the Cyprus problem is resolved.

## **Czech Republic**

Co-operation between city governments and the private sector often lacks a coherent framework and examples of successful public - private partnership are rare. Public awareness has increased and thus urban governments pay more attention to the voices of non-governmental organizations, citizens associations and to public participation. However, in many cases confrontation rather than cooperation still prevails in communication between government officials on all levels and non-governmental non-profit organizations.

With regard to favourable factors, there are two major categories. First, there is a long-term and stable pressure from various non-governmental organisations towards strengthening public participation and the creation of mechanisms that will involve citizens into decision-making about planning the development of places of their everyday life. National legislation in the field of territorial planning and spatial development allows for participation of citizens. The actual implementation is however a matter of individual local and regional governments. Their attitudes are slowly changing, however the whole process is a matter of cultural transformation of people's values. The recent international forum on partnership between public authorities and the public concluded that despite the fact that there is a number of politicians on all levels that

adhere to the principles of partnership there is still a majority whose change of approach still has to be achieved.

The major external impact towards shifts in governance practices comes from the European Union. The EU programming documents not only require partnership in the preparation of planning documents and involvement of non-governmental bodies in monitoring and evaluation, but also consider partnership as crucial for various forms of co-financing. In other words, only those local and regional governments which adhere to partnership principles have a real chance to receive support from EU funds for local and regional development.

### **Denmark**

Opposition to the new policy of regional reform may act as a barrier to partnership formation (see also section 3). The loss of power which the regions will experience can cause opposition. On one hand, the discourse at national level in many ways calls for the use of partnerships. But on the other hand, the reality is that the national level provides few incitements to municipal and regional bodies. However, the forces operating in favour of cooperation and partnership seem to be more important.

The emphasis of a recent national planning report is clearly on the introduction of a new governance approach, with the aim of achieving territorially balanced development. The main message of the report is that new forms of partnership are still needed across administrative boundaries and sectors to improve the framework for regional development. "The geography of solutions should be seen in relation to the geography of tasks". This can only be done if many partners share responsibility for regional development. This report is part of the basis for the current national debate. The regional and local government reform has now taken the form of legislation.

### **Estonia**

See indications in the above tables.

### **Finland**

The resources of the newly created regional councils as well as the contradictory effect of SFs in sectoral management have been mentioned as problems. Partnership constellations as forms of participation are inspired by European examples, though they are at times also seen as undemocratic and elite-based.

### **France**

The process of vertical and horizontal cooperation and in particular the involvement of civil society in decision making has naturally encountered in some cases a reluctance by regional and local politicians to share power or to adopt new forms of governance, which can be considered as an



obstacle to partnership formation. However, there is in France a long tradition, dating back to the 1980s, and an established culture connected with the use of a contractual method of planning. The effort to gain access to funding made available through contractual arrangements (e.g. *Contrats d' Agglomération* or *Contrats de Pays*) stimulates regional / local partnerships. Legislation and institution building have played a key role in favour of partnerships and cooperation, always maintaining a balance between the State and regional / local levels of administration, as outlined in earlier sections. The influence of the European Structural Funds on the role of the central State in spatial planning issues must also be stressed here.

### **Germany**

See indications in the above tables. The existence of factors favouring partnership formation and co-operation is due to the level of maturity of the planning system, with its emphasis on the "counter-current" principle, and to the operation of a broad range of pilot actions mentioned earlier (e.g. urban and regional networks).

### **Greece**

Although progress towards vertical or horizontal co-operation and partnerships is slow, important steps have been made by strengthening regional authorities, enabling local development companies and municipal associations and introducing forms of public – private co-operation, particularly in large infrastructure projects. Relevant legislation was enacted in 2005.

### **Hungary**

Among the biggest barriers for the formation of partnerships and for co-operation are the financial dependence of most local governments on the central government, a tradition of a hierarchical decision making process and the existence of a relatively undeveloped civil society, although lately a growing activity of the civil sphere can be widely observed. Promoting the development of partnerships and co-operation are the imperatives of the European Union. In the preparation of the second National Development Plan there is an emphasis on communication with different groups. The allocation of money from the structural funds also requires the formation of partnerships, also required by national legislation, by supplying additional funding for the micro-regions.

### **Ireland**

See indications in the above tables.

### **Italy**

Barriers include bureaucratisation, which translates in the opposite objective of reducing decision-making times, with the result that criteria

are often exclusively related to accounting procedures. The fundamental, guiding idea underlying the establishment of new instruments is the negotiation and joint planning of economic development. The acknowledgement that, under community initiatives, the absence of mutual agreement simply prevents co-financing, is quickly producing its effects.

### **Latvia**

Not enough information is provided to make a comment. It seems that the whole idea of partnership is still in its early stages but there is interest at the higher levels of government.

### **Lithuania**

It has to be noted that Lithuania lacks traditions of partnership. The first steps towards the creation of partnership relations were made during the preparation of the National Development Plan for 2000-2004. Equally, during the preparation of the Comprehensive Plan of the territory of Lithuania, the process of consultations was expanded. Not only the Ministries, but also municipalities and social-economic partners were involved in the preparation process. The main issues, raising the partners' concern, have been the complexity of assistance, sufficiency of national financing, transparency of project selection, insufficient skills of project preparation and management.

### **Luxembourg**

There is no direct reference to this subject in the national overview.

### **Malta**

We reproduce here some relevant comments from the national overview:

- In micro-states political polarisation tends to be one of the main strategies adopted by political parties and other political groupings in their quest to gain power.
- Various studies conducted on different aspects of Maltese society highlight the fact that there is high fragmentation, lack of trust and lack of co-operation between bodies. This has tended to foster a culture of mistrust, a fragmented approach in dealing with major issues.
- People always tended to be highly competitive and strived to safeguard personal and familial interests first and foremost. The highly politicized environment leads to further inculcation of such 'values', therefore, although people admit and are in favour of openness, inclusion and co-operation, in practice these are difficult principles to adopt and it may be some time before they are actually implemented.
- The Planning Authority accepts public participation. In examples given in the overview (large hotel) NGOs intervened and made public protests. This led to limitations imposed on participation.

- The Malta Environment and Planning Authority conducts public participation. MEPA may be over-ruled by a Parliamentary decision. It must be said however that MEPA can be compared to schemes developed in other countries (UK), e.g. in a very transparent system through on-line search regarding applications. It is also more open and offers greater possibilities of appeal. The latter is unfortunately at the detriment of actual, full implementation and of enforcing the law.

### **[The] Netherlands**

There is no evidence that there are real barriers to cooperation and partnership formation, which does not mean that cooperation in all cases is easy and successful. The only problem which potentially could be detrimental to partnership formation is the pressure for central government to retain the initiative in the case of large projects. Factors favouring cooperation and partnerships are first and foremost existing governance traditions and the national constitution and legislation, as mentioned already. There can be no doubt that EU policy played a role, but the propitious conditions existed already.

### **Norway**

See sections 1 and 4.

### **Poland**

Political reasons (among catalysts) are associated with attempts to obtain financial support from the central government. Public reaction to government policy involves pressures originating from NGOs, which oppose central government policies.

### **Portugal**

See indications in the tables.

### **Romania**

With respect to barriers, it is stressed in the overview that the transfer of responsibilities to local authorities has not been matched with an adequate transfer of resources. Financial transfers to local government lack transparency, thus giving a strong controlling function to county councils at the expense of local councils. Institutions in charge of controlling public funds are weak at the local level and there have been credible reports of public resources being misappropriated for the interests of specific political groups. Most local authorities suffer from a limited administrative capacity and find it difficult to implement newly decentralised responsibilities. Good Governance principles do not exactly match the traditional Romanian political and organisational culture, which includes persistent visions of hierarchies and authority, mostly strongly personalised.

With respect to catalysts, mention is made of a framework law on decentralization, of efforts, still in an early stage, to develop a decentralization strategy in a transparent and stable manner, of creation of an Inter-ministerial Committee to reform public administration, and of the significant role of the pre-accession instrument in spreading governance principles.

### **Slovakia**

In addition to the indications in the table, reference must be made to the obstacles arising out of the administrative structure, which is based on sectoral divisions.

### **Slovenia**

See indications in the above table.

### **Spain**

See indications in the tables. There is no evidence of factors preventing the creation of partnerships

### **Sweden**

The overview does not make mention of any barrier to the adoption of governance principles.

### **Switzerland**

See indications in the tables.

### **United Kingdom**

No explicit indication of barriers is given in the UK national overview. But it is mentioned that there is a strong tradition of departmental autonomy both in central and local government. There are few mechanisms which ensure integration, and the lack of coordination of policy and spending programmes is commonly criticised. For example, in relation to land use planning and transport, and to waste management.

Reference has been made already to the favourable reception of the EU White Paper and to the positive approach of the UK government.

### **Conclusions**

Inadequate information is a problem in this section, as indeed in others. In some cases of new member – states, the reservation was expressed that it is too early to speak of specific factors, even of the EU effect. However, the question of barriers to partnership formation and

cooperation or of favourable factors, triggered responses which may be useful for the formulation of future policies.

Countries with a long cooperation tradition seem to be free of barriers, although reservations are expressed, with a warning that cooperation is not always easy and successful. The most common barriers, particularly in new member – states and some south European countries, are associated with legal complexities, administrative rigidity, persistence of authoritarian structures and bureaucratic procedures. But the tradition of departmental autonomy and the reluctance to change are more universally present. Favourable legislation on cooperation and open government may exist, but there is an unequal response by individual authorities, in spite of this. The central government, even in countries with cooperation traditions, often tries to keep the initiative for large projects, and for good reasons. The objective of reducing decision making time, in the name of efficiency, no doubt a laudable intention, often works against participatory approaches, on the pretext that the latter are time-consuming. These cases serve as reminders that pro-governance goals must be tempered with realism.

The lack of administrative skills, appropriate for a new style of planning, is frequently blamed, and so is resource availability, especially at the lower levels of government. Governance processes are occasionally perceived as too complex. The issue of resources and the reluctance to relinquish their control is central to the problem of barriers. Control of funds is a hallmark of authority and it should not come as a surprise that it is jealously maintained. The pretext is often the absence of responsible behaviour in lower level authorities, which is sometimes valid, but such behaviour is not necessarily present at the central level. This is linked to issues of transparency and administrative openness. There are discreet references to lack of transparency, even of "misappropriation" of resources. We have indicated elsewhere that the overview authors avoid to touch on the problem of corruption, yet this is no doubt a key concern. Even if there are no suspicions of illegality, especially in connection with planning control, funding procedures may suffer from serious bottlenecks, one more reason for streamlining and transparency.

There is clearly no tradition of partnership formation and participation in a good number of countries. This may be deplorable, but there are good reasons for it, which have to do with past history. It is a conclusion, which has to be seriously studied in depth. It requires a response with a long time-horizon and a great deal of perseverance. National, regional and local political cultures and deeply antagonistic state – citizen relations, marked by mutual suspicion, can be a major barrier to governance, perhaps the most difficult to fathom and to tackle. Dominant competitive and antagonistic values in society, bred by a past of resource scarcity and insecurity can prove hard to eradicate. This is no doubt a sign of immaturity in civil society, which can be perpetuated in a climate of confrontation and political polarization. Tense political situations and even hostilities between communities are however not limited to countries of lower levels of prosperity.

Conservatism and populist attitudes are not the exclusive problem of low economic development. They re-emerge in conditions of prosperity, when issues such as unemployment and racial tensions dominate the political agenda. This is one more reason for pursuing governance policies with synergies which extend far beyond the territorial dimension. In conditions of polarization, demands for openness and participation are confronted with suspicion or open hostility. We have indications that increased activism on the side of NGOs can well lead to a backlash and the imposition of limitations on participation

Resistance to reforms can take an ideological character, when there are concerns that important values may be threatened, if their traditional champion, a caring state, is weakened. Such values may be environmental and cultural.

Factors which favour governance and act as catalysts of reform are mostly to be found in mature political systems, but their influence is no doubt accelerated by national and regional policies and legislation, even if these originate in a central government which takes a progressive lead. Such initiatives usually take the form of decentralization policies and of the creation of new regional bodies. The encouragement to work in partnership may also come from higher levels of government. In some countries there are plenty of partnership precedents and this makes the extension of this practice more natural and acceptable. In others, the introduction of councils, committees and boards with representative membership is the nearest to a genuine effort towards real partnerships. Although this may seem a poor result, it should not be scorned at, because it familiarizes the administration with a new mentality.

A new mentality, especially in the field of partnership, is transmitted by European Union policies. But the reason why the EU has had such overwhelming influence is not purely ideological. Partnerships and joint planning initiatives are perceived, indeed they are, as a precondition of access to Structural Funds. Therefore, EU policies can become an inducement or prerequisite for partnership formation for this very utilitarian reason. EU-inspired partnerships are not left without criticism, e.g. that they are in danger of being undemocratic and elitist or that they are too rigid, because they discourage worthwhile efforts to obtain funding. The fact remains that the EU-effect is a reality in virtually all present member – states and in candidate countries. All countries have adopted, in one way or the other, EU processes and adapted accordingly their own. The motivation of securing funding is not limited to EU programmes. In some cases partnerships are formed to secure funds from central government, when this is required. The irony is that cooperation, especially among lower level authorities and NGOs or social movements, often takes place in order to resist government action. Whether it is justified or not, it does promote joint action.

## **Section 12. Policy sectors in which the pursuit of governance principles and practices seems to be more promising**

### **Austria**

Policy sectors in which the pursuit of governance principles and practices seems to be more promising are:

- Economics and labour
- Health sector.

### **Belgium**

There is noted co-operation and partnerships regarding urban projects, transport and other infrastructure (water, waste management) and economic development.

### **Bulgaria**

A policy area where governance could play an important role is that of regional development, given, on one hand, the serious disparities, and, on the other, the dominant thrust of recent government policy and law-making activity. The other policy area, which is a goal in itself but also a prerequisite for other actions, is the reform of the administration. However, no clear answer can be given on the basis of the overview.

### **Cyprus**

The environment is clearly the sector where there is already considerable progress. There is still room for improvement in spatial planning governance, especially in the context of the planned revision of relevant legislation.

### **Czech Republic**

The enhancement of public – private co-operation seems to be of major importance for the process of governance. Another main target is to improve public participation.

### **Denmark**

The policy areas where a governance approach is being promoted are administrative reform of regional and local government, communication with citizens and participation, regional development and introduction of technological innovations. As pointed out in the national overview, the Danish regional development programmes, founded on regional partnerships, have included goals, strategies and the means to encourage business development in a region. The programmes have been expected to be developed by thinking in terms of comprehensiveness rather than in strictly sectoral terms. The partnerships have thus, according to a

description by the Ministry of Economic and Business Affairs, "given shape to regional conditions for growth and coordination of different initiatives relating to the field of labour-markets, education, culture, environment, growth and research based on a common strategy for growth and balance".

### **Estonia**

In Estonia, the existence of the Small Islands' Committee (to discuss problems concerning the development of small islands and to advise the Government) may indicate that regional (isolation) issues are a strong motivating factor towards governance. Another factor may be the fact that the capital city (Tallinn) is strongly "hypertrophic", because of its national and international functions, a fact which creates pressures for reform.

### **Finland**

Governance and partnership mechanisms seem to be evolving in the context of promoting regional economic development initiatives. In the field of land-use planning, the new Land Use and Building Act opens better opportunities for public participation and involvement.

### **France**

Taking into account a definition of governance that implies not only new types of relations between institutions at different levels of government but also the involvement of the people in decision making, it can be said that the main fields of development concerning governance in planning issues in France were the contractual development projects at local level (*Contrats d' Agglomération* and *Contrats de Pays*) and the shaping of spatial planning documents, e.g. the Schemes of Territorial Coherence (*Schémas de Cohérence Territoriale* or SCOT), in so far as they imply horizontal and vertical relations between local, inter-municipal and regional authorities (and, indirectly, national and European ones). Additionally, because they imply the creation of local *fora*, involving the local civil society. Naturally these local experiences towards a deeper popular involvement remain to be assessed in the long run.

### **Germany**

With regard to urban and territorial policies considerable progress has been made at the level of urban networks but also that of individual municipalities, in the direction of establishing new governance strategies. Similar efforts are in evidence at the federal level, as in the case of the commission on federalism, for better co-ordination between federal level and Laender.



## **Greece**

Environmental protection, local development in rural areas, urban regeneration, open space creation and preservation and in general actions associated with the quality of life can be the priority areas in which governance practices can thrive. They are all likely to involve a variety of stakeholders and encourage participation. Another case, of a totally different character, is public – private co-operation for the development of infrastructure projects.

## **Hungary**

Regional Development is a potential area of partnership formation in the future, i.e. after 2006 when funds will be allocated to the regions. Promising signs of partnership can be already discovered in the preparation process for the National Development Plan, the overall document for planning.

## **Ireland**

There is no such indication in the Irish overview. However the regional level of government may be such a case. We remind here that, the Department of the Environment, Heritage and Local Government (DoE) is the national authority responsible for determining spatial planning and land-use policy, while responsibility for such policy locally and for implementing land-use planning and development primarily rests with local authorities. The regional level is weak.

## **Italy**

Partnerships are formed in the context of the following activities /policy fields: Public works and public investment projects, urban projects and urban regeneration, economic development.

## **Latvia**

Economic development seems to be on top of the agenda, even though everything is still at the beginning. Frequent government changes have not fostered implementation of a commonly agreed development strategy in the country.

## **Lithuania**

Environmental, construction, territorial planning constitute areas where co-operation is either taking place or is enabled / provided through legislation.

## **Luxembourg**

An integrated planning approach is being adopted in several sectors, starting with transport, to be followed by 5 other sectors.

## **Malta**

In Malta there are two sectors which offer themselves for action towards governance: (1) the sector of heritage protection policy, (2) the sector of protection of environment (pasture and agricultural land, ecosystems, open urban spaces). Both of them are related to over-building (intensive and extensive). With a high population density, a tendency for people to own their own houses, and a tourism sector that dominates substantial part of the coastal zone areas, land space in Malta is a very rare commodity. There are interesting initiatives to raise public awareness. Until the late 1980s, Malta's urban sprawl increased to encompass more and more virgin land, leading to public outcries and protests. Recent statistics show that urban sprawl has been contained. The revision of national planning documents and legislation are helping in this direction.

## **[The] Netherlands**

On the basis of available information the answer concentrates on spatial issues. But there are policy areas where the spatial aspect is intimately linked to other policy fields, such as economic development and environmental protection. In all these cases the application of governance principles is already proving fruitful and can be further used in the future. The policy of designating city networks has a clear economic development potential, given the role of cities in the new service economy. Similarly, countryside policy aiming both at environmental protection and at enhancing the economic potential of important horticultural areas, through the designation of "greenports", can yield better results through a governance approach.

## **Norway**

See section 8, on the introduction of the concept of regional partnerships, and section 4. There has been a substantial bottom-up drive in reframing spatial planning at the regional level, starting with the launching of Regional Development Plans (RUPs) in early 2002. Regional policy in Norway is mainly directed towards regional growth and business development.

## **Poland**

An example of a sector with a positive experience is the protection of the natural environment. Negative examples can be found in the field of application of transportation policies. On the whole, it is early to reach conclusions.

## **Portugal**

The apparently increasing power of the Regional Socio - Economic Councils as well as of the City Cabinets with potential for empowerment

possibilities in decision -making procedures, seems a good step in the direction of governance.

## **Romania**

A clear shift towards governance has been promised by the new Government. More local communities, NGOs and civic groups are getting involved. The planning system, it is relatively well prepared for governance. Probably something will be done to strengthen the process of implementation and control, including better allocation and control of resources.

The environmental sector offers itself as a more obvious field of action towards governance:

- Recent explosively expanding developments – mostly housing and tourist accommodation facilities – and the pressure of growing tourism activities are threatening environmental balance and landscapes in particularly sensitive areas.
- Natural Hazards may be a field of action.
- Uncontrolled and/or non-existent waste storage, as well as air and water pollution, are major problems.

A case also offering itself for action towards governance are the mono-industrial areas, which were formerly totally dependent on typically declining industries with no alternative opportunities. In these cases there was a steep decline of the utilities, infrastructure endowment, public services and overall quality of life.

## **Slovakia**

The first efforts towards partnership, co-operation and public participation are connected to the policy fields of development (national, regional, local), spatial planning and environmental protection.

## **Slovenia**

Sectors favouring and / or requiring governance approaches in Slovenia are especially the sectors of labour and employment, social affairs, tourism, economy, environment and spatial planning, transport and public utilities, science and technology and e-government. According to European policy, Cross – border co-operation, supported by EU incentives, is an especially favourable area for partnership and governance approaches, but also very sensitive.

## **Spain**

Policies favourable for the application of governance practices are (a) Social policy, (b) Health policy, (c) Policies for improving Public Administration.

## **Sweden**

Important policy areas as regards governance are: regional policy, education policy, transport policy and employment policy. On the other hand important governance actors connected to the above policy domains are: the Swedish Business Development Agency, the Swedish National Rural Development Agency, the Swedish Association of L.As and Regions and the respective social partners.

## **Switzerland**

A rising belief in Switzerland seems to be that the promotion and development of an economic region can only be successful through an active partnership in the sense of a public-private partnership. Cross-border situations and urban problems seem to add further conviction.

## **United Kingdom**

There is no information in the UK national overview on which to base an answer to this question. Environmental policy would seem to be a field of great importance for the incorporation of governance principles, as indeed it has happened already, without this being necessarily the most appropriate policy field. Mention should be made of a relatively new "non-departmental public body" (NDPB), the Environment Agency, which, according to the overview, combined the functions of three other environmental bodies and is now responsible for all environmental and pollution regulations relating to land, air and water. The presence of an impressive array of "quangos" active in environmental planning and protection is a further important ingredient. The other important area is urban development and regeneration, where there is already ample experience of governance practices.

## **Conclusions**

There is hardly a policy sector which has not been mentioned in at least one national overview as suitable and promising for the application of governance principles and practices. This is impressive if one takes into account the large number of countries with limited experience of a governance approach. One is tempted to comment that governance is seen as a panacea. According to the answers all policy domains incorporating a spatial component offer themselves to successful implementation of governance practices: regional economic development, spatial development, environmental protection, infrastructure creation, urban regeneration, protection of cultural heritage, risk management, health and social policies (especially those addressing social inclusion) can benefit from governance practices. Moreover, it is obvious that policies for improving public administration are by definition connected to reforms towards governance structures.

What is interesting to note is that the "sectors" which benefit from governance innovations are conceived both sectorally (transport,

infrastructure, tourism, research and technology, environment, heritage, health, social exclusion, education, employment, labour relations) and territorially (cities, urban networks, regions, rural areas, cross-border zones). Interesting environmental sub-classes are natural hazards / risks and pollution. They are also sometimes interpreted as planning operations (regional development planning, spatial planning, urban regeneration, land use planning, project planning, countryside planning). One could risk the observation that for a very broad spectrum of policies, content, territoriality and process are all equally considered to be of relevance in a governance approach.

Each of the above policy domains is taking advantage, or is expected to do so, of specific governance aspects akin to its own profile. For instance, infrastructure construction takes advantage of the enhanced possibilities for public-private partnership, while environmental and heritage protection benefit from participation, the functioning of public *fora* and from conflict resolution processes. It is of particular importance that governance methods are considered a promising path towards effective implementation. They seem to meet better than traditional practices the challenge or what has always been the most sensitive and tough task of the planning cycle.

If the indications provided by the national overviews are correct, and they cannot be more than tentative, the expectations from the introduction of a governance logic are very high. It is as if a magic wand had been suddenly unearthed which will turn the whole rationale of policy making and implementation on its head and produce outcomes which in the past were at of reach.

## **Section 13. Basic laws regulating (a) urban development / land use and (b) regional development**

### **Austria**

Legislation on spatial planning and spatial development is closely connected with the decentralized structure of the Austrian state-system. This fact is reflected in the powers and competencies of the three territorial levels. In other words, spatial planning is carried out at all levels, the national government, the provinces (*Laender*) and the municipalities. The local level is the key player in spatial planning. The provinces regulate spatial planning with their own legislation. Spatial planning legislation differs from one province to another.

### **Belgium**

There are three different planning systems as every Region (federated entity with competence in spatial planning) has gradually adopted its own planning legislation. Each of the three Regions has one basic law providing the general framework for all respective plans.

### **Bulgaria**

A necessary comment is that the 2 basic laws (Spatial Planning Act of 2001 and Regional Development Act of 2004) are very recent and their implementation potential is very far from being adequately tested.

### **Cyprus**

Cyprus has adopted the British system of planning. Planning is operating under a basic Town and Country Planning law.

### **Czech Republic**

The basic planning instruments are defined in the Planning and Building Law (1976, 2000), the Decree on Planning Data and Planning Documentation (1998) and the Regional Development Act (2000).

### **Denmark**

The legislation of the Danish spatial planning is embedded in the Planning Act of 2002. The Danish spatial planning system strongly decentralizes responsibilities. The municipal councils are responsible for comprehensive municipal planning, for detailed local planning and for changes in land use in the rural areas. The counties are responsible for regional planning. The Ministry of the Environment may influence the decentralization of planning through national planning initiatives and the state has the ability to veto the municipal and regional plans in order to maintain and protect national

interest. Any legal issues concerning may be brought in front of Nature Protection Board of Appeal (see also sections 8 and 10).

The national Planning Act was amended so that all municipalities are going to work out a strategy for the future of the municipality once in every election period. The municipal strategy is the basis for the revision of the more traditional mandatory / land use municipal plan.

## **Estonia**

Estonia is a unitary state having state government agencies both at central and county level and one-tier local government.

## **Finland**

The main elements of legal structures concerning spatial planning consist of the Land Use and Building Act and the Regional Development Act. Finland has no national spatial plan, but National Land Use Guidelines and National Regional Development Objectives act as advisory guidelines for the lower tiers of spatial planning.

## **France**

Spatial planning processes and competences are regulated by two basic bodies of legislation: (1) Legislation concerning the structure of territorial administration and (2) Legislation devoted to planning instruments. Reference must be made here mainly to two 1999 laws, i.e. the Law on the Orientation of Spatial Planning and Sustainable Territorial Development (*Loi d'orientation pour l'Aménagement et le Développement Durable du Territoire*) and the Law of Solidarity and Urban Renewal (*Loi Solidarité et renouvellement Urbain*).

## **Germany**

The Regional Planning Act (*Raumordnungsgesetz*) and the Federal Building Code (*Baugesetzbuch*) formulate the main policy principles and measures for spatial planning in Germany.

## **Greece**

Although three laws, on the extension of town plans and urban development (1983), on sustainable urban development (1997) and on spatial planning and sustainable development (1999), plus the general building code, can be considered as the basis of planning legislation, there is a proliferation of additional legal statutes which render the legal planning landscape pretty chaotic. This becomes the breeding ground for endless disputes and official corruption. The basic laws on spatial planning are the 1997 act on sustainable cities and the 1999 act on regional spatial planning and sustainable development.

## **Hungary**

Two basic laws exist, however there is still fluidity in the institutional environment::

- *Act on Spatial Development and Planning* (1996, but subsequently amended in 2004) is the legal framework of the existing system of spatial planning and regional development.
- At the level of local planning and building the legal background is the *Act on the Management of the Built Environment* (1997) The contents of local (structure + regulatory) plans and the rules of plan making are specified in a Government Decree on *National Building and Local Physical Planning Requirements*, which is the national building and local planning code containing specifications for building and planning.

## **Ireland**

There are basic laws regulating development.

## **Italy**

The Italian planning system, concerning processes and competences, is regulated by the "Urbanistic Law" n° 1150 of 1942. An important reform was made in 1970, when Regions were created, with a corresponding decentralization of responsibilities. During the 1990s, innovative legislation changes have brought more effectiveness at the regional and provincial levels of planning and in vertical relationships. A progressive simplification of the normative policy and legal system is occurring in the last years with dedicated "Single Text laws" (i.e. on the organisation of local authorities)

## **Latvia**

Basic laws regulating urban and land use planning and regional development are existent in Latvia. The following instruments are mentioned in the national overview:

- Regional Development Principles (Regional Policy Guidelines)
- Law on Regional Development
- Law on Spatial Planning
- Cabinet of Ministers Regulations on spatial planning

In section 4.1.3 it is mentioned that spatial planning and regional development are defined entirely by the *Law on regional development* and *Law on Spatial Planning*. Laws have been adopted in 2002 and defined also the structure and competences of planning regions.

## **Lithuania**

The Territorial Planning Law is a basic law, regulating urban development and land use. References to be considered, with respect to the requirements of Territorial Planning Law, are given in the following laws:

- Law on Regional Development



- Law on Local Governance
- Law on Environmental Protection
- Law on Protected Areas
- Law on Forestry
- Law on Agriculture and Rural Development
- Law on Land Reform.

The basic Law on Territorial Planning is supported by secondary legislation (ministerial orders and governmental decisions).

### **Luxembourg**

There are 3 existing basic national spatial planning laws. Several sectoral plans and 6 regional plans are in the process of production.

### **Malta**

There are basic laws regulating development. Other regimes in regional development are developing with reference to Structure Plan Policy, or beyond it, e.g. MMA Great Harbour Master Plan and MUDR/ADT Transport Strategy.

### **[The] Netherlands**

The basic statute regulating spatial planning is the 1965 Spatial Planning Act (*Wet op de ruimtelijke ordening* or *WRO*), revised several times and last revised in 2003. Mention should be made of the 1985 Decision on Spatial Planning and the 1984 Urban Renewal Act (revised in 2003), but there are several other statutes on environmental protection, housing, infrastructures, building construction, monuments, compulsory purchase etc. Currently the WRO is in the process of a fundamental revision. As indicated in the national overview, it has become increasingly unwieldy and unsuited to modern needs. The decentralized structure of planning responsibilities is not well equipped to deal with large-scale developments and conflicting local and national interests. Other bottlenecks are the growing number of developments involving both spatial planning and environmental policies, and the changing relations between government and private parties, particularly in the land market. The new WRO provides the framework of spatial planning policies and is designed on the basis of 3 principles, (a) decentralization, (b) deregulation and (c) orientation to implementation. It has the character of a "procedural act" and of a "policy integration act". In general the effect will be that regions (provinces) will become a more central actor in planning and development and will have more competences. Arguably the most crucial difference will be that the national and provincial governments will get hold of a binding land use planning competence, which they may exercise for interests of national and provincial importance respectively. The regional spatial structure plan will disappear and be replaced by a less obligatory Structure Vision.

## **Norway**

The Norwegian Planning and Building Act (PBA) is constructed around certain given roles for municipalities (their politicians and professional planners), developers and professionals, other initiative participants and citizens at large. The roles of the counties and the state are also defined in the act. The basic assumption is that municipalities define the framework for all development, taking proper consideration of national guidelines and private interests; and then lead the development according to set goals and standards, utilizing the tools available in the PBA and outside of that act. The Planning and Building Act is also the enabling legislation for county comprehensive (spatial) planning.

## **Poland**

The "Act on Spatial Planning and Spatial Development" operates as an overarching legal umbrella. At the same time however, there is an extensive list of Acts regulating specific aspects of spatial planning and policy: The Act on territorial self-governance, the Act on Regional and County level Self-government, the Environment Protection Law, the Law for Nature Preservation, the law for the Protection of Agricultural and Forest land, the Geological and Mining Law, the Law for the Capital City of Warsaw, the Law for the Toll Motorways etc.

## **Portugal**

There are basic laws regulating development.

## **Romania**

There are basic laws regulating development.

## **Slovakia**

The Territorial Planning Act regulates all three responsible planning levels (national, regional, local). The basic document on territorial planning, which covers the whole country, is the Slovak Spatial Development Perspective 2001. Besides, since 1998 all regions have approved regional territorial plans. These have been updated in the biennium 2003-2004.

## **Slovenia**

On the basis of the 2004 "Spatial Planning Act", the Parliament accepted the "Spatial Development Strategy of Slovenia". This is a normative legal framework of spatial planning. However, other important documents for spatial development also exist, like the Construction of Facilities Act, the Mediation in Trade in Real Estate Act and other statutes. The Convention on access to information, public participation in decision-making and access to justice in environmental matters (Arhus Convention / OJ RS, No. 62/04) are also embodied in national legislation.

## **Spain**

Each Region (Autonomous Community) has its own normative legal framework as regards spatial planning (of both general and partial character). However, there is an urban land-use law that has to be observed for every Region.

## **Sweden**

As regards the land-use planning system this is outlined in the Planning and Building Act (PBA). The Act is currently under revision and the revised Act will be presented on the 30th, June 2005. According to PBA there is only one compulsory planning level, the Municipal level and two planning instruments, both used at the Municipal level, i.e. Municipal Comprehensive Plans and Detailed Plans. The Environmental Code is another basic law regulating land use in relation to environmental and health protection.

## **Switzerland**

Switzerland can be placed in both categories (existence of basic laws or diffused legislation), because of its government system. The new article on spatial planning, incorporated in the Federal Constitution of Switzerland in 1999, transferred responsibility for framework spatial planning legislation to the confederation. However, practical planning implementation was to remain essentially a matter for the cantons, which in turn often delegate a number of tasks to the municipalities (local authorities). In addition to this federal framework legislation, the confederation promotes and co-ordinates the spatial planning of the cantons. The Swiss administrative system consists of three layers, the confederation, 26 cantons and about 3000 municipalities, each having its own spatial planning responsibilities.

## **United Kingdom**

Although there is a great deal of secondary legislation, the primary legislation in England and Wales is the *Town and Country Planning Act 2004*, which replaced the *Town and Country Planning Act 1990*, and the *Planning and Compensation Act 1991*. Scotland and Northern Ireland have separate legislation. "The new Act [for England and Wales] will bring fundamental changes to the current system of planning and in particular the development plans".

## **Conclusions**

The aim of the relevant question in the guidelines for the writing of the national overviews was to address the problem of complex legislation, which results in lack of transparency, opaque procedures, inability of the citizens to comprehend planning and building regulations and conditions conducive to "under the table" bargaining. This is a situation which prevents the introduction of a governance approach. The authors of the national overviews were asked to discuss whether urban and land use

planning, as well as regional development, are regulated by a small number of basic statutes, or whether the statute book includes diffuse legislation, in other words a multiplicity of laws, decrees and ordinances.

The information supplied in the overviews does not fully enlighten us on the real situation, although it is clear that countries with a well developed planning system usually possess consolidated legislation. Most countries, especially unitary ones, have 2 basic laws, one for spatial (usually urban) and / or land use planning (the names vary) and one for regional (economic and / or spatial) development. It is difficult to draw conclusions, because in a number of cases legislation is very recent and it is difficult to know the extent to which old and new frameworks practically overlap, in the sense that the (vast?) majority of still valid plans precede the new statutes. It is also impossible to guess the extent to which other ancillary legal instruments coexist with the basic legislation. These doubts do not facilitate classification, which we decided to avoid.

In addition to "pure" spatial planning legislation, a variety of relevant statutes are mentioned, e.g. on environmental protection, heritage conservation, transport, building, local government etc. Constitutional provisions may also allow national, regional and local authorities to issue a variety of decrees, ordinances and decisions, which regulate planning, without taking the form of parliamentary acts. Besides, as pointed out in an overview, where the legal framework ends, the reality of planning begins.

Diffuse legislation, in the strict sense of the word, naturally exists in federal and regionalized states, as expected in cases where the regions have their own autonomous legislation, in addition to that of the central state. However, this is not necessarily a situation of complexity, like the one the guidelines were trying to reveal. It may conceal a difficulty of vertical coordination or may weaken excessively the central state, but this is not always the case. In a couple of federal cases, it was clear either that the country concerned could be placed in both categories of "basic" and "diffuse" legislation or that the situation was complex to the point that the planning system met with serious difficulties. In at least one case of a unitary state, the admission was made that the system suffered from a rather chaotic legislation, but even there two or three basic laws existed. The result was an impossibility to attempt a definite classification, because, at least on paper, virtually all countries seemed to enjoy the benefits of one or two basic laws.

Nevertheless, the existence of extremes cannot be denied, with, at one end, countries with one fundamental law, which inevitably is regularly amended and updated, and, at the other end, countries with far less clarity in their legal framework. An optimistic view is that there is a trend towards a simpler and transparent framework. Such seems to be the case with new compact legislation in former socialist countries, but there has not been sufficient time to evaluate the results. This is a welcome tendency, because legal complexity and opaqueness of land use legislation provide fertile ground for arbitrary decisions and corruption.

## **Section 14. Key spatial planning institutions: Presence of a dominant institution**

### **Austria**

According to the overview, starting with the most important and most serious planning level in Austria (the local level) we can say that this level is the only key player concerning spatial planning. The municipalities are liable to planning and formal control by the territorial authority.

The national government does not outline any concrete planning concepts, but is responsible for a considerable amount of sectoral planning, that in turn influences regional development in Austria. The OEROK (The Austrian Conference on Regional Planning) can be named as the national body concerning spatial planning even though the OEROK is not very powerful and is rather a co-ordination platform. The provinces assume most of the planning responsibilities and regulate spatial planning with their own regional legislation. As a consequence of this autonomous concept the legislation on spatial planning differs a lot from province to province. Every provincial government installed its own department for spatial planning; yet the provincial governments share similar guidelines such as sustainability, control of spatial consumption, land use, settlement (area consumption, urban sprawl) and preservation of resources.

The work of the municipalities is based on regional legislation, as mentioned above. Since 1962 they have been autonomous on the subject of the execution or orientation of planning even though the municipalities have to take into account national or regional interests, e.g. the railway system or road network. The municipalities also work closely with private planning agencies that offer professional planning recommendations and applications.

A platform for general discussion of spatial planning in Austria is OEROK. One of its achievements is the designation of the European "Objective areas", areas that have enormous influence on Austrian regional development.

### **Belgium**

As a result of the federalization process, there is no spatial planning at the national level. Spatial planning has been allocated to the Regions along with the economy and the environment among others, while *Communautés* are responsible for culture, education and matters linked with individuals. Municipalities (Communes) are responsible for permit delivery. The federal state is involved only in large transport infrastructures.

### **Bulgaria**

The Ministry of Regional Development and Public Works (MRDPW) is the key ministry as far as spatial planning is concerned. The minister is

assisted by an important body, the National Expert Board of Spatial Planning and Regional Policy. The Regional Development Councils are consultative bodies. Territorial government at subnational level is in the hands of non-elected District Governments, which are "a kind of territorial deconcentration of the central government", and elected municipal authorities. The latter have extensive planning powers.

## **Cyprus**

The key institution is the Ministry of the Interior and its Town Planning and Housing Department, which has a dominant role. Mention should be made, at central government level, of the new Environment Service of the Ministry of Agriculture, Natural Resources and the Environment, and, because of the importance of tourism, of the Cyprus Tourism Organization, supervised by the Ministry of Commerce, Industry and Tourism. The central government has district offices, while municipalities and communities have elected relevant Councils.

## **Czech Republic**

At the national level, the Ministry of Regional Development is responsible for planning legislation. The Institute for Spatial Development, established by the Ministry, is in charge of monitoring existing physical plans of municipalities and large territorial units (regions). At present, there is neither a national planning institution or agency, nor a plan at national level.

Municipal governments have high autonomy and power concerning their own territorial planning. The local level of public administration is the most influential in territorial development.

## **Denmark**

The key national institutions are the Ministry of the Environment and the Spatial Planning Department, which ranks below the Ministry of the Environment, as a part of the Danish Forest and Nature Agency. The Ministry of the Environment can influence planning through regulation, national planning directives and the dissemination of information. Apart from the Ministry of the Environment, with regard to planning issues, the Ministry of Economic and Business Affairs and Ministry of the Interior and Health are of relevance.

The Ministry of Environment (MIM) is responsible for regional physical planning and also produces National Planning Reports. It has responsibility for the implementation of the Planning Act, and hence influences physical planning and various societal sectors. MIM also has the overall responsibility for the national strategy for sustainable development. MIM works together with EBST in the development of regional growth partnerships with the particular mission of observing and analyzing sustainability aspects. In its Planning Report the Ministry of the Environment must ensure that all relevant national spatial interests are taken into account. It

also produces papers expressing the national expectations and wishes from regional plans prepared by the regions every fourth year.

In cases where two municipalities or two counties cannot come to an agreement over planning issues the Minister of the Environment can make a decision. If a municipality or a region proposes a plan which contradicts the national interest the Minister of the Environment can veto the planning proposal. In specific cases where important national interests are at stake the Minister of the Environment can call in the relevant decision, which means that he is taking over the planning power from a region or a municipality.

Regional industrial policy is the task of the Ministry of Economic and Business Affairs (OEM). The OEM published a National Strategies for Growth in 2002, which is to be followed up each year. OEM also administers the Structural Funds (by means of EBST) and traditional business subsidies. In the latest Regional Growth Strategy, published in May 2003, the ambition of the government is to promote a sensible economic balance and to secure a balanced development in all parts of the country.

The National Agency for Enterprise and Construction (EBST) is one of several agencies that belong to OEM (see also section 8). EBST is broadly responsible for enterprise and construction policy. Its aim is to develop a competitive, market-based growth environment for companies. EBST plays an important role on the regional arena as it represents OEM in regional development contexts in the establishment of regional growth partnerships in peripheral regions. The coordination and administration of regional policies that relates to the EU Structural Funds is also under the auspices of EBST.

The Ministry of Interior Affairs and Health deals with economic issues of the municipalities and is responsible for the annual Regional Policy Report which is an annual regional policy report that the Government must submit to Parliament.

At the regional level the planning departments of the counties are the main actors and likewise at the municipal level, where the municipal planning departments handle the municipal and local plans. The national Spatial Planning Department administers the Planning Act in close cooperation with the counties and municipalities. The Spatial Planning Department also serves as the national authority for spatial planning and advises the Minister on specific cases related to spatial planning. It prepares a national planning report after each national election. These reports describe the visions of the government on national planning policies and are supported by demonstration projects intended to inspire new (planning) solutions and new forms of cooperation.

## **Estonia**

Administration and supervision of planning activities at national level is within the competence of the Ministry of the Internal Affairs (it has been transferred from the Ministry of Environment in 2004), while administration and supervision of planning activities in a county is within the competence of the county governor. Administration of planning activities within the administrative territory of a rural municipality or city is within the competence of the local government.

## **Finland**

Key institutions for spatial planning are the Ministry of Environment, Ministry of Interior, Regional Councils and municipalities. The regional level is presently the weak link. Primacy regarding spatial planning is divided between the two Ministries with the Ministry of the Interior being responsible for the allocation of SF and the Ministry of the Environment for sustainable development and land use planning matters.

## **France**

At the national level key agencies are: (1) State Secretariat for Spatial Planning, (2) CIADT (Inter-ministerial organ with decisional competences), (3) DATAR (an Inter-ministerial organ preparing, promoting and coordinating the actions of the State in the field of spatial planning by adopting an inter-sectoral perspective, (4) CNADT (a purely consultative agency making suggestions and recommendations to the Government. At the Regional and Local level there are joint responsibilities of Prefects (appointed) and Presidents (elected) of Regions and Local level Councils respectively.

## **Germany**

The Federal level only gives the framework and guiding principles for spatial planning, whereas the States (Länder) are constitutionally responsible for the implementation of spatial planning, usually carried out by the State Ministry for Spatial Planning or Spatial Development. The Regional Planning Act obliges the Federal States to set up an overall plan or programme for the whole state. Planning documents on municipal level follow the principles formulated in the State and Federal planning acts. Two main spatial planning policy instruments exist for local spatial development, both explained in detail in the Federal Building Code:

- Preparatory land use plan (*Flächennutzungsplan*)
- Binding land use plan (*Bebauungsplan*)

The preparatory land use plan is issued by the municipality, a communal planning association or an association of smaller municipalities.

Relevant ministries at the federal level are the Federal Ministry of Economics and Labour, the Federal Ministry of Transport, Building and Housing the Federal Ministry of Environment, Nature Conservation and Nuclear Safety and the Federal Ministry of Consumer Protection, Food and



Agriculture. In addition to the federal ministries, there is a number of research and service agencies providing sectoral and intersectoral expertise. For the field of spatial planning, two major institutions are to be named on federal level with advising roles, namely the standing conference of ministers for spatial planning (*Ministerkonferenz für Raumordnung*) and the spatial planning advisory council (*Beirat für Raumplanung*).

## **Greece**

The Ministry for the Environment, Spatial Planning and Public Works is undoubtedly the key player in the planning game. Important powers are slowly being devolved to non-elected regional secretariats, while 1<sup>st</sup> and 2<sup>nd</sup> tier local authorities (municipalities and prefectures) have limited powers, in spite of government intentions to the contrary, because of legal interpretation, endorsed by the supreme administrative court (Council of State), that they are not part of the state, which, according to the Constitution, has the monopoly of these powers. Important is the role of the master plan organizations of Athens and Thessaloniki, although they remain under full control of the central government. The role of agencies operating under private law and in charge of various types of public real estate is growing. The Ministry of Economy and Finance is in charge of economic planning and of all the procedures linked to EU structural funding. The Ministries of Development (incl. industry, tourism, energy and technology), Rural Development (incl. forests), Interior (incl. decentralization), Transport, Culture (monuments) and Merchant Marine (ports) pursue policies with serious spatial impact.

## **Hungary**

The central government authority responsible for spatial (regional and local) planning was moved from one ministry to the other and has been reorganised several times during the last 15 years. Its position in the central governments is unstable and over-politicised. In 2004 responsibilities have been transferred to the new Minister for Regional Development, while the Ministry of the Interior has retained the control of local government administration and finance.

The most important national planning institution is the VÁTI Non-Profit Company (Hungarian Regional Development and Urbanistic Non-Profit Company), which is the support institution of the national planning and building authorities, with a broad sphere of activity including regional development, spatial planning, local (urban) planning and design, architectural design, landscape management, as well as the associated research and development activity. Since 1995 VÁTI has been the implementation body of EU sponsored spatial development programmes. Its regional offices work side by side and in close co-operation with the Regional Development Agencies.

Other important institutions and planning agencies include the Centre for Regional Studies of the Hungarian Academy of Sciences, various university departments and private institutions and think-tanks.

## **Ireland**

The main government department with responsibility for spatial planning is the Department of the Environment, Heritage and Local Government. At the regional level there are 8 regional authorities, 2 regional assemblies and 2 regional development agencies.

## **Italy**

The State Ministries are responsible for guidance and co-ordination, and formulate framework laws. The Ministry of Infrastructures and Transportation is the most important national government department with competences related to planning. We should mention also the Ministry of Heritage and the Ministry of the Environment. Real planning acts are the exclusive competence of Regions and provinces, that are supposed to define the orientation of territorial transformation of their respective territories, and of Municipalities, which prepare more implementation-oriented planning acts and elaborate land use plans.

## **Latvia**

The Ministry of Regional Development and Local Governments is the main institution in charge of spatial planning, regional policy, and local government affairs. The allocation of SF is the responsibility of the Ministry of Finance. There is also a State Regional Development Agency. The National Regional Development Council evaluates the National Spatial Plan and the spatial plans of planning regions. There are also Planning Region Development Councils (one for each of the 5 regions), formed by local governments.

## **Lithuania**

Core responsibility for territorial planning, formulation of national policy and supervising implementation lies with the Ministry of Environment. The Architects Association of Lithuania (AAL) is mentioned also as a key institution. Other characteristic bodies with role in the planning process are the county and the municipality.

## **Luxembourg**

Luxembourg is a country where the main level for deciding about spatial planning is the national one. A *Direction de l'Aménagement du Territoire et de l'Urbanisme*, with a spatial planning and urbanism department (DATUR) was created in the Ministry of the Interior in 1999, integrating spatial planning for the national territory and municipal spatial planning. This new department will take care of implementing the three fundamental spatial planning laws. Municipalities have an important role in spatial planning decisions, especially in issuing planning permits.

## **Malta**

Planning in Malta is regulated by the MEPA Board (Malta Environment and Planning Authority). Its role is regulatory. Planning occurs only at the national level. All projects of both public and private nature have to be vetted by the MEPA board. At the local level there are local councils which make suggestions to MEPA regarding the improvement of their areas. The MEPA Board decides on major projects and policy. It is appointed by the President of Malta following recommendations of the Prime Minister. The Board consists of fifteen members: eight independent members, including the chairman, a representative of each of the two parties in parliament; and five civil servants.

The following provisions and developments are worth noting:

- The Development Planning Act, regulated by MEPA, with some similarities to the Planning Act in the UK. Subtle differences are however crucial;
- The Act's integration with the Ancient Monuments Act and the Environment Protection Act;
- MEPA's obligation to develop plans on;
  - A National level (Structure Plan)
  - A Local level (Local Plan Levels – District/Regional – Grand Harbour, North Harbours, Central etc.)
- Introduction of a more integrative process and of Inter-Ministerial Committees;
- Merger of old agencies into MEPA.

## **[The] Netherlands**

The most important spatial planning institution is the Ministry of Housing, Spatial Development and the Environment, known as *VROM*, part of which is the National Spatial Planning Agency (*Directorate - General Ruimte*). Of importance for spatial planning matters are also the Ministries of Economic Affairs, Transport – Public Works – Water Management, Agriculture – Nature – Food Quality, and Interior. The National Spatial Planning Strategies, the fifth of which since 1960 has been adopted in 2006, are the responsibility of VROM, but the current draft is the product of the work of a joint team of all these ministries, which all have policies with a spatial impact. Several sectoral policy documents accompany the strategy. Actors worth mentioning, at the national level, are the National Spatial Planning Committee or *RPC*, the Council for Spatial Planning and the Environment or *RROM* and the Netherlands Institute for Spatial Research or *RPB*.

Below the national level, that of the provinces, administration is entrusted to the elected Provincial Councils and the Provincial Executives, headed by a commissioner appointed by the central government. The provincial organization resembles that of the central government. At the municipal level there are also elected councils and executives, with an appointed mayor. The municipal administration system is more or less similar to that of the provinces.

## **Norway**

The main administrative responsibility for territorial planning at the national level lies with the Ministry of the Environment (ME). The ME is responsible for ensuring that planning at the local level takes place within the framework of national priorities. In addition, the Ministry of Local Government and Regional Development (MLGRD) holds the responsibility for certain parts of the Planning and Building Act (PBA), as well as for regional development plans.

## **Poland**

The basic instrument by means of which the state conducts the national policy for spatial development is the Concept of Spatial Development at the national level. The document is elaborated and updated by the Government Centre for Strategic Studies. The Council of Ministers approves both the Concept of Spatial Development at the national level and the periodic reports on the state of the country as regards spatial development matters. Key ministries include the Ministry of the Environment and the Ministry of Interior and Administration.

## **Portugal**

3 ministries are deeply involved in issues of spatial planning: the Ministry of Cities, Local Administration, Housing and Regional Development; the Ministry of Public Works, Transportation and Communication and the Ministry of the Environment and Land Planning. At the regional level the Commissions for Regional Co-ordination and Development are decentralized structures responsible for the implementation of spatial policies in the different Regions (which are not administrative units except those of the Azores and Madeira).

## **Romania**

Responsibility for spatial planning at national level lies with the Ministry of Transportation, Construction, and Tourism, which will be probably restructured in the near future. Eight Development Regions (NUTS II) were established in 1997, to formulate regional policies as pre-accession instruments, in view of the future CSFs. Development Regions are not administrative entities and are not legal persons. At county level a "prefect" is appointed by the Prime Minister. Public affairs are run in each county by an elected Council, a deliberative body with competencies to produce strategies and programmes of the county and to offer advice on particular subjects. The spatial planning activities proper are assigned, by a compulsory tendering procedure, to professional planning organizations, which are mostly private firms.

## **Slovakia**

The key-planning institution is the Ministry of Construction and Regional Development of the Slovak Republic. Until recently (2003) territorial

planning and regional policy have been detached from each other. From 2004 onwards the two policy domains fall within the responsibility of one and only Ministry. However, sectoral planning generating spatial impacts continues to be divided among the responsibilities of individual and separate policy making agencies. This condition obviously causes co-operation and co-ordination gaps and inconsistencies.

## **Slovenia**

The Ministry of the Environment and Spatial Planning encourages and co-ordinates efforts towards sustainable development. It directs the spatial development of Slovenian cities, towns and villages in a way that enables economic, social and cultural development. The Environment Directorate ensures the recognition of the environment as a limiting and stimulating factor of development, its protection, the sustainable use of natural resources and the integration of sectoral and environmental policies. The Spatial Planning Directorate is responsible for the successful reform of management of spatial planning, which covers the adoption of numerous implementing regulations on the basis of the EU Directive concerning construction products, the enactment of a new Spatial Planning Act and the amendment of related laws. The Office for International Relations and European Affairs was established to coordinate and manage Slovenia's accession to the European Union in relation to the environment, as well as to coordinate all international activities of the Ministry of the Environment and Spatial Planning.

## **Spain**

In Spain, there is not an institution or a key-planning agency at the national level. It is the Regions that have competence on territorial organization and town planning issues. At the local level spatial planning responsibilities rest on the city councils.

## **Sweden**

At the national level Key Spatial Planning Institutions are: The Swedish Environmental Protection Agency, the National Board of Housing, Building and Planning, the Swedish Business Development Agency, the Ministry of Sustainable Development and the Ministry of Industry, Employment and Communication. At the Regional and Local levels the important agencies are the County Administrative Boards which represent the state at the regional level and in the cases of the newly created pilot Authority Organizations, the Regions (Skane and Vastra Gotaland). The Local Authorities are also key institutions and in the case of Gotland the respective Authority is a mixed one representing both the Local Authority and the County Council. The L.As have the key-planning responsibility in Sweden, a competence which is often labelled as a planning monopoly.

## **Switzerland**

The following are the key institutions at each respective level:

- Confederation: Federal Office for Spatial Development / Sectoral strategies and sectoral plans. Federal committee for spatial development (*Raumordnungsrat*, ROR)
- Canton: Planning Departments of the Cantons / Cantonal structure plans
- Region: Regional Planning Associations / Regional structure plans
- Commune: Communal structure plans - land use plans.

## **United Kingdom**

There is no single central government agency responsible for spatial planning in the UK, because of devolution of powers to agencies in Scotland, Wales and Northern Ireland. In England, this power is now held by the Office of the Deputy Prime Minister (ODPM), but implementation of planning policy is delegated to regional and local institutions. The national government issues national planning guidance, i.e. planning policy guidance notes (PPGs) and minerals planning guidance notes (MPGs). At the level of the regions there are central government-controlled regional agencies and non-elected Regional Assemblies. Regional Planning Guidance is prepared by Regional Assemblies, but its central purpose remains the provision of regional planning framework for local development plans, which from 2004 onwards are called Local Development Frameworks. Local planning authorities are the main agency for the operation of spatial planning on the ground, but the power of adoption of a local plan can be divided between two tiers of local government depending on the type of local authority.

## **Conclusions**

The most common case, especially in unitary states, is the existence of a single ministry in charge of spatial planning, but the scope and breadth of its responsibilities vary extensively. However, there are a few cases where more than one ministries share relevant responsibilities, e.g. a Ministry of the Environment and a Ministry of Local Government and Regional Development, which may be indicative of policy priorities, as in the case of Norway. The most common cases of ministries in charge of spatial planning are Internal Affairs, Regional Development, Public Works, Construction, Town Planning and the Environment. There are some unusual exceptions. In the United Kingdom spatial planning belongs to the Office of the Deputy Prime Minister, although there too, for a long period, it used to be part of the Department of the Environment. In Romania, it is part of a ministry, which is also in charge of tourism and transportation.

Changes are not uncommon. The relevant powers are frequently moved from one ministry to another, with urban and regional planning being accommodated within Ministries of Public Works, Local Government, Interior or even Transportation. The plurality of competent ministries and the fact that several overviews reported continuous transfers of relevant competences from one ministry to another provides evidence of the

inherent linkages between spatial planning and other policy domains. The repeatedly appearing pattern of spatial planning being placed within a Ministry of the Interior (or Public Administration or Local Government) is evidence of a system in which the allocation of powers to regional and local levels is a dominant feature.

The configuration of ministerial responsibilities can be specific to particular governments and to the distribution of ministerial portfolios, which serves short – lived, politically – motivated objectives, but is also the result of changing emphasis on certain policy sectors. The division of spatial planning and environmental competences between two ministries reflects no doubt the growing importance of environmental concerns. Crucial policy decisions with a wide ranging territorial impact often belong to economic ministries, e.g. Ministries of the Economy or Development, which leaves to purely Spatial Planning Ministries the more routine tasks of land use planning. This can be a feature of the present economic priorities. In a sense the “administrative marriage” or otherwise between regional economic development and spatial planning indicates whether spatial planning is considered from a strategic, long-term and macro-scale point of view or from a non-strategic, piecemeal, short-term and small scale perspective. Thus, the dichotomy between economic and spatial development is reflected in the distribution of responsibilities between central government ministries.

Not all agencies of national importance at the central level are ministries. In some cases we have inter-ministerial organs or conferences with great influence, as e.g. in France or Germany, or support policy institutions and agencies of high prestige, as in Sweden and Hungary.

In most cases of unitary states the regional level competences of spatial planning are limited and under the control of the central state. On the other hand the degree of responsibility of local authorities for local spatial planning is commensurate with the overall, powerful or powerless, profile of local self-government.

In federal states, a frequent pattern is the absence of key planning agencies at the central level. This is not the rule, because in some cases federal ministries have a substantial guidance role. On the whole however, it is the regions or the autonomous territories that have competence for territorial organization and urban or regional planning issues. The federal level can only set the framework and the guiding principles. This distribution of powers can result in frictions and lack of coordination, particularly in connection with projects or programmes of national importance.

The general picture is not one of uniformity, in spite of certain frequent patterns. The specific imperatives of governance do not seem to have played a significant role, at least not to this date. However, the fluidity in the structure of governments which we have observed may conceivably alter this situation, as governance principles are increasingly being espoused.





## **Section 15. Roles and responsibilities of governmental layers**

### **Austria**

With respect to authorities which have the power of approval of new spatial plans of any kind for an entire administrative area, it must be noted that in Austria these authorities are elected (directly or indirectly) by the local / regional population.

Regarding the ideas and orientation of spatial planning, the communities are independent and keep a strong position, because the Austrian constitution entitles them to act as sovereign planners and economic bodies. As a result they have a wide range of opportunities for self-government and regional development. Above all spatial planning in Austria is carried out on local level, where the mayor acts as the building authority. But the municipalities not only have to guarantee an appropriate settlement but also economic welfare, attractive facade and surroundings, the protection of historic buildings as well as traffic planning. Also these topics would require a stronger regional or even national instrument even though some successful projects exist.

Spatial planning on national level does not exist in the strict sense. It resembles a regional development policy with sectoral government aid rather than a planning activity. The regional level works on special plans and programmes that deal with geographical or sectoral aspects without claiming to be exhaustive.

### **Belgium**

No special planning agencies are mentioned. The different plans are presented as the responsibility of the equivalent levels of government that are elected. There are 2 plans, one strategic and one regulatory for both the regional and municipal level. Flanders has also adopted an intermediate strategic planning framework at the level of the province. Municipalities elaborate municipal development plans and issue permits.

### **Bulgaria**

The National Spatial Development Scheme is approved by the Council of Ministers. The Minister RDPW approves the Regional Spatial Development Schemes and certain specific spatial development schemes. The spatial plans of municipalities and the master plans of larger cities are approved by the municipal councils. A special procedure applies to the city of Sofia.

### **Cyprus**

Approval of plans is essentially a central government competence, held by the Ministry of the Interior and its Department of Town Planning and Housing. For the preparation of local plans, the Minister has delegated powers to a body called the Planning Board.

## **Czech Republic**

In addition to comments in the previous section (on key spatial planning institutions), it must be noted that at the regional level, regional governments are responsible for regional planning. Regions have in addition a supervisory role over municipalities in physical planning matters. A regional authority is also responsible for appeal procedures in the case of municipal physical planning. At the municipal level, there are specialised departments of urban development in larger cities responsible for urban planning (physical and strategic) and related issues. Planning analysis is usually carried out by private urban planning consultants.

## **Denmark**

The comments in section 14 are again relevant here. The relationship between the regions and the state is such that national goals cannot be realized without the co-operation of regions and regional efforts and strategies need the collaboration of the state. The strategy in Denmark has instead been to leave it to the regions to decide about frameworks for development. The Danish state can however make decisions through overriding legislation for the promotion of regional growth and development. It also offers economic support through a number of regional growth and development initiatives.

With regard to the regional and local levels, it must be pointed out that the administrative levels below the state level are affected more by geographical considerations, than by specialist functional objectives. The present 13 counties and the regional municipality of Bornholm are responsible for regional institutions like hospitals, major roads and issues regarding open land and the environment. The municipalities deal with tasks closer to the citizens like primary schools, social security and care of the elderly. They are also responsible for municipal physical planning and planning permission in the rural areas.

The counties range in size from 45.000 inhabitants (the Regional Municipality of Bornholm) to the capital county of more than 600.000 inhabitants. The average population size is 325.000. The regions (i.e. the counties) are governed by regional councils. The municipalities are in charge of most tasks provided in the Danish welfare system.

## **Estonia**

The national spatial plan belongs to the competences of the Ministry of Internal Affairs. A comprehensive plan for a county can be prepared as a thematic plan to specify or amend the comprehensive plan in force. A comprehensive plan must have formal consent of the county environmental service and of neighbouring municipalities.

The preparation of detailed plans is mandatory for areas located in cities and towns (not in small towns and villages). Municipal planning is

supervised by the county authorities. The county prefect is appointed by the central government, with substantial competences. Special rules apply to areas and installations of national importance. The elected municipal authorities have competence for initiation, adoption and repeal of comprehensive plans and detailed plans.

## **Finland**

The Ministry of the Environment has responsibility for the formulation of national policy and of national land use objectives. The Ministry of the Interior is responsible for the formulation of national regional development objectives and regional development programmes. Regional land use plans, regional plans and regional development strategies, as well as the preparation of EU programmes are the responsibility of 20 regional councils, which are not elected, but formed by municipalities. Land-use plans (master plans and detailed plans), municipal strategies and plans and voluntary sub-regional co-operation plans are the responsibility of elected municipal councils. There are 431 such councils, but there are currently 14 on-going municipal merger processes concerning 30 municipalities.

## **France**

The ministry which has the responsibility for spatial planning makes national level decisions and provides guidance on general issues. The role of CIADT, DATAR and CNADT has been explained in section 14. The Prefect of Region and the Regional Council define priorities and implement them through the CPER, a planning contract between central State and the regions (*Contrat de Plan Etat – Région*). Local plans (*Plans locaux d'urbanisme* or PLU and SCOT, for which see section 12) are a matter of municipal or inter-municipal responsibility, but there is also a range of instruments which are the joint responsibility of regional and local authorities. Instruments form a nesting hierarchy, to ensure coherence of documents of different nature: PLU (spatial planning) – SCOT (spatial planning) – Contrat d'agglomération (development project) – CPER (development project) – SRADT (i.e. the long horizon *Schéma régional d'aménagement et de développement durable du territoire*).

## **Germany**

Since 1960, when the Federal Building Act (now Federal Building Code or *Baugesetzbuch*) was adopted for the first time, the Federal level assumes responsibility for planning legislation. In 1965, the Federal Spatial Planning Act (*Raumordnungsgesetz*) was adopted for the first time, regulating supra-local spatial planning. Since the beginning of the 1990s, guidelines for spatial planning formulate the operational framework for spatial development objectives on federal level. Each of the German states has its own State regional planning act, fulfilling the provisions of the Regional Planning Act. Furthermore each state provides a spatial development programme and a regional development plan, which is normally specified on a larger scale, e.g. the district or an association of

municipalities. The states are free to organize their own regional planning activity. The procedures of spatial planning at the local level are regulated by the Federal Building Act, but must take into account the aims and regulations of the respective regional plan.

## **Greece**

The so called Regional and Special Frameworks of Spatial Planning and Sustainable Development are approved by the central government. The equivalent national framework is approved by Parliament. General Town Plans of municipalities and other important instruments were approved in the past by the central government, responsibility was then transferred to prefects (2<sup>nd</sup> tier local government) or even mayors, but the constitutional and legal complications which arose with respect to their competencies will probably result in a transfer of powers exclusively to regional secretaries appointed by the central government. According to a recent decision of the Council of State (supreme administrative court) all planning powers have to remain in the domain of the central government.

## **Hungary**

There are altogether five layers:

- National level, National Government
- Regional level: 7 NUTS II Regions, Regional Development Councils (not elected)
- County level: 19 Counties + Budapest, County Governments + County Assemblies (elected). Budapest has special arrangements, with 23 local governments and a city level assembly.
- Micro-regional level (NUTS IV) – Currently under development.
- Local level: 3200 municipalities with Local Governments(elected) – responsibility for preparation of local structure and regulatory plans.

Hungary has a National Spatial Plan. There are county spatial plans approved by central government and adopted by the county, local plans (structure and zoning plans) adopted by local government according to national legislation, and regional development plans and programmes, which are currently in the process of making.

## **Ireland**

At the local level there are 88 planning authorities, comprising all the directly elected local authorities with the exception of the 26 boards of town commissioners. Among their tasks is to prepare and revise development plans and determine spatial planning and land-use policy. The regional level is weak in terms of planning competences, although as a result of the Planning and Development Act 2000, they now have a new important role in relation to spatial planning – that of the preparation of regional planning guidelines.

## **Italy**

There are 3 main levels of planning (regional, provincial, and municipal), that must produce planning instruments within the limits of general principles laid down by the laws of the State:

- regional level: *Piano Territoriale Regionale* (territorial regional plan)
- provincial level: *Piano Territoriale di Coordinamento Provinciale* (territorial plan on provincial co-ordination)
- municipality: *Piano Regolatore Generale* (Land use plan)

All three authorities are directly elected by the population.

## **Latvia**

There are 4 levels of planning (national, regional, district and local). One spatial plan + development programme for every level are provided by the Law on Regional Development.

- national level — National Spatial Plan (approved by the Cabinet of Ministers)
- planning region level — (not elected) – prepared by Regional Development Councils who approve the planning region level spatial plan after it has been evaluated by the Ministry
- district local government level — (not elected, 2<sup>nd</sup> tier Local government) approves the district level spatial plan after it has been evaluated by the Ministry
- territorial local government level — (elected) approves the territorial plan after it has been evaluated by upper levels.

The Ministry evaluates all plans with regard to their conformity with the National Spatial Plan and planning laws, provides the funds for plan making and keeps a database.

## **Lithuania**

There are 3 levels of planning – National, Regional (County level) and local – and three types of plans – *comprehensive*, *special* and *detailed*. There are also development plans (strategic) provided by the *Law on Regional Development* for the National, Regional and local level. The Ministry of the Environment is responsible for the National Spatial Plan (Comprehensive), while state institutions only are responsible for preparing national special plans.

The preparation of County comprehensive and special plans is organized are prepared by the county governor (not elected - appointed by central government). Municipalities have a participatory role. The preparation of local Comprehensive, Special and Detailed plans is organized by the Municipality (elected), acting within the law.

## **Luxembourg**

The *Programme Directeur d'Aménagement du Territoire* (national planning programme) defines the basic goals of the spatial development in the

country. The *Plan directeur sectoriel* (sectoral plan), is a national co-ordination instrument linking all spatial development authorities. The *Plans directeurs sectoriels* are binding. Regional plans (development and land use) are mandatory, and land occupation decisions are superior to municipal decision. 6 regional plans will be elaborated, including development and land use. They are mandatory and land use decisions prevail over those of municipalities. Regional plans will be elaborated by ministers, administrations and municipalities. At municipal level there are development plans and precise land occupation plans (mandatory). The central government can intervene. Municipalities also have to elaborate a strategic development plan, which is implementing the national strategies at local level.

## **Malta**

Planning occurs only at the national level. Planning in Malta is regulated by the MEPA Board. MEPA is responsible for Spatial Planning and environment protection. Its role is Regulatory (land and sea development). It issues guidelines for development. Other agencies which have competences in planning are the Lands Department (Administration of state owned property), the Malta Resources Authority, the Malta Tourism Authority and several others. The Local Councils make recommendations to competent authorities. They have limited participation.

## **[The] Netherlands**

In section 14 we mentioned the basic spatial planning institutions and the National Spatial Planning Strategy. The most important instrument at the national level are the "Key Planning Decisions", which are issued by VROM and occasionally by other ministries and approved by Parliament. The KPDs fall into 3 categories (spatial visions, structure schemes and other policy documents) and they are binding for lower government levels. At the provincial level, Regional Spatial Structure Plans incorporate the KPDs and all other regional policies (transport, environment, water) with a territorial impact. The new WRO will not contain the instrument of KPD's anymore, which will be replaced by national structure visions. The policies formulated in the context of regional plans are operationalized in local (municipal) zoning plans (*bestemmingsplan*), the only spatial plans which are binding for individual citizens, as well as public authorities. Municipalities also have the competence of granting building permits, arguably the crux of the planning system.

## **Norway**

The Ministry of Environment is the ultimate authority for setting national guidelines for land-use planning in Norway. Any conflict with these guidelines must be settled by the Ministry of Environment. In extreme cases, the Ministry of Environment can itself draw up the provisions for land use in local authority and local area plans, but only when national interests are at stake.

According to the present Planning and Building Act it is the local authority (municipality) which, in the first instance, through the planning process shapes the physical environment and ensures that standards of construction and the application of conservation measures conform to local conditions and requirements. Each individual municipality is responsible for specific planning projects (municipal, regulatory, building and development), in accordance with the legislation.

Regional / county planning is carried out under the administration and control of popularly elected officials at the regional level. Plans are adopted in the county council subject to consent at national level. Once authorised, county plans are generally more binding on the activities of the national government in the county and are given more weight in dealing with objections to planning decisions at municipal (local authority) level.

## **Poland**

Local level authorities - municipalities (*gmina*, communes) - deal with functions such as local planning, land use, natural environment protection, local roads and other forms of infrastructure. At the subregional level, districts (*poviats*, counties) are responsible, among others, for *poviat* scale infrastructure (including roads and public transport), geodesic and cartographical surveys, construction controls, and water economy. Regional layer authorities, i.e. regions (*voivodships*), are responsible for the elaboration of regional development strategies, regional spatial plans and metropolitan area plan; they also undertake activities related to the preservation of landscape and historical heritage. The central layer (governmental) is responsible for creation of the "concept" of spatial development of the country (Centre for Strategic Studies), regional policy (Ministry of Economy) and trans-border co-operation policy (Ministry of Infrastructure).

## **Portugal**

The following authorities have powers of approval of the respective plans:

- National spatial planning policy program: Parliament
- Sectoral plans: Usually Council of Ministers
- Special plans: Usually Council of Ministers
- Regional Spatial plans: Usually Council of Ministers
- Inter municipal spatial plans: Municipality councils or inter-municipal councils
- Spatial and land use municipal plans: Municipal councils

## **Romania**

Eight Development Regions (NUTS II) were established in 1997, to formulate regional policies as pre-accession instruments, in view of the future CSFs. Development Regions are not administrative entities and are not legal persons. At county level a "prefect" is appointed by the Prime

Minister. Public affairs are run in each county by an elected Council, a deliberative body with competencies to produce strategies and programmes of the county and to offer advice on particular subjects. The spatial planning activities proper are assigned, by a compulsory tendering procedure, to professional planning organisations, which are mostly private firms.

## **Slovakia**

The Ministry of Construction and Regional Development is vested with the planning competences at national level (territorial and regional policies). The planning documents are prepared by private consultants. The situation is the same at the regional level except that the decisive approving bodies in this case are the self-government Regional authorities. At the Municipal level all villages and towns of more than 2000 inh. should formulate their own territorial plans. This is the responsibility of self-government local authorities (L.As).

## **Slovenia**

The national spatial plan belongs to the competences of the Ministry of the Environment and Spatial Planning. The following are its responsibilities at the national level: Preparation of the basic premises, positions and Spatial development guidelines, determination of general rules for Spatial Development planning of national objects and (inter)nationally important infrastructure, development and implementation measures for implementation of national spatial acts, control of Spatial planning at local level, management and control of land policy, management and control of Spatial data system, supporting the research and development of professional knowledge about spatial planning and management, providing the reports on the state of the art in national spatial planning, and responsibility for international affairs in spatial planning. Local authorities in consultation with citizens, NGOs and other users of land are preparing Municipal Spatial Development plans, Local Detailed Plans with detailed land use plans, Municipal Spatial Planning Documents and Municipal Spatial orders. Municipal planning is supervised by the national authorities. The regional level has not been granted formal powers until now.

## **Spain**

In Spain, there is not an institution or a key-planning agency at the national level. It is the Regions that have competence on territorial organization and town planning issues. At the local level spatial planning responsibilities rest on the city councils.

## **Sweden**

According to the Planning and Building Act the production of national plan is not obligatory. However, there are national level policy statements referring to areas and issues of national significance. These statements



provide guidance. As regards regional level the Act provides for a regional plan to be carried out on a voluntary basis. At present regional planning has been carried out only in the case of the region of Stockholm where the County Council has a special obligation to act as a regional planning body. In general terms and on the request of the Municipalities involved the government can appoint a regional planning body, e.g. a regional association of Local Authorities. However, physical plans at the regional level result basically from sectoral planning, e.g. plans for road network, traffic, spatial distribution of school facilities, hospitals etc.

The Planning and Building Act states that every Municipality should elaborate an extensive comprehensive plan for the Municipality territory. This plan guides decisions on land and water use. The plan is not binding for either public or private sector activities. It should however, be taken into consideration in the processes of decision-making on the use of water and land. Municipalities are also responsible for detailed development plans exerting more detailed control on land use and development. The detailed development plan has a strong legal status and determines more or less the right of building development in individual blocks and wider areas.

## **Switzerland**

Responsibility for approval of plans is distributed as follows:

- Confederation / Federal Office for Spatial Development): Sectoral strategies and Sectoral plans
- Tripartite agglomeration conference / Federal committee for spatial development (*Raumordnungsrat*, ROR)-elected representatives
- Canton (Planning Departments of the Cantons): Cantonal structure plan approved by the cantons
- Region (Regional Planning Associations): Regional structure plan, not obligatory
- Commune: Communal structure plan, land use plan, approved by the Commune.

## **United Kingdom**

The national government issues guidance notes which have to be followed by local development plans. The latter are approved by local authorities, depending on the case. Unitary local authorities approve "unitary development plans". In a number of cases, where there is a two-tier system, the county approves the "structure plans" and the districts approve local plans for their area.

## **Conclusions**

The most common pattern of spatial planning system includes some type(s) of national plan, one or two intermediate level plans, at the regional and possibly sub-regional (e.g. county or prefecture level), and, at the lower local level, various municipal and inter-municipal plans, including, at least, a detailed, binding land use plan. This may be a

general model, but the variations are extensive, determined particularly by three parameters: (a) the federal, regionalized or unitary character of the state, (b) the status of the regions, and (c) the degree of independence of municipal authorities. It is therefore clear that this section is closely related to section 17 on centralization, decentralization and devolution of powers, processes which in their turn have a great deal of influence on any given country's style of planning (section 20).

None of these parameters is by itself adequate to describe and explain the distribution of roles and responsibilities among government layers. In federal situations e.g. we have variations in the role of the central state in terms of legislative powers and the issuing of guidance and also subtle differences in terms of the balance of power between regions (federated states) / provinces and municipalities. The existence of powerful regions is not associated only with federal states. There are unitary states where the established philosophy, e.g. the Danish "leave it to the regions" principle, is to allow the regions to act independently. At the other extreme we have plenty of examples where the central state has the power to approve (or more discreetly to "evaluate" in advance) all the regional or local plans.

The status of the regions, even when they are very important, depends on whether their authorities are directly elected or formed as inter-municipal formations, as e.g. in Finland. We have examples of unitary states in which the regional level is weak, in comparison not only with the national level, but also with local government. Therefore we have a very broad range of role distribution, without a clear correlation with governance performance or constitutional structure.

In the case of unitary states national plans are approved by the principally competent Ministry (see section 14) or by inter-ministerial organs (e.g. Ministers' cabinet, inter-ministerial committees etc) or even by parliament. These plans can be spatial or sectoral or a mixture of both. The assignment of decisive powers over spatial planning to inter-sectoral bodies of the highest level is actually an acknowledgement of the potential effects of spatial plans on several other policy domains.

The intermediate level plans are in most cases approved by central mono-ministerial or multi-ministerial organs or regional level councils but always under the control or supervision of central ministries. There are exceptions of course, as in Denmark, but even there the regional level will soon lose a great deal of its power. Approval powers at the local level (i.e. for inter-municipal and municipal plans) depend on the degree of decentralization of the political / administrative system. There are cases of instruments where the decisive power rests on multi-layer government partnerships (between central state or regional authorities and elected local councils). Besides, local plans vary because apart from the usual, omnipresent detailed land use plans there also cases of municipal strategic plans or two - level local plans.

In the case of federalized states there are no national level plans, only guidelines, and the decisive powers for the plans of the autonomous regions are allocated within the respective and particular sub-national

governmental structures. The relationship between the federal government and the state governments is not the same everywhere. This is even more the case in regionalized countries, particularly where regionalization does not cover uniformly the national territory.

The relationship between regional / provincial / county authorities and those at the municipal level presents variations. In some cases the higher level authority has a supervisory role, sometimes very strict. This is not the case in countries where the local level is the main level of spatial planning or where the real power resides in the municipalities, notwithstanding the fact that the number of infra-national levels rises sometimes to 3 (Latvia, Greece etc.), or even 4 (e.g. in Hungary or Poland), making the picture even more difficult to describe. In very small states, planning occurs practically at the national level only.

## **Section 16. Extent of financial dependence of local government on central government**

|                                 |  |
|---------------------------------|--|
| Dependent on central government | Bulgaria, Cyprus, Czech Republic, Greece, Hungary, Latvia, Malta, Portugal, Romania  |
| Fairly independent              | Austria, Belgium, Poland, France, Germany, Ireland, Italy, Lithuania, Luxembourg, Netherlands, Norway, Slovakia, Slovenia, Spain, U.K. |
| Very independent                | Estonia, Denmark, Finland, Sweden, Switzerland   |

### **Austria**

The autonomy of municipal authorities is limited by the inadequacy of their resources. On average, 60% of their financial resources are derived from national sources (federal taxes etc.) and 40% from local sources (local taxes etc.)

On all levels the authority normally has to bear all incurred costs on its own, but the national government makes an effort to subsidize weaker communities. In this respect the most relevant instrument is the financial equalization of the Federal Ministry of Finance. It depends on tax revenues and the number of inhabitants and serves as a subsidy for financially weak communities. Also the state government can tax the communities if they cannot raise all finances on their own.

### **Belgium**

There is a complex tax system as Regions have financial but not so much fiscal autonomy. The system has been under reform since federalization became operational and is still undergoing change, with contradictory interests between solidarity and further fiscal autonomy. The Communes have some financial autonomy, some fiscal competence, and some local taxes of their own, but around 80 % of their revenues come half from the additional percentage they can impose, within some limits, on the regional tax on real estate property and on the federal/regional tax on personal income, and half from grants.

### **Bulgaria**

Although the precise extent of dependence is not clear, it is fair to assume that it remains high.

### **Cyprus**

See indication in table above.

## **Czech Republic**

Financial resources are allocated within the context of national regional policy and other national policies with territorial impact. They are also determined, at the regional and municipal level, by departments with large investment activities, such as transportation. Planning departments only create a framework for spatial allocation of investments.

## **Denmark**

The municipalities administer the most fundamental issues of the welfare system; which means that most social benefits are administered by the municipal government system. Thus, the Danish welfare system is a highly decentralised system. While some of the social benefits, e.g. the old-age pension involving decisive costs, are financed by the state, they are still administered by the municipality. Other social benefits, e.g. sickness and housing benefits, are partly defrayed by the state, but a number of social benefits are covered directly by the local authorities

The single most important source of county income - about 80% - derives from personal income tax. Like the administrative system, the Danish tax system is also a three-tier-system so the counties receive a percentage of the taxes. The regions are free to set their own tax rates individually. As the last level of the three-tier-structure in the tax system the municipalities' economic resources consist of paid taxes and grants received via the equalisation scheme for the poorer municipalities. Like the counties, the municipalities also have the legal right to the tax levy. Since spatial planning responsibilities are shared by counties and municipalities, which all have their own spatial planning departments, the regional level of planning is financed by the tax income of these levels.

The Danish tax-system follows a three-tier administrative system, hence the tax payer pays a national tax, a county tax and a municipality tax. In practise this is done as one payment on the tax payer's behalf and then the taxation administration distributes the percentage in question to the different administrative levels. However, as the tax base of the Danish municipalities varies greatly because of diversifications in socio-economic profiles, a funding structure where each municipality had to fund its own expenses would result in considerable differences in tax level and the provided service. To meet this problem, a tax equalisation scheme has been developed where tax from the wealthy municipalities is being transferred to poorer municipalities.

## **Estonia**

At central and county level planning is financed from the state budget, at municipality level - from local budgets. No appropriations from the state budget to municipalities for spatial planning are foreseen. Independence is combined with severe shortage of funds in many small municipalities that inhibits progress of comprehensive planning.

## **Finland**

In terms of budgetary resources the local level is exceptionally strong in Finland, since also the municipalities, beside the state, have the right to levy tax, i.e. between 16 and 21 per cent of people's personal income. This makes municipalities considerable economic actors. However, it should be noted that the Government has decided on special regional measures in connection with national regional development targets to ensure more equitable development opportunities. Among the most important measures are the development of the subregion of Eastern Lapland, development of the region of Kainuu and special measures of areas facing sudden structural difficulties.

## **France**

Local authorities depend more and more on the State budget . The whole situation could be summarized in the phrase: What is acknowledged is more freedom for local / regional authorities and more power but at the same time a more important financial burden for sub-national authorities necessitating increased taxes at the local level to allow activation of the new responsibilities.

## **Germany**

About 75% of the overall sources is collected centrally and distributed according to indicators.

## **Greece**

The financial situation of 1<sup>st</sup> and 2<sup>nd</sup> tier local authorities and their dependence on central government sources are always a cause of complaint and protest. Frequently, the transfer of competences proves a dead letter because local authorities lack the human and financial resources.

## **Hungary**

Local governments since 1990 enjoy great political independence and enhanced responsibilities combined with great financial dependence. Up one level from the local governments are the 19, directly elected county governments. Given the elections, they enjoy a strong political legitimacy, but have very limited tasks and absolutely restricted financial means. The regional level (NUTS 2 level, altogether 7 regions) has only begun to develop recently. Their role will become more substantial after 2006, when the financial means allocated to them will increase.

## **Ireland**

See indication in table above.

## **Italy**

The financial autonomy of local authorities is based on the certainty of both their own and transferred resources. One of the most important forms of income for local authorities and provinces is central government transfers based on population size. There is also income from various revenues, which now accounts for a sizeable proportion of municipal budgets. This tax is levied directly by municipalities and may vary within a range decided by the central government

## **Latvia**

See indication in table above.

## **Lithuania**

The constitution gives local governments the right to draft and approve their own budgets, to establish local dues and to levy taxes and duties. Local governments also must have a reliable financial basis. Personal income tax is ascribed to the local government budget upon deduction of mandatory social insurance.

## **Luxembourg**

Municipalities have a high degree of autonomy, both in general and in terms of resources, although central support is still quite important. They have a structure of co-operation (*syndicat de communes*) but not in a decentralised framework. Municipalities benefit mainly from two taxes: real estate, and "commercial". They can also decide to raise other taxes, within limits.

## **Malta**

Central Government allocates funds to local councils on the basis of a formula based on the number of inhabitants and the area within the confines of locality as stipulated by the Local Councils Act (1993). Councils may also be allocated funds "for special needs of a locality or localities". These funds would be made available after a resolution to that effect has been carried out by the House of Representatives.

Local Councils are not empowered to collect their "own taxes" as is the case of central government through Value Added Tax (VAT) and Income Tax. However, Local Councils can raise funds by means of any scheme designed to provide additional funds., provided such schemes are instituted by by-laws. The imposition of fines is being devolved from central government to Local Councils. This is a fund- generating scheme and indirect taxation.

## **[The] Netherlands**

Municipalities are allowed to raise local property taxes and they have complete freedom to determine it. In addition they collect other local

taxes and charges. Their revenues seem to make them very independent, but their financial independence is influenced by the range of functions they have to perform. It is significant that according to some estimates 90% of their tasks are in fact linked to the implementation of national policies, a fact which reduces their autonomy. There are municipalities which already suffer because of inadequacies of personnel and funds.

### **Norway**

Taxation is administered by local government, but a large proportion of all revenues is remitted to national government, to be redistributed using a complex formula that attempts to even out disparities throughout the country. Some funds are earmarked for specific purposes, but the major part of the municipal and county budgets are controlled by the bodies themselves. Since many municipal and county functions are mandated by law however, discretionary spending is still relatively limited.

User fees and property taxes also contribute to local revenues, though not significantly.

### **Poland**

See indication in table above.

### **Portugal**

Direct revenue proceeds from the municipal levy, municipal tax on vehicles, municipal tax on real estate and the municipal corporate tax. A source of considerable importance, especially in urban areas, is the urbanization levy. But the main sources of revenue consist of transfers of part of the revenue from the State's direct taxes according to a formula, which takes into account particularly the resident population and the territorial size of each municipality.

### **Romania**

- The transfer of responsibilities to local authorities has not been matched with an adequate transfer of resources;
- Financial transfers to local government lack transparency giving a strong controlling function to county councils at the expense of local councils;
- Institutions in charge of controlling public funds are weak at the local level and there have been credible reports of public resources being misappropriated for the interests of specific political groups;
- Most local authorities suffer from a limited administrative capacity;
- Local authorities find it difficult to implement newly decentralized responsibilities.



## **Slovakia**

Slovakia is promoting a tax reform to enable self-government bodies (especially the regional ones) to levy taxes. At the same time the law imposes on self-governments the duty to secure financial support for the formulation and implementation of plans. The competent planning authority may ask for partial or full refund of the expenditures related to the preparation / amendment and implementation of a new plan. Simultaneously the law provides for funding sources other than public ones to secure plan implementation. This refund should come from the instigators of the process of plan elaboration.

## **Slovenia**

A municipality is financed from its own sources. Municipalities that are unable to completely provide for the performance of their duties due to insufficient economic development are assured additional funding by the state in accordance with principles and criteria provided by law.

The state and local communities raise funds for the performance of their duties by means of taxes and other compulsory charges as well as from revenues from their own assets. The state and local communities disclose the value of their assets by means of balance sheets. The state imposes taxes, customs duties and other charges by law. Local communities impose taxes and other charges under conditions provided by the Constitution and law. All revenues and expenditures of the state and local communities for the financing of public spending must be included in their budgets.

## **Spain**

It is not clear from the overview whether the resources granted by the Ministries of Housing and Infrastructure are sufficient for the implementation of spatial planning policies and whether regional, endogenous financial resources are utilized for the purpose of spatial planning and what is their share in the budget addressed to spatial policies.

## **Sweden**

The Local Authorities and County Councils / Regions have a considerable degree of autonomy and independent powers of taxation. "Local Self-government and its right to levy taxes are stipulated in the Swedish Constitution". The L.As and County Councils / Regions have a great deal of freedom to organize their activities; they are entitled to levy taxes in order to finance their activities. Taxes are levied as a percentage of the inhabitants' income. The L.As and County Councils / Regions decide on the tax rate themselves. The average overall tax rate is 30%. Approximately 20% falls to the L.As and 10% to the County Councils / Regions. Tax revenues are the largest source of income of L.As (~67%) while government grants represent no more than 14% of L.As revenues.

## **Switzerland**

See indication in table above.

## **United Kingdom**

As explained in the UK overview, "local authorities in Great Britain raise revenue through the council tax; in England this meets about 25 per cent of their revenue expenditure. Their spending is, however, financed primarily by grants from central government or the devolved administrations and by the redistribution of revenue from national non-domestic rates, a property tax levied on businesses and other non-domestic properties. This probably makes the British local authorities fairly dependent on (rather than fairly independent from) central government. Capital expenditure is financed from several sources: central government capital grant; capital receipts from the disposal of land and buildings; and borrowing (including borrowing supported by the Government, and borrowing that is locally financed). The Government has powers to cap increases in local authority budgets and council tax".

## **Conclusions**

According to the national overviews local government is financially "very independent" in a minority of countries. In more than a third of the countries, it is "dependent on central government". Countries in this category are mostly new member – states and candidate – states, but included here are also Greece and Portugal.

The crucial difference between "dependence" and "independence" is of course the right of local authorities to levy local taxes, as e.g. in Denmark. This explains the difference between e.g. Finland, where municipalities are "considerable economic actors" by levying 16 – 21% on personal incomes (20% in Sweden), and Portugal where "the main sources of revenue consist of transfers of part of the revenue from the State's direct taxes" or Greece, where almost 98% of municipal revenues is derived from national sources.

In spite of inadequate quantitative information, it is clear that the general pattern is one of high financial dependence. The main exceptions are the local authorities of Northern Europe.

There is a discrepancy between extensive local powers and financial dependence in some countries. Local authorities, according to one overview, are being given great political independence and increased responsibilities, combined however with high financial dependence. This is not limited to less developed countries. In France e.g. local authorities are increasingly dependent on the central state. More freedom of action is accompanied by a higher financial burden on sub-national authorities. A serious problem is the extreme differences of the tax base of

municipalities. Interesting "equalization" schemes have been introduced in some cases to combat this problem, as in Denmark.

The range of functions municipalities are obliged to perform is a determinant of their resource needs. In the Netherlands, where municipalities are free to raise taxes and to determine the rate, their independence is more apparent than real, because of their extensive functions. In this particular case it has been estimated that 90% of their tasks are due to the municipalities' obligation to implement national policies. Small wonder that in certain countries, e.g. in Greece, local authorities are reluctant to acquire powers, including spatial planning. In certain privileged situations (Sweden) local authorities can determine the rate of local taxation, but this is not always the case even where local taxation exists. In the UK, e.g., the central government can impose limits both on local taxation rates and on municipal budgets.

Financial dependence makes a mockery of decentralization policy. It may have some additional uglier aspects. This is the case of lack of transparency in financial allocation from central sources and of ensuing dubious practices. It is also the case when financial dependence is linked to political control and to the imposition of effective limits on local government freedom.

## Section 17. Centralization / decentralization / devolution

### Devolution to regions

|  |  |
|--|--|
| Countries in which substantial powers have been allocated to the regions   | Austria, Belgium, Denmark, France, Germany, Italy, Netherlands, Poland, Slovakia, Spain, Switzerland |
| Countries which expect to devolve substantial powers to the regions in the near future or are in the process of doing so | Cyprus, Estonia, Finland, Greece, Hungary, Norway, Portugal, Romania, Sweden, U.K.                   |
| Countries with powerless regional authorities or without regions, e.g. because of the size of the country                | Bulgaria, Czech Republic, Ireland, Latvia, Lithuania, Luxembourg, Malta, Slovenia                    |

### Devolution to 1<sup>st</sup> tier local authorities

|   |   |
|---|---|
| Countries in which substantial powers have been allocated to local authorities (municipalities)   | Austria, Belgium, Czech Republic, Denmark, Finland, France, Germany, Hungary, Ireland, Italy, Latvia, Lithuania, Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Sweden, Switzerland, U.K. |
| Countries which expect to devolve substantial powers to local authorities (municipalities) in the near future or are in the process of doing so | Estonia, Bulgaria, Luxembourg   |
| Countries with relatively powerless local authorities (municipalities)  | Cyprus, Greece, Malta, Romania, Spain   |

### **Austria**

See indications in table above.

### **Belgium**

See indication in above tables.

### **Bulgaria**

The district authorities are appointed by the central government. As to the wider regions, they do not have decision making authorities. The regional councils simply advise the Minister RDPW. As stated in the overview, "it appears that Mayors of municipalities have the strongest involvement in the implementation of policies and the members of municipal councils a much weaker participation, although this is a summary conclusion and

there are respectively exceptions in certain municipalities. The functions of District governors with respect to the implementation of the different policies on the area of the district need further strengthening”.

Bulgaria has been placed in the second category, with regard to local authority powers, in the above table, because of the spatial planning powers of the municipalities, in fact the mayors.

### **Cyprus**

Regional devolution is intimately linked to the particular political problem of Cyprus and to the constitutional arrangements which will regulate the governance of the island in the future. The planning of the capital, Nicosia, is a special case.

### **Czech Republic**

Physical planning in the Czech Republic is heavily decentralised with over 6,200 municipalities being the main and most powerful authorities responsible for physical planning. The regional authorities are only slowly struggling for planning powers at the supra-municipal level. And, last but not least, there is no territorial planning at the national level.

### **Denmark**

Comments in sections 14 and 15 are also relevant here. Planning initiatives mostly emanate from the municipal level, in other words spatial planning is widely decentralized.

From 2007 a new administrative structure will come into force. 275 municipalities will be merged to 98 and 14 counties (regions) will be merged to 5 new regions. At the same time the regions will lose their power as (land use) planning authorities. Most of the planning responsibilities will be moved to the municipalities while a few rather technical duties will be moved to the national level.

The current focus on growth within regional policy has meant that the national planning report of the Ministry of the Environment needs to be closely coordinated with the regional growth strategy. Physical planning is seen as a strategic tool in the production of regional strategies for growth, contributing to the securing of regional balance in the country as a whole and strengthening local areas and competences.

### **Estonia**

See indication in above tables.

### **Finland**

See indication in above tables.

## **France**

Despite recent laws and processes for decentralization, the central State keeps an important role and, according to some analysts, even reinforces it. However, the facile impression of extreme centralization which has become a *cliché* must be tempered by the reality of a gradual post-war process of influence exercised by regional – local political cultures on governance and spatial planning policy. This process was one of constant interaction between regional – local initiatives and national policies, which is one of the features of the French tradition of governance. The decentralization process had a serious impact on the administration of spatial planning and on vertical relations across administrative levels. Evidence of this impact is provided by the multitude of local development methods which have become standard practice.

## **Germany**

See indication in above tables. In order to make regional planning more effective and coherent with respect to the neighbouring municipalities, many agglomerations have established their own planning or municipal association.

## **Greece**

There is a consistent trend towards devolution of powers to the regions, which are still part of the central state.

A policy of transfer of powers to 1<sup>st</sup> and 2<sup>nd</sup> tier local authorities in the 1990s has foundered on the objections of the supreme administrative court (Council of State) on constitutional grounds.

The new political / administrative institutions – regional and elected prefectural authorities and the enlarged municipalities – have gone through a transitional stage in the late 1990s, which to a large extent is continuing, particularly if we take into account the unfinished business of their competences and the likelihood of a new reform. This process coincided with major modifications and revisions of the spatial and environmental planning system. The powers of the new authorities are still far from clear because of legal complications. Whatever the outcome, the administrative system in general and that of spatial planning remains highly centralized. The basic levels of the administration pyramid (central state, regional authorities, local authorities) are still governed by hierarchical relations. This is expressed in administrative supervision and in resource allocation. Essentially, policy making remains the responsibility of the higher echelons of government, while lower tiers, especially local authorities, are limited to implementing decisions and operating controls ... In comparison to past practice, regional administrations have more substantial policy-making powers as a result of restructuring of sub-national administration".

## **Hungary**

Despite several reforms, Hungary has remained an essentially monocentric state, where decision making is concentrated. So far the most important attempt to decentralize was carried out in 1990 with the Local Government Act, which substantially increased the number of local governments to as many as 3,200. These local governments are directly elected, have enormous responsibilities (basic health care, primary education, social services, maintenance of basic infrastructures, provision of services, like street lighting, etc.) and enjoy great freedom in almost all aspects of planning and decision making, with regard to their territory. Financially however they are dependent on central government and on its subsidy system. This has prompted many researchers to express the view that no real decentralization has taken place in the country.

## **Ireland**

The above position of Ireland, with respect to the powers of the regions, was selected because substantial powers have been allocated rather to local authorities.

A predominant characteristic of Ireland is a strong, centralised system of government and administration, with a relatively narrow range of functions performed by local government. Nevertheless, spatial planning is one of the functions that is mainly carried out at the local government level. Since the 1990s there has been, however, a gradual lessening of the responsibilities allocated to the local level, with the establishment of new national agencies such as the Environmental Protection Agency on the one hand, and a strengthening of the regional level, largely as a mechanism for administering EU funding, on the other [section 4.6.]

## **Italy**

There is a paradox in the situation of the regions. After 20 years since the adoption of the regional level of government, it is still characterized by 'strong localisms and weak regionalisms'. This framework radically changed in the 90s. Provinces and municipalities have autonomous constitutions, regulations, organisation and administration and laws for co-ordinating public sector funding.

## **Latvia**

It can be concluded from the national overview that regions do not have powers. Decentralization has taken place at several levels. Competencies have been given to local governments and planning regions have been established as a way to improve cooperation and coordination. However the central government has still a strong presence and a lot of things seem to be decided in a small circle among the Cabinet of Ministers. The regional level is not really developed as an independent entity with independent political status and resources and local governments are too small to affect decisions on a larger scale. Likewise, inadequate financial

resources are allocated to local governments, which are often too small to affect decisions on a larger scale.

### **Lithuania**

The regional administration (counties) is a new structure in Lithuania, which started the gradual decentralization of governmental power. The County is a state institution, not regional self-government.

Now local government has the right to deal with the majority of local community affairs without interference from the central Government. Local government is responsible for municipal territorial planning. However, decentralization has led to a gap between the emerging national planning framework and local planning. County and local level comprehensive plans are now under preparation.

### **Luxembourg**

See indication in above tables. There are no regional authorities. The only political subdivision of the country is the commune (municipality). The commune is a legal entity. It manages its assets and raises taxes through local representatives, overseen by the central authority represented by the Minister of the Interior.

### **Malta**

See indication in above tables and reference to the island of Gozo in the answers to the questions on the acceptance of governance principles and on the existence of internal variations.

### **[The] Netherlands**

The country, both in spatial planning and with respect to most policies, is to a high extent centralized. Officially it is considered as a "decentralized unitary state", but there are those who argue that gradually, after the 2<sup>nd</sup> World War, it became more "unitary" and less "decentralized". But to classify it as a country in which powers have not been devolved to the regions (provinces) would be an error, if we take account the operation of the Dutch governance system and the degree of consultation between central and provincial levels, the range of policy fields in which the provinces have competences (transport infrastructures, environment, spatial planning, culture, economy, social policy) and the fact that the provinces seem currently to be gaining ground in the field of spatial planning. A similar argument is in order in the case of the municipalities. Both provinces and municipalities have ample room for action, albeit within limits set by the central government.

### **Norway**

The municipalities and county municipalities are negatively limited in their activities, i.e. they may take on any function that the law does not forbid



them to carry out, or that has not been specifically delegated to other institutions. At the same time, however, the municipalities are subject to general legislation and the rule of law, unless a special exception has been made. The basic assumption in the PBA (see section 13) is that municipalities define the framework for all development, taking proper consideration of national guidelines and private interests; and then lead the development according to set goals and standards, utilizing the tools available in the PBA and outside of that Act. See also the reference to a parliamentary report on the distribution of competencies in section 1.

## **Poland**

The place reserved for Poland in the above table, on regional powers, is justified by the provisions of recent reforms.

The Municipalities in Poland have real "planning sovereignty", a power which is expressed by means of legally granted freedom in planning policy formulation. On the contrary higher levels establish solely the general principles of the economy of space and determine broad directions of development programmes. For instance, the basic instruments at the national level are the "concept of Spatial Development" (elaborated by the Government Centre of Strategic Studies) providing only general guidelines and the National Development Plan. They are both approved by the Cabinet.

## **Portugal**

See indication in the above tables. The municipality is the entity that ensures the representation of citizens at local level. It administers and guarantees the management of a vast set of services of local interest and channels local claims to the national administration. Apart from these classic functions, the City Halls also ensure the promotion of development, heading highly varied initiatives in this domain, and play a major role as organizers of social, economic and territorial relations. Under a 2002 law, local authorities possess wide-ranging responsibilities in the areas of planning and development.

## **Romania**

The Romanian authorities have made considerable efforts to develop a strategy for managing the process of decentralisation in a transparent and stable manner. The strategy was prepared following the input of an extensive public debate with all main stakeholders. However, the proposed reforms are still at the design stage.

At local level public administration is exercised by elected councils. The executive power is explicitly assigned by law to the Mayor, who is elected by direct vote. The council remains a deliberative body. Among the competences are the granting of building permits and the control of the implementation.

## **Slovakia**

The regions enjoy significant powers as regards territorial planning due to very recent reforms (2003-2004). This reform is still continuing.

## **Slovenia**

The competencies of a municipality comprise local affairs which may be regulated by the municipality autonomously and which affect only the residents of the municipality. There are two levels of government, central and local. Regional authorities will be introduced in the future under the stronger role of governance. The intention is to grant moderate power to the regions, which are so far powerless, merely statistical regions, mainly because of the size of the country.

## **Spain**

The Municipalities have an inherent drawback as regards territorial scope of competence because of their small size. However, the legal framework offers them the possibility to broaden their domain of competence by means of mutual cooperation and partnerships.

## **Sweden**

See indications in the above table

## **Switzerland**

See indication in above tables.

## **United Kingdom**

The answer with regard to regional powers is bound to differ, depending on whether one refers e.g. to Scotland, which now has substantial devolved powers, to Wales, with more limited powers, or to the English regions, which have almost no powers at all, a situation which is not likely to change in the near future. As pointed out in the national overview, "be that as it may, whether the moves that have been made towards regionalism represent decentralisation or simply the drawing up of responsibilities from the local level remains a contested issue".

It seems difficult to answer the question on local authority powers and place the UK in a definite category, because although local authorities have important powers, especially in comparison to some other countries, they have lost powers in the last 25 years.

## **Conclusions**

### Comments

Decentralization and the associated transfer of powers and competences from the central state to sub-national levels of government is a very important factor of governance. We touched on this issue in section 15 on the distribution of roles among government layers and we will return to it in the discussion of the style of planning (section 20), of which it is an important aspect. We shall draw first some general conclusions from the study of the national overviews and then we shall proceed to a further classification, which first appeared in the 3<sup>rd</sup> Interim Report.

The general rule in unitary states is that regional authorities are not elected. This is obviously not the case in federal states or in, fully or partly, regionalized ones, where the regions have a dominant place. In countries with a tradition of powerful central state and in spite of decentralization reforms, the centre by and large remains dominant. In some cases of regionalization, "localism" persists. Although the general trend is towards devolving more powers to regional or local government, we had cases of withdrawal of powers for a variety of reasons. These include a reassertion of central power, intensified devolution to the local level or constitutional problems regarding the legal personality of local government. We found several cases where the regional level is weak, but local government is powerful or is increasingly gaining competences. Regional reforms are being promoted in a large number of states, but it is often too early to judge the results. Very small countries are a special case. The regional level may be totally or almost absent, because of their size.

One of the difficulties encountered, as in the case of other sections, is the fact that information contained in the overviews is unequal. Either some partners considered unnecessary to provide information on practices which are routine procedures in certain countries, or other partners overemphasized practices which are still untried and exist only on paper. There were cases, for instance that of decentralization and transfer of competences to infra – national authorities, where we felt that in spite of intentions or even the existence of legal provisions, the reality was such that the particular country did not really qualify to be included in certain categories, e.g. among countries where real devolution had taken place.

### Analytical classification

The next step in our analysis was to attempt a more analytical classification. The dominant categories in terms of devolution of spatial planning powers which we distinguished 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 appear in more than one category. This was 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 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*

Here 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 several. 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 of 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, as of course happens in the next category.

#### 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 concluded that they could not be possibly included in the previous categories of unitary states. The reasons were diverse. Several of the countries were until recently under a totally different regime 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. 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 category is represented by Austria, where both the *länder* and, even more so, the federal state 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 included in this category Belgium, 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 of course acknowledged by the inclusion of 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 (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 included 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 sub-regional ones. Although a country with a different recent political past, Poland too seems to have a similar practice.

### *Devolution to sub-regions 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” seemed 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 sub-regional hierarchy, above the local level, with considerable powers, is common in these countries.

*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.

*With strong national state*

A large number of countries 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.

With these remarks in mind, the following table was produced, more as a working hypothesis than as a definite taxonomy. The table is later used as an input to section 20 on planning styles.

| Categories of devolution of spatial planning powers (centralization v. decentralization) | Countries  |
|--|--|
| <b>Unitary states</b>  |  |
| Devolution to regions (real power in central state)                                      | France, Italy, The Netherlands, Poland, Romania, Slovakia, UK.   |
| Devolution to regions (real power in regions)  | Denmark, Spain.  |
| Centralization: Dominant central state   | Bulgaria, Cyprus, Greece, Estonia, Hungary, Ireland, Latvia, Lithuania, Malta, Portugal.   |
| <b>Federal states</b>  |  |
| Devolution to regions (strong central state and regions)                                 | Germany.   |
| Devolution to regions (weak central state and regions)                                   | Austria.   |
| Devolution to regions (weak central state, strong regions)                               | Belgium, Switzerland <sup>28</sup> .   |
| Interaction and negotiation (national – regional)  | Denmark, France, The Netherlands, Switzerland.   |
| Contracts (national – regional or regional – subregional)                                | France, Germany, Poland.   |
| Devolution to subregions within regions  | Belgium <sup>29</sup> , 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.   |
| <b>Strong local – municipal level</b>  |  |
| 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, Denmark, Finland, Spain, Sweden, Switzerland.   |

<sup>28</sup> Confederation.

<sup>29</sup> Flanders.



## **Section 18. Involvement of politics in actual policy implementation**

### **Austria**

According to the overview, "unfortunately nothing can be reported about the involvement of politics in actual policy implementation in Austria".

### **Belgium**

The fact that there is no formal co-operation and consensus at the national level is the main characteristic of the political life of Belgium. Under the present system there is an emphasis on ensuring maximum autonomy between the different entities which allows room for political maneuvering. The fact that there is no hierarchy of rules, and that strong conflicts exist between the different regions and "*Communautés*" creates turbulence in the political life of the country.

### **Bulgaria**

According to the Bulgarian national overview, it is difficult to make a brief comment about the involvement of politics in actual policy. In this respect it is difficult to point to the particular socio-political culture of the country, since building of such culture is still pending.

### **Cyprus**

The influence of politics is obviously great, in the special forcibly divided condition of the island.

### **Czech Republic**

If the strategic plans are prepared by 'independent' experts without real involvement of local politicians they usually have little impact on urban and regional development. The involvement of politicians creates better starting conditions for their real implementation, however the plan priorities may differ from what 'independent experts' would consider as best for the city or region. The physical plans are usually prepared by specialised firms outside the government and politics itself. However, they have to respect the priorities of political representation. Furthermore, plans are approved by the municipal or regional assemblies and certain parts can be changed during the approval procedure.

### **Denmark**

All plans and planning proposals have the status of political documents and have to be formulated and approved by local and / or regional councils.

## **Estonia**

In Estonia, the involvement of politics in spatial planning has been hardly visible. At municipal level local politicians often pursue certain personal or corporative goals, but usually no explicit connection to political ideology can be observed. Thus, politicians, rather than politics, are involved.

## **Finland**

The national political culture is favouring the incorporation of formal and informal mechanisms of participation and negotiation as part of the normal planning process. What is supposed to be the case in theory is self evident also in practice.

## **France**

Despite central State control and the opening of governance to civil society, local and regional politicians have enough room for initiative, a fact that is considered in France as a democratic guarantee and a way to counterbalance the influence of lobbies. A political debate on the future of decentralization continues, mainly concentrating on the contradiction between greater local and regional powers, on one hand, and the financial burden imposed on infra-national authorities, on the other.

## **Germany**

According to the overview, the impact of politics in the process of policy implementation is very high.

## **Greece**

As long as planning procedures and public debate processes continue to be extremely time-consuming, private interests remain intimately tied to issues of land use and control, and planning agencies suffer from red tape, shortage of professional skills and resources, there is plenty of room for political manipulation and patronage in all spatial planning and implementation. Spatial planning, especially at the urban level, is seen by the majority of politicians as a means to serve their voters' private interests. Another critical problem is the partial and ambiguous or inconsistent informatization of social actors and local communities by politicians and policy-makers. The inconsistency and conflict among officials' or experts' "knowledges" and the ensuing policy confusion is exacerbated in cases of poor monitoring of environmental or spatial problems, in cases of shared competences as well as in cases of widespread illegal attitudes.

## **Hungary**

Politics is recognized as a negative factor because of the change of priorities in every election period. Change of government means change of

directions, which causes instability. This results to a prevalence of short-term thinking at many government levels.

The following characteristics of political culture are recognized as making the implementation of the recommendations of the EU White Paper on governance more difficult:

- The relative weakness of the civil society;
- The traditionally top-down approach in politics;
- Party politics itself, which can be a deterrent in developing a well-functioning governance system.

### **Ireland**

There is no specific reference in the national overview, but there is an indication of the effort to keep politics out of the planning process. According to the relative section of the Irish overview, successive governments have been committed to making the development control process as streamlined and efficient as possible, to encourage and facilitate developments with job-creation potential.

### **Italy**

The political and even cultural indifference to the strategic value of planning is mentioned in the national overview. Italian regional policy has been transformed from a context of an "extraordinary" state intervention in favour of the *Mezzogiorno* (Southern Italy) to a proper planning policy dealing with territorial imbalances throughout the whole nation in response to European regional policy.

### **Latvia**

Even though the point is not elaborated in the national overview, the emphasis on national culture seems to be determining the path towards governance mechanisms.

### **Lithuania**

There is reference in the overview to the replacement of communist elites by other elites of a more pluralistic nature, of various origins (liberalism, Christian democracy, conservatism, social democracy). It is an indirect comment on the role of the political culture, which now follows an elitist political economy approach.

### **Luxembourg**

The general context has been described already as one of "peaceful governance". The directions given in European documents, especially the ESDP in the case of spatial planning, are implemented. Co-ordination and integration principles are widely accepted.

## **Malta**

Maltese politics are very polarized. Maltese government and consequently its politics were characterised by "excessive power at the centre, too many infringements of the democratic process and an abnormally high level of political polarization". Maltese society has been characterised by limited resource availability, hence people always tended to be highly competitive and strived to safeguard personal and familial interests first and foremost. There strong party political influence at the local level and the tendency of local council members to move to the national political arena consolidates the dominance of party politics at the local level. Politics, business operations and private activities are conducted in a way that depends on an intricate system of networks and personal ties. Planning in the past has been hindered by external political influences that have prevented the mechanism from operating properly.

There has been recently a more detached stance in politics, when the comparison is made to franchise reactions in the 1980s and 2000. Two factors have been the cardinal points in the change process: (1) EU politics introduced a broader dimension; and (2) Local Councils playing on parochialism. With regard to the former there were comparatively significant shifts in the numbers of floating voters, with bi-party politics being consequently questioned. In the latter instance bi-party politics was questioned once more because of familial voting regimes across the board without Party distinction.

## **[The] Netherlands**

As mentioned in the national overview, in general it can be argued that the Dutch planning system is fairly de-politicized. Nevertheless, a trend could be observed that this is changing. An indicator for this might be that the number of spatial planning cases being brought to the court of justice is increasing. Traditionally the municipal land use plan provided sufficient legal security. However, various revisions of the Spatial Planning Act in the past hollowed out the land use plan. This may open the door to a greater role for politics. Another trend, particularly at a time of revision of the National Spatial Planning Strategy, is the confusion surrounding the official discourse on planning, as it becomes entangled in inter-departmental rivalries, as well as rivalries between political parties (notably the liberal party and social-democrat and green parties) with opposing views on the spatial planning. Finally, albeit at a higher policy level, it is obvious that political ideology in favour of deregulation, liberalization and privatization changes attitudes towards planning in general, as well as towards the pursuit of consensus.

## **Norway**

Political involvement in the planning process is robust and well adjusted to the activities the counties themselves have an influence on. All plans, municipal and county, must be adopted by the respective political body

before they have legal status. Major changes to existing plans must also be politically approved.

### **Poland**

Political pressures are manifested in particular circumstances. E.g. politicians representing parties with declining power are interested to maintain their influence in certain areas by supporting the policy of key firms retaining large firms under full or partial state ownership. Politicians from some regions promote particular investments, not always of real importance for the whole country. An example is the pressure and strong lobbying in favour of the construction of motorway A3, from Szczecin alongside the German border, even before the motorway connections between Warsaw and other large cities in the country.

### **Portugal**

There is no direct response in the national overview, but there is insistence on the importance of informal mechanisms.

The involvement of Portuguese civil society in spatial planning processes is steadily growing with several civic movements interested in themes with direct spatial relation as environment and urbanism. However, despite some legislative and procedural efforts on the part of the political and administrative authorities (such as the creation of consultation bodies in different sectoral and regional contexts), decision-making still seems to be excessively controlled by political and professional elites.

### **Romania**

The involvement of politics in (spatial) development policy implementation is particularly visible in pre-election periods. Institutions in charge of controlling public funds are weak at the local level and there have been credible reports of public resources being misappropriated for the interests of specific political groups.

### **Slovakia**

The involvement of politics in spatial and regional planning and implementation tends to be very high. This is explained by the political nature of decision-making in the approval process of planning documents and by the influence of partial interests, supported or not by politicians, in the implementation process.

### **Slovenia**

In some cases the connections of local politicians with certain lobbies play a role in the initiatives they undertake.

### **Spain**

There was no relevant comment in the overview.

## **Sweden**

As regards involvement of politics in policy implementation the overview stresses the fact of a growing detachment and disengagement of local politics (and political parties) from the national level ones. A new phenomenon is emerging in Sweden, that of an expanding autonomy of local political processes. These include cases where particular local issues form the basis for action or even for a new local party. Examples of such issues include immigration, preservation and protection of greenfield sites or services such as a local hospital.

## **Switzerland**

Involvement of politics in Switzerland has to do with conflicts between local level and regional or federal levels. Political controversy also results from existing co-ordination deficiencies. Certain comments in the national overview are relevant:

- The institutions cover operational areas of varying perimeters with different, partly overlapping, responsibilities and functions. Experts refer to the overlap of operational levels and functions as "multilevel governance".
- Lack of internal co-operation within administration on the federal level: An example of the committee for spatial organization (ROK). The exact role of the committee is not clear. Its competences are not used to make recommendations to the different administrative federal units.
- Lack of inter-community co-operation: Lack of cantonal long-term planning and internal co-ordination, although regional policy today covers a wide range of laws and policies.

## **United Kingdom**

The loss of power which local government has suffered since the 1980s was certainly inspired by political ideology, but this is of totally different nature from the interference of politics in the day to day operation of the planning system.

## **Conclusions**

The issue of the involvement of politics in actual policy implementation has been perceived and treated in various ways by the overviews. The question allows variations of interpretation, possibly on ideological grounds. One comment which we receive simply confirms that e.g. the approval of various plans is a matter of political decision. Sometimes though there is an insinuation that the interference of politics is to be deplored, probably on the assumption that politics should not be involved in what are matters of rational decision making. Some overviews put the emphasis on the shortcomings of the present status of representative

democracy and consequent impacts on spatial planning. Such a case is the discontinuity of priorities arising from the rotation of political parties in the posts of executive and legislative authority. The argument is that this change of priorities in every election period and hence the shortsighted perspective of politicians actually undermine the strategic value of planning, as well as implementation prospects. These are then seen as matters of political culture and of ossified administrative systems, for which a long process of civic education will be required. In the short run the priority is to eliminate the obvious rigidities of administration and its introverted, opaque processes.

On the other hand there is a group of countries stressing the transitional stage they are going through and the fact that under the circumstances their current political culture is marked by the replacement of former socialist cadres by other elites of a more pluralistic outlook. The danger of the introduction of forms of "primitive capitalism", which is still present in countries which have not gone through a socialist stage, is that it may subvert openness and transparency.

There is one more group of countries, the overviews of which refer implicitly to socio-political dividing lines and to the way these generate a convenient environment for political maneuvering. It seems that societies lacking a "spirit of consensus" and bedevilled by fragmentation and alleged separate identity of their constituent parts (social or geographical) allow room for excessive patronage of social views and mentalities. Such divisions (see also section 6) may follow "rural - urban", "centre - periphery", "north - south", "metropolitan - small centres" or inter-regional dichotomies, but also social, even ethnic, antagonisms. In such cases governance is far away from being embedded in the country's socio-political relations and practices. Socio - political divisions can explain attitudes to clientelistic and / or illegal practices of land use and spatial development confronted in Mediterranean regions. Governance practices may be difficult to implant in such social environments. On the other hand, it may be precisely through a governance approach that fragmentation, social dichotomies and patronage will be overcome.

## **Section 19. Forms of cross-border cooperation**

Given the importance of cross-border co-operation, first conclusions on the forms of cross-border, transnational and inter-regional cooperation were included in the 2<sup>nd</sup> Interim Report, even though at that stage the results of the analysis had been circulated to all partners to give them the opportunity to check and correct possible errors and omissions, a process which has now been completed.

Forms of cross-border cooperation present themselves in a great variety. Naturally, countries with long land borders and a considerable tradition of cooperation in the context of the EU have a richer experience of cooperation. Germany is a good example. This is why the best introduction to this section is a table reproduced from the German national overview, which provides a good picture of the variety of co-operation arrangements. A map included in the same overview is also an eloquent testimony of cross-border activity, but is not reproduced here. The comments quoted later in this section in the paragraph on Germany are also indicative of the broad range that cross-border cooperation can cover.



Table: Cross-border spatial planning structures and organisations in Germany

| Institutions and Modes of cooperation  | Work results  |
|--|---|
| <b>European level</b>  |   |
| Council of Ministers   | Structural policy   |
| European Commission  |   |
| European Conference of Ministers for Spatial Planning  | European Spatial Development Perspective  |
|  | Recommendations (Charta for Spatial Planning)   |
| Council of Europe  | Action Models (Framework Convention)  |
| Association of European Border Regions   | European Charta of border and cross border regions, political implementation and advice             |
| <b>National, bilateral, multilateral level</b>   |   |
| Government commissions   | General spatial planning objectives   |
| Sectoral minister conferences  | Recommendations for action  |
| Binational/multinational working groups  | Coordination of national and subnational spatial planning policy                                    |
|  | Elaboration of national "agendas of co-operation"   |
|  | Project planning and monitoring   |
| <b>Subnational level (also multilateral)</b>   |   |
| Expert committees and working groups   | Elaboration of subnational development objectives   |
|  | Elaboration of regional agendas of co-operation   |
|  | INTERREG/PHARE consultations  |
|  | Coordination of subnational (municipal, district, State) spatial planning policy with federal level |
| <b>Local level</b>   |   |
| Euroregions, cross border urban networks, local and regional working groups, project initiatives | Space of reference of cross border structural policy  |
|  | INTERREG/PHARE project management   |
|  | Development of practical local missions statements and concepts for action                          |
|  | Coordination of cross border activities on local level  |
|  | Implementation of strategic key projects  |

Source: German national overview, after ARL 1999.

## **Austria**

The priorities of the Interreg Initiative as applied in Austria include economic cooperation, human resources and regional co-operation, sustainable spatial development and support for border regions. Under Interreg IIIA, Austria participated in 4 programmes with new EU member states (Czech Republic, Slovakia, Hungary, Slovenia), aiming at their successful integration in the EU space, and 3 programmes with old member countries (Germany, Italy), focusing on the Alpine area. Under Interreg IIIB, Austria takes part, with all its provinces, in 2 programmes, along with 6 other countries, mainly dealing with the Alpine space, and in CADSES. Under Interreg IIIC, Austria takes part in wider programmes, not necessarily with joint borders, for the exchange of experiences. In the context of the CADSES area, Austria co-operates with 16 countries in central and eastern Europe.

In the context of EUREGIO, a special form of regional co-operation for trans-border tasks, all the Austrian regions are extremely active. The first such project involved the Upper-Austrian region Múhlviertel, Bavaria and Southern Bohemia and included activities in the fields of tourism, culture, small and medium-sized enterprises etc. Other examples are the EUREGIO "West / Nyugat Pannonia" co-operation between Burgenland and Hungarian regions, the EUREGIO "Styria / Slovenia", involving 4 Styrian regional agencies and Slovenian regions, and EUREGIO Inntal, with Austrian and German membership.

Cross-border standing committees have been established with all the countries neighbouring Austria.

## **Belgium**

There are several forms of cross-border cooperation, at EU level, with neighbouring countries, at the level of individual regions and cities (Eurocities). There is a problem of infranational inter-regional co-operation, for example between *Bruxelles-Capitale* FUR and the surrounding Flemish province. Plans stop right at the borders while space is of course integrated. There are several Interreg projects. The co-operation scheme known as "2<sup>nd</sup> Benelux scheme" of the 1990s must also be mentioned.

## **Bulgaria**

Bulgaria participates in the establishment of several Euroregions, with its neighbouring countries, as well as in other initiatives (frontier park, tourism development etc.).

## **Cyprus**

Cyprus is an island and therefore cross-border cooperation in the sense that such cooperation exists between countries sharing common land boundaries does not exist. However some forms of cooperation exist and

are promoted between Cyprus and the neighbouring countries (as well as international bodies) in the fields of telecommunications, civil aviation, administration of air corridors (FIR), sea transport, etc. The unique situation in Cyprus, created by the forced division of the country and the presence of occupying forces, vis-a-vis the systematic efforts to find a solution to the Cyprus problem, necessitates the co-operation between the two communities on a number of issues. Cooperation has been established between the two Mayors of the forcibly divided city of Nicosia for the production of a joint Master Plan. Cyprus takes part in an Interreg IIIA programme with Greece.

### **Czech Republic**

The trans-national and cross-border co-operations in the field of spatial development are coordinated by the Ministry of Regional Development and supported by other institutions established or initiated by the national government such as the Centre for Regional Development and Regional Development Agencies. Cross-border cooperation happens mostly within the framework of Euroregions .

### **Denmark**

A major example of cross-border cooperation is the Øresund region, i.e. a region surrounding Copenhagen in Denmark and Malmö in Sweden. The linkages within the region were reinforced by the Danish and Swedish government's decision in 1991 to build a combined railway and motorway bridge across Øresund.

The Øresund Committee was founded in 1993 after the decision was made to build the fixed link. The committee is a political cross-border co-operation of local and regional authorities on both sides of the Øresund and the two governments have an observatory role. Today, the Committee is the main political body of bilateral collaboration in the region. Its goal is to enhance the integrated development of the region and the cross-border co-operation on all levels. The Øresund Committee functions as a political platform, a meeting place, catalyst, and network builder, e.g. it has been a catalytic converter for numerous cross-border initiatives such as the cultural forum and the Øresund Labour Market Council and the Øresund University (see also section 10). It does not act as a local or regional government but as a meeting place for the elaboration of public strategies on both sides of the border (there are no private actors in the committee). It is financed by the members and also hosts the secretariat for the EU INTERREG IIIA programme. The bodies Greater Copenhagen Authority (HUR) and Region Skåne are the two other main regional players in the regionalisation process of Øresund. Their purpose is to structure the governance of the metropolitan areas of Copenhagen and Skåne. Currently there is no formal joint spatial development strategy between C & M or in the Øresund region. However, across Øresund, there is a broad range of co-operations on spatial planning. In 1994 the Danish and Swedish government decided on a joint

“environment programme” for the region, OR where environmentally focused physical planning was a central element.

Between Copenhagen and Malmö the ambitions for a formal cooperation on planning are rather low, but between these two cities there are also joint meetings between planners and mutual orientation and hearings. There are important and formal cooperation between local and regional authorities on both sides of the Strait in connection with the to INTERREG Initiative. Such is the STRING programme, which is not directly related to physical planning, but concerns issues with great spatial impact. In the Danish – German boarder region (Sonderjylland – Schleswig-Holstein) there has been since 2001 a formal cooperation concerning regional planning, transport, environment and culture. The cooperation is concentrated on specific projects and on exchange of experience and information between civil servants. A council consisting of politicians from the regional level formally manages the cooperation.

### **Estonia**

Examples mentioned in the national overview are those of the Tallinn-Helsinki Euregio and the cross-border planning initiative Valga-Valka (Estonia –Latvia).

### **Finland**

Finland participates in several Interreg III programmes, 6 of cross-border cooperatrion under Interreg IIIA, 2 of transnational co-operation in large territories (Baltic Sea Region and Northern Periphery) and in Interreg IIIC, implemented in co-operation in the entire Community area and its neighbouring countries. The Ministry of the Interior coordinates cross-border co-operation (Interreg and bilateral agreements) that the different regional and local actors carry out with their counterparts in the Nordic and Baltic countries and Russia (training, cooperation between companies, exchange of experts and cultural exchange). An example of co-operation with neighbouring areas is the Action Plan for the Northern Dimension (Russia, Baltic countries, Poland, Baltic Sea area), which covers regional policy, environmental issues, energy, human resources, health, crime control etc. The “Northern Dimension” is funded by Interreg, Phare CBC and Tacis CBC. Cross-border and trans-national cooperation in environmental matters takes place between Finland, Russia and the Baltic countries through Finland’s National Programme for the Protection of the Baltic Sea and the programmes of the Baltic Marine Environment Protection Commission (HELCOM). They deal with water pollution, air protection, biodiversity, hazardous wastes etc.

Finnish regions are members of international organisations, such as the Assembly of European Regions (AER), the Peripheral Maritime Regions of Europe (CPMR), the Association of European Border Regions (AEBR) etc. An example of joint planning agency and / or committee at the regional level is the South Finland Regional Alliance. According to the vision of the Alliance, Southern Finland will be a high-level business centre in the Baltic

Sea Region. The Gulf of Finland Growth Triangle is a new innovative model for the development of regional and economic co-operation between Southern Finland, Estonia and St Petersburg. Particular emphasis is placed on public – private co-operation. Neighbouring areas with a history of conflicts now join forces to explore possibilities of economic growth (South Karelia in Finland and the Karelian Republic in Russia). Several examples of realized projects exist, funded through TACIS CBC. They include Russian – Finnish programmes for pollution control in the Bay of Vyborg, for youth cultural exchanges etc.

Finnish local authorities are members of several international co-operative associations, for example Eurocities, which represents Europe's large cities, and the Union of the Baltic Cities, and they are also active through the Council of Europe. Town twinning and regular contacts with foreign municipalities are frequent. An example of cross-border co-operation at the local level is the Eurocity Haparanda (Sweden) – Tornio (Finland), aiming at building a new urban centre to promote business development, housing, job creation, education, culture and leisure possibilities. The project has already significant and concrete results (integrated transportation infrastructure, common police station, houses for the elderly and a shopping mall). The cities have a common development strategy to develop the twin city as a node of the Bothnian Arc and as a gateway to the Barents region.

Three Finnish regions and the republic of Karelia (Russian Federation) formed a Euro-region as part of the Tacis Programme.

## **France**

Trans-national and cross-border co-operation were made possible for France by the Madrid convention in 1980. A 1992 law has officially allowed local authorities to sign conventions with other foreign local authorities. A 1995 law has made possible to sign treaties with neighbouring countries (example: SAR-LOR-LUX space).

The development of exchanges and partnership between firms, as well as technology transfers, take place in the framework of a convention or thanks to the settlement of a co-operation institution, e.g. the "Eurorégion Nord-Pas-de-Calais, Kent, Flemish regions, Brussels and the Wallony".

A recent law (2004), dealing with local liberties and responsibilities, allowed the creation of European districts and the local organisation of trans-border co-operation, on the initiative of local authorities. The districts have financial and organisational autonomy.

Apart from possibilities offered by the national framework, the *INTERREG* initiative must be mentioned, but also *UBAN II* and *LEADER +* in the field of exchanging experiences, and the *EQUAL* programme which developed transnational partnerships, in order to fight discrimination at work.

A large number of arrangements of cross-border urban cooperation exists, most of them involving a joint plan and a joint standing committee, with

the participation of institutional actors from France, Belgium, Germany, Switzerland, Italy and Spain. This is equally the case with broader cross-border territorial forms of co-operation between France, the United Kingdom, Belgium, Luxembourg, Germany, Switzerland, Italy and Spain.

## **Germany**

Germany is involved in a large number of cross border co-operations (see also table from German overview at the beginning of this section). Many efforts rest on activities of the Council of Europe, especially the 1980 convention for improving cross-border co-operation (e.g. treaty with the Netherlands in 1992, allowing direct cross-border cooperation between municipalities).

The highest institutional form of German cross-border cooperation is the government commission (*Regierungskommission*). Government commissions are supposed to foster the international dialogue by fixing processes and or rules consulting cross border stakeholders. In the field of spatial planning, the Dutch-German spatial planning commission was established in 1967. Its duties are to coordinate cross border planning projects and to formulate general planning objectives for cross border spaces. Further government commissions exist with Germany and Belgium, France, Luxemburg, Austria, Switzerland and Poland respectively. The latter produced a spatial planning mission statement for the German-Polish border regions in the 1990s.

Apart from informal personal contacts there are large variety of cross-border working groups and boards between authorities responsible for spatial planning and those responsible for a sectoral policy (e.g. between Germany on one hand and Dutch, Belgian and Polish regions on the other).

The Association of European Border Regions (AEBR) based in the German city of Gronau acts as lobby institution for co-operating border regions, especially for the so called EUREGIOS or Euroregions.

Encouraged and activated by the work of the government commissions, regions and municipalities started fostering cross-border activities. The EUREGIOS or Euroregions act as co-operation bodies on the municipal level. In Germany, 21 institutions exist which follow objectives of cross border co-operation and administer European Funds, especially INTERREG for their territory. In the 1960s and 1970s Euroregions between Germany and Dutch, French and Austrian regions were established, co-operations with Swiss, Polish and Czech regions followed in the 1990s. It is important to stress that a Euroregion is no new administrative body in the planning system but adopts co-ordinating activities between the national oriented projects and tasks of its member regions. Euroregions are particularly involved in the INTERREG funds management. Projects are normally even implemented by responsibility of one selected national region.

Germany is involved in five INTERREG programmes, namely the Baltic Sea area, the Central and Southeast European area (CADSES), the North Sea

area, Northwest Europe (until 1999: Northwest European Metropolitan Area), the Alpine Space (since 2000) and the programme region "Preventive Flood Protection Rhine/Meuse" (1997-2003).

International Commissions exist for the protection of large rivers, streams and lakes, the oldest dating back to 1950. In order to prevent deterioration of the water quality, to prevent floods and increase biodiversity, standing conferences with members from all respective adjacent states work for the Rhine, Mosel and Saar, Danube, Oder and Elbe river and for the Lake Constance. Younger commissions have elaborated recommendations regarding environmental audits for projects touching their rivers.

### **Greece**

Greece has signed various types of agreements with Turkey, Bulgaria, FYROM, Albania and Cyprus. It shares responsibility with Bulgaria for cross-border Euroregions, which had limited activity so far. It was only recently that regional authorities acquired the right to enter cross-border partnerships. Greek cities and municipalities are active in a variety of city networks.

Greece has developed several programmes funded through the Interreg Initiative. It takes part in 6 Interreg IIIA cross-border programmes with Bulgaria (Phare CBC), FYROM, Cyprus, Albania, Italy and Turkey respectively. The subject areas covered, depending on the case, include transport and cross-border infrastructures, economic development and employment, competitiveness, telecommunications, border security, quality of life, environmental protection and culture. Greece is also part of 3 transnational programmes under Interreg IIIB (CADSES, Archimed, MEDOCC) and 2 interregional programmes under Interreg IIIC (East Zone and South Zone).

### **Hungary**

Transnational cooperation is essential for Hungary, this land-locked country, a new member state of the European Union. The Euro-regions are local government initiatives, mostly limited in social and cultural activities due to lack of resources. Interreg areas are recent. Co-operation with regard to environmental matters concerns the following areas: River Tisza, Donau, Alps – Adria (supported by the Council of Europe). Bilateral cooperation exists between Hungary and Slovakia on environmental matters (nature conservation) and on the planning of cross-border regions.

### **Ireland**

The EU Initiatives include LEADER and URBAN. European funding, EU initiatives and policy directives have all had very significant impacts on the Irish spatial planning system. Ireland was considered as a single NUTS II Region and the entire country had Objective 1 status. In order to

maintain EU funding for those areas, the government divided Ireland into two NUTS 2 regions - the BMW region, which remained eligible for Objective 1 status; and the S&E region, which qualified only for the Objective 1 Transition fund, which will cease in 2006. Ireland has also received funds from EU initiatives that have had a knock-on effect on land-use planning. The most important of these have been Interreg, Leader and URBAN. Interreg funding has been important in fostering cross-border cooperation with Northern Ireland in the case of Interreg I, and with Wales in the case of Interreg II. Leader programmes have operated in rural areas of Ireland since the beginning of the programme.

## **Italy**

With regard to Interreg areas, it must be mentioned that Italy is involved in 4 transnational cooperation areas. A new centrality and self awareness in the construction of the European space is found in border regions in the North since 1990. The long time span of the cross-border element of the Interreg Initiative contributed to a progressive re-establishment of an equilibrium between central and peripheral regions in terms of indicative and organizational capacity.

## **Latvia**

Several activities exist or are in the process of making, supported mainly through EU assistance. Projects have resulted in investments in infrastructure, human resource development and preparation of large-scale projects, as well as contributed to strengthening of capacity of regional development institutions. Cross-border cooperation in the Baltic Sea Region covers separate projects, town twinning activities, involvement of NGO's and establishment of Euro regions. Other European programmes include PHARE. Latvia participates in 5 Euro-regions.

## **Lithuania**

EU programmes include PHARE and INTERREG programmes. There are several schemes of cooperation with neighbouring countries (Latvia, Belarus, Poland, Kaliningrad Region of Russian Federation), across the Baltic region and between individual countries regarding territorial planning and urban development. (Finland and the Netherlands). The projects are financed by different sources. Lack of long-term funding is mentioned as a problem. An important project is the international project on Via Baltica Spatial Development Zone, which involves also international cooperation in building a new rail axis (the *Rail Baltica* project).

## **Luxembourg**

There are several Interreg and cross-border cooperation projects. The cooperation scheme known as "2<sup>nd</sup> Benelux scheme" of the 1990s must also be mentioned.



## **Malta**

Interreg programmes concern rural development projects. Malta takes part in a 9-partner Euromed Heritage II network. Involvement with the LIFE Initiative concerns nature protection. There are no cross-border agencies in Malta.

## **[The] Netherlands**

Cross-border co-operation in the field of spatial planning has a long tradition. It originates in treaties signed in the 1970s with neighbouring countries. Of particular importance is the co-operation, since 1969, with the other two Benelux countries, a cooperation steered by a Ministerial Working group and operating under the co-ordination of the Special Commission for Spatial Planning, of which the secretariat is at the Secretariat-General of the Benelux Economic Order. The agenda of the Commission features all subjects with a territorial dimension connected to cross-border cooperation.

The responsibility of the Commission includes cross-border consultations, which feature regional files - and where important - have national subjects on the agenda. Especially important for the Netherlands are the border commissions VLANED (Flanders-Netherlands), covering the western part of the border area with the Dutch provinces Zeeland and North Brabant, and the "Border commission East" covering the Dutch Province of Limburg, as well German and Belgian regions. The Netherlands cooperates with Germany within the Dutch-German Commission for Spatial Planning based amongst others on a 1977 agreement covering Dutch and German regions. The Commission itself recently celebrated its 50<sup>th</sup> anniversary. The sub-commissions of this agreement deal with all subjects related to spatial planning that are connected to cross-border co-operation. Important products by the sub-commissions are cross border development perspectives that feature joint policy goals worked out in concrete action programmes. Several ministries and chambers take part, with the Euroregions as observers.

The country participates in three strands of the current phase of Interreg (2002 to 2006), i.e. Interreg IIIA (cross-border cooperation), Interreg IIIB (transnational cooperation), with involvement in two programmes (North Sea and North-Western-Europe), and Interreg IIIIC (interregional co-operation). The Ministry of Housing, Spatial Planning and Environment (VROM), which leads the last two in the Netherlands, considers the Interreg program of 'great significance for international spatial management'.

## **Norway**

Cooperation in the context of the INTERREG Initiative dominates completely the national / regional field. Norway is an EFTA country and not an EU member, but can work jointly with EU member countries under the Interreg Initiative. The "ARKO collaboration" between a Swedish

county and a Norwegian region, started, in its original form, in 1965 and was called a "county planning group". It included three specific collaborations, of which one, the ARKO-region (Arvika-Kongsvinger), is still in operation. It is headed by a Norwegian-Swedish committee where members were selected by the local authorities and industries in the region and the administration was handled by the county administrative boards. The aim of the committee's work was to develop the manufacturing sector and to produce joint information aiming at attracting new businesses to the region. The ARKO-region collaboration has taken different forms during the years, but it was revitalised with the new funding opportunities that the Interreg programmes brought from 1995 when Sweden joined the EU. The aim now is to turn the border from a barrier to a resource, by concentrating on the labour market, communication, education, tourism, trade, industry and cultural exchanges.

### **Poland**

Effective cross-border coordination has been accomplished only in the case of the Polish-German border area and to a lesser degree in the case of the Polish-Czech border area. There are some strict preconditions for effective cooperation, e.g. similar scope of competence and territorial responsibility. In this sense Euroregions of the East Carpathians, Bug River, Niemen River and the Baltic Sea are a source of problems mainly because of the strong differences in competences of local governmental units in the neighbouring countries. Another problem is caused by their excessive spatial reach. For the Polish-German borderland a Study of Spatial Organization is under preparation. The experience of nature protection co-operation (transborder biosphere reserves) is positive.

### **Portugal**

An increase in co-operation initiatives is apparent since the early 1990s. Until recently territorial co-operation was almost exclusively restricted to twinning agreements between cities and municipalities, and found limited expression in a few cultural initiatives. The influence of European Union policies has been decisive, because the various Community initiatives aimed at boosting partnerships and networks among different actors and were especially directed at the active involvement of the marginal, more vulnerable areas of Europe, both rural (Leader) and border areas (Interreg). Strategic alliances are now evident, particularly for larger cities, e.g. the two main Portuguese urban centres, Lisbon and Porto.

The new impetus of trans-border co-operation among regions has mobilized the involvement of public and civil society bodies, e.g. Local Development Associations and Entrepreneurial Associations, in addition to municipalities, in Work Communities and Transborder Initiatives (e.g. multi-actor centres of studies, cultural centres, trade fairs and city networks). In the context of the Interreg programme joint cross-border studies were initiated. Northern Portugal and Galicia, brought together by their cultural and linguistic proximity, joined forces in the only European

service for the border regions (EUREST) between Portugal and Spain. Porto is now the city-headquarters of the Peripheries Forward Studies Unit (of the Conference of Peripheral Maritime Regions of Europe).

A large number of initiatives with non-European countries have been undertaken, especially with Latin American countries and the Portuguese-speaking countries throughout the world. There are also many examples of international city networks in which Portuguese cities are involved, which normally have a thematic scope (tauromachian cities, world heritage cities, learning cities). Worth mentioning are (1) Eurocities, the well-known network comprising 120 medium-sized and large European cities, where Porto has a prominent role, (2) the "Atlantic Axis of the Peninsular Northwest", involving the the main cities of the Northern Portugal-Galicia Euroregion (active in tourism, energy, social development, infrastructures, strategic planning and sports), and (3) the Lusophone Union of Capital Cities (Lisbon, Brasília, Luanda, Maputo, Praia, Bissau, Dili).

## **Romania**

Transboundary cooperation exists within the frame of PHARE Cross-border Cooperation Programme. Romania and Hungary are to strengthen economic co-operation in the border region by supporting relations among

- Institutions representing the business sector and encouraging SME initiatives, strengthening the cross border partnership;
- Romania – Bulgaria (Accession country) (as above);
- Romania – Moldova /Serbia-Montenegro /Ukraine ( Non-EU Countries) to support the further development of the economic potential of the border regions and to pave the way for the future Phare CBC/Neighbourhood programmes.

Transnational activities in the form of participation of public planning agencies and universities in planning activities under INTERREG IIC and INTERREG IIIB are reported. There are no joint planning agencies. The Phare CBC Programme (1998-1999) triggered joint spatial planning initiatives. A large number of institutions, development agencies, central and particularly local authorities, NGOs, representatives of the communities and the business sector have been involved in consultation.

19 Romanian counties (NUTS 3) are members of 10 Euroregions, in particular 3 Euroregions which include communities in new Member States (Hungary, Slovakia, Poland). Emerging joint planning activities include infrastructure development projects.

## **Slovakia**

Joint commissions or committees come spontaneously into being as a result of the activities of the Euroregions. Among them the agreements and arrangements between individual cities are of prime importance. An outstanding example is the agreement between Bratislava and Vienna.

## **Slovenia**

In Slovenia there have been (and still are) different forms of cross-border co-operation from the ideas of Euro-regions, INTERREG Initiative areas, the programs on environmental matters (Alps and Adriatic), There were different initiatives for accession countries and other European programs like Phare, Tacis and other.

## **Spain**

Spain is intensively involved in INTERREG III programmes, aiming at the improvement of regional development and cohesion policies, through trans-national / inter-regional co-operation, and in particular (strand INTERREG IIIB) at promoting a high degree of integration between European regions grouped in great spaces of transnational co-operation.

Catalunya and the Eastern Pyrenees are involved in the programme INTERREG III A "Spain/France", while all the regions of EURAM (see below) are members of INTERREG IIIB programmes "South-West Europe" (Spain, France, Portugal, UK) and "Western Mediterranean" (the same countries, plus Italy). They are also included in the "South" zone of the interregional co-operation program INTERREG III C. There are several examples of INTERREG projects related to sea transport in which Catalunya, Valencia and the Balear Islands participate (Beachmed, PortNetMed Plus, PortsNets). 17 programmes have been developed under the initiative Leader +, among Autonomous Communities.

Euroregions form a third level of government based on cross-border regional co-operation, based on geographic and economic natural borders, with the hope that they will accelerate European integration and local economic development, by sharing costs. Several interregional co-operation initiatives have emerged, with multi-sectoral character, often involving groupings of geographically separated regions, which try to position themselves in the European integration process. In the case of Spain, these initiatives include the so called "Arcs", Work Communities and Euroregions. The Mediterranean Arc (regions of Spain, France, Italy) was born out of the Conference of Maritime Peripheral Regions to counterbalance the economic cores of Europe. The Latin Arc (regions of Spain, France, Italy) is an economic region integrated in the South of Europe that comprises territories of the Occidental Mediterranean, with common historic, cultural, socio-economic, geoclimatic and environmental characteristics. The Mediterranean Spanish Arc is a form of co-operation of Spanish regions, aiming at a better integration in Europe of the coastal space on the east and south of the Iberian peninsula. The area includes a dense system of a hierarchy of cities, i.e. a European metropolis (Barcelona), a regional metropolis (Valencia and Malaga) and a group of cities of sub-regional ranking.

The Work Community of the Pyrenees comprises both Spanish and French regions, plus Andorra, and aims at transforming the Pyrenees into a meeting point for interchanges, by focusing on infrastructures,

technological development, culture, sustainable development etc. The 13 million Pyrenees-Mediterranean Euroregion (France and Spain) started operation in 2004 and has similar goals. It might be opened to the Maghreb countries. Given that a population of at least 10 m. may become a standard for future European regions and that such regions should build on intense common trade, structural interdependence and a common tradition, EURAM, the Euroregion of the Mediterranean Arc should work in this direction.

The Work Community of Galicia - North of Portugal covers another area of intense internal links, inspite of variations in economic specialization, with a high potential for future development. The Bidasoa-Txingudi Cross-border Consortium of an area on the Spanish - French border is another example of cross-border collaboration.

## **Sweden**

The CPMR network (Conference of Peripheral Maritime Regions of Europe) includes 149 Regions from 27 States –both members and non-members of the EU- all located in one of Europe’s main sea basins. They co-operate in order to strengthen their competitiveness. The Organization was founded in 1973 and among its aims are:

- To create awareness among the European Authorities about the need to tackle major disparities between the central part of Europe and its peripheries,
- To ensure greater involvement of the regional level in European integration.

The CPMR is an association. Its financial resources are based on dues paid by its member regions. The CPMR includes a number of different geographical commissions, one of which is the Baltic Sea Region. There are 30 member regions (maritime and non-maritime) in the Baltic Sea Commission of the CPMR. At present the BSC has member regions from all the Baltic Sea countries except Russia. The Baltic Sea Commission contributes to the debate on EU governance and a polycentric model of future Europe as well as to sectoral issues important to BSC member regions such as transport, cross-border cooperation and human resources and employment.

In 1965 the first organized form of co-operation between the county of Varmland in Sweden and the Norwegian Ostland was established. The group consisted of officers from the County Administrative Board of Varmland in Sweden and the county administrations of Hedmark, Ostfolds and Akershus Fylke in Norway. From 1968 onwards the collaboration has been extended to include annual deliberations between the county governors of Varmland and the three Norwegian counties. One of the specific collaborations which started then, is still running: the ARKO-region (Arvika-Kongsvinger). This is headed by a Norwegian-Swedish committee constituted by representatives of L.As and industries of the involved regions. The ARKO region has changed forms in the course of time. Recently it has been revitalized due to the new funding opportunities offered by the Interreg programmes. Today the ARKO collaboration involves seven Norwegian and four Swedish L.As. The main focus of ARKO

work is on labour market development across the borderline, communication and education, the elaboration of tourism projects and cultural exchange.

## **Switzerland**

Cross-border spatial planning takes place in the trinational agglomeration of Basel. Cross-border territorial planning also exists between southern Switzerland and the Lombardy region of Italy.

The Alpine Initiative aims at protection of the Alpine environment. The resulting constitutional amendment requires that all freight transit through the Alps be transferred from road to railway by 2005. A Heavy Goods Vehicles Tax (HGV) was introduced. Two-thirds of the revenues from this tax will be used to finance rail alpine tunnel projects and other public transport infrastructure investments, and a part will be channelled to the cantons.

## **United Kingdom**

In N Ireland a North/South Ministerial Council was established in December 1999 following the Belfast (Good Friday) Agreement, to develop consultation, co-operation and action within the island of Ireland.

European-funded projects such as Interreg and Leader Plus projects have played an important role. Three Interreg IIIA programmes (cross-border co-operation between neighbouring authorities on spatial development, developing cross-border economic and social centres through joint strategies for sustainable territorial development) are operational in the UK, with France and Ireland. There are 125 projects involving UK partners funded by Interreg IIIB (transnational co-operation on spatial development between national, regional and local authorities and a wide range of non-governmental organisations). UK partners take part in 68 projects funded by Interreg IIIC, to improve the effectiveness of policies and instruments for regional development, mainly through large-scale exchange of information and experience.

Many UK cities are involved in networking at the European level, for example as part of METREX or Eurocities.

## **Conclusions**

### Definitions

Transfrontier and inter-territorial cooperation is an extremely diverse field and the 1980 "European Outline Convention on Transfrontier Cooperation between Territorial Communities or Authorities" itself includes, for guidance only, a variety of possible types of agreement.

Three types of transfrontier cooperation are usually distinguished:

- “Cross-border cooperation: Cooperation at regional and local level between territories which are situated close to the national borders;
- Trans-regional or inter-regional cooperation, implying cooperation between regions, which do not necessarily have to be placed in contiguous territories;
- Trans-national cooperation, implying cooperation between national states, which may or may not have a common border”<sup>30</sup>.

The European Outline Convention mentioned above defines transfrontier cooperation as follows<sup>31</sup>:

For the purpose of the above Convention, “transfrontier cooperation shall mean any concerted action designed to reinforce and foster neighbourly relations between territorial communities or authorities within the jurisdiction of two or more Contracting Parties and the conclusion of any agreement and arrangement necessary for this purpose. Transfrontier cooperation shall take place in the framework of territorial communities’ or authorities’ powers as defined in domestic law. The scope and nature of such powers shall not be altered by this Convention... [T]he expression ‘territorial communities or authorities’ shall mean communities, authorities or bodies exercising local and regional functions and regarded as such under the domestic law of each State. However, each Contracting Party may, at the time of signing this Convention or by subsequent notification to the Secretary General of the Council of Europe, name the communities, authorities or bodies, subjects and forms to which it intends to confine the scope of the Convention or which it intends to exclude from its scope”.

#### Categories of cooperation and comments

A tentative grouping of forms of cross-border cooperation is attempted in the following table:

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<sup>30</sup> J. Piliutyte and S. Radvilavicius, *Comparative Analysis of Euroregions on the Territory of Lithuania* (<http://66.249.93.104>).

<sup>31</sup> Council of Europe / CETS No 106 (<http://conventions.coe.int>).

|  |  |
|--|--|
| Euro-regions   | Austria, Belgium, Bulgaria, Czech Republic, Finland, France, Germany, Greece, Hungary, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Romania, Slovakia, Slovenia, Spain   |
| Functional Urban Areas or Regions (FURs)   | Denmark, Germany, Malta, Switzerland,  |
| INTERREG Initiative areas<br>(Note: possible overlaps with other categories)             | Austria, Belgium, Bulgaria, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K. |
| Initiatives for accession countries (e.g. Phare-CBC)                                     | Bulgaria, Czech Republic, Finland, France, Germany, Greece, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, Slovenia,   |
| Other European Initiatives and programmes  | Germany, Malta, Portugal, Spain, Sweden  |
| Other forms of co-operation between neighbouring countries or regional country groupings | Austria, Belgium, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Luxembourg, Malta, Netherlands, Portugal, Slovenia, Spain, Sweden, U.K.   |
| Other programmes of international organizations  | Hungary, Lithuania, Malta  |
| Experience - exchanging partnership with non European countries                          | Malta, Portugal, Spain, Sweden   |
| City networks and co-operation between cities  | Belgium, Finland, Germany, Greece, Ireland, Lithuania, Luxembourg, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, U.K.  |

There is no doubt that the variety of cooperation arrangements, under European or national initiatives, causes problems of classification and it was for this reason that we included at the beginning of the section a table from the German overview. The countries reviewed, collectively, share a rich experience of cross-border, transnational and inter-regional cooperation and a broad range of arrangements, which proved difficult to categorize. A first, more analytical, tabulation proved unwieldy and full of "cells" occupied by one country only. In the event, the summary table we produced presents a more concise picture.

It is obvious from the table that the institution of the Euroregions is widely used in Europe, although even within this category precise legal



arrangement probably show variations. Besides, Euroregions are not exactly a new form of government and their political competencies are those of the local and regional actors that constitute them. Members of Euroregions have different identities, i.e. regional, provincial and local. Even the terminology used varies, even though the terms Euregio and Euroregion dominate. According to the legal service of the Council of Europe, the legal status of Euroregions may involve a community of interest or working community without legal personality, a European Economic Interest Grouping, a non-profit making association, operating under private law of one country taking part, or a public body. Euroregion status is interpreted differently in different countries.

Another, not surprising, conclusion is the wide use made of the opportunities offered by the Interreg Initiative. Virtually all countries report involvement in inter-regional, transnational and trans-territorial schemes which were set up through Interreg. It is obvious that here we witness a success story, of great significance for European cohesion, particularly if we take into account the opportunities for cooperation with non-EU member states.

In geographical terms, the countries of Central and Northern Europe are particularly active in the formation of cross-border and transnational co-operative schemes. This is obviously related to historical and cultural conditions. Particularly encouraging is the fact that long standing enmities are being overcome through cross-border cooperation arrangements. Urbanization spreading on either side of dividing borders is a critical factor encouraging co-operation, as witnessed by arrangements in functional urban regions. Other themes like environmental protection are also frequently the focus of cooperation. Having said that, it is however impressive that cooperation revolves around a very broad range of issues, from infrastructures to culture and from economic competitiveness to citizen services and quality of life. It is necessary though to point out that in some cases cross-border cooperation exists on paper, but with limited activity on the ground. One explanation may be the lack of political maturity and the somewhat uncertain stage of development of political relations between neighbouring countries, especially when they are not both EU member states.

Transnational and even more so cross-border co-operation presents itself in a very distinct way for certain countries, for geographical reasons. The obvious case in mind are island states. To geographical reasons one should add political uncertainties, of which the paramount example is Cyprus.

To summarize the above comments, we can indicate the relevant issues touched upon in the national overviews as follows:

- Broad variety of cooperation arrangements defying easy classification;
- Popularity and variety of Euroregions;
- Success of arrangements under the Interreg Initiative;

- Large number of examples of cross-border cooperation in Central and Northern Europe;
- Cross-border cooperation involving extensively urbanized areas and functional urban regions;
- Importance of environmental concerns as factor encouraging cooperation;
- Broad range of issues tackled through cooperation;
- Special case of island nations;
- Special case of Cyprus and its forcibly divided territory;
- Existence of cross-border arrangements with negligible activity.

### Analysis of cooperation examples

We proceeded to a further analysis of the cases of transfrontier cooperation, as they were reported in the national overviews of the project, which for this purpose were the exclusive source of information used. In producing this in depth analysis of cross-border cooperation, which was also included in the 3<sup>rd</sup> Interim Report, 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 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. It is significant that often a particular case was not reported in the overviews of all the countries involved.

In the table 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 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. Another example is a case of cooperation between Portugal, Spain, Argentina and Brasil (in the category "Cross-border working groups and boards etc."), indications for which were found in the overview of Portugal. In the category "Cross-border agreement or collaboration" there is reference to a case of cooperation between Finland and Russia, information for which was obviously found in the Finnish overview. Incidentally, these examples show that sometimes cooperation involved countries beyond those covered by the ESPON 2.3.2 project.

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 perhaps certain categories should be amalgamated. The category "Euroregions" is certain to be not exhaustive and possibly includes overlaps.

The number of cases we identified in the overviews is 73. As we explained earlier, in some cases of cross-border cooperation, the overview authors may have followed different definitions and terminology, with regard to the same form of cooperation. It will be noted that apart from the categories of cooperation forms in these tables, further groupings were proposed (Grouping A and Grouping B), in order to have a more “compact” classification. The results of these aggregates are shown in the following table.

**CROSS-BORDER AND TRANS-FRONTIER COOPERATION / ANALYSIS OF NATIONAL OVERVIEWS**

| Form of cooperation   | Cases reported | Cases reported | Cases reported   | Countries involved total | Grouping (A)* | Grouping (B)**   | Countries EU involved   | Countries outside EU involved |
|---|----------------|----------------|--|--------------------------|---------------|--|---|-------------------------------|
| 1. Joint Planning Agency  | 7              | 6              | Germany-Netherlands, France-Germany (?), France-Belgium (?), Netherlands-Belgium-Luxembourg, Cyprus-Turk. Community, Finland-Estonia-Russia, Denmark-Sweden  | 10                       |               |  | Germany, Belgium, Cyprus, Estonia, Finland, France, Luxembourg, Netherlands, Denmark, Sweden  | Turkish-Cypriot Community     |
| 2. Joint Plan-Standing committee  | 11             | 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, Denmark-Germany                                 | 13                       | 15 (1+2)      | Joint planning 20 (1 to 4)                                       | Germany, Belgium, Denmark, Estonia, Finland, France, Latvia, Luxembourg, Netherlands, Norway, Spain, Sweden, Switzerland                                    |                               |
| 3. Local authority cooperation treaty or agreement  | 3              | 3              | Germany-Netherlands, France-Belgium-Luxembourg, Portugal-Spain   | 7                        | 13 (3+4+5)    |  | Germany, France, Belgium, Netherlands, Luxembourg, Portugal, Spain  |                               |
| 4. Joint plan-No standing committee   | 6              | 6              | France-Belgium, France-Italy, France-U.K., Hungary-Slovakia, Switzerland-Italy, Slovakia-Poland  | 8                        |               |  | Belgium, France, Hungary, Italy, Poland, Slovakia, Switzerland, U.K.  |                               |
| 5. Crossborder working groups and boards for coordination between authorities of spatial planning                         | 5              | 4              | Germany-Belgium-Netherlands, Germany-Poland, Italy-France-Switzerland-Austria, Portugal-Spain-Argentina-Brasil, Slovenia-Italy-Croatia-Austria-Hungary   | 13                       |               | Spatial Coordination efforts 20 (5 to 7) (common with above: 13) | Germany, Austria, Belgium, France, Italy, Netherlands, Poland, Portugal, Spain, Switzerland, Hungary, Slovenia  | Argentina-Brazil, Croatia     |
| 6. Transfrontier territorial planning cooperation or memorandum of understanding (often common projects, common services) | 10             | 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, Slovenia-Italy-Austria-Germany-Croatia-Hungary, Sweden CPMR Association (27 states) with <b>A.</b> Commission of Baltic, <b>B.</b> Other Commissions | 18                       | 20 (5+6)      |  | Germany, Belgium, Bulgaria, Cyprus, Finland, France, Greece, Lithuania, Luxembourg, Netherlands, Portugal, Spain, Sweden, Slovenia, Italy, Austria, Hungary | Andora, Croatia               |
| 7. Conference on Spatial Development  | 4              | 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              | 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 22 (8 to 12)   | Germany, Austria, Belgium, Bulgaria, Czech Republic, France, Greece, Hungary, Italy, Luxembourg, Slovakia, Slovenia, Switzerland                            |                               |
| 9. Joint cooperation committee  | 6              | 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  | 7  | Germany-Belgium, Germany-France, Germany-Luxembourg, Germany-Austria, Germany-Switzerland, Germany-Poland, Lithuania-Latvia-Poland-Berarus   | 9 |                  |   | Germany, Austria, Belgium, France, Latvia, Lithuania, Luxembourg, Poland, Switzerland | Belarus |
| 11. Crossborder agreement or collaboration                      | 3  | 3  | Czech Republic-Slovakia, Poland-Czech Republic-Slovakia, Finland-Russia  | 4 | 16<br>(10+11+12) |   | Czech Republic, Finland, Poland, Slovakia,  | Russia  |
| 12. Other, e.g. network   | 2  | 1  | Spain-France-Italy (Latin Arc), Slovenia-Austria-Italy-Hungary-Croatia   | 7 |                  |   | France, Italy, Spain, Slovenia, Austria, Hungary                                      | Croatia |
|   | 73 | 68 |  |   |                  |   |   |         |
| Euroregions   | 8  | 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.

## Networks of regions

In addition to the above tabulation, which was based on the national overviews we had at our disposal, we also carried an analysis, for which we used another source of information (database “Welcomeurope”). This analysis was a quantitative assessment of participation of each EU region in trans-national networks.

Our objective in this analysis was to record the experience of EU Regions (NUTS II) with regard to 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).

Our methodology and assumptions have been the following:

- The European networks database “Welcomeurope”, which is accessible through the database website <sup>32</sup>, has been the exclusive source of information with respect to existing European (transnational) networks of interest.
- 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.
- Of the above networks those of interest are only networks involving Regional Authorities and / or agencies / companies supporting them (as knowledge providers, as agencies establishing linkages and connections with the private sector and private financial resources etc.). Examples of such supporting agencies are the Regional Development Companies.
- As Regional Authorities we considered those authorities established at NUTS II and NUTS III level (i.e. at the regional level and also provincial, prefectural or county level). However, it has been decided that the analysis should refer to NUTS II level exclusively and this is due to comparability purposes; therefore an active membership of a NUTS III authority in a transnational network has been recorded as an equivalent membership of the respective NUTS II Region.
- Several networks consist of both individual partners and partnership structures or sub-networks. In such cases the partnership structures are further broken down into their individual constituent partners in order to record the latter as members of the initial super-network. For instance, the “Euromontana” network bringing together regional and national organizations from

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<sup>32</sup> <http://welcomeurope.com/default.asp?id=1520>.

mountain areas (to promote the economic, 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 Pyrenees) 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, i.e. as 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), has been analyzed and presented in 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, namely 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 as a separate network (an assumption that may be contested) due to their size and fairly high autonomy.

The analysis led to actual results, but also indications for potential results. Some questions were answered, but some remain open. The data of the spread sheets (Excel tables) were imported into a suitable relational data base (Microsoft Access) which was created for the purpose of identifying the following:

1. The number of active memberships of each European Region (NUTS II unit) in transnational networks engaged in environmental, transport, town planning and local development issues; moreover, the hierarchical order of Regions according to the above membership numbers.
2. Hierarchical order of European Countries according to the “average participation” of their Regions in the above transnational networks. This is extracted from the function  $(P_1 + P_2 + P_3 + \dots + P_n) / n$ , where  $n$  is the number of NUTS II units of the country and  $P_1, P_2, \dots, P_n$  the number of representations (memberships) of each Region in the listed networks.
3. Hierarchical order of European Countries according to the number of participations of their mostly active Region in networking

- (maximum membership number of individual regions across the country).
4. Mapping the Regions that are not engaged in any of the listed networks.
  5. Hierarchical order of European Countries according to the number of networks in which they are represented by one or more of their Regions (NUTS II units).

Some of the above intended results are presented by specific Excel tables (i.e. Excel files "regions-networks-all" and "No-of-participations-per-region" present results connected to queries 1, 3, 4); the rest can be deducted by appropriate treatment of the relational data base EN (Microsoft Access Application). The above process can be replicated in the case of cities to access their participation in active European, transnational networks.

The method outlined above evaluates in quantitative terms the experience of individual regions as regards their participation in transnational networks dealing with spatial / environmental problems and regional, urban or local development plans. The Excel tables, which we produced, indicate regions of limited or no experience at all in networking practices (such as the Cyprus, Slovenian, Latvian and Lithuanian regions) and on the other hand regions with extended experience and increased membership in networks. Such cases are some British regions (i.e. the Inner and Outer London Regions, the Hampshire and Isle of Wight Region, the South-western Scotland Region and the Highlands and Islands Region), the *Ile de France* Region comprising Metropolitan Paris, some German regions particularly those related to major urban agglomerations (i.e. Stuttgart and Berlin), the *Hoofdstedelijk Gewest* Region where the city of Brussels is situated, some Italian Regions (i.e. Emilia Romagna and Lazio), some Spanish regions (i.e. Comunidad de Madrid, Andalucva, Comunidad Valenciana, Catalunya, Pais Vasco) and some Greek regions (i.e. South Aegean and Attica). One can observe a bipolar situation. On the hand already developed and dynamic regions (such as those encompassing Metropolitan urban centres) are ready to make partnerships or join a network and, on the other hand, peripheral, marginalized or less developed regions, are less inclined to join networks. Joining networks however might be the only way to reduce their peripherality, gain financial support and share knowledge and innovation with the more advanced regions. Furthermore, this is the only way for marginal regions to join forces and potentialities and formulate stronger and more powerful socio-political entities.

It is worth mentioning that the region of Brussels appears to be the most active one in networking and this is not of course an accident. Brussels is located right at the source of information concerning networking and transnational cooperation opportunities.

As regards regions with limited or no experience these are either regions of new Member States or regions that do not belong to the above



categories, i.e. regions which do not comprise major metropolises and those which do not belong to the less developed and peripheral group.

Looking at individual regions and their involvement in transnational networks is only one way to exploit the results of the method of assessment of networking potential in the EU. Another way is to assess networking experience at the national level by summing up memberships of the regions of the countries one by one. By dividing total membership indicators by the number of included regions one can draw conclusions on the average participation of each country (represented by its regions) in transnational networks.

## **Section 20. style of planning**

In the guidelines for the national overviews, which were distributed to all partners, overview authors were invited to describe their perception of the style of planning which prevails in each country. They could, if they so wished, consult the classification of planning systems proposed in other sources, without being constrained by them. E.g. the authors of the EU Compendium of Spatial Planning Systems and Policies differentiate between the Regional Economic Planning approach, the Comprehensive Integrated approach, the Land Use Management approach and the (mostly Mediterranean) Urbanism tradition (European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, Office for Official Publications of the European Communities, Luxembourg, 1997, pp. 36-37). A different classification is adopted in 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), which follows Newman and Thornley (Newman, P. and A. Thornley, *Urban Planning in Europe*, Routledge, London, 1996, ch. 3). Here, a distinction is made between planning systems which belong to the British, Napoleonic, Germanic, Scandinavian and East European families. In the context of ESPON 2.3.2, what was expected of the national overview authors was to describe in a nutshell the essential features of each country's system.

According to the Swiss national overview, "there is a large body of literature on the commonalities and differences of the legal and administrative systems in various European countries. The ESPON project 1.1.1, Annex Report C, talks about governing polycentrism and states – despite the considerable variation in legal and administrative systems across Europe – that there is a general consensus in the literature that European countries fall into five main categories. These categories are derived from cumulative histories, each type is based on distinctive, interrelated logics of political representation on the one hand and policy making on the other. Emphasis is placed on two key factors: the differences in constitutions of each country and the relationship between central and local government".

We are presenting here material from all countries, which in an unfinished form appeared in the 2<sup>nd</sup> Interim Report of the project. This material was directly taken from the national overviews, sometimes in an edited form for reasons of brevity. This compilation makes easier any future comparison and a further research effort.

It must be mentioned here that the subject of planning styles is also addressed in Annex F of the Final Report.

### **Austria**

Austria belongs to the Germanic family of planning, but it must be remarked that there is no such a long tradition or prestige of spatial planning in Austria.

Spatial planning at national level does not exist in the strict sense. It resembles a regional development policy with sectoral government aid, rather than a planning activity. The federal structure of administration is a characteristic of the Austrian Constitution, which brought a lot of advantages and autonomy on regional and local level. Strong provincial identities, that stem [from the] history of the provinces as distinct political and administrative entities with their own traditions, are still present. The strong regional identity of the provinces is present not only in people's minds but also in the settlement and housing structure. Many inhabitants identify more with their province than with the nation-state, yet there are no secessionist tendencies among the provinces. The legislation of spatial planning and spatial development is closely connected with the decentralised structure of the Austrian state and therefore arranged accordingly. It is carried out at all levels (the national level, the provincial governments and the municipalities), even though the Austrian constitution does not mention "spatial planning" explicitly. Normally the provinces have got the core competence in planning legislation, (except for some sectoral policies at national level). The main [feature] of spatial planning is the competence of the municipalities. As a result of the Austrian decentralisation, coordination and cooperation efforts, [within a] complex legal situation, are rare and such efforts tend to be based on voluntariness. For this the Austrian system of spatial planning is rather an obstacle than an appropriate instrument for spatial policy.

### **Belgium**

Belgium was a unitary state until the 70's, and then began to evolve towards federalism. Following this evolution, planning went from a mainly central state/municipalities frame to a regionalised frame. The national state does not have any more any competences in spatial planning, a competence which was one of the first to be transferred to the Regions. This is a very specific case in Europe.

The Regions then reinstalled a "Napoleonic" scheme, with their government as the central state, and municipalities still as the basic building block of local administration. Municipalities have elected Councils, and some financial autonomy. They are also competent in spatial planning, under the covering strategic and mandatory plans of the Regions (with one more level in the Flemish region, the Province).

### **Bulgaria**

The current experience of the country under the new socio-economic conditions is hard to characterized, since it is fragmentary. According to the existing legislative framework it may be described as application of the Comprehensive Integrated Approach (according to EU Compendium of Spatial Planning Systems and Policies). The new legislation on spatial planning is based on the following principles:

- The use of spatial planning tools for attaining more balances and sustainable development and the pattern of growth with the aim of acquiring better life conditions for people;
- Integration of spatial planning into development policy and planning at all levels (national, regional, local);
- Activation and mobilization at all planning levels (local, regional, national) and all parts of the national territory because of their interdependence.

At the national level, during the eighties in the period of centralized planning the Republic of Bulgaria had a Unified territorial development plan for the whole national territory. After the democratic changes during the nineties the planning process was abandoned and neglected. It was not before 1998 that the practice of planning has been restored but on a new much broader basis which has opened the way to a decentralized approach. A process of planning has been conducted in connection with the implementation of the recent Regional Development Act. Although regulated, in practice there is still a need for harmonization of the regional and spatial planning. According to the Spatial Planning Act a National Spatial Development Scheme is due to be elaborated. The Act envisages the elaboration of spatial regional development schemes, but the work in this sphere has not yet begun. The elaboration of municipal master plans is hampered by financial deficits. According to the Spatial Development Act this is a responsibility of the municipalities...In the end it should be pointed out that the practice of planning at local level has been developed and the municipalities have gained more and more planning skills, including public participation in meetings and municipal forums.

## **Cyprus**

Planning in Cyprus follows in general the British system. The Legal Instruments introduced follow the same pattern and the Town Planning Law has, as a source of origin, the relevant English 1960s legislation. According to the Town Planning Law, planning in Cyprus is envisaged to take place on three levels, National, Regional and Local. The National Plan has been indefinitely postponed for it cannot be implemented in a divided territory. However a system pursuing indicative economic planning has been adopted. Therefore, since 1990 (the year the law was enacted) Planning in Cyprus is performed on the Regional and Local levels, as a Country Site Policy, local Plans and Area Schemes.

According to the Law, Regional and Local Planning are the duties of the Minister of the Interior. In performing his duties, the Minister utilizes the services of the Town Planning Department which operates within the Ministry of the Interior. Local Plans have been prepared for the main urban regions of Cyprus as well as other smaller urban areas. The development in the other areas of the island (predominantly rural) is guided and controlled through the "Policy Statement"(the country site statement), which is a statement of a set of policies to guide and control the development in those areas of the country where no Local Plan has been prepared and no plan is in force. However lately in the course of decentralization of the services of the department of Town Planning the

right to prepare Local Plans has been delegated to a number of municipalities who were capable to undertake this task... The key word for Planning in Cyprus is "development" for which Planning permission is required...

## **Czech Republic**

The first half of the 1990s, just after the political change, was characterised by a minimalist involvement of governments in urban and regional development. The decisions of both the central government as well as local politicians were grounded in a neo-liberal approach, which saw free, unregulated market as the mechanism of allocation of resources, that would generate a wealthy, economically efficient and socially just society. Politicians perceived the state and public regulations as the root of principal harms to society and the economy in particular. Urban and regional planning and policy was perceived as contradictory to the market. Short-term, *ad hoc* decisions were preferred to the creation of basic rules of the game embedded in a long-term plan, strategy or vision of development. Only towards the end of the 1990s, strategic plans of cities and regional development attempted to formulate more complex views of urban and regional development and governance. The local governments learned the main principles of governance, policy and planning in democratic political system and market economy. The physical planning system was kept in operation and thus helped to regulate smoother development in cities. The procedures used in the EU significantly impacted on urban and regional planning, policies and programmes including their implementation and evaluation and urban governments now use benchmarking to monitor and assess the results of their own policies.

There are still weaknesses in contemporary urban and regional policy and planning in the country. The first issue concerns the non-existence of a common and coherent national framework that would identify problem areas and attempt to formulate integrated nation-wide cross-sectoral policies and programmes targeting urban and regional development questions. There are various sectoral policies with impacts on cities and regions. However, their outcomes are not discussed in any coherent framework. Municipal governments have high autonomy concerning their own urban planning and policies. After the turbulent transition years, some local governments are realising that a long-term, holistic and complex vision of urban development can be a backbone for the city stability and prosperity. In the decision-making processes, short-term, mostly economic aspects usually outweigh strategic long-term considerations.

The conclusion is that the country has been in transition over the past 15 years and the reform of the planning system has not been completed yet. The current situation is characterized by the devolution of spatial planning powers to municipalities, weak regional planning and non existing spatial planning at national level. Spatial planning is in the case of territorial development accompanied by national government regional policies and

by Joint Regional Operational Programmes, as part of the National Development Plan 2004-2006.

## **Denmark**

The key characteristics of the Danish planning style are cooperation between the 3 levels of government, decentralization, participation and comprehensiveness. Counties and municipalities are endowed with extensive powers, but the central state retains certain crucial responsibilities, e.g. the power to "call in" decisions of national interest. An interesting feature is the role of the Nature Protection Board, to which appeals can be made (see sections 8 and 10). In spite of extensive devolution of powers, the planning system remains hierarchical in the sense that lower level plans cannot contradict national policy and legislation (see also section 14).

Decentralization will be affected by reform expected in 2007. The number of municipalities and counties will be drastically reduced. County powers will to a large extent transferred to municipalities or, in some technical cases, to the national level.

## **Estonia**

Estonian spatial planning is very young – about 10 years old. Legislation and planning practices of the European, especially Nordic countries, were thoroughly studied in the drafting process of the law. In legal terms, the spatial (physical) planning and socio-economic planning are quite separated from each other, [which] can be interpreted as a Nordic feature. Even more, the spatial planning and socio-economic planning are legally in unequal position. When the spatial planning is regulated by law as a coherent system, the socio-economic planning is mandatory only for municipalities and even at that level coordination of these two kinds of plans is weak.

The short history of spatial planning has been mostly a history of introduction of the planning. The initiative for setting up the system came from the Ministry of Environment. Practical planning activities started approximately at the same time at different levels – county, municipal and national. The ministry succeeded to finalise the first round of planning at county and national levels but it is still on half way at municipal level... At the same time, [the municipalities] cannot postpone detailed planning as a mandatory precondition for real estate development. Thus, the municipalities are using the provision of law giving the right to finance and prepare detailed plans to interested parties. By using this provision municipalities are giving away part of their planning monopoly and investors sometimes get too strong a position in the planning process. It is sometimes (especially where comprehensive plan is missing) dangerous for harmonious development of towns.

To summarise, Estonia has a land-use biased four-level system of spatial planning where the main role should belong to local governments.

However, the introduction of the system is in a phase where the capacity of local level and public participation are deficient.

## **Finland**

Finnish spatial planning is still separated into two different policy fields: urban and regional development and land-use planning. These two strands have evolved relatively independently of each other. The main actors in spatial development and planning are the central state, through its regional offices, and the Regional Councils, which are indirectly elected by the municipalities. Only regarding physical (land use) planning are the municipalities the main actors. However, the recent changes, in governance, administrative system and in legislation, have opened the way for doctrinal and institutional integration of regional development and physical spatial planning.

The past decade was full of action as regards the Finnish planning system since a number of reforms and a new land use and building act as well as European influences reshaped the system. As a result, The Regional Council is now the main actor in the field of spatial planning and development at regional level.. This step towards overcoming the traditional division between the planning and the development sector is the first clear indication of the emergence of spatial planning in Finland. The development at regional level is, however, not mirrored at national level. Here spatial development policies or spatial planning tasks lie partly with the Ministry of Interior and partly with the Ministry of the Environment.

In terms of land use planning, there are three levels in the planning system: regional land use plan, local master plan and local detailed plan. In addition, municipalities are allowed to prepare joint master plans. Government decides on national land use planning guidelines. Following the new land use legislation, [increased] powers have been delegated to local levels and in general the planning systems is being transformed from a controlling system into a negotiation process, guaranteeing that different stakeholders are better involved in spatial planning.

## **France**

France was classified, in the EU Compendium of Spatial Planning Systems and Policies, as belonging to the category of countries with a regional economic planning approach. In other sources it is considered as the prototype of the Napoleonic tradition. However, because of changes in the post-war period, especially since the 1980s, the situation has become more complex.

From the post-war period, it can be said that spatial planning in France is a State business. The creation of DATAR in 1963, placed under the responsibility of the Prime Minister, was one major achievement to pilot the policy of spatial planning in France. Even before that, given the need to rebuild the country, the governments of the Fourth Republic had already put in place a set of policies in order to achieve this objective and

provide central impetus. It was only after the mid-50's, that the question of a better balanced development became a central concern. Different methods were applied to counterbalance the weight of Paris particularly in economic terms (settlement restriction in the Paris region, subsidies to help firms to settle in the Province). From that point of view, it can be said that even if the policies were centralized their aim was to counterbalance the effect of centralization. Meanwhile, regional and local initiatives taken by regional and local leaders in that period were incorporated in national frameworks. Even if it cannot be denied that the French style of spatial planning is a centralized one, the reality of the relations is more subtle (initiatives, methods, influence, power) in the sense of a bottom up influence.

After a period of doubt about the place and role of the central State in spatial planning issues, mainly in the 80's, due to an ideological shift, the economic crisis, the decentralization process, the increasing influence of the European structural funds, a new involvement of the State in spatial issues became evident, at the beginning of the 90's, with a new general legal framework. From a structural point of view, even if the State evolves towards a more decentralized approach with increasing powers given to regional and local (mainly inter-municipal) authorities, the role of the State is still important. The decentralization process has given way to active relations organised by the State where local and regional authorities are involved in a kind of permanent bargaining process. It can also be argued that local initiatives had an influence on the actual framework of spatial planning. The new orientations of the 1999 law show clearly the influence of local development (bottom-up, participation, use of local resources...) methods, which have been incorporated in the law. To a certain extent it can be said that this constitutes a step towards governance as defined in the White Paper: openness to civil society in terms of information, participation and accountability; care about coherence and effectiveness – territorial coherence, project synergy. To sum it up, it can be said that the French style of planning is State-run, but with permanent interactions with local / regional authorities, and legally structured, but influenced by regional and local initiatives developed out of the formal government system.

## **Germany**

As its neighbouring country of Austria, Germany belongs to the Germanic planning family, providing strong traditions in the Roman law and a high importance of written constitutions. Thus, Germany has strong legal frameworks and decentralised decision-making structures, well visible by the important role district and State planning activities play for the system of governance and spatial planning. Since the beginning of the 1990s, guidelines for spatial planning formulate the operational framework for spatial development objectives on federal level. At the moment... the federal level works towards scenarios and visions covering the entire nation state. A 'vision' or '*leitbild*' is needed, to integrate the ever more flexible approaches towards planning, urban and territorial policies.



The important Academy of Spatial Research and Planning (ARL) published in 2001 a statement on the German central places planning approach, basically stating that it is a) a bit out of time and b) could nevertheless in a more open and procedural dimension still be useful to achieve more sustainable spatial structures. The examples of newly established regions and city networks, programmes supporting 'innovation regions' or 'regions of the future' all point into a direction of a more flexible approach towards territorial and urban policies, allowing for interactive and stakeholder - oriented practice. However, as some observers emphasise, it is important in this context of a basically open urban society, which is characterised by ever more project-based decision making processes, following more individual interests and orientations, that planners develop a 'standpoint' - to be able to decide, defend or develop. It is not simply a question of universal consensus to unbinding values, so just a planner's role as moderator. *Leitbilder* are increasingly important in this context.

## **Greece**

In terms of the classification adopted in the synthesis volume of the *EU Compendium of Spatial Planning Systems and Policies*, Greece, as a Mediterranean country, would be classified under the Urbanism tradition, in spite of the fact that its legal, administrative and planning systems have been historically influenced by French and German models, with more recent influences from the Anglosaxonic tradition. However, apart from the fact that a lot has changed since the *Compendium* this classification can be utterly misleading, because a number of forces have produced radical, albeit unequal, changes. The main external influence is of course the European Union and its policies, but it not the only one. The country's administrative culture and Greek society in general have opened up in the last quarter century to admit a global influence arising from international processes of change.

The spatial planning system, particularly as manifested in town planning legislation, remains of course predominantly focused on land use, with only minor attention to strategic and development dimensions. Change takes place elsewhere, especially in government action, which bypasses the established land use system, as in the case of large projects, e.g. for the Olympic Games, in economic development policy, in the emergence of *ad hoc* agencies, in local initiatives, in citizen mobilization and growing awareness, and in the rising consciousness of hitherto neglected issues, e.g. environmental problems. The end-result is a rather patchy picture, in which the official land use planning system is the most backward piece of the puzzle... The divorce between spatial planning in the narrow sense and development policy, but also between land use planning and cultural policy and to a large extent environmental policy, remains, at least for the time being. It is here that governance priorities, such as coherence and effectiveness, suffer.

The future direction of the planning system depends not only on innovations in the content of planning, important though they are, but also on innovation in government structures. A good start has been made with [a number of] reforms. But a lot is still to be done, especially in the

crucial field of devolution of powers to regionally and locally elected authorities and of closer cooperation with the social (non-government) sector, the private sector and civil society, i.e. horizontally. The traditional public - private nexus, ruled in the past by patronage, mediation, secrecy and graft, makes horizontal governance processes extremely difficult and easy to undermine.

The conclusion is that if there are key words which best describe the current style of planning and its trends, these are transition, patchiness and fluidity. To borrow a term from an old planning textbook, it is a system in a state of turbulence, still dominated by a traditional "urbanism" and land use planning model, but full of pockets of innovation, resistance and occasional breakthroughs. A trend has been set, which it will be impossible to reverse. This does not necessarily mean that the Greek style of planning will inevitably end up being North European, but rather that it will hopefully emerge as a distinct version of planning, with its Mediterranean character, but at the same time imbued with values of an open society and culture.

## **Hungary**

Based on all the findings we can say that the spatial planning system is highly fragmented in Hungary. Co-operation, co-ordination are loose, formal and occasional both horizontally (between spatial physical and development planning, among the various stakeholders, and especially among the governmental departments) and vertically (among the spatial levels). The legal specifications are, in general, formally met only.

These problems are in mutual causal relationship with the fact that the spatial planning process itself is fragmented. Planning itself rather resembles a plan making process, where three, sharply distinctive phases occur:

- First there is a technical phase of plan preparation, when professionals, governmental officials and in some cases also the NGOs have the opportunity to co-operate in a rather effective manner.
- Secondly, sharply different and separated from the former, is the often longer formal consultation phase, which is highly politicised, and very often leading to the loss of most of the concepts devised and approved with consensus in the previous phase.
- Thirdly, at the national and regional level monitoring systems of spatial trends are in operation, but the findings are not used as feedback, and are taken into account (if at all) only at the time of the following period of plan making.

## **Ireland**

The style of spatial planning that exists in the Irish republic can be categorised, following the example adopted in ESPON 1.1.1, as belonging, together with the UK, to the British style. The British legal style evolved from English Common Law and the principle of precedent. This system is

based on the accumulation of case law over time. Another key distinction between the British/Irish system and the rest of Europe relates to the powers given to local government. Bennett (1993) describes the administrative system in Britain and Ireland as a dual system in which central government sets legal and functional constraints for local authorities and then plays a supervisory role.

## **Italy**

The EU Compendium of spatial planning systems and policies lists the Mediterranean states, including Italy, under the «“urbanism” approach», the fourth and last tradition there mentioned. This «has a strong architectural flavour and concern with urban design, townscape and building control» and is also reflected in regulation «undertaken through rigid zoning and codes»... Indeed, Italy’s planning tradition took shape rather recently... as the result of a struggle between different disciplines to rule over town planning, which architects finally won around the 1930s. It would not be misleading to summarise the subsequent evolution of planning culture in Italy as a permanent oscillation of planners’ attention between the administrative duty of land use regulation ... and the search for new poetics for urban design... Of course, this explains also the prevailing attitude to “conforming” planning and current difficulties to establish an effective territorial governance system... However, the impact brought about by the EU’s key principles (subsidiarity, integration, partnership, sustainability etc.) on the technical and administrative culture of local authorities is remarkable. This apparently led to overcoming a sectoral and hierarchical orientation that has traditionally characterised public policies in Italy, through new forms of co-operation, collaborative and negotiated activities between the various sectors and levels of public administration. In particular, the involvement and participation of voluntary committees, associations and citizens in the development of action programmes, allowing fuller use of social resources available for urban policies and a strengthening of the legitimacy and effectiveness of the actions taken, has had important implications.

Further, EU urban programmes have generated specific practices which produce definite effects. For example, the emphasis on distinct areas of the city or territory (run-down neighbourhoods, deprived urban areas, places of excellence etc.) has intensified a process of deconstruction of monolithic concepts like “urban system” or “city planning”. Of course, this also means that the relation with the comprehensive and a-temporal character of standard planning tools is problematic. Another example is the promotion of thematic networks and programmes...

Thus, new institutional actors, social practices and operators are now crowding the stage of Italian planning. As things are, the risk of confusion and distortion is counterbalanced by the advantages of the solutions experimented with, the models of action invented and/or the occasions triggered for genuine product and process innovation in the methods and styles of urban and territorial governance. In this perspective, urban planners have become involved in the design and implementation of innovative “plans”, not only in the sense of a new interpretation of the

urban planner's traditional work. These changes are linked, based on emerging paradigms of urban and territorial governance, to the rise of planning practices as formulating 'local development strategies', instead of, as has traditionally been the case, being always and exclusively an administrative task or a design project.

In brief, during the past decade we have seen a progressive shift of technical focus from city plans (and their designers) to urban policies (and to the cities). So, over the last three to four years a dozen Italian towns of large and medium size... have started to adopt "strategic plans", adding to, substituting or integrating the statutory local plans. A great debate on this new "planning season" is now open in Italy and the fact that the new plans show themselves to be so very different from each other in terms of their aims, methods and styles in itself suggests that many opportunities exist for integrating "urbanism" traditions, regulatory requirements and the strategic dimensions of planning.

### **Latvia**

The style of planning characteristic of the country is decentralized, arranged in different levels with a number of responsible institutions, while the Ministry of Regional Development and Local Government is the head coordinating institution. The present territorial division of Latvia is not only the heritage from the Soviet times, [but also] from a more distant past. Administrative territorial division of rural parts represents not only previous territories of collective farms and soviet farms, but also the old estates and parishes. Frequent government changes have not fostered implementation of a commonly agreed development strategy in the country. No substantial progress was achieved in establishing regional authorities. Administrative territorial reform is supposed to end in 2009 reducing the number of municipalities.

### **Lithuania**

Urban development in Lithuania has its own specific character. Due to particularity of historical development of the state and its economy, its urban network is not so dense as in some Western European countries. Agriculture through ages has always played and still plays an important role in the economy of the state. From olden times Lithuania had historically-formed and quite a uniform network of inhabited localities as well as quite a uniform territorial distribution of population. After World War II rapid increase in the number of towns and cities and urban population was regulated by territorial planning work carried out quite quickly. Population and investments did not concentrate in one or two cities. The differences in number of population between the capital city and the other next biggest cities are quite small. Thus the policy of urban decentralization that started earlier creates favourable conditions for future sustainable urban development.

In 1990 the country [acquired a] two-tier administrative system: State and local municipalities. After the restoration of independence a decision was made to prepare an administrative reform of Lithuania. Its goal was

to deconcentrate administrative powers. According to a 1994 Law, a new tier of administration was introduced, i.e.] 10 counties. Part of responsibilities of central institutions was transferred to the regional level. All the process and procedures of planning of the territories and at the same time the processes of territorial development are regulated by the [recent] Law on Territorial Planning to ensure sustainable territorial development. A practical instrument for coordinating urban development based on sustainable development principles at national level it is the 2002 Comprehensive Plan of the Territory of the Republic of Lithuania, which proposed a polycentric and hierarchical system of cooperating centres. The last 15-year period was marked by attempts to find effective urban planning model in the market economy conditions.

The contradiction of urban planning and development is determined by:

- Weak management of land-use, unsuited for urbanized territories;
- Inefficient mechanism of co-ordination of objective general urban interests and private interests, as well as of planning solutions implementation.
- Complicated and lengthy planning procedures and too many details in the comprehensive plan.

## **Luxembourg**

Luxembourg belongs to the Napoleonic family of styles of planning.

## **Malta**

The change in economic activity (from one based on military and naval base to an economy dependent on tourism and construction) has also changed the whole perspective of development. According to a commentator, planning and development in Malta have shifted from a philosophy of economic development to one of land-use development. In a short span of time Malta's urban sprawl increased to encompass more and more virgin land, leading to public outcries and protests. However, one could argue that the regime of planning in Malta was always strategic and military based from the Knights of the Order period to the British Colonial epoch. There was no radical shift in the development regime. It was all centred round the implementation of major projects directed at spurring the local industry and therefore the economy. It was an artificial cycle and this continues even with other branches of the tertiary sector (i.e. Tourism) coming to the fore. The building industry was connected to employment and therefore to appeasement of the local population at one point by foreign governance regimes in the post-Independence period, taking indigenous forms. The major shift in style came with the implantation of the Planning Authority in the 1990s, in the place of the previous Planning Services.

Generally, there are two main 'camps' regarding planning issues in the Maltese Islands. There are those people who have welcomed the idea of planning regulations. On the other hand, there are those (very often the developers) who try their utmost to use the rules and regulations to fit

their own needs. Hence the need for a national strategic development plan that incorporates within it a binding chart for development for the coming years. According to another author, there is a question of whether the system takes into account the cultural context of the Maltese Islands. One view is that planning rarely took into consideration the social or development input and that what we witness is the institutionalisation of physical planning as a reaction to the exploitation of land. Planning culture in Malta is very young, moreover planning is not considered a profession as yet and this may lead to the prevalent perception of how planning and development 'should be'.

### **[The] Netherlands**

Officially the Netherlands administrative system is being referred to as a 'decentralised unitary state'. A major characteristic of Dutch public governing is the large share of deliberating between stakeholders during the stages of policy development and implementation. Hence, consulting and involving possible stakeholders during the various stages of policy development and implementation have become intrinsic parts of Dutch administrative culture. In order to organise a well-functioning consensus democracy a vast web of advisory and discussion bodies has been created. The governance system, within which this web of bodies and the decentralised powers have been developed, finds its origin in the constitution that puts forward a number of principles. Many principles concern the relation between the three administrative layers. The constitution has given comparably weak opportunities for unilateral, top-down central steering and central control. The most important principle is that of autonomy and co-governance. It means that provinces and municipalities have veto and blocking power as well as a general right to rule their own affairs. This is the autonomy part of the principle, which is complemented by a structure that constitutes a system of interdependence and co-production of policy among various levels of government (co-governance).

As in general with most policies in The Netherlands, also spatial planning is to a high extent centralised. Although they have room for manoeuvre, provinces and municipalities have to stay within the framework set by the national government (note however, that provinces and large and medium sized municipalities are being consulted during the preparation of national spatial planning policies). For municipalities count the same as they have to remain within the provincial framework. Obviously, in some cases provinces and municipalities want more flexibility, whereas the national government would like to have more competencies in the case of large projects of national importance. The future Spatial Planning Act will foresee such flexibility and case specific requirements.

### **Norway**

Much of the initiative in terms of territorial planning remains with the local municipalities. To make these issues even more complex, much of the physical planning and –administration is currently influenced by sectoral interests. National instructions and regulations are not all consistent.

## **Poland**<sup>33</sup>

In the light of the *Act on spatial planning and spatial development* spatial planning in Poland is carried out at three levels: national, regional (*voivodship*) and communal. The role of *poviat's* (county) self-government with respect to territorial management is very limited.

There is in Poland a complete conformity of the policies, programmes, instruments and procedures in the domain of problems concerning directly or indirectly spatial planning (due account being taken of the transitory periods, e.g. in the field of environmental protection), with those of the European Union. The conformity exists not only at the formal-institutional level, but also in practice. Simultaneously with the establishment of the basic level of the territorial self-government – the commune (municipality, *gmina*) – the lawmakers envisaged the possibility of joint execution of the public tasks by these units in the form of inter-communal associations.

The 2003 law on spatial planning and development”, with changes introduced later on, defines the obligation of putting together the plans for the metropolitan areas, i.e. of large cities and the functionally linked surroundings, as stipulated in the document “Concept for the spatial development of the country”. All the provinces, after having elaborated and adopted the “spatial development plans of the provinces”, started to elaborate the plans for the metropolitan areas within their territories. These areas are usually composed of several dozen communes.

## **Portugal**

The evolution of the Portuguese planning system is a good mirror of the evolution of the country itself in recent decades, especially in its political, social and administrative spheres. This evolution has been reflecting, most of all, the heritage of the '*Estado Novo*', when serious curbs on political autonomy and democracy resulted in the devaluation and even repression of almost every action not carried out by the Central Administration. Thus, at a time when the planning systems, plans and the planning profession of other western countries were being developed to build up an accumulation of knowledge, in the 30 or more years after the war, in Portugal evolutionary steps were rare, and taken merely through blueprint approaches. The strong centralism of the system prevented local or regional authorities from developing planning skills.

With the 1974 April revolution, new pluralistic and decentralised targets were followed. However, the practices of the old systems were deeply entrenched, and it was some years before effective and significant planning progresses started being achieved. Nevertheless, there are signs of change in the planning system. We can thus summarise the reasons for definitive progress in the Portuguese planning system, since the early 1980s, in four main points:

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<sup>33</sup> There is no section on the style of planning in the national overview of Poland.

- Significant spatial changes that happened from the 1960s on, and the major changes in the physical networks (roads, telecoms, water supply), drove the need for a more complex planning activity. All these major changes led to an urgent new planning rationale;
- The political and administrative decentralisation process triggered by the revolution, especially the empowerment and new dynamics of local authorities and other local public bodies;
- The laying of the foundations for a mature pluralistic democratic system resulted in the development of better planning practices... stimulating some bottom-up approaches;
- Portugal's involvement in a growing number of international actions and programmes (mainly through the EU) encouraged the creation of important modernisation stimuli.

The last decade has seen a strong increase in the planning activity at the municipal level, mainly through the preparation of the municipal plans. The main progress made in the last decade can be summarised as follows:

- The need to draw up plans forced localities to think seriously about their goals and their structural options;
- Some plans (albeit only a few) tried to be not just 'policy plans', with an excessive physical and 'territorial' thinking, but also tried to include some substantive criteria, and a wider and strategic vision of planning, as well as some flexible tools;
- The municipal planning activity started to be intimately linked with the overall municipal actions and local policy-making;
- These efforts created a new dynamic within the municipalities, with reorganisation, modernisation and even the creation of technical and information departments, as well as links with external experts, academics and consultants.

However, in spite of all the progress, there are still significant weaknesses and failures, showing not only the still relatively immature character of the planning activity, but also the important 'legacies of the past', as well as the difficulties in overcoming old-established 'balances of power':

## **Romania**

The evolution and historical roots of territorial planning in Romania can be traced back to the 20s and 30s of the last century, inspired by German theories of spatial organisation, with a strong economic and social component into territorial development considerations. This heritage has been preserved by planners after 1948 when all planning was organized according to the Soviet model of huge central planning institutions which were given the mission to justify and implement the communist irrational industrialization policies all over the country's territory, irrespective of area on environmental peculiarities. Planners struggled to preserve and enhance the inherited urban and rural territorial patterns, with only limited success. Meanwhile they had been strongly influenced by the new



French DATAR experience, more so as the overall territorial and urban/rural structure of Romania is somewhat similar to that of France's, including the primacy of the Capital City against the "province", with a few "*métropoles d'équilibre*". The main principle of structuring the network of cities, towns and rural settlements has been and still is the theory of central places. Only after the mid-90s the idea of networking made a breakthrough, particularly after the ESDP.

As for urban planning, the dominant model has always been the Mediterranean one, more so as "urbanism" has been taught for decades... During the communist era, urban planning had to cope with the introduction of strict economic and social developmental criteria, but the dictatorship definitively spoiled the idea of planned urban development. As a result – combined with the land and real estate (re)privatisation measures – any urban policy has been made impossible at least for a while. The new Government Programme includes a strong pledge for new realistic urban development policies which would include some governance principles. The essentials of the planning system will probably remain unchanged, preserving its strong hierarchical and regulatory character. Probably something will be done to strengthen the implementation and control of implementation components of the process, including the better allocation and control of resources. The good news is that Romanian territorial and urban planning has, by virtue of its tradition, a strong economic and social development component, which makes it fit to cope with regional planning requirements and to evolve towards fully fledged spatial development planning.

## **Slovakia**

Planning with spatial impact in the Slovak Republic is implemented on the basis of sectional and sectoral plans. The planning system is decentralized and based on national legal hierarchical levels. At the national level the relevant ministries are vested with the planning competencies. The relevant self-governing bodies are vested with the competencies and responsibilities for planning and complex development of individual hierarchically lower territorial administrative units. At the regional level there are self-governing regional bodies (total 8 regions) and at the local level there are individual towns and villages, vested with the competences and responsibilities for planning and development of the respective territories. All local and regional entities have the possibility to associate to achieve common targets. Such associations are mostly created by local governments, which form so-called micro – regions to attain a variety of joint objectives.

The sectional plans include the documents related to the territorial planning and regional policy. The Ministry of Construction and Regional Development of the Slovak Republic is responsible for these activities on the national level. The sectoral plans on the national level are implemented by individual ministries... The plans of regional development are also prepared on individual hierarchical levels with the same bodies...

In the near future growth of non-formal planning practices can be expected even within the formal planning process specified by the law...

### **Slovenia**

Planning is based on strong traditions, having strong legal frameworks and distributed decision-making structures.

### **Spain**

Given that Spain is a country divided into 17 Autonomous Communities with their own competencies, amongst which that of territorial planning, the style of planning is complex to describe in terms of relations between central and regional governments. Territorial planning is a common competence of each Community and therefore, each one has its own laws concerning these issues. This has led to problems in the spatial distribution in Spain, where the population is mainly distributed in the periphery and in the main urban agglomerations, with the exception of Madrid in the centre. This distribution has also allowed the planning of other subjects, related to the spatial distribution, to reinforce this situation, e.g. the transport infrastructure planning which has been applied since last year. Until then, the infrastructure distribution was radial, from the centre to the periphery, without facilitating the construction of a homogeneous grid to promote the growth of the medium cities between the periphery and the centre.

At regional level, the regional governments have competence on General, Partial and Sectoral Territorial Plans, but local governments have competence on the urban plans concerning the municipalities, always following the guidelines of the Territorial Plans. Within the approval of these plans there are open processes, in the context of which the citizenship can give their opinion and submit the corresponding objections.

### **Sweden**

According to a commentator, Swedish planning or spatial development policy system is characterised by a high degree of sector orientation. There are no overall policy documents, neither at national nor at regional level. However, at the local level there is a clear strategic spatial approach. At national level we find regional and environmental policies that are developing toward a more comprehensive view. In addition there are sectoral development perspectives. At the regional level there are regional development aspects and in the case of Stockholm also a regional plan. The same author traces spatial planning in Sweden at the three levels through some key documents e.g.:

- At the national level, the Government bill on regional policy introduces a new policy field – regional development policy for all regions, i.e. not only for those lagging behind which was the case for 'old regional policy'. The underpinning themes of the new regional development policy are economic growth and vitality for all

parts of the country. This policy is highly influenced by the European debate and draws on the ESDP document. Since 1998 the government prepares an annual report ("Sustainable Sweden") to the parliament on measures taken on the process of adjustment to an ecologically sustainable development. In addition, a "National Strategy for Sustainable Development", in terms of economic, social and environmental sustainability was published in 2004. In 1996, The National Board of Housing, Building and Planning published a vision for the development in Sweden ("Sweden 2009"). This document is rooted in the physical planning tradition of Sweden, but, according to the author mentioned above, it is to be seen in the light of the Swedish preparation for the more spatially oriented VASAB 2010 (Visions and Strategies around the Baltic Sea) and ESDP work. A 1997 report ("New Directions in Transportation Policy") proposes that future transportation policy should aim at offering citizens and industry in all parts of the country good, environmentally friendly and safe transport supply /services that are macro-economically efficient and sustainable.

- At the regional level, the regional growth agreements that were introduced in 1998 and later followed by regional growth programmes and regional development programmes are key regional strategy documents. They are providing a framework for the regional development that other initiatives should take into account. However, they are not regional plans in a more narrow sense. The only place in Sweden with this type of plan is Stockholm County.
- At the local level: The municipal level is the only level where spatial planning is compulsory. The two key parts of planning at the local level are the comprehensive plans and the detailed development plans.

## **Switzerland**

Within the five categories mentioned in the reports of ESPON 1.1.1 project, Switzerland together with Austria and Germany, counts among the so-called "Germanic Family" legal system. That signifies that Switzerland is a federal state where power is shared between national and second-tier governments, with each having autonomy in some spheres, and the competencies to create laws. Essential features of the sub-national autonomy comprise spatial planning and fiscal competencies to raise taxes. The new Federal Constitution of Switzerland of 1999 transferred responsibility for framework spatial planning legislation to the confederation. Practical planning implementation was to remain essentially a matter of the cantons, which in turn often delegate a number of tasks to the municipalities (local authorities). In addition to this federal framework legislation, the confederation promotes and co-ordinates the spatial planning of the cantons and also takes into consideration the "demands" of spatial planning in its own activities.

The relationship between the different administrative layers is controlled by the so-called 'counter-current principle'. According to this principle the cantonal structure plans are binding for the confederation, while at the same time cantons must take the federal sector plans into account. All spatial plans are subject to the aims and principles of the Federal Spatial Planning Law. Sectoral as well as cantonal plans have to be approved by the Federal Council, which guarantees co-ordination and a similar application of planning principles throughout the country. The same regulations apply between cantons and communities

So far these explanations cover much more the constitutional or legal aspects of the planning system. In contrast, the "style of planning" has more to do with the actual implementation of planning competencies and the administrative practice of horizontal and vertical coordination of sector policies in favour of sustainable spatial development. To look at the style of planning in this regard, the country has begun to face a fundamental structural change that was not least spurred with the thorough economic recession and stagnation during the 1990s. The resulting deterioration of the Swiss overall economic performance produced slower growth and productivity rates as well as decreasing innovative achievement, which in turn generate fewer means to re-distribute. Thus, the country faces the question as to how outward competitiveness can be combined with inner "national" cohesion.

Certain ambitious political projects will have far-reaching effects on the spatial organisation of the country and eventually on the style spatial planning is exerted and implemented. The first project to mention is the reorganisation of intergovernmental financial equalisation scheme and of the respective functions of the Federation and the cantons (NFA). This "project of the century" has been judged the last attempt of reform aimed at rescuing competitive federalism and has in the meantime passed the threshold of the popular referendum in November 2004 by a margin of more than 60 percent of people in favour of the NFA. Secondly the Federation and cantons have taken up the challenge of a citified Switzerland with innovative Best Practice Models and an agglomeration programme. The Best Practice Models try to combine a central government top-down incentive scheme with a bottom-up approach, where communities and cantons are called upon organising their agglomeration spaces in order to achieve more effective territorial governance. Important to note that the merger of municipalities does not figure as a prerequisite in this experimental policy approach but may turn out as long-term result of the intended mutual learning process. Thirdly, there is growing pressure at home and abroad to reform the Swiss tax system. Small and large-scale tax competition at home is forming a gulf between the eastern and western parts of the country; the EU and OECD are pressing for an unlimited duty to transparency.

## **United Kingdom**

The style of spatial planning that exists in the UK can be categorised, following the example adopted in the ESPON 1.1.1 project, as belonging, together with Ireland, to the British style. The British legal style evolved

from English Common Law and the principle of precedent. This system is based on the accumulation of case law over time. Another key distinction between the British/Irish system and the rest of Europe relates to the powers given to local government. One author describes the administrative system in Britain as a dual system in which central government sets legal and functional constraints for local authorities and then plays a supervisory role.

## **Conclusions**

### Taxonomic systems

The conclusions start with an attempt to further condense material from the synthesis of national overviews, which is itself a bold condensation of the overviews. Although we shall include later a classification proposal, which first appeared in the 3<sup>rd</sup> Interim Report, we wish first to demonstrate that the variations are more important than the similarities. We are attempting to do that by mentioning the categories into which our group of countries is frequently classified, while at the same time quoting passages from the synthesis and from the overviews, which, in our view, prove the existence of glaring or, at best, subtle but serious, differences. Most of these differences are the result of recent developments.

The distinction between the 4 major traditions of planning (British, Napoleonic, Germanic, Scandinavian) has established itself in the literature. The authors of several overviews confirm that the countries they write about, most notably those which are the prototype of these traditions, belong to one these planning families. However, a careful reading even of these overviews points to the fact that there are interesting variations and departures from the "model". It is obvious that we have shades of differences in the role of the central state, which cannot be ignored. Intertwined with this classification is that adopted by the *EU Compendium of Spatial Planning Systems and Policies* (Regional Economic Planning approach, Comprehensive Integrated approach, Land Use Management approach and the - mostly Mediterranean - Urbanism tradition).

We insert first a presentation of taxonomic models, including those mentioned above, which we have taken into account for the purpose of proposing a classification derived from our own work on the national overviews.

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) <sup>34</sup>
  - Constitutional level
  - Institutional level
  - Operational level
  
- ❖ Families of Legal Systems (Zweigert and Kötz 1987) <sup>35</sup>
  - Roman
  - Germanic
  - Nordic
  - Anglo-Saxon
  - Socialist
  - Far Eastern
  - Islamic
  - Hindu
  
- ❖ Governmental Systems (EU Compendium of SPSP / 1997) <sup>36</sup>
  - Unitary (with varying levels of decentralization)
  - Regionalized
  - Federal
  
- ❖ Typology of State Structures (NORDREGIO / A. Dubois / 11.2.05) <sup>37</sup>
  - 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) <sup>38</sup>
  - Administrative Regionalization
  - Regional Decentralization
  - Regionalization through the existing Local Authorities
  - Regional autonomy (Political Regionalization)
  - Regionalization through the Federate Authorities

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<sup>34</sup> 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.

<sup>35</sup> 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)

<sup>36</sup> European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, Regional Development Studies, Luxembourg, 1997, pp. 38-41.

<sup>37</sup> Dubois, A. (Nordregio), *Scenarios baseline on “Issues of territorial governance”*, Working Paper, ESPON 3.2, 11.2.2005, p. 6.

<sup>38</sup> Dubois, A. (Nordregio), *Scenarios baseline on “Issues of territorial governance”*, Working Paper, ESPON 3.2, 11.2.2005, p. 17.

- ❖ Traditions of Spatial Planning (EU Compendium of SPSP / 1997) <sup>39</sup>
  - Regional Economic Planning Approach
  - Comprehensive Integrated Approach
  - Land Use Management
  - Urbanism Tradition
  
- ❖ National Planning Systems (Newman and Thornley 1996 and ESPON 1.1.1) <sup>40</sup>
  - British family
  - Napoleonic family
  - Germanic family
  - Scandinavian family
  - Eastern Europe
  
- ❖ Spatial Planning: Devolution of powers (ESPON 2.3.2) <sup>41</sup>
  - 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

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<sup>39</sup> European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, Regional Development Studies, Luxembourg, 1997, pp. 33-37.

<sup>40</sup> 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).

<sup>41</sup> 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.

## Information from the synthesis of overviews

We can now proceed to an extraction of condensed information from the relevant section of the synthesis of national overviews and the overviews themselves.

The Napoleonic, basically French, model is one of the important planning families. France is of course the prototype, while being also the prime example of the Regional Economic Planning approach. Yet, "because of changes in the post-war period, especially since the 1980s, the situation has become more complex... Even if it cannot be denied that the French style of spatial planning is a centralized one, the reality of the relations is more subtle (initiatives, methods, influence, power) in the sense of a bottom up influence". However, "even if the State evolves towards a more decentralized approach with increasing powers given to regional and local (mainly inter-municipal) authorities, the role of the State is still important... To sum it up, it can be said that the French style of planning is State-run, but with permanent interactions with local / regional authorities, and legally structured, but influenced by regional and local initiatives developed out of the formal government system". Belgium, another case of the same model up to its effective federalization in the 1970s, has reinstalled the Napoleonic model, but this time at the regional level. "Following this evolution, planning went from a mainly central state/municipalities frame to a regionalised frame. The national state does not have any more any competences in spatial planning, a competence which was one of the first to be transferred to the Regions". Neighbouring Luxembourg is a very special case of the Napoleonic family.

Spain and Italy are also examples of countries which were influenced by Napoleonic traditions, but also by their own political and church traditions. Now however, Spain is "a country divided into 17 Autonomous Communities with their own competencies, amongst which that of territorial planning; the style of planning is complex to describe in terms of relations between central and regional governments... Territorial planning is a common competence of each Community and therefore, each one has its own laws concerning these issues". Italy is a regionalized unitary state, characterized by regional autonomy, where a blend of the urbanism tradition with strategic planning is becoming apparent, in a variety, and not always uniform, of urban experiments and instruments, which are totally transforming its overall traditional image.

The Napoleonic influence is evident in Portugal and Greece too, albeit for very different reasons. Portugal, until 30 years ago an example of extreme centralism, is gradually overcoming the "legacies of the past", as a result of political decentralization, the adoption of pluralistic practices, international involvement and spatial changes. Greece too, a Mediterranean example of the Urbanism tradition, had its share of Napoleonic, but also German, influence (by virtue of adoption of legal and administrative forms and practices) and remains centralized. But there are changes, which are distributed unequally in its governmental system. According to the Greek overview, "if there are key words which best describe the current style of planning and its trends, these are transition,



patchiness and fluidity. To borrow a term from an old planning textbook, it is a system in a state of turbulence, still dominated by a traditional "urbanism" and land use planning model, but full of pockets of innovation, resistance and occasional breakthroughs".

Several of the countries mentioned above (mainly France, but also Italy, Belgium, Spain, Portugal and Greece) are considered as examples of a "fused" system. In it there is local representation and local government is not a mere agency of central government, which however remains dominant. Regionalization (in Spain and Italy) and federalization (in Belgium) have made a difference in the recent past. The Netherlands is supposed to be another example of a fused system, where of course the effect of the Reformation towards strengthening the central state was strongly felt as in other protestant countries. According to the Dutch overview, in the Netherlands "spatial planning is to a high extent centralized, although the country is officially considered a decentralized unitary state". But, "a major characteristic of Dutch public governing is the large share of deliberating between stakeholders during the stages of policy development and implementation... Hence, consulting and involving possible stakeholders during the various stages of policy development and implementation have become intrinsic parts of Dutch administrative culture".

If we take the Germanic family, according to the relevant literature and to the overviews, Austria, Germany and Switzerland belong to this family. The Napoleonic period left its impressions here too, but in their case legal traditions and systems are different. The Reformation also played an important role in protestant parts of Europe. In the case of these three countries we deal with federal systems. Yet, if we focus e.g. on the role of the central state we can detect interesting variations. In the case of Austria, "there is no such a long tradition or prestige of spatial planning", "the system of spatial planning is rather an obstacle than an appropriate instrument for spatial policy", and "spatial planning at national level does not exist in the strict sense. It resembles a regional development policy with sectoral government aid, rather than a planning activity". In Germany, also considered as a case of the Comprehensive Integrated approach, like the Netherlands, "since the beginning of the 1990s, guidelines for spatial planning formulate the operational framework for spatial development objectives on federal level". "The Regional Planning Act (*Raumordnungsgesetz*) and the Federal Building Code (*Baugesetzbuch*) formulate the main policy principles and measures for spatial planning in Germany". "Apart from planning laws the Federal level [in Germany] formulates a number of major guidelines giving policy orientation in spatial planning: The guidelines for spatial planning (*Raumordnungspolitischer Orientierungsrahmen*) and the operational framework for spatial planning (*Raumordnungspolitischer Handlungsrahmen*). The guidelines for spatial planning adopted in 1993 and the operational framework for spatial planning adopted in 1995 provide a general outline for spatial development in Germany, the latter concretizing the former". In Switzerland, "the new Federal Constitution of Switzerland of 1999 transferred responsibility for framework spatial planning legislation to the confederation". Beyond "the constitutional or

legal aspects of the planning system”, in fact in contrast to it, “the ‘style of planning’ [in Switzerland] has more to do with the actual implementation of planning competencies and the administrative practice of horizontal and vertical coordination of sector policies in favour of sustainable spatial development. To look at the style of planning in this regard, the country has begun to face a fundamental structural change...”

The United Kingdom, which is the main representative of the Land Use Management approach, and Ireland are the obvious examples of the British family, often considered as the polar opposite of the French family. Apart from this family’s legal system, based on the accumulation of case law, a factor distinguishing it from other European countries “relates to the powers given to local government”. It is “a dual system in which central government sets legal and functional constraints for local authorities and then plays a supervisory role”. However, in the UK, Scotland, and to a lesser extent Wales, now have substantial devolved powers, in contrast to the English regions. Ireland retains a strong centralized system of government and administration, with no regional powers and “a relatively narrow range of functions performed by local government”.

Cyprus too follows the British land use planning system, having adopted British town planning legislation centred on the concept of “development”, but the size of the country explains the dominant position of the central government. A similar situation applies to Malta, where land development seems to have become the characteristic of its style of planning.

The dominance of the local level characterizes in general the Scandinavian model, along with a strong emphasis on consultation and participation. In Sweden, “planning or spatial development policy system is characterised by a high degree of sector orientation. There are no overall policy documents, neither at national nor at regional level. However, at the local level there is a clear strategic spatial approach”. In Norway, “much of the initiative in terms of territorial planning remains with the local municipalities”. “Finnish spatial planning is still separated into two different policy fields: urban and regional development and land-use planning. These two strands have evolved relatively independently of each other... However, the recent changes, in governance, administrative system and in legislation, have opened the way for doctrinal and institutional integration of regional development and physical spatial planning... Recent changes constitute a step towards overcoming the traditional division between the planning and the development sector..., a first clear indication of the emergence of spatial planning in Finland”. The key characteristics of the Danish planning style are cooperation between the 3 levels of government, decentralization, participation and comprehensiveness. Counties and municipalities are endowed with extensive powers, but the central state retains certain crucial responsibilities, e.g. the power to “call in” decisions of national interest.

Classifications referring to the British, Napoleonic, Germanic and Scandinavian systems, often include also an awkward residual, the “East European system”, in which former socialist countries are included without

differentiation. This is probably the result of inadequate knowledge of the real actual situation and dynamics, which followed the end of socialist regimes, with their inevitable, but frequently exaggerated, similarities. Some useful insights appear in the national overviews of these countries, i.e. those covered by the ESPON projects. In most cases the indications for an emerging style of planning are contained in legislative or policy texts, rather than in actual practice, which inevitably is still at an early stage of maturity. Not surprisingly the administrative traditions, on one hand constitute an obstacle to change, on they may offer, in our view, a foundation which may favour the introduction, at least in policy proclamations, of a version of comprehensive integrated approach. This approach however may be less open to governance innovations, at least in the short run, than it is in west- and north-european market regimes. Some countries, because of their relative position on the economic map of Europe, the political determination to adopt innovations and the penetration of EU influence, may make more progress than others in the near future.

Poland, as indeed other former socialist countries, now has a new legal and policy edifice of spatial planning. "In the light of the *Act on spatial planning and spatial development* spatial planning in Poland is carried out at three levels: national, regional (*voivodship*) and communal. The role of *poviat's* (county) self-government with respect to territorial management is very limited". The influence of the European Union is stressed in the Polish national overview. The authors of the Romanian overview indicate a mixture, in historical succession, of German, Soviet, French and, recently, European Union influence. "Romanian territorial and urban planning has, by virtue of its tradition, a strong economic and social development component, which makes it fit to cope with regional planning requirements and to evolve towards fully fledged spatial development planning".

In the Bulgarian overview it is recognized that "the current experience of the country under the new socio-economic conditions is hard to characterize, since it is fragmentary. According to the existing legislative framework it may be described as an application of the Comprehensive Integrated Approach". Following the socialist period and "after the democratic changes during the nineties the planning process was abandoned and neglected. It was not before 1998 that the practice of planning has been restored but on a new much broader basis which has opened the way to a decentralized approach".

In the Czech Republic too, the 1990s were a period of transition and ambivalence. "The first half of the 1990s... was characterised by a minimalist involvement of governments in urban and regional development ...The decisions of both the central government as well as local politicians were grounded in a neo-liberal approach... Politicians perceived the state and public regulations as the root of principal harms to society and the economy in particular... Urban and regional planning and policy was perceived as contradictory to the market... The conclusion is that the country has been in transition over the past 15 years and the reform of the planning system has not been completed yet. The current

situation is characterized by the devolution of spatial planning powers to municipalities, weak regional planning and non existing spatial planning at national level". In the Slovak Republic, "planning with spatial impact in the Slovak Republic is implemented on the basis of sectional and sectoral plans. The planning system is decentralized and based on national legal hierarchical levels. At the national level the relevant ministries are vested with the planning competencies. The relevant self-governing bodies are vested with the competencies and responsibilities for planning and complex development of individual hierarchically lower territorial administrative units... In the near future growth of non-formal planning practices can be expected even within the formal planning process specified by the law".

Transition and fragmentation of spatial policy characterize Hungary. "We can say that the spatial planning system is highly fragmented in Hungary. Co-operation, co-ordination are loose, formal and occasional, both horizontally (between spatial physical and development planning, among the various stakeholders, and especially among the governmental departments) and vertically (among the spatial levels). The legal specifications are, in general, formally met only. These problems are in mutual causal relationship with the fact that the spatial planning process itself is fragmented", in the sense that its stages are divorced from each other. Slovenia has strong legal frameworks for planning, but also bears the influence of strong traditions. According to its overview, "the national spatial planning documents have legal impact particularly on the spatial planning documents at lower levels, and on spatial development activities and the construction of buildings and engineering works of national importance. At the same time, they also have legal impact on ministerial plans and regulations, in the part thereof referring to the field of spatial planning and management. The adopted spatial planning documents may not be in conflict irrespective of the level and degree of concreteness. Municipal spatial planning documents may not be contrary to the national and regional spatial planning documents".

The case of the Baltic countries is different from that of other former socialist states, because under the socialist regime they were not separate states and because, in recent times, their newly installed systems have been frequently influenced by Scandinavian prototypes. This influence is recognized e.g. in the Estonian overview: "Estonian spatial planning is very young – about 10 years old. Legislation and planning practices of the European, especially Nordic countries, were thoroughly studied in the drafting process of the law. In legal terms, the spatial (physical) planning and socio-economic planning are quite separated from each other, [which] can be interpreted as a Nordic feature. Even more, the spatial planning and socio-economic planning are legally in unequal position. When the spatial planning is regulated by law as a coherent system, the socio-economic planning is mandatory only for municipalities and even at that level coordination of these two kinds of plans is weak... Estonia has a land-use biased four-level system of spatial planning where the main role should [belong to] local governments. However, the introduction of the system is in a phase where the capacity of local level and public participation are deficient".

Traditional administrative and geographical patterns are also influential. E.g. in Latvia, "the style of planning characteristic of the country is decentralized, arranged in different levels with a number of responsible institutions, while the Ministry of Regional Development and Local Government is the head coordinating institution. The present territorial division of Latvia is not only the heritage from the Soviet times, [but also] from a more distant past. Administrative territorial division of rural parts represents not only previous territories of collective farms and soviet farms, but also the old estates and parishes". Geography is also stressed in the Lithuanian overview: "Urban development in Lithuania has its own specific character. Due to particularity of historical development of the state and its economy, its urban network is not so dense as in some Western European countries. Agriculture through ages has always played and still plays an important role in the economy of the state. From olden times Lithuania had historically-formed and quite a uniform network of inhabited localities as well as quite a uniform territorial distribution of population". Following postwar urbanization, which however did not produce excessive urban size differences, and socialist urban planning, the last few years are witnessing an attempt to devise an effective urban planning model in the market economy. The difficulties reside in weak land-use management, inefficient coordination and overlong, complicated procedures.

The overall picture remains very patchy and any attempt for classification, let alone quantification, must be accompanied by a series of reservations and warnings of caution. This is particularly true in situations of existing or recent extreme centralization, where political institutions and reforms are still fresh or in a state of flux. It is here that the danger of conflict is mostly present, although conflict can be generally generated across Europe by the prospect of economic globalization being exploited and governance processes being dominated by private interests.

### Proposed classification

State structures, decentralization processes and devolution of powers are undoubtedly crucial parameters in determining the style of planning of any particular country, even though more elusive cultural variables should also be taken into account, but cannot be given their proper weight in the context of the present project.

The classification of styles of planning which is suggested below 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, which were mentioned earlier. The result is shown in two tables. 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 leads to a new grouping of countries. 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, 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 has to remain as a tentative conclusion, worth checking through further research.

The issue of classification of planning systems and of their evolution is approached from another angle in Annex F, where the starting point is the classification adopted in the *EU Compendium of Spatial Planning Systems and Policies*.

TABLE: Classification of characteristics determining style of planning

| Country           | NORDREGIO <sup>42</sup> |                    | ESPON 2.3.2 / NTUA <sup>43</sup> |                         |                                |  |
|-------------------|-------------------------|--------------------|----------------------------------|-------------------------|--------------------------------|--|
|                   | A. Regionalization      | B. State structure | C. Devolution to regions         | D. 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 Republic | Reg. Decentr/on         | New EU memb.       |                                  | -CS                     |                                |  |
| 6. Denmark        | Reg/on – LAs            | Decentr. Unit.     | Unit. / +Reg.                    | -CS                     | Yes                            | Yes                                    |
| 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.               | Reg/on – Las            | Decentr.           | Unit. / +CS                      | +CS                     | Yes                            | Yes                                    |

<sup>42</sup> Dubois, A. (Nordregio), *Scenarios baseline on "Issues of territorial governance"*, Working Paper, ESPON 3.2, 11.2.2005.

<sup>43</sup> 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.

|                 |                  |                |                  |          |          |          |
|-----------------|------------------|----------------|------------------|----------|----------|----------|
| Netherlands     |                  | Unit.          |                  |          |          |          |
| 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      |          |          |
|                 | Column A         | Column B       | Column C         | Column D | Column E | Column F |

### Abbreviations

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

TABLE: Cross-tabulation of characteristics determining style of planning and country distribution

| Devolution of spatial planning powers | Additional planning features <sup>44</sup> | Typology of regionalization |                 |                            |               |                |
|---------------------------------------|--|-----------------------------|-----------------|----------------------------|---------------|----------------|
|                                       |  | Admin. Reg/on               | Reg. Decentr/on | Reg/on – LAs <sup>45</sup> | Reg. autonomy | Reg/on-Federal |

|                   |
|-------------------|
| 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. <sup>46</sup> | Inter-municipal   | Latvia   |                      |                  |       |             |
|                                | Interactive appr. |  |                      |                  |       |             |
|                                | 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       |  |                      |                  |       | Switzerland |

<sup>44</sup> Inter-municipal cooperation and interactive approach. See note at the bottom of previous table.

<sup>45</sup> 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.

<sup>46</sup> 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.

|  |       |  |  |  |  |         |
|--|-------|--|--|--|--|---------|
|  | appr. |  |  |  |  |         |
|  | Other |  |  |  |  | Belgium |

|                             |
|-----------------------------|
| Powers to local authorities |
|-----------------------------|

|  |                   |  |                      |                                       |       |             |
|--|-------------------|--|----------------------|---------------------------------------|-------|-------------|
| Spatial planning: Strong local – municipal level (but +CS) <sup>47</sup> | Inter-municipal   | Latvia,                                |                      | Hungary, Ireland, Netherlands, Norway |       |             |
|  | Interactive appr. |  | France               |                                       |       |             |
|  | Other             | Estonia, Lithuania, Portugal, Romania, | Poland, Slovakia, UK |                                       | Italy |             |
| Spatial planning: Strong local – municipal level (but -CS)               | Inter-municipal   |  | Sweden               | Finland                               |       | Austria     |
|  | Interactive appr. |  |                      |                                       |       | Switzerland |
|  | Other             |  | Czech Rep.           |                                       | Spain |             |

| Devolution of spatial planning powers | Additional planning features | Admin. Reg/on | Reg. Decentr/on | Reg/on – LAs | Reg. autonomy | Reg/on-Federal |
|---------------------------------------|------------------------------|---------------|-----------------|--------------|---------------|----------------|
|---------------------------------------|------------------------------|---------------|-----------------|--------------|---------------|----------------|

Abbreviations: See under previous table.

### Concluding remarks

In these remarks, on one hand we try to discern some of the determinants of planning styles now prevalent in the countries reviewed in the project, and on the other, we express thoughts on the difficulty of classification.

The models of planning, which we grew accustomed to associate with particular countries, are now more complex and are continuing to undergo change. Change however is not always taking the form of obvious adoption of clear “governance” innovations. In some cases (examples of past or still dominant excessive centralization), change may be associated with more conventional modernization of government systems or with putting into place of a more efficient, albeit still fairly hierarchical, planning system. This could be interpreted as an effort to become first more efficient, before becoming more open to governance principles, or as

<sup>47</sup> 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.

a attempt to build a system which can be more transparent and accountable, yet still act as a barrier to a *laissez-faire* regime and its excesses. Such excesses are a lurking danger in conditions of a bureaucratic structure marked by inadequate knowledge, inefficiency and dubious integrity. They must be controlled, before decentralization and power sharing are fully implemented. This may require the continuation of central control, at least in the short or medium term.

These remarks lead us to two additional observations, one linked to the temporal dimension, the other to the issue of central control, in a climate of sweeping international economic change and globalization. Gradual change and appropriate setting of time horizons seem to be important determinants of a planning style. Reforms, e.g. towards decentralization, cannot be enforced overnight, even in countries with advanced and mature administrative and planning systems. Resistance, reluctance and inertia are everywhere present and influential. This may be explained either as attachment to the central state, as the ultimate arbiter and guarantor of citizen interests, or, inversely, as refusal to depart from a culture of traditional local power. This may lead to a classification which is totally different from the taxonomic schemes we presented earlier, a subject worth investigating.

The desire to exploit and capture the opportunities offered by the opening of the international system or the wish to ensure protection from its devastating vagaries and uncertainties may cause quite contrasting attitudes to the role of national or regional / local levels. In one case these contrasting attitudes may favour an elevation of the national government to the status of a modern and effective entrepreneur, capable of moving with ease in the international economic arena. In another case, this role may be considered as better suited to local, partnership formations, which should be given free rein to operate independently of the central level. In yet another case, the central government may be seen as the only agent capable of securing a social protection net, against the invasion of unknown forces, whose face the average citizen cannot clearly see. These attitudes represent cultural, behavioural positions, which may have a classificatory value, of which we have relative ignorance, but which we cannot ignore, as reactions in European referenda or protest movements have shown.

Legislative and policy texts are valuable as pointers to change, but can be misleading. There is a real life situation, particularly in policy implementation, which is more important in determining the nature of planning styles. This real life level tends to be more conflictual than official documents would admit. Ironically, at this obscure level, certain governance ingredients, such as participation and alliance formation may be present. Bargaining may be taking place, but it is not formalized. Coordination may be absent on the surface, but existent under it. The fault is of course the lack of transparency and openness. This is why, to return to an earlier observation, the first step is often to have good government, before talking of governance.

The conception of governance and its declared principles are to a large extent a reflection of the achievements of west- and north- European countries, with a long and admirable record in public administration and government – citizen relations. As a result the system of planning towards which they seem to be evolving, one of vertical and horizontal partnership, more coherent, open, transparent and accountable, regardless of whether it represents a regional economic or comprehensive integrated approach, is presented as the prototype in the direction of which other countries should move. The problem is that adopting the outward manifestations of this prototype is neither adequate, nor the only direct way to better governance. That was, in the 1950s and 60s, the illusion concealed in theories of economic development, or rather economic growth. The way that non west- or north- European countries and / or regions should follow may be a different one. And so may be their style of planning.

## Section 21. Conditions leading to shifts towards governance

|  |  |
|--|--|
| National culture and planning tradition                | Denmark, France, Finland, Germany, Ireland, Latvia, Netherlands, Norway, Poland, Slovenia, Spain, Sweden, Switzerland  |
| EU influence and pressure                              | Austria, Bulgaria, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K. |
| Recent political changes                               | Portugal, Slovakia, Slovenia, Switzerland,   |
| Globalization and competition pressures                | Austria, Denmark, Finland, France, Greece, Italy, Latvia, Lithuania, Netherlands, Poland, Spain, Sweden, Switzerland, U.K.   |
| Central state crisis and fiscal problems               | Belgium, Estonia, Greece, Ireland, Poland, Romania, Slovakia, Sweden   |
| Democratic deficit and crisis of democracy             | Bulgaria, Czech Republic, Greece, Malta, Romania   |
| Rising importance of regional and / or local societies | Cyprus, Denmark, Greece, Romania, Slovakia, Slovenia, Sweden   |
| Emergence of multicultural societies                   | Cyprus, Spain  |
| Scarcity of resources                                  | Malta, Slovakia  |
| Adaptation to capitalist model                         | Poland   |
| Economic / political / ideological crisis              | Slovenia   |
| Scope for spatial planning                             | Slovakia   |
| Limited territorial competence of local authorities    | Spain  |
| Pressures for institutional and policy reforms         | Cyprus, Hungary, Slovenia, Sweden  |
| Need for co-operation and decentralization             | Cyprus, Sweden   |
| Environmental considerations                           | Cyprus, Slovakia, Slovenia   |

### **Austria**

The overall conditions for spatial development in Austria have changed fundamentally due to Austria's accession to the EU in 1995, the further development of the Union itself and the increasing impact of the global economy.

The decentralised structure of the Austrian state is reflected in spatial development. Therefore a strategic planning policy is poorly developed but obviously needed urgently.

### **Belgium**

There is generally a problem of co-operation at the federal level. Some would like to go on to more federalisation, which would to some extent lead to confederalism. A most difficult question in this process is the balance between solidarity and even greater autonomy.

### **Bulgaria**

According to the Bulgarian national overview, the advance of shifts from government to governance regimes is slow, due to a number of different reasons, including national traditions, however what is important that such a process shall be started.

The circumstances conducive to such changes comprise as follows:

- The democratic changes in the country's development;
- The accumulation of experience in the development of governance at all planning levels;
- The need of alignment to the EU governance approaches and methods;
- The need of increasing the efficiency of governance.

### **Cyprus**

See indications in the table above. The style of town planning and the importance of tourism policy are additional forces requiring a move towards more effective governance.

### **Czech Republic**

There are two major external forces that lead the governments on all levels to shifts in governance practices. First, there is a long-term and stable pressure from various non-governmental organisations for the strengthening of public participation and the creation of mechanisms that will involve citizens in decision-making about planning developments in the places of their everyday life. The major external impact on shifts in governance practices comes from the European Union.

### **Denmark**

The planning tradition of the country is a key factor. The Danish planning system is founded in a comprehensive, land-use oriented planning style. As mentioned above the Planning Act was amended some years ago in a more strategic/spatial oriented direction. The building stones of the system have been a 3-tier system with a high degree of power delegated to the regional and municipal level. The vertical co-ordination has been ensured by the so called "framework guidance principle", according to

which a plan at one level may not contradict a plan at a higher level. Only where national interests are important, the national level retains the dominant power. As pointed out earlier, important has been the influence of the policies of the EU Structural Funds. The effect of the international economic climate, of the drive towards increased competitiveness and of globalization is shown by the Danish policies for regional development, which have mentioned in previous paragraphs.

### **Estonia**

See indications in the table above.

### **Finland**

The main elements influencing the shifts in governance in the last decade have consisted of the Europeanisation and internationalisation, as well as the pressures towards service provision in all parts of the country and in all types of municipalities and the problems of high unemployment and ageing population in the areas that are facing structural challenges.

### **France**

Existing traditions as a condition favouring a shift towards governance (see table above) refer to the process which started mainly in the 1980s (see section 20), although naturally the influence of the decentralization process which had started earlier cannot be ignored. These shifts were triggered by the ideological, economic and financial crisis of the 70s and 80s (see also section 5). Globalization and international competition were also influential, either directly or through the EU

### **Germany**

Germany has strong legal frameworks and decentralised decision-making structures, well visible in the important role district and State planning activities play for the system of governance and spatial planning. This legal framework however provides the conditions for experimentation with governance concepts and projects. An illustration is provided by several experiments mentioned earlier, e.g. the work of the commission on federalism, urban and regional networking and the work of urban regions, where the governmentability of Functional Urban Regions is being explored.

### **Greece**

Membership of the European Union has had a profound effect on Greek government and culture, even on routine administrative practices, although changes here are slow and not immediately visible. Perhaps, the sector which is the best example here is environmental policy and protection. While the EU is basically, but not exclusively, having an effect on government and government structures, a parallel shift takes place from below. Greek society is still engulfed in a culture of consumption and



relative prosperity, at least compared to still living memories, but there is no doubt that there is also a rising consciousness of issues of quality of life and collective values. There is ample evidence of this change in the proliferation of movements particularly around environmental issues. The coming of age of citizen movements is certainly a shift which brings governance objectives in the centre stage of current dialogue. Technology and technological innovation, as well as economic globalization, are important forces accelerating shifts in the direction of interconnectivity, information, communication and horizontal networking, all essential ingredients of a new governance culture. Modes of thinking and operating are changing.

## **Hungary**

Membership in the European Union definitively helps to change the system, as its policies foster the adoption of governance and the building of co-operation between lower units of government (settlements, counties). However, EU requirements do not suffice on in the long run. A clear cut administrative reform is necessary, which, taking into consideration the experiences of the last 15 years, should aim at creating a new division of power. In the new system most of the local power and decision making rights should be kept, but with more control both from below (NGOs, public participation) and above, with some functions concerning larger areas (e.g. spatial regulation) being taken out of local control. Another basic change which is needed is the strengthening of the NUTS2 level regions, either as strong "supervisors" above the counties or as a fully fledged administrative layer, taking over all functions of the counties.

These reforms could give the legislative backing to the process of modernization initiated by the accession of Hungary to the European Union. Without such a deep administrative reform, the EU will induce only a partial, incomplete modernization, despite the enormous amount of money to be spent on development in the coming years in the country. Thus, the administrative reform, involving the devolution of substantial power and financial resources from the national level to the NUTS2 regions, seems to be a necessary precondition for the innovative use of the new governance ideas.

## **Ireland**

See indications in the table above. The influence of national culture and planning tradition applies to the degree of participation, but Ireland is still a relatively centralized country.

## **Italy**

If there is one mainspring for this process of the transformation of the political and administrative culture, then it lies in the innovations introduced after the 1988 reform of structural funds (SFs) "which have favoured a progressive alignment between national and European regional

policy" towards intervention that also largely involves territorial criteria. Also important is the generalized adoption of competition procedures for assigning financial resources provided by government programmes for "best local practices".

### **Latvia**

Strengthening of the national identity and promotion of economic development and the country's competitiveness on an EU and global scale are by far the leading national priorities that definitely affect governance. Governance principles as a result of the influence of EU programs and policies are recognized and accepted in national documents and guidelines but discussed only beyond the point, where they could possibly clash with national priorities.

### **Lithuania**

The political and social changes, market economy, private land ownership have changed the operation basis of the city. A completely new economic, social and legal environment for urban planning and development has been created. The values perceived by an individual and society, as well as lifestyles have been changing.

### **Luxembourg**

Luxembourg is a unitary country, with no decentralisation. The two political territories are the country and the municipalities. Municipalities have strong autonomy, and they have a structure of co-operation (*syndicat de communes*) but not in a decentralised framework. In Luxembourg administration "could shift to more shared governance, if a process towards new sharing of competences between State and municipalities would be implemented. Debates are continuing on this subject".

### **Malta**

Party politics and EU accession have been the major factors that have brought about shifts in governance.

### **[The] Netherlands**

We have extensively outlined in other sections the national traditions of governance which have shaped the Dutch model and continue to operate in favour of further shifts towards governance (e.g. see sections 1 and 5). The national culture still bears the marks of the so called "polder model", but there are now other forces at work, of a deregulationist perspective, which may have contradictory results as far as governance is concerned. The EU influence is undoubted but in countries with deep governance traditions, such as the Netherlands, EU regulations may interfere with these traditions. According to the national overview, the membership of the European Union has not caused a major impact on the system of

governance. Of course, while in some policy fields up to 75% of the regulations are determined in Brussels there is a clear EU impact at the level of policy implementation. However, the implementation and adaptation to EU regulations has not led to a drastically revised governance system. The existing system seems well enough equipped to deal with the ever-increasing influence of the European Union. A general comment applying to the Netherlands is nevertheless that new EU regulations often are recognised rather late, which causes institutional clashes at the level of policy implementation.

### **Norway**

A general impression is that the attempts to achieve more robust and efficient administration will result in more governance-oriented measures. The general trend toward public-private partnership is also driving this development.

### **Poland**

Culture plays a role in parts of the country. This is especially valid with the rural political culture. The reference to fiscal problems implies the conviction that governance offers a path towards economic development and a way to meet the financial difficulties of the central state and of local authorities. The motive of adaptation to the capitalist model, implies that the ultimate aim is to accelerate integration and harmonization of the political and economic system of the country with the western style capitalist economies and political structures.

### **Portugal**

The significant spatial changes that happened from the 1960s on and the major changes in the physical networks drove the need for a new planning rationale. The political and administrative decentralization process triggered by the revolution of 1974 allowed local planning and building capacity practices to develop. The laying of the foundations for a mature pluralistic system resulted in the development of better planning practices, particularly by extending welfare and social services throughout the country and stimulating some bottom-up approaches. Portugal's involvement in a growing number of international actions and programmes (mainly through the EU) encourage the creation of important modernization stimuli especially in fields where it clearly lagged behind other western countries, as was the case of the planning system.

Most EU programmes had a major impact on the economy, the social tissue and the structure of the territory. Some influences can be identified from EU policies on national instruments: a more pro-active and strategic culture of spatial planning; the development of partnership and a more participatory planning. EU funding has been used to encourage regeneration of urban or rural areas in decline. However, the Central Government, through public investment boosted by EU grants controls the largest share of the budget; direct transfers from the Central State to

Municipalities represent only about 10% per year, which demonstrates that Community policies have reproduced the still strongly centralized national policy and financing system.

### **Romania**

See indications in the above table.

### **Slovakia**

See indications in the table above.

### **Slovenia**

See indications in the table above.

### **Spain**

See indications in the above table. The fragmented pattern of spatial policies leads to uneven spatial distribution of population and activities across the national space.

### **Sweden**

The increased complexity of society and the need for vertical and horizontal collaboration in regional development have been driving forces towards governance. This is not something totally new. Cross-sectoral collaboration between different regional partners exists in Sweden since the 1970s. Nevertheless, the newly introduced "regional growth agreements" that are clear examples of governance thinking and working are evidently related to the EU thinking. Furthermore, the fiscal crisis of the state that mounted during the 1980s and the severe slump of the early 1990s turned the attention of a country with a large public sector to alternative ways of providing public services, i.e. ways reducing the costs of provision. Finally the needs of "europeanization" of Sweden, upgrading the regional level and obtaining accessibility to EU funds accelerated shifts to governance.

### **Switzerland**

See indications in the above table.

### **United Kingdom**

With reference to the influence of national culture and planning tradition, it is to be pointed out that the UK is a strongly centralized country, which in that respect does not make it particularly suitable for a shift to governance. The influence of the introduction of the neo-liberal agenda of privatization, particularly in the 1980s, should also be mentioned as an important factor.

## **Conclusions**

This section is closely related to section 5, although there the intention was to explore the factors favouring the adoption of specific governance approaches and here we are concerned more with a change of attitudes. Conditions leading to shifts towards governance can be internal or external to any particular country; they can be positive factors pushing in a governance direction or negative conditions, causing a quest for new ways of doing things. The categories in the above table emerged gradually from the study of the national overviews and almost unavoidably, given the variety of responses, turned out to be too fragmented and particularistic. Hence, later, we shall try to consolidate them. In spite of fragmentation, there are three conditions which are very frequently encountered: EU influence, and sometimes pressure, national culture and traditions of planning, and the international economic system, in the shape of globalization and the need for competitiveness. The EU emerges as a key factor of overwhelming importance. There is hardly an overview, where this impact is not recognized. Working with EU processes was a decisive experience for most countries. In some cases, where a governance style was already embedded in national administrative practice, this influence was not all that important and did not change noticeably existing national structures. But usually it produces a novel experience, totally at variance with conventional routines. This is why several national governments were eager to emulate the European mode of action and to reform their legal and administrative system, to achieve speedy adaptation to the *acquis communautaire*.

External was also the impact of economic globalization. The period of the 1980s was one of economic crisis and loss of competitiveness. It left a legacy of confusion but also a realization of a need for a new style of government and public management. The effects of the fiscal crisis were painful. These developments are acknowledged as key reasons of a change of direction, even in the more developed European countries. The drive to adjust to a capitalist economy and to the free market are additional forces in the former socialist countries. There is almost a unanimous agreement that a governance style is more appropriate for the pursuit of better performance in the new economic environment and that this has territorial implications, in the sense that new economic spatialities must be encouraged. E.g., horizontal, regional and local, structures of cooperation are needed, to break out of the traditional mould of territorial policy. Functional regions, networking and urban – rural alliances are the appropriate responses.

Existing traditions of partnership working, decentralization, consensus and local democracy are positive internal conditions, which are stressed in several overviews. Pressures from below, e.g. from citizen movements or new rising elites, are influential in countries where this tradition was absent. A new consciousness, e.g. of environmental and heritage values or of quality of life, brings a search for more openness, greater participation and social engagement, translated into a vision of government which is closer to the people. Governance is perceived as offering this opportunity and as opening this perspective. Even the

indignation with inefficiency and corruption of government turns into a condition which demands better governance. Citizen emancipation and the emergence of citizens' movements cause pro-governance pressures.

One is entitled to wonder, if only for the sake of argument, how all these seemingly contradictory conditions favour equally the coming of governance. Governance is perceived as a "path to economic development", but also as a prerequisite for social justice and better integration of local societies and multi-culturalism. It satisfies a desire for "modernization" and integration in the world capitalist model, but also offers promise for effective environmental and heritage protection. It provides a better climate for the incorporation of innovations, but at the same time allows the blossoming of local cultures and values. The overviews share an air of optimism the justification of which depends on a better knowledge of national, regional and local conditions and on the discovery of "governance models", which are situation – specific.

Keeping apart the categories of "EU influence" and "National culture and planning tradition", we distinguished 4 broad groups of categories, related to politics, the economy, society and the environment. Below is a consolidated table based on these categories.

|   |  |
|---|--|
| National culture and planning tradition   | Denmark, France, Finland, Germany, Ireland, Latvia, Netherlands, Poland, Slovenia, Spain, Sweden, Switzerland  |
| EU influence and pressure   | Austria, Bulgaria, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, U.K. |
| Politics (Recent political changes – democratic deficit – crisis of democracy pressures for institutional and policy reforms – limited local government powers – decentralization - ideological crisis) | Bulgaria, Cyprus, Czech Republic, Greece, Hungary, Malta, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland,   |
| Economy (Globalization and competition pressures – fiscal problems and state crisis – adaptation to new economic model – scarcity of resources)   | Austria, Belgium, Denmark, Estonia, Finland, France, Greece, Ireland, Italy, Latvia, Lithuania, Malta, Netherlands, Poland, Romania, Slovakia, Spain, Sweden, Switzerland, U.K.  |
| Society (Rising importance of regional and / or local societies – emergence of multicultural societies)   | Cyprus, Denmark, Greece, Romania, Slovakia, Slovenia, Spain, Sweden  |
| Environment   | Cyprus, Slovakia, Slovenia   |

## **Section 22. Factors which act as obstacles to progress towards governance**

### **Austria**

The decentralised structure of the Austrian state is reflected in spatial development. Therefore a strategic planning policy is poorly developed but obviously needed urgently. The set of instruments is not fully developed has to be applied consistently especially at the national level. The national, provincial and municipal levels currently act separately in this area. Adequate harmonisation and co-operation among the institutions of this sector basically having equal rights should help to avoid parallel and sometimes even competing structures. Intensive co-operation is required in the areas of granting assistance in accordance with the rules of the EU. It will be a future challenge to harmonise the development policy and spatial planning policy measures to avoid that any of these measures induce opposing developments. Examples where harmonization would be sensible are investments in transport infrastructure, guidelines for granting the regional distribution of public facilities. Although the OEROK is a competent institution it has no right of appeals and no legal influence. The autonomy of the state governments to pass their own planning laws is also a questionable fact. A consistent legislation to facilitate the co-operation of trans - regional planning would be reasonable.

### **Belgium**

The situation of "governance" is not bad in the Regions, but quite dramatic when relations between Regions are considered. As this is due to historic reasons – the different development of Wallonia, Bruxelles and Flanders – it is unlikely that it will change in the near future.

### **Bulgaria**

It is mentioned in the national overview, that the development of the system of governance in Bulgaria stumbles upon a considerable number of exclusively complex challenges. The most evident and the most immediate among them is definitely the implementation of the requirements for accession to the EU. Parallel to it, Bulgaria has to maintain high rates of economic growth, at least in a medium-term horizon, in order to fit into the framework of the EU living standard. This in turn means establishing such a system of governance, which shall comply with the role of the state under the conditions of a modern market-based economy, oriented towards creation of an attractive and competitive investment climate and supporting the accelerated economic development. The third challenge for Bulgaria was the completion of the transition of the public administration from the practice of a centrally planned economy towards the customer-oriented public administration and civil offices, which are typical for a market-based economy.

In the case of Bulgaria, distance from the EU core is identified as an important problem which makes integration slower and geographically more selective.

### **Cyprus**

The main obstacle is the mentality which still pervades a section of the body of citizens and the administration, which remain hostile to principles such as openness and accountability. The wider political complexities of the island are obviously another problem which hinders, at least for the time being, the universal adoption of open governance, especially in the northern part of the island.

### **Czech Republic**

Lack of communication among municipalities, between municipalities and regions as well as insufficient co-operation between public, citizens associations and private stakeholders are major weaknesses. The lack of a clear policy framework is favourable to clientelism, corruption, conflicts of interest and lobbyism that strongly influence the process of decision-making in planning and development.

### **Denmark**

This section is related to section 11. Present political structures and their power distribution can be an impediment to progress, although they do not seem to be an effective deterrent to current reforms. Past traditions and the actual political trends are clearly favouring progress towards governance.

It should be noted that the current municipal and regional bodies are having very different interests in the ongoing administrative reforms, as a result of which the municipal level is becoming more powerful, whilst the regional level is becoming weaker with regard to spatial planning.

### **Estonia**

County governors are in a rather weak position as their administrations are very small. Although the administrative system is not complex, the state is rather weak at regional level as there are few regional state agencies. At the other end, local government has only one tier and regional associations are relatively weak.

### **Finland**

No negative factors have been highlighted in the national overview as presenting a serious threat to governance mechanisms.



## **France**

Basic barriers against active decentralization are the financial problems of self-government organizations. In addition, lack of appropriate tools for active public participation might easily lead to poor processes of decentralization which are much more a reform of the relations between the central State and local / regional authorities and less an opportunity to deepen the relations between citizens and local authorities.

## **Germany**

There is no specific reference in the national overview to important obstacles to progress towards governance.

## **Greece**

The political culture of the country, which is emerging as a crucial parameter, is specially apparent in the uneasy relationship between the state and the citizens. It is a relationship of mistrust and mutual suspicion. This is partly due to historical reasons and partly due to current weaknesses of the political / administrative system (bureaucracy, ineffectiveness, unreliability, patronage by political parties etc). This uneasy relationship creates an unstable equilibrium and hence offers a dynamic potential for change if a more open environment prevails in more international competitive conditions. But it is also a serious obstacle in the way of governance initiatives and practices. Evidence of its obstructive role is provided by unsuccessful horizontal co-operation attempts and consensus building efforts, involving central state agencies, local authorities and civil society organizations.

Moreover, the Greek culture is suspicious, not to say hostile, to planning and spatial planning in particular. It is a culture valuing more individual lifestyles and land ownership than environmental sustainability and the values of spatial planning. In this sense individual citizens and local communities are more or less ready to enter partnerships for other purposes, which are of more immediate interest and urgency, than spatial planning and environmental protection.

The creation of new modes of thought related to the principles of governance is dependent on a field, which is probably the most crucial of all, but also a problem in Greek realities, namely education. This is an area where one is entitled not to be optimistic. No clear shift is noticeable in this respect in the direction of a new governance culture. Failure in this respect is likely to undermine progress in the area of governance and to allow processes which on the surface exhibit the trappings of governance to be taken over by narrow political and / or private interests. This would be a blow which should not be allowed to happen.

## **Hungary**

The following systemic factors are recognized as obstacles to governance

in the national overview:

- Administrative structure: Competing strong powers of towns and central government prevent meaningful territorial co-operation;
- Political culture: Party politics and the general political climate block the formation of governance practices. Most politicians pursue short-term political goals and do not realise how essential it is to opt for strategic, long-term thinking. Strategic plans remain on a symbolic level.
- Distorted governance: The strong political power of local governments combined with their financial fragility favour narrow, short term attitudes;
- Concern with complexity: Innovative approaches encounter difficulties and decision makers and stakeholders choose to evade them;
- Lack of interest in real, broad-based participation. Genuine communication is absent, due to political rivalries or simple negligence.

## **Ireland**

While the planning acts facilitate local planning authorities acting proactively as developers, they tend for the most part to be reactive, responding to individual applications from developers.

## **Italy**

The following factors are recognized as potential obstacles to governance in the national overview:

- Bureaucracy: The need to institutionalize innovative interventions has led to a "bureaucratic" view of territorial pacts and an extremely simplified and simplifying interpretation of local development concepts;
- Competition: Competition for government leadership and pact promotion among local authorities can act as obstacle in inter-institutional relationships;
- Distorted governance: Dangers caused by an ensemble of local interests with a market agenda leading to the creation of a political oligarchy competing for limited EU and state funds. The projects initiated fall within the category of more conventional territorial marketing, which actually tends to produce stereotyped and insignificant images of local contexts.

## **Latvia**

The following factors can be identified from the national overview as possible obstacles to governance:

- Administrative structure: Contradiction between the content of new administration and old territorial division;
- "Irregular" development: The most important objective is to implement measures that facilitate development, including

employment creation, in order to prevent further increase in socio-economic differences among regions;

- Lack of efficiency of the public administration system: One of the drawbacks of the system's poor performance is inadequate information the activities of ministries and other public institutions, using state budget resources.

## **Lithuania**

There is a need to develop (or activate) stronger mechanisms of control that can promote a more balanced distribution of investments across the territory according to specified regional development objectives. Also mechanisms linking market processes with the planning system. These factors will be crucial for governance in the future. In Lithuania the last 15 years were a period of passive observation and weakly regulated urban development marked with the emergence of profound regional differences at the social and economic development levels, the life and environment quality and the attractiveness for investments. This situation may cause social tension and negative processes, i.e. depopulation in rural areas and districts. The initiative of urban planning and urban development has been taken over by private structures and individuals. This may be considered as regular market activity, but it may run against the interests of urban communities. The latest amendments to the Law of Territorial Planning provide mechanisms to regulate this situation.

## **Luxembourg**

There is a continuous adaptation of the administration. The country is on the whole satisfied with its system and there seems to be no reason for decentralization.

## **Malta**

Planning culture in Malta is very young. Planning rarely "took into consideration the social or development input. We see the institutionalisation of physical planning as a reaction to the exploitation of land. Development is still viewed purely in economic terms, and thus the ends - profit, employment, more up-scale tourists and project completion within the current government - justify the means- the destruction of national patrimony of land and historical monuments.

Policies in the Structure Plan for the Maltese Islands are not respected even by those stakeholders who took part in the consultation process and provided input to the plan. Planning in Malta is characterised by amoral familism, i.e. people are primarily interested in safeguarding their family interests. Thus if they can they will try to cheat and disobey rules and regulations. On the other hand, there are those (very often the developers) who try their utmost to use the rules and regulations to fit their own needs, at times even backed up by political or financial clout.

## **[The] Netherlands**

As obstacles of a procedural importance we can consider the rigidities of legislation (e.g. of the Spatial Planning Act), the inevitable frictions arising e.g. within partnerships or, as mentioned in the national overview, the overload of the planning machinery. Of a more serious nature is the increasing number of disputes ending in court, which may indicate a crisis of the consensus model. Of a more serious nature can be the trends mentioned in section 21.

## **Norway**

See section 3.

## **Poland**

It is early to reach definite conclusions. Certain remarks are however possible:

- The dominant culture of competition is the biggest obstacle. Neighbouring cities frequently compete rather than co-operate, even if competition brings negative effects to both parties;
- The flexible interpretation of legal norms, partly caused by frequent changes of legislation;
- Lack of concentration of decision making in spatial planning;
- Lack of co-operation between different agencies;
- Lack of professional services in spatial planning.

## **Portugal**

The responsibilities of the different public bodies and tiers of government are still too scattered, frequently generating important mismatches of responsibilities, rigidities and delays in the planning process. The weak political and planning powers of the intermediate and regional levels of planning create significant problems in the linkages and interconnections between the different municipalities and public bodies. In the years of "planning without plans" controls relied on enacted legislation and burdensome administrative procedures. This legacy remains strong and a heavy regulatory legislation remains in place. The involvement of civil society is still very weak, not only because of the scarcity of procedures for participation but largely because of a still strong tradition of "citizen self-distancing" from political -administrative issues.

Some others "tensions" mentioned in the national overview are:

- Powerful lobbies vs. weak institutions with growing responsibilities;
- The strong political party culture and elitism;
- Strong populist tendencies in the municipalities;
- Concentration of important decisions to the mayor.

## **Romania**

Romanian political and societal culture (hierarchy, authority, inequality, individualism) still has to assimilate modern and post-modern categories. Such principles as effectiveness or accountability have never been questioned. The authorities and the people of Romania still have to cope with more basic issues of government. In theory, regional councils have the duty "to coordinate and to support various regional partnerships, according to the objectives of the regional policies". However, in practice the whole process is not particularly transparent and there is no participation opportunity of the citizen, the public at large, although it is intended to be a bottom-up process. A public debate on (European) governance has not been opened yet. Reluctance may come from local authorities and civil servants. Good governance principles do not exactly match traditional Romanian political and organisational culture, which includes persistent visions of hierarchies and authority, mostly strongly personalised. Institutions in charge of controlling public funds are weak at the local level and there have been credible reports of public resources being misappropriated for the interests of specific political groups.

## **Slovakia**

The main obstacles to progress are related to historical factors and to the strictly sectoral orientation of planning and implementation systems.

## **Slovenia**

Factors which act as obstacles to progress towards governance are especially the resistance of the administration apparatus, time delays because of long negotiations and distorted governance serving powerful private interests.

## **Spain**

The increasing claims of autonomy on the part of the Regions undermine national level policies. Hence, the pressures for exclusive political power become a barrier to governance. The very demand of decentralization subverts other aspects and components of governance.

## **Sweden**

No relevant comments in the overview.

## **Switzerland**

Although it is difficult to generalize out of one example, the problems of participation encountered in the case the "Zurich West" forum are an instructive illustration. The example mentioned in the national overview is that of Co-operative development planning in "Zurich West" - a forum

with different local interest groups, NGOs, administrative units, property owners, population and scientists. The object of discussion was the neighbourhood "Zurich West" and adjacent areas, a former industrial area. The forum came up with objectives for the improvement, connected projects and approach for a co-operative process. However, because of the economic pressure for development, the co-operation of city officials and property owners developed solutions for the future development in a relatively fast pace. The participation of the public in the plans and processes was consequently neglected. This and the investor-oriented planning results led to resentment among those groups excluded from shaping future development. It became necessary to negotiate issues concerning share of open space, share of residential units, density etc. The urban planning principles for the neighbourhood have been negotiated before the re-development of this vast, old-industrial area.

### **United Kingdom**

Potential obstacles are probably certain regional conditions, especially in Northern Ireland. Another negative factor is the centralized nature of the country.

### **Conclusions**

The views expressed in the national overviews, although usually (not always!) in a low key fashion, are very revealing. They describe a broad gamut of resistance "on the road to governance", but they also identify dangers. It would be an error to ignore the concerns recorded here, when it comes to formulating policies.

The factors acting as obstacles to progress towards governance seem to differ across the EU territory. These factors are related to the particularities of the political / administrative and cultural background of the country under consideration as well as to its level of development.

In a number of overviews (basically those of the former socialist countries, but also of the Mediterranean belt), the main obstacles originate in old public administration structures, built to serve centrally planned economies or simply centralized systems, and in low levels of education and skills in the administration. These structures are incapable to adapt to a new governance philosophy and to the rationale of citizen -, or private sector - oriented policy. The needs of a market economy are not met, with serious consequences for openness and competitiveness. These countries have to tackle simultaneously the problem of incorporating EU objectives and those of poor economic performance, low productivity, unemployment and public indebtedness, in whatever combination. The task seems enormous. It is in fact more serious in some old member - states, when citizens are accustomed to a relatively high standard of consumption. In certain cases (e.g. Bulgaria), distance from the core of the Community adds to the difficulty.

More specific problems concerning administrative structures are those of poor communication between public authorities, vertically and horizontally, but also between the public sector, on one hand, and citizens and the private sector, on the other. Social tensions and imbalances, e.g. regarding regional development and decline of rural areas, may ensue.

Strategic policy orientation is inadequate and the absence of clear framework breeds "clientelism, corruption, conflicts of interest and lobbyism", which destroy the chances of modernization. Citizens tend to be suspicious of government and to resort to personal networks of patronage. There are references to "narrow, short-term attitudes", "patronage", "amoral familism", "flexible interpretation of legal norms" and "misappropriation of funds". In these conditions, some countries "have to cope with more basic issues of government". Mistrust and mutual suspicion produce an unstable system, which traditional party politics do precious little to change, but rather perpetuate conditions inimical to reform. Competition among strong centres of power, e.g. in cities or regions, has a detrimental effect. Incidentally, such competition and bureaucratic inflexibilities are hinted at in connection to more developed countries as well.

The problem of state – citizen relations, especially in the European South, is particularly acute in matters of spatial planning and land use, because it is there that it degenerates most frequently into systematic violation of rules and regulations and practically amounts to civil disobedience, on the side not only of citizens but also elected local officials. These conditions naturally render horizontal and vertical cooperation, involving central state agencies, local government and civil society practically meaningless. But curiously, alliances of social groups and sometimes local authorities, NGOs and professional organizations opposing central government policies and / or plans may foster governance in the long run. Indeed, civil society organizations and / or local authorities may be acting in partnership, as a means to fend off unpopular policies. Once again, this is by no means limited to southern countries. It should not be dismissed therefore as a typical symptom of Mediterranean insubordination, but as a real indicator of rising consciousness.

A few overviews of countries, with no geographical concentration on the European territory, report power antagonisms and competition between political parties, central and local governments as well as territorial authorities, struggling for and against autonomy and power allocations, as obstacles in the way of governance. Government reforms produce winners and losers. Regardless of the merits of these reforms, the losers are bound to resist them. Excessive concentration of powers in a given level of government can cause frictions and lead to ineffectiveness and questionable governance practices. These imbalances are often due to historic reasons of domestic political antagonism and cultural / ethnic divisions.

The term "distorted governance" is used in two overviews of widely different countries, in connection either to the over-concentration of

power at the local level or to the “dangers caused by an ensemble of local interests with a market agenda leading to the creation of a political oligarchy competing for limited EU and state funds”. This is an indication that what may be superficially perceived as “governance” can disguise serious conflicts of interest, political or private. The term governance seems to embrace, as an overarching umbrella, contradictory procedures and practices. Some governance objectives may contradict others. For instance, decentralization, devolution of competences and monopolies of power (not this time at the central level) may subvert processes of cooperation and mutual understanding. Excessive power or autonomy of sub-national levels may become a barrier for governance, as reported in one case. Coherence may suffer because of decentralization.



## Section 23. Key spatial problems

|  |  |
|--|--|
| Broad regional inequalities and / or differences, e.g. of the North – South or centre – periphery type | Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Norway, Poland, Portugal, Romania, Slovakia, Spain, Sweden, Switzerland, U.K. |
| Urban expansion, urban sprawl urban containment etc.   | Austria, Belgium, Cyprus, Czech Republic, Finland, France, Germany, Greece, Hungary, Malta, Netherlands, Portugal, Romania, Slovenia, Spain, Sweden, U.K.  |
| Regional isolation, problems of remote and inaccessible areas etc.                                     | Austria, Bulgaria, Estonia, Finland, France, Greece, Hungary, Malta, Norway, Poland, Romania, Slovakia, Spain, Sweden  |
| Urban – rural relationships and role of cities as drivers of development                               | Austria, Denmark, Estonia, Finland, France, Greece, Hungary, Ireland, Italy, Lithuania, Luxembourg, Malta, Poland, Spain   |
| Poorly developed polycentric urban system  | Greece, Hungary, Ireland, Portugal, Romania, Spain   |
| Management of cross-border areas, e.g. economic regions, river basins etc.                             | Greece, Ireland, Switzerland   |
| Economic competitiveness   | Estonia, Italy, Latvia, Romania  |
| Regional divisions of political nature   | Cyprus, Ireland  |
| Forced population movements  | Cyprus   |
| Pressure on land, difficulty of maintaining land supplies for increased needs                          | Malta, Netherlands   |
| Preservation of non-urban open land and spaces   | Belgium, Greece, Hungary, Malta, Netherlands   |
| High density urban regions, congestion, accessibility etc.   | Estonia, France, Malta, Netherlands, Romania, Sweden   |
| High density areas within cities, congestion, accessibility, obsolescence etc.                         | Estonia, France, Greece, Hungary, Italy, Malta, Romania, Sweden,   |
| Housing supply at low price and for specific social groups   | Cyprus, Czech Republic, Denmark, France, Germany, Italy, Netherlands, Poland, Slovenia, Switzerland,   |
| Pressures on historic settlements and urban districts and on cultural heritage                         | Czech Republic, Greece, Malta  |
| Abandonment of historical centres  | Malta, Portugal  |

|  |   |
|--|---|
| Land use conflicts between activities (e.g. tourism and mineral extraction or industry, peri-urban areas etc.) | Austria, Cyprus, Finland, France, Greece, Italy, Malta, Romania, Slovenia         |
| Unlicensed and / or illegal development  | Greece, Malta   |
| Urban environmental problems, especially pollution   | Belgium, Greece, Romania  |
| Management of urban public spaces and infrastructure   | Estonia, Lithuania, Malta, Poland   |
| Urban areas and economic decline, crisis of particular economic activities etc.                                | Czech Republic, Belgium, France, Greece, Poland, Romania, Slovakia, Spain         |
| Low quality social infrastructure in urban areas   | Estonia, Romania, Spain   |
| Shortage of financial resources of local authorities   | Finland, Greece, Lithuania, Poland, Portugal, Romania, Slovenia                   |
| Inadequate infrastructure  | Italy, Portugal, Romania, Slovakia  |
| Problems associated with location and impact of large infrastructures  | Finland, Hungary, Italy, Latvia, Malta, Netherlands, Poland, Romania, Switzerland |
| Waste management   | Estonia, Greece, Poland, Romania, Slovenia  |
| Water management and quality, flooding etc.  | Austria, Belgium, Cyprus, Greece, Netherlands, Poland, Romania, Slovakia          |
| Loss, transformation or deterioration of agricultural land, desertification etc.                               | Estonia, France, Greece, Italy, Malta, Netherlands, Spain                         |
| Shortage of agricultural land  | Malta   |
| Development pressures on sensitive landscapes and ecosystems (coasts, mountainous areas etc.)                  | Austria, Cyprus, Greece, Italy, Lithuania, Malta, Poland, Romania, Slovenia       |
| Degradation of natural habitats and ecosystems   | Greece, Romania   |
| Degradation of marine ecosystems   | Greece  |
| Loss of forest reserves, soil erosion etc.   | Greece  |
| Lack of Coordination among public policies   | Malta, Portugal, Romania,   |
| Processes of social exclusion  | Denmark, Estonia, France, Portugal, Sweden  |
| Impact of natural disasters / segregation  | Greece, Romania   |
| Centralization / Decentralization  | Greece, Ireland, Slovenia, Switzerland, U.K.                                      |
| Economic diversification of peripheral areas   | Austria   |
| Management and development of metropolitan areas   | Belgium   |

A more consolidated table will be presented later.

## **Austria**

In Austria, rural areas are well equipped with energy and water supply infrastructure, communication facilities, and health and education infrastructure. The further extension of sewage systems, especially in mountain regions, can be a very costly and time-intensive process. Problems to supply towns with appropriate sewage systems also exist in areas with dispersed settlements. This is especially true for settlements that lack a major urban centre, for example towns in the hill countries of Styria and southern parts of Burgenland. In addition to that, burdens are placed on the infrastructure and general urban system during the peak tourist season.

A particular challenge lies in being able to ensure appropriate drinking water in and around agricultural communities. An economic diversification of rural areas is necessary to reduce the dependence of the rural population on agricultural income (future enlargement of the EU will increase constraints put on agricultural consumption). Additionally, the connection of rural areas to major transportation networks has to be intensified, developed and modernised to prevent low accessibility of these zones. In order to increase the attractiveness of these regions for investors and for tourism, the cultural and natural heritage of these regions should be enhanced and protected. Solutions should and can be worked out through the bundling of projects. It should be noted that the involvement of the regional administrations is needed as they can act as leverages on specific issues.

## **Belgium**

Problems are different in Wallonia, Flanders and in Bruxelles.

In Wallonia, except in the more rural area of the South East (the Ardenne), an important part of the landscape and socio-economic structure are marked by the consequences of a past that was dominated by coalmining and heavy industries. Wallonia provides water for an important part of Belgium, which is becoming problematic in some cases, as resources are diminishing. Another point is the development of (peri) urbanisation in transborder, metropolitan, development areas, with Bruxelles, Luxembourg and Lille, with people working in the tertiary sector. If well managed, this could also have potential positive impacts.

The Flemish Region is much more densely built up, small and middle size towns are much closer to each other, so much that one main point of spatial planning in Flanders is to keep, or to recreate, open space, non built, areas. Another problem is pollution, due to the high economic development, and one specific strong soil pollution in the area of intensive breeding, mainly West Flanders.

The Region of *Bruxelles-Capitale* has a quite narrow space of 161 km<sup>2</sup>, covering only the central part of the metropolitan area. One of its main concern is to stabilize its population, which is the basis for the tax going to the Region. Other concerns are to avoid single function office areas, and dualisation of the town.

A very conflicting issue is the development of communication on the metropolitan area of Brussels. Half of the working people in Brussels come from outside the Region (around 350 000 persons). Brussels is also the most populated city in Belgium, and a hub of communication. Nevertheless, as the territory of the Brussels Region is very small compared to its functional area, and completely surrounded by the territory of the Flemish Region, every strategy for better communication depends on intergovernmental decision, which is quite problematic.

## **Bulgaria**

The major spatial problem during the 1990's as a consequence of the economic crisis was the aggravation of the "centre-periphery" problem, when "shrinkage" of the center and expansion of the periphery was observed. Currently, this process has been stabilized and a number of cities have begun to expand their fields of influence at a varying degree of manifestation. The main types of areas in the country are:

- Peripheral, poorly urbanized areas, with small human settlements, situated at a great distance from the urban centers;
- Central, strongly urbanized areas, with big cities and agglomeration formations around them;
- Natural, non-urbanized areas, without whatever human settlements.

All these three types of areas have their strengths and weaknesses, as well as accumulated problems pending resolution.

According to the Regional Development Act the poorly urbanized areas comprise underdeveloped rural, mountainous and border areas. They account for 70% to 80% of the area of the country. These are areas with low population density and dispersed point-type distribution of villages and towns, featuring mainly agricultural orientation and situated at a great distance from the big cities. The majority of these areas and the human settlements there bear the characteristics of peripheral development – underdevelopment, low living standards and permanently diminishing population and functions during the entire post-war industrial development. These are areas that are being sucked out by the urbanization process and have accumulated a multitude of negative problems at the background of one sole positive feature – the relatively well-preserved natural environment.

The strongly urbanized areas are the areas situated closer to the big cities and the agglomerations formed around them. They occupy 15-20% of the area of the country. They are characterized by higher population density, well-developed industry and service functions and communications...

Despite their characteristics as samples of natural biological balance, the nature areas are not adequately protected and are the object of aggression on the part of inappropriate activities, which might deteriorate their quality, such as unfeasible hydro-engineering construction, timber logging, ore mining, ski sports, etc.

## **Cyprus**

The spatial structure of the country during recent years (1974-2000) was affected,

- by the massive dislocation of the people and their forced movement to the south as a result of the invasion (1974) and occupation of the northern parts (1974 to date) by the Turkish troops,
- by the massive tourist development along the coastal areas, a major factor for ribbon development along the coast. The dynamics of coastal tourism development are clearly demonstrated in both the urban areas and the rapid expansion of villages in other parts, especially those along the coast...
- by the infrastructure necessary to accommodate the needs of the additional population, both permanent residents and tourists.
- by the shortages in water supply and lack of adequate water reservoirs...
- by the shortages in labour with particular reference to tourism. Import of labour was gradually encouraged...

In addition other problems were associated with a number of adverse effects

- Massive structures erected along the coast obstructing the visual contact and functional relationship between the sea and the hinterland.
- Coastal erosion, because of the proximity of buildings to the waterfront, and further as a repercussion of the erection of dams in the rivers which diminished water flow to the coast.
- Excessive pressure on resources. Shortages in water supply.
- Loss of fertile agricultural land to tourism. Similarly conflicts in land use between industrial development and tourism.
- Overcrowding phenomena along certain beaches with beach capacity under considerable pressure.
- Lack of adequate open spaces for public use especially along the coast and hindered accessibility to the beach.
- Constant rise of land values as a result of high demand (pressure for development) and limited availability of coastal land suitable for tourist development.
- Pressure for further development and land exploitation within and around historic sites and antiquities.
- Destruction of the architectural heritage in some villages.
- Disfigurement of the landscape and other environmental degradations stemming from the need to construct new motorways and other roads.
- Visual impacts on the landscape as a result of the many signs erected.

This process necessitated a change in policy formulation and decision making process in most cases. Conflicts and competition arose among communities sharing the same natural resource.

## **Czech Republic**

In the context of the post-1989 urban and regional spatial change in the Czech Republic "the demands of newly emerged actors in private sector especially foreign firms fuelled the operation of land markets that started to reorganize land use patterns. The cities and regions have been affected by uneven spatial development. Besides areas experiencing growth and a booming economy, there are large zones undergoing stagnation and even decline. The contemporary spatial problems stem from the history of urbanisation in the Czech Republic and the confrontation of historically formed pattern with newly established principles of market allocation of resources. During Communist times, industrialization and urbanization continued through the concentration of production capacities in industrial complexes in selected regions and larger towns and cities. Their lifespan and technical condition now call for regeneration; if that is not attended to, physical and social decline will be the logical result. Post-communist transformations brought uneven spatial development within cities, redifferentiation of land use patterns and an increase in socio-spatial segregation thus changing the formerly rather homogeneous space of socialist cities. Both decline and growth are causing a number of urban problems.

Since the beginning of the 1990s, central parts of cities have been under a strong pressure of new investments. While these investments contributed to physical upgrading and brought more economically efficient land use, they also contributed to densification in central city morphology. The higher density and intensity of use contributed namely to increased use of central parts of cities. The disappearance of green spaces in inner yards is another effect of this process. Furthermore, as Czech cities have medieval cores there were numerous conflicts between investors and protection of historic buildings and urban landscapes. There are two particular zones within Czech cities that are currently threatened by downgrading. These are old industrial districts and post Second World War housing estates. Inner urban industrial areas are affected by economic restructuring and many become obsolete. Another problem areas are housing estates of large multifamily houses constructed with the use of prefabricated technology during the 1960s-1980s for tenths of thousands inhabitants. Their life span and technical conditions call for regeneration and if omitted it threatens with physical and social decline.

The major growth in post-communist metropolitan areas is concentrated in suburban zone. The compact character of former Socialist city is being changed through rapid commercial and residential suburbanisation that takes the form of unregulated sprawl. Non-contiguous, leap-frog suburban sprawl has more negative economic, social and environmental consequences than more concentrated forms of suburbanisation. Another major impact of suburbanisation is in the field of spatial mismatch in the distribution of jobs in metropolitan areas. The outcome is a spatial

mismatch between the location of jobs and residences, contributing to increased travel in metropolitan areas and consequent effects on the quality of environment and life. The post-communist cities are also being impacted by an increasing segregation. With growing income inequalities and established housing property markets, local housing markets are divided into segments that have also their spatial expression. Specific urban social problem is segregation of parts of Roma population in some cities, where they are intentionally allocated to local government housing in poor condition. Cities with high social disparities and social conflicts are not desirable places to locate new investments and thus social problems can threaten their economic viability and further add to the vicious circle of socio-economic decline.

The post-communist urban development is characterised by an uneven impact on urban space. Most politicians see this as a natural outcome of market mechanism that is creating economically efficient land use pattern. However, the spatially uneven development can in future threaten economic efficiency, social cohesion and environmental sustainability. The question of social justice and social cohesion, issues of environmental impacts and sustainability and more balanced spatial development have been up to now rather subordinated to the preferences given to economic growth.

The reference above to urban areas in economic decline in the Czech Republic is related to the existence of brownfields abandoned as a result of deindustrialisation and in some cities such as Olomouc by demilitarisation. This is becoming one of the major problems areas for many Czech towns and cities. Another type of problem area is housing estates of large multifamily houses constructed with the use of prefabricated technology during the 1960s-1980s for several thousand residents. Their life span and technical conditions call for regeneration, without which they are threatened by physical and social decline. The major growth in post-communist metropolitan areas is concentrated in suburban zone. Commercial and residential suburbanisation is fragmented into numerous locations and takes the form of unregulated sprawl. Cities are also being impacted by an increasing segregation.

## **Denmark**

The country has problems of internal unequal development (see also section 6). Copenhagen is the prime city as it contains 26% of Denmark's total population and an even more significant part of the economic base. In general the population is concentrated in and around the large cities (38%) with smaller cities dispersed all over Denmark. However, the southern and western part of Jutland is more sparsely populated than the rest of Denmark.

The concentration of economic activities in the metropolitan regions, private as well as public, is disrupting the balance of Denmark and the small and peripheral municipalities are under pressure in this process as they find it hard to attract investments and industries. This applies both to the smaller cities as well as the rural districts. Particularly isolated are

small islands. Only 5,365 people inhabited the smallest 27 inhabited islands in 2001. Redressing these inequalities is a real challenge for regional planning. This challenge concerns primarily the smaller islands, the rural districts and the smaller cities located far from the metropolitan areas, which suffer from economic stagnation or decline.

## **Estonia**

Population decrease of 12,5% between population censuses in 1989 and 2000 is expected to continue. According to the prognosis, population number will increase or decrease more slowly only around major centres (in growth regions). Therefore internal migration as a cause of population decrease will be in some areas even more important than negative natural increase. Negative natural increase and internal migration will lead to a decrease of 25% in some labour force areas. These processes mean, that areas outside growth regions are going to "empty" and lead to an aging population and therefore a heavier social burden. Therefore polarization between centres and fringe areas is deepening.

Decline of jobs in primary and secondary sector and increase in tertiary sector and major cities refers to the concentration of employment into growth centres. Lack of qualified labour force is an acute problem if creating new enterprises or expanding existing ones. Some areas are left with major social problems due to the ageing of population and inactive members of labour force, which puts pressure on the national social benefits system. Open and integrating economy favours the development of large centres, but network economy also broadens the possibilities for economic specialization and exploitation of specific development advantages.

A knowledge - intensive economy, more capable of learning, has the best development possibilities in major centres, which refers to the concentration of jobs and knowledge into functional city areas. This will lead to an increase in employment rate, due to the decline in number of population in working age, not due to the growth of production or new jobs. High unemployment and scarce perspectives might lead to degrading social conditions. Spatial concentration of population and economic activities is going to bring additional problems like escalation of real estate and service prices, escalation of salaries, lack of infrastructure, acute social problems.

## **Finland**

A clear economic and demographic polarisation between growth regions and more peripheral ones became evident in the 1990's. This has led to broad regional inequalities between few centres and the periphery. Several municipalities are facing structural challenges and have difficulties in financing public services.

Certain problems are caused by the trend to build large retail shopping units outside urban fabric. This, and urban sprawl in general, cause e.g. degradation of urban centres, increases the use of private cars and may



lead to social inequality. Although there is a common understanding that the existing infrastructure should be used more cost-effectively, the planning monopoly of municipalities gives power to local decision-makers, who often have to make rapid decisions because of economic realities. In the issues regarding sustainability of the urban environment, the living circumstances of children and other special groups will be highlighted. Also, the questions of the quality of air, reduction of traffic bound emissions, sustainable transportation systems, and access to recreation and urban green areas as well of urban landscape will gain special attention.

The process of regional land-use planning is proceeding. Recent debate on regional plans concerns mainly the siting of large-scale commercial units and waste disposal sites, as well as the protection of natural and cultural landscapes concerning the placement of wind power plants and peat production areas. In the most sparsely populated and declining regions the connection between economic development and nature protection has raised debate to some extent.

Population growth has been concentrated in recent years in larger cities, and particularly in the Helsinki Metropolitan Area. Many smaller settlements and rural areas are suffering from depopulation, due to migration to these growth centres. At the sub-regional and municipal level the large-scale in-migration has led to urban sprawl throughout the growth regions when municipalities located within a reasonable commuting distance from the core cities have started to gain considerable in-migration. The consequences and challenges of polarisation trends are naturally contrasting in the areas of out-migration and in the growth centres. The key spatial problems in the declining municipalities are under-used social and technical infrastructure, ageing population, decreasing public and private services, diminishing know how and decline in purchasing power. In the growth centres, the results of intense in-migration are challenging urban planning, since local housing markets are over heated, public services are overloaded and rapid growth may lead to social problems.

The debate concerning the merging of municipalities has been going on in Finland for decades. So far the number of mergers of Finnish municipalities has been moderate. Many municipalities have faced problems in terms of providing basic services to their citizens. Safeguarding public welfare services by municipal co-operation will be supported by a specific sub-region project.

## **France**

France as other European countries knows a trend towards metropolisation. This involves concentration of population in major cities and in surrounding areas (urban sprawl, increasing splitting of urban functions) and the constant falls in population figures in more deep rural areas. This can be considered as one of the major evolutions of the French territory over the past decades. This situation can explain current debates on the place and role of agriculture, notably in peri-urban areas; and the

conflicts of competing uses, which derived from this situation. Dealing with French rural areas, different situations can be identified. If urbanized rural areas and rural areas dedicated to tourism benefit from positive trends, the so-called 'fragile rural areas' are facing difficulties. Their main characteristics are: poor agricultural productivity, weak density of population, lack of public services. Rural industrial areas are suffering from massive decline of the industries. They are facing strong increases of unemployment and poverty rates and decline in population. Also linked to this evolution, the question of maintaining public services in low population areas (rural) has become a major concern relatively to the French conception of spatial planning, where the policy of *aménagement du territoire* should guarantee an equal access to all citizens to at least basic public services.

On the urban side, urban segregation can be also be considered as a major spatial problem originally not taken into consideration in the mainstream of the '*aménagement du territoire*' policy. It mainly concerns the suburban areas of medium-sized cities to metropolis and particularly the outskirts, which were built in the post-war period. For now more than 20 years, a dedicated policy ('*politique de la ville*') tries to counterbalance the accumulation of problems in these areas (urban dereliction, bad social conditions of the inhabitants, high unemployment rates, violence).

With regard to polycentricity, it can be said that the French territory as a whole is not an example of polycentricity. Nevertheless, at the regional level (e.g. that of the Lyon region) some polycentric organisation can be identified. Overall, it cannot be said that the French cities network is poorly developed, given the important number of medium-sized cities well spread over the national territory.

## **Germany**

The divides between succesful metropolitan regions and disadvantaged regions is the major problem in Germany. The most severe problem in this respect concentrates on East Germany. This has in fact led to a discussion about the general aim to establish equal living conditions in Germany and whether this can be still kept effective, not least due to the steady decline of available resources.

The winner regions, in particular in West Germany suffer at the same time from intense sub-urbanisation processes, occasionally even characterised as de-urbanisation processes, as expressed in the *Zwischenstadt* hypothesis. The consequence of these developments include the standard 'canon' of traffic increase, green field consumption, difficult financial situation of core cities with a steady deterioration of services, and the like. Nimbyism and the transformation of previously rural local cultures into quasi urban cultures (commuter villages) are another feature. On the other hand, deserted East Germany cities are the culminating point of several overlapping negative trends, especially outmigration and loss of jobs... In East Germany, large housing estates are even deconstructed with the help of additional subsidies to clear out the market. A development not only restricted to Halle or Leipzig, where the most

prominent examples can be found. West German cities have partly to develop strategies against the massive population outmigration, in particular out of housing estates from the 1960ies, too.

In the '*Wirtschaftswunderjahre*', the German planning and control system was very effective in the distribution of growth and wealth. In times of marginal growth, occasional down swing, population decline and job losses, the very formal system does not prove to be flexible enough. So, in general new forms of more flexible responses, including different actors and resource holders are searched for.

## **Greece**

The topographic features combined with historical and political factors have led to a fragmented model of development and habitation, with activities clustered in certain parts of the country, endowed with comparative advantages. In the 1970s and 1980s disparities have increased between the hinterland and the coasts, between mountainous areas and plains and between farming areas and cities. Regional disparities however decreased in the 1990s.

In Greece urbanization took place at a very fast rate, but after the 80s it has been slowing down, due to a relative stabilization in rural areas. A result of the fast rate of urbanization in the first period was the inability of planning authorities to plan ahead of events and provide the necessary urban infrastructure. The inevitable outcome was congestion, environmental deterioration and functional inefficiencies in the large cities. Two simultaneous urbanization processes are taking place, concentration in an increasingly limited proportion of national space and dispersal in the periphery of urban centres. Thus, the Greek spatial system is undergoing three major changes: Increased networking between cities, suburbanization around the main centres and decline of agricultural activities.

Unauthorized building construction, especially housing, is a major problem for Greek town planning and for political authorities. In theory unauthorized structures are demolished and a fine is imposed on the owners. There have been attempts to deal with the problem (L.1337/1983 and L.3212/2003) mainly by legalizing existing, unauthorized buildings, and then providing the conditions for legal building activity, but the problem still persists, although there has been a shift from first homes towards illegal vacation housing.

Environmental and urban and / or regional development problems usually singled out as requiring attention are:

- Water management, e.g. in trans - border river basins or for irrigation;
- Water shortage and management in islands;
- Sea water pollution from residential, industrial, tourist or sea transport activity;
- Solid waste disposal and noise in urban or tourist areas;
- Soil pollution from fertilisers and chemicals;

- Loss of forests and associated soil erosion; land clearing because of urban development and cultivation;
- Degradation of natural ecosystems, especially coastal ones;
- Intensification of land use conflicts, especially in peri-urban and tourist areas (cases of conflicts with sea farming, mineral extraction etc.);
- Loss of agricultural land in these areas;
- Desertification, because of overgrazing, intensive farming and other factors;
- Deterioration of urban environments, especially of historic or architectural significance;
- Decline of urban industrial areas and problems of small manufacturing sector, because of technological backwardness, inadequate innovation etc.;
- Crisis of small retail activities and local commercial centres in urban areas, resulting from invasion of large retail chains;
- Urban pollution (car and industry emission of pollutants);
- Decline and congestion of old, high density residential areas in large cities.

## **Hungary**

Hungary is a very centralised country, where despite numerous attempts to ease this centralisation, national political, economic and social activities still concentrate in the capital. Although the years after 1990 have brought about a thorough decentralization of policy making in many different policy fields, the monocentric structure of the country hasn't been altered significantly. Cities of the second rank only have a chance to become strong regional centres if they engage in a close co-operation with other cities. These co-operations regard mostly co-operations with cities in other countries – like Slovakia (e.g. Miskolc-Kosice) or Rumania.

Another problem facing Hungary is the apparent regional disparity: whereas the central – Budapest – and the Western/North-Western areas of the country are relatively well-developed, the Eastern and North-Eastern part has been struggling with high unemployment rates, less spectacular economic performance and a lower activity rate. The economic development of the Eastern regions has been – among other things - hindered by a highly centralized system of roads and train connections, all of which lead to Budapest. Some populous and economically most important cities in the Eastern and the South Western regions are still not connected to the motorway system under development.

It is interesting to note that the current East-West distinction regarding the economic performance is a relatively new phenomenon, as before 1990, under centralised state planning, Eastern regions received special attention. The dispersion of GDP per capita in the 1970s showed a radically different picture than today, with many of the now backward areas being in the industrial forefront. What remains unchanged however is that Budapest has always had an essential role in GDP production. A further problem is the above-mentioned disparity between cities and their surroundings, where the difference between the economic performance of a

city and its peripheral areas is huge. Within the cities themselves growing segregation, the ever widening suburban rings and the unused brownfield areas present problems and clearly generate spatial conflicts.

Finally, another key spatial conflict regards the power struggle between the counties (19 NUTS 3 units) and the regions (7 NUTS 2 units), which has increased with the EU accession. The current rivalry blocks many good initiatives, hinders the development of well-functioning regions, and slows down the reshaping of the Hungarian administrative system according to EU norms.

## **Ireland**

The key spatial issue is that of Ireland's monocentric urban structure. Ireland has one of the most monocentric patterns in Europe, with an over-concentration of population and economic activity around Dublin and the under-utilisation of the economic potential of the other regions. The outcome has been a widening of relative levels of inequality between and within regions, demonstrating an uneven development pattern and what an author calls the emergence of a 'regional problem' in Ireland. Ironically, the concentrated strength of Dublin has also been widely seen as the motor behind Ireland's success. It has also contributed to the move towards the central goal of the ESDP, i.e. a more polycentric pattern of development across Europe. Indeed, the Dublin area was identified in the ESPON 1.1.1 project as one of 64 Metropolitan European Growth Areas (MEGA), with the potential to act as a counterbalance to the core area of Europe, defined by the ESDP as the 'pentagon'. It could therefore be argued that although the economic growth of Ireland as a whole has led to convergence with the average EU GDP per capita and further polycentrism at the European level, it has at the same time accelerated greater monocentrism at the national level.

The rapid economic growth of the 1990s took place in the context of a lack of appropriate infrastructure, an absence of a national strategic spatial framework and a limited institutional and governance capacity to guide and coordinate the development. From the mid-1990s, a number of reports by various government departments as well as the business community were calling for a coherent regional policy and stressing the importance of an effective spatial planning strategy for achieving territorially-based integration among various policy sectors...The definitive shift came with the publication of the third National Development Plan: 2000-06 (NDP) in November 1999, which moved away from a dominant discourse of 'Ireland as a region of Europe' towards recognising the 'regional problem' in Ireland... For the first time, the traditional goal of enhancing national growth was complemented by the objective of "a more balanced regional development in order to reduce disparities.

## **Italy**

Traditionally, the spatial planning policies at national level, promoted and implemented by bodies and agencies depending on the central

government, seem to be, with rare exceptions, weak, a fact which is even formally admitted within the legal framework. Indeed, despite the traditional state intervention in the economy, there has been a lack of government reflection on the dynamics of territorial development and on the possible measures to direct them towards forms of re-equilibrium. The weakness of the national planning system does not favour the correction of the asymmetries between North and South, even if the General Transport Plan, approved in 2000, tries to reduce this disparity in favour of the Mezzogiorno.

Actually, as exceptional deviations from traditional locally-oriented spatial planning, only two experiences deserve to be mentioned:

1. The first one is constituted by the so-called territorial projections of the *Progetto '80*, published at the end of the 1960s as the spatial policy complement to the central economic planning document published by the Ministry of the Treasury, the Budget and Economic Planning. This report detected the main structural reasons of the unbalanced development of the country not only in the macro-regional economic divide between the industrialised North and the underdeveloped South (the vision was strongly indebted to a dualistic model), but also in the disequilibrium between metropolis and small and medium-sized cities, urbanised areas and countryside, hierarchical metropolitan systems and polycentric ones;
2. The second experience is strictly linked to the recent season of institutional reforms, characterised by a significant effort towards a decentralisation of administrative competencies from the central state to local authorities, inaugurated in 1997-98.

The authors of the *EU Compendium* on Italy write that "territorial planning is practically non-existent at the national level, merely a guideline at the regional level, and implemented at the local level". Clearly, what they mean is a purely regulatory approach to planning, one that totally excludes its even only potential strategic dimension.

## **Latvia**

The following problems exist in regional development in Latvia:

1. Low competitiveness of Latvia and its regions among European regions;
2. Significant disparities and differences in terms of socio-economic development level, as well as trend of increasing of differences among the planning regions;
3. Significant socioeconomic development differences among territories within planning regions on different levels, i.e. districts, local municipalities.
4. Insufficient infrastructure for business development.
5. Competitiveness of Riga as MEGA city

The major cause of regional development problems is the following problems in regional policy:

1. Drafting and implementation of sectoral policies takes place with insufficient regard to spatial and regional development aspects;
2. Insufficient coordination of available financial instruments, both national and those of EU;
3. The process of amalgamation is comparatively slow;
4. Insufficient capacity of local governments

In addition, one must mention the following issues:

- National Spatial Plan is not yet completed
- Regional spatial plans are too general with not enough detail
- Spatial plans for districts and local municipalities often are prepared separately and are not coordinated on a wider scale.

## **Lithuania**

Different regions of Lithuania were affected by the transitional period to varying degrees depending on their economic structure at the beginning of this period and geographical location. Additionally, as a result of the decreasing role of the state (both in terms of regulation and decisions regarding investments), direct free market investments were mainly directed to the most developed regions. This caused significant differences in regional employment. The regional disparities have increased significantly during the transition to market economy. The disparities in GDP per capita between the most and the least developed regions in Lithuania have increased 2,6 times. The growth in disparities within regions has been even higher.

The political and social changes, market economy, private land ownership has changed the operation basis of the city and its transport system. A completely new economic, social and legal environment for urban and transport planning and development has been created. The values perceived by an individual and society, as well as lifestyles have been changing. In Lithuania the most recent 15 years is a period of passive observation and non-regulated urban development marked with the emergence of profound regional differences in the social and economic development levels, the life and environment quality, the attractiveness for investments, which may cause social tension and negative processes, i.e. depopulation in rural areas and districts or other rising problems.

The initiative of urban planning and urban development has been taken over by private structures and individuals. This may be considered as regular market activity. However, these activities do not always comply with the interests of the urban community. The urban public spaces [and] their technical infrastructure and equipment [show signs of obsolescence] and new urban areas with degrading physical and social environment have been emerging. In the recent decade the public transport lost its domination. The cities became multi-transport cities.

The inherited urban situation, the market economy formed recently, the uncompleted land reform, the urban anthropogenic and natural environment, the economic capacity, the social needs, the environmental quality condition, the mentality and lifestyle of the population produce a

unique package of challenges in the Lithuanian cities. The unresolved problems include the unfinished land reform, the insufficient methodological basis, the gap between science and planning practice, and the insufficient management of urban planning and development.

## **Luxembourg**

Population development is a central task of planning in Luxembourg, especially its impacts on the spatial structure of the country. Of particular concern are the territorial impacts of population growth, transport growth, localisation of economical zones and localisation of housing. Other issues of importance are sustainable regional development, urban-rural relations, periurbanisation and ruralisation. Finally, the objective of strengthening the competitive position of urban regions is explicitly part of polycentric policies.

## **Malta**

Land space in Malta has always been a contentious issue. This problem escalated further during the so-called building boom (1960s), when construction became synonymous with development and employment, leading to a rapid exploitation of natural landscapes and urban sprawls... With a high population density, a tendency for people to own their own houses, and a tourism sector that dominates substantial part of the coastal zone areas, land space in Malta is a very rare commodity... The main spatial problems in the Maltese Islands are the following:

1. High concentration of population density in a restricted land mass;
2. High concentration of industrial development within specific area... , [which is] the most densely populated area and an area of high historical and cultural value;
3. High concentration of tourism activity on the coastal areas...;
4. Land use problems, where specific areas may have multiple uses, often leading to use conflicts - for example the coastal areas are used for bathing, tourism activity, and at times industry, fishing and fish farming;
5. High traffic congestion, traffic flow problems and increase in atmospheric pollution...
6. Pressures for new developments in the countryside and existing built-up areas;
7. Impact of quarrying on built cultural heritage and natural landscape;
8. Problematic waste disposal...;
9. Tourism activity is near its carrying capacity limit of mass tourism activity and a product which due to the decline in environmental quality is in the plateau-decline phase of the tourism product cycle...
10. Dimensions of Domestic areas are significantly big when compared to European standards
11. Home ownership is a social issue, because of the local mentality favouring the ownership of land and property, as a form of investment. This is further fuelled by a failed rent law system with a low or insignificant rent estate market.



12. Building industry mindset and activity is directly related to economic boost. There were several building booms in the post 60s period and they recur in smaller waves. This is being attenuated by the Planning regime which was introduced in the 90s and imposed limits.

In addition, there have been instances of public concern and alarm towards the urban sprawl and the constant erosion of open spaces.

### **[The] Netherlands**

The general context in which spatial development and planning takes place is subject to fundamental changes. Among others the Dutch population is growing slowly, but is also ageing. Household numbers are rising faster than the population because they are becoming smaller, which causes extra demands for housing and housing locations. Growing individualization and emancipation of the population is leading to a complex interweaving of domestic, business and leisure activities in space and time. The emerging service-oriented network economy increasingly relies on rapid communications.

Agriculture will play a smaller role in the national economy and faces the need to restructure along two lines: further rationalization/intensification and regional specialization and integration with nature conservation, recreation, water storage and other rural activities. Maintaining the quality of the daily living and working environment is increasingly difficult, while the contrasts between town and country are being eroded.

Various other key spatial issues are currently important in The Netherlands:

- Keeping the land open (maintaining urban-rural relationships and preserving areas of natural and cultural importance)
- The increasing pressure on land (especially in the Western part of the country) due to high densities, but also due to increasing spatial demands per person and more car use
- Finding suitable sites for large-scale projects (e.g. infrastructure, housing, industry)
- Maintaining high accessibility whilst reducing traffic congestion (also related to issue of air quality due to EU-Directives)
- Improving water quality and preventing flooding
- Providing affordable housing
- Increasing housing supply, especially for the elderly and for 'starters' in the property ladder
- Dealing with the changing use of agricultural land

Development of urban extensions to the main cities is progressing more slowly than planned and a greater diversity of housing types and mixed uses is needed. Balancing the expansion of the Schiphol international airport and the Port of Rotterdam with local spatial and environmental quality presents a considerable challenge. It has been recognized that reforms to planning legislation and policy instruments are needed in order to be able to deal with the growing scale and complexity of development

and the changing relations between government, private parties and citizens.

## **Norway**

At present Norway can only boast one municipality, (Oslo), with more than ½ million inhabitants, although the functional greater Oslo region holds more than 1 million inhabitants. In all regions, the centre municipalities face an increasing number of inhabitants while the peripheral municipalities are in decline in terms of population numbers. The population of Norway is 4.5 m. Almost half of the people live in the south-eastern part of the country. Half of these live in what we call the larger Oslo region, and half of these again live within the city of Oslo. The average population density is 14 per km<sup>2</sup>. There are, however, enormous variations in terms of population density between different municipalities as well as different counties.

Only 1.5% of the land is in agricultural use (and perhaps 1.5% more is arable) and 20% is productive forests. The rest is mountains, lakes, glaciers, with large areas above the arctic circle. The long coastline has traditionally harboured fisheries, but off-shore trawling has replaced local activity: with the notable exception of fjord-based aquaculture. Oil activity has been a southwest endeavour, but is now being instigated in the far north. All of this makes for extreme disparities in both territorial potentials and spatial needs.

## **Poland**

The basic problem of spatial development and spatial policy in Poland is the increase of interregional, as well as intraregional economic and social disparities. Intraregional polarization represents an especially acute problem. The large cities, in particularly those characterized by a strongly differentiated economic base, tend to intercept some specialized activities traditionally associated with middle-sized and small towns. This phenomenon is usually referred to as backwash effects. It leads to increasing spatial differences in unemployment and income levels. This adverse spatial polarization process could be counteracted by, among others, active transportation policies. Unfortunately, investments in transport infrastructure in Poland have been by far insufficient since at least the early 1980s. As a result, indicators of spatial accessibility tend to decrease for a number of smaller urban centres.

Recent changes in the railway system is a case in point. Overburdened with heavy debts and faced with reduction of governmental subsidies, the state-owned Polish National Railways (PKP) company makes attempts to rationalize its activities by suspending service over a number of stretches of secondary and tertiary order - typically the lines linking small towns with bigger urban centres. This creates immediate problems both for commuters and the local entrepreneurs . Thus, the curtailment of the railways network affects negatively those settlements and areas which are already suffering from high unemployment. The economic backwash effects again prevail over the spread effects. Improvements in road

transportation, which is the main focus of state policies, offer numerous examples of rather typical spatial conflicts of environmental nature.

## **Portugal**

The reinforcement of a bipolarised national urban system, the lack of coordination among public policies and the existence of limited institutional and administrative models for spatial management are some of the problems we can immediately highlight. In Portugal, local authorities have multiplied into a diversity of public and private actors with differentiated interests and objectives. This pluralism is a powerful factor in pulverizing public and private choices and demands a capacity for coordination... In order to systematize the key spatial issues, we can refer to the following:

- Excessive polarization between the Central Government and the Municipalities: The emancipation of local authorities (municipal) from 1974 took place in a disarticulated manner: poor local financial resources for increasing responsibilities; the lack of pluriannual contracts between State and Municipalities; overlapping tutelages; inequality in the capacity to gain access to national and EU programmes. The absence of regionalization (except for the islands of the Azores and Madeira) and the fragility of inter-municipal institutions hinders the sectoral coordination of policies from the Central Government and local policies.
- The growing asymmetry between the two metropolises (LMA and PMA, [Note: Lisbon and Porto]) and the unequal dynamics of the medium-sized cities: Following the significant development of the PMA in the second half of the 1980s, the crisis at the beginning of the 1990s led to a loss of competitiveness at the national and especially international level, associated with entrepreneurial concentration and restructuring, especially in the financial and mass media sectors. The unequal shock of EU integration and globalization, together with the persistence of a centralist state, favoured the competitiveness of Lisbon and the LMA...
- Uncontrolled peripheral urbanization and degradation and abandonment of the historical centres: The decades-long absence of plans..., strong urban growth and the expansion of the real estate industry explain to a certain extent the "urban explosion", associated furthermore to the wide-spread use of the automobile and easier access to housing credit. Construction intensified. A type of duality was produced between the "historical-heritage" city and a discontinuous peripheral urbanization, with significantly aggravated environmental and infrastructural deficits.
- Infrastructure provision and mobility: Despite the strong investment registered, infrastructural shortcomings persist (sewage, roads, public transportation). The metropolitan areas (lacking proper financing and competences, political protagonism and almost devoid of organizational structures) and the regions (lacking a strong political and administrative structure) were incapable of managing or coordinating projects of a structuring nature.

- Processes of social exclusion: There are some signs of increasing social polarization and spatial segregation... In spatial terms, several signs of social division can be seen. The old tradition of 'mixed-uses' in urban areas, that ultimately marked the Portuguese image as a multicultural and multi-faceted country, with very different social and racial communities living together, seems to be slowly disappearing.

## **Romania**

The mountain ring ("Corona Montium") determines the whole geographical configuration of the country's territory, i.e. the radial - concentric disposition of land forms, water courses and major axes of infrastructure, human settlement and development. At the same time, it poses a serious challenge in terms of territorial cohesion and accessibility of some areas in relation to each other and to the Community territory. Romania as a whole is situated peripherally in Europe; in turn its Capital city Bucharest lies itself in a peripheral position in relation to the country's territory, while being a typical primate city. In spite of its high concentration of capital, knowledge, etc., Bucharest has been exerting only a limited influence on the surrounding area, generating very little diffusion, absorbing instead various resources thus creating a sizeable urban vacuum expanded over dozens of kilometres.

One major spatial development issue in terms of accessibility is the quality of the transport infrastructure; e.g. although the road network provides relatively extensive coverage of the national territory, road surface types vary considerably: only 19 521 km i.e. 24.84% of the total network length have asphalt, while 34.38% have gravel and 16.06% earth surface.

A legacy of the development policies in place before 1989 are the monoindustrial areas formerly totally depending on typically declining industries. The heavy loss of jobs in coal, steel, chemical, textile industries with no alternative opportunities has led to a steep decline of the utilities, endowment, public services and overall quality of life. Recent explosively expanding developments – mostly housing and tourist accommodation facilities – and the pressure of growing tourism activities are threatening the environmental balance and the landscapes in particularly sensitive areas (sometimes very close to protected areas): lake and river shores, forests, the Black Sea Coast, the Danube Delta, where different land uses and stakeholders' interests fiercely compete. Typical natural hazards are earthquakes, most severe in south and southwest, landslides and flashfloods in hilly and mountain areas, floods in plain and tableland areas. Uncontrolled and/or non-existent waste storage is one of the country's greatest environmental problems, while air pollution exceeds maximum allowable levels more than 50% of the time in 11 of Romania's 41 counties, and nitrate levels exceed safety levels in 14 counties' water supply.

## **Slovakia**

One of the most important issues of the spatial development are related to the fast and radical changes of the economic and social conditions in the Slovak Republic. The changes in the economic conditions are automatically reflected in the demand placed on the land use. Considerable part of the Slovak territory lost its dominant production plants which saturated with employment the town dwellers and the population of the whole districts. Many centres have unused human and territorial potential with well established technical and social infrastructure.

The current regional disparities are demonstrated especially in

- share of the regions in the GDP,
- rate of unemployment,
- amount of foreign capital entering the individual regions,
- income level of population,
- dynamics of creation and development of small and medium enterprises,
- level of utilization of the comparative advantages of individual regions,
- level of infrastructure in individual regions,
- share of investments in the public sector,
- small and medium business development,
- emergence of new companies in the regions,
- new job creation.

One of the most important problems hindering the land-use development and spatial cohesion is the lagging construction of high-level and effective transportation infrastructure.

The problem of regional inequality mentioned in the table takes the form of East – West disparities and is related to rates of unemployment, foreign investment, technical infrastructure, income levels and new job opportunities. Regional isolation is due to poor transportation infrastructure. Finally, problems are caused by the high share of the national territory which is under a strict status of protection, which bars most development activities.

## **Slovenia**

The key spatial problems of the country fall under the following categories (see above table):

- Urban expansion and urban sprawl;
- Housing supply at low price and for specific social groups;
- Land use conflicts between activities;
- Shortage of financial resources of local authorities;
- Waste management;
- Development pressures on sensitive landscapes and ecosystems;
- Decentralization.

## **Spain**

Nearly all 40.000.000 of Spanish, which translates into an average density of 77 h/km<sup>2</sup>, are concentrated in the coastal regions and in Madrid. The rest of the territory has a very low population density. This disequilibrium becomes more noticeable regarding the distribution of the population in each different region. Most of the people leave in cities, while the rural areas are nearly uninhabited, after the exodus of the years 60s and 70s. Only some areas of rural regions have a population density higher than the average. The national income has also the same disequilibriums. The region with the highest income are the Balear Islands, due to the tourism.. In general terms, drawing a line from Ribadeo to Almería, the poor Spain would lie on the south-west and the rich Spanish would lie on the north-east. This difference is due to several factors, amongst which must highlight the policies of development and the proximity to the European markets. In the centre of the peninsula only Madrid constitutes a developed point. The internal regional disequilibrium is also important. In general, the capital of the province creates a hinterland of development around it.

In the less developed part of the country, the agriculture is the basic mode to create richness, followed by the services and the industry. In the more developed part of the country two models are to be found: regions where the creation of richness is centred in the industry, followed by the services and the agriculture; and regions in which the creation of richness is centred in the services, followed by the industry and the agriculture. The regions where the service sector is the most relevant are the tourist zones, and the richest in Spain, like Baleares and Canarias.

60% of the immigrants are concentrated in the Mediterranean communities and the islands. However, the highest attraction of immigrants is in Madrid, where 23% of them live. As in the case of Spanish citizens, the immigrants are not distributed in a homogeneous way inside each of the communities. Apart from the total number of immigrants who live in a community, what really is significant is the relative number in comparison with the population of this community, which really influences in the quality of life of these provinces (lack of health services, schools and nurseries, difficulties for the accommodation and water endowment, as well as problems due to the integration and coexistence). Mainly for labour reasons, the immigrants tend to concentrate in big towns, which are the capital of provinces and the big Spanish cities with more than 100.000 inhabitants.

## **Sweden**

Among the key spatial problems, conflicts and issues in Sweden are the great disparities in a north-south dimension between vast areas in the north that are very sparsely populated and the key urban regions in the south. An oversimplified characteristic is that there is growth in population and employment in the south – and out migration and decline in the

north. It is particularly the largest metropolitan areas of Stockholm <sup>48</sup>, alongside some university towns that show the largest increase in population.

The pressure on the expanding urban regions also contributes to a problem of overheated housing markets and urban sprawl. Furthermore, the issue of traffic congestion has in Stockholm become so severe, that there will be a pilot project with congestion charges to see if such a system can be introduced in the future.

In the 1990s an increasing social segregation was noticeable in Swedish metropolitan areas, resulting in pockets of areas with high concentration of social and economic problems. In order to decrease those differences the government appointed in 1999 an Urban Delegation ("Storstadsdelegation") to evolve and co-ordinate Sweden's urban policy. On the basis of the delegation's recommendations the Metropolitan Policy ("Storstadssatsningen") was launched.

Sweden (and other countries around the Baltic Sea) have problems with degradation of the marine ecosystem of the Baltic Sea.

## **Switzerland**

Despite stable disparities, the relative position of different types of regions, particularly urban and rural ones, has changed. Territorial advantages have shifted from rural towards urban areas. An increasing polarisation between more urbanised and more rural regions can be observed, and also an increasing polarisation between the German speaking parts and the rest of the country. In particular three major spatial problems can be identified: a structural weakness of rural areas, the urban sprawl in metropolitan areas and the management of functional regions.

Rural areas have to face constant decline of agriculture, which renders agricultural support less and less targeted. Of particular note has been a decline in value added service employment in the more peripheral and tourism-dependent cantons during the late 1990s, where internal and international competition has exposed structural weaknesses of small trade and industry sectors in several regions. Amenities, i.e. natural beauty and cultural richness, which are the comparative advantage of many Swiss rural areas, are not fully exploited as an economic development tool.

Metropolitan areas play a key role in the economic and spatial development of Switzerland since their economic growth rates exceed the national average. Urban areas, particularly the Zurich metropolitan area, harbour the high-productivity economic sectors. However, Swiss metropolitan areas face growing internal imbalances and disparities. The central cities are losing population towards the suburbs. This process of outmigration is exacerbated by the decentralised institutional and fiscal

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<sup>48</sup> Göteborg, Malmö and Uppsala.

structure of the country. Municipalities strongly depend on resident-based income taxation and attract residents either through low tax rates or high public service quality. People leaving for the suburbs reduce the major tax base of the cities. Since the municipal level is responsible for the less privileged strata of population, cities have at the same time to cope with growing social assistance expenditures, particularly in times of economic crisis.

Fragmentation and variety is one of the most striking features of the Swiss federation. Despite its small size, a large number of economic, geographic, linguistic and ethnic lines cut the country into many distinct spheres. The territorial division of the country, the large number of federal states – more than any other federation except for the USA - and their extended autonomy reflect cultural and socio-economic reality of the second half of the 19th century. The careful power balance between the different parts of the country and different levels of government has interfered with large territorial reforms. The politico-territorial structure has however come under strain. The former small scale disparities have gradually been replaced by a larger and coarser pattern, revealing that social and economic life is more and more organised in larger functional areas. The growth of urban areas across traditional institutional borders has left its mark on the urban structure of Switzerland. Economic and social activities no longer follow traditional borders but overlap them in various ways, creating a mismatch between institutional and functional regions. The smallness of cantons and municipalities creates various territorial spillovers, exacerbating political frictions. In reaction to these territorial trends, the government in 1996 created seven “Great regions” (*Grossregionen / grandes regions*) that group together several cantons, reflecting a more appropriate functional organisation of the country.

## **United Kingdom**

The main issues include:

- The ‘North – South Divide’, which refers to regional inequalities in wealth that display a general pattern of wealthier in the south (and particularly the South-East), and less wealthy in the northern half of the UK;
- Urban containment – this is of fundamental importance to the philosophy behind the spatial planning system in the UK;
- Decentralisation.

## **Conclusions**

The analysis of spatial problems presented here by country is that which appeared in the 2<sup>nd</sup> Interim Report of the project, in an unfinished form. The material presented covers now all 29 countries and was taken directly from the national overviews, sometimes in an edited form for reasons of brevity. There are obviously spatial problems, such as that of regional inequalities, identified as a problem more frequently than any other, which would require a more analytical approach. It is argued however that this compilation makes easier any future comparison, out of which a more



representative classification can be produced, if the possibility of further research is provided.

In contrast to previous sections, our interest in spatial problems was not to address directly the parameters of governance. Hence, this section could have been omitted. However, the nature of spatial problems is related to the situations that a governance reform can best deal with and to the opportunities to introduce innovative reforms. A further research question is whether the planning style and the administrative culture that are typical of any given country are affected by the country's territorial problems or whether they are, to some extent at least, their cause. This is a much larger hypothesis, which our synthesis of overviews could not tackle. Undoubtedly the existence of particular problems explains criticisms of the present government practice, dissatisfactions with territorial planning and the consequent desire for innovative approaches. The relationship is there and must be researched further.

The classification we produced suffers no doubt from insufficient aggregation. In the following table we try to aggregate categories and provide a more comprehensive picture.

|   |  |
|---|--|
| <p>Regional problems</p> <ul style="list-style-type: none"> <li>• Regional inequalities and / or differences, e.g. of the North – South or centre – periphery type;</li> <li>• Regional isolation, problems of remote and inaccessible areas etc.;</li> <li>• Economic diversification of peripheral areas;</li> <li>• Management of cross-border areas, e.g. economic regions, river basins etc.</li> </ul>  | <p>Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Malta, Norway, Poland, Portugal, Romania, Slovakia, Spain, Sweden, Switzerland, U.K.</p> |
| <p>Urban system</p> <ul style="list-style-type: none"> <li>• Urban – rural relationships and role of cities as drivers of development;</li> <li>• Poorly developed polycentric urban system.</li> </ul>   | <p>Austria, Estonia, Finland, France, Greece, Hungary, Ireland, Italy, Lithuania, Luxembourg, Malta, Poland, Portugal, Romania, Spain.</p>   |
| <p>Cities and urban regions</p> <ul style="list-style-type: none"> <li>• Urban expansion, urban sprawl, urban containment etc.;</li> <li>• High density urban regions, congestion, accessibility etc.;</li> <li>• Management and development of metropolitan areas.</li> </ul>  | <p>Austria, Belgium, Cyprus, Czech Republic, Estonia, Finland, France, Germany, Greece, Hungary, Malta, Netherlands, Portugal, Romania, Slovenia, Spain, Sweden, U.K.</p>  |
| <p>Intra-urban problems</p> <ul style="list-style-type: none"> <li>• High density areas within cities, congestion, accessibility, obsolescence etc.;</li> <li>• Pressures on historic settlements and urban districts and on cultural heritage;</li> <li>• Abandonment of historic centres;</li> <li>• Management of urban public spaces and infrastructure;</li> <li>• Low quality social infrastructure in urban areas;</li> <li>• Urban environmental problems, especially pollution.</li> </ul> | <p>Belgium, Czech Republic, Estonia, France, Greece, Hungary, Italy, Lithuania, Malta, Poland, Portugal, Romania, Spain, Sweden.</p>   |
| <p>Land</p> <ul style="list-style-type: none"> <li>• Pressure on land, difficulty of maintaining land supplies for increased needs;</li> </ul>  | <p>Austria, Belgium, Cyprus, Estonia, Finland, France, Greece, Hungary, Italy, Malta, Netherlands, Romania, Slovenia, Spain.</p>   |

|  |   |
|--|---|
| <ul style="list-style-type: none"> <li>• Preservation of non-urban open land and spaces;</li> <li>• Unlicensed and / or illegal development;</li> <li>• Land use conflicts between activities (e.g. tourism and mineral extraction or industry, peri-urban areas etc.);</li> <li>• Shortage, loss, transformation or deterioration of agricultural land, desertification etc.</li> </ul> |   |
| <p>Economy</p> <ul style="list-style-type: none"> <li>• Economic competitiveness;</li> <li>• Urban areas and economic decline, crisis of particular economic activities etc.;</li> <li>• Inadequate infrastructure.</li> </ul>   | Czech Republic, Belgium, Estonia, France, Greece, Italy, Latvia, Poland, Portugal, Romania, Slovakia, Spain.                                      |
| <p>Countryside – landscape – nature</p> <ul style="list-style-type: none"> <li>• Development pressures on sensitive landscapes and ecosystems (coasts, mountainous areas etc.);</li> <li>• Degradation of natural habitats and ecosystems, incl. marine ecosystems;</li> <li>• Loss of forest reserves, soil erosion etc.</li> </ul>   | Austria, Cyprus, Greece, Italy, Lithuania, Malta, Poland, Romania, Slovenia.  |
| <p>Other environmental issues</p> <ul style="list-style-type: none"> <li>• Natural disasters;</li> <li>• Water management and quality, flooding etc.;</li> <li>• Waste management;</li> <li>• Problems associated with location and impact of large infrastructures.</li> </ul>  | Austria, Belgium, Cyprus, Estonia, Finland, Greece, Hungary, Italy, Latvia, Malta, Netherlands, Poland, Romania, Slovakia, Slovenia, Switzerland. |
| <p>Administration – government</p> <ul style="list-style-type: none"> <li>• Centralization / decentralization;</li> <li>• Lack of coordination among public policies;</li> <li>• Financial resources of local authorities.</li> </ul>  | Finland, Greece, Ireland, Lithuania, Malta, Poland, Portugal, Romania, Slovenia, Switzerland, U.K.  |
| <p>Social issues</p> <ul style="list-style-type: none"> <li>• Housing supply at low price and for specific social groups;</li> <li>• Processes of social exclusion.</li> </ul>   | Cyprus, Czech Republic, Estonia, France, Germany, Italy, Netherlands, Poland, Portugal, Slovenia, Sweden, Switzerland.                            |
| <p>Politics</p> <ul style="list-style-type: none"> <li>• Political divisions – forced population movements.</li> </ul>   | Cyprus.   |

## **Chapter 3. General comments**

Producing a synthesis out of the puzzle of national situations, with an emphasis on territorial governance, was already an extremely demanding task. Breaking down this synthesis into individual components of the overall picture, as reflected in the sections of the synthesis, added to the difficulty. There is no doubt that there may have been a totally different approach. We ourselves may adopt a different methodology if we decide to start all over again. It is arguable e.g. that a more historically - based approach, with an emphasis on the path followed by each country in the past, or an approach focusing on oppositional situations and social conflicts, would have produced different results and different explanations. The attempt, at the end of this report, to reach general conclusions is an even more intractable problem. Modesty requires that the content of this last section takes only the form of general comments, based however on the partial conclusions of the 23 sections in the analytical part of Annex B.

### States

The actor at the centre of the governance debate is the national state, its role and future. There is an underlying assumption, and this is reflected in the national overviews, that there is widespread dissatisfaction with its performance and future potential. But there are also opposing views, particularly when the discussion focuses on the need to guide and control land use. The state as an ultimate guarantor of territorial justice is still perceived, at least by some, as a necessity. On the other hand, it is clear that there is concern with national economic performance in the new global economic environment. The crisis of the last quarter of the 20<sup>th</sup> century has played a significant role in fuelling this concern and has precipitated a change of response on the side of public authorities. Even more pressing is the need for change in countries, which had, on top of tackling the economic crisis, to make the transition from a past socialist and / or authoritarian regime to the free market and to democratic government. Spatial planning and, even more so, new forms of territorial governance are seen as central in the change of direction.

### Regions

The "regions", in their variety of forms, are also a key actor. The variations which exist at the national level (e.g. in terms of constitutional structures), serious though they are, pale into insignificance when compared with the broad range of regional configurations and structures. One only has to look at the presence of regional inequalities among the list of spatial problems and at the forms of regional government to appreciate this variety. Yet, the emancipation of the regions, even where it did not traditionally exist, is a reality. Decentralization takes place virtually everywhere and the progression towards more powerful regions is very frequently (but not universally) reported in the overviews as a step towards governance. Although the term "region" has a variety of meanings, there is no doubt that this, sometimes elusive, middle level,

between nation and locality or national government and municipality, is acquiring a new personality. Besides, as the overviews confirm, it is at this level or in its relations upwards and downwards, with the national and local levels, that a very large number of innovative experiments are taking place. A variety of forms of cooperation, from national – regional contracts to regional growth councils, extending beyond the conventional routine of government, can be found here.

### Localities

Although this is too bold a generalization, it could be argued that where at the regional level the driving force is development and competitiveness, at the local level the driving forces are more related to the individual citizen, his / her quality of life and engagement in public decisions. Therefore, localities are a different battleground in the struggle for governance, particularly for principles such as openness and transparency. We are aware that divisions between geographical levels are often blurred, particularly in highly urbanized Europe. Spatial formations, like metropolitan areas or functional urban regions, defy this division. This was taken into account in the selection and classification of case studies (see Annex C). The fact remains that the closer links between authorities, citizens and society affect the trends of new governance initiatives especially at the municipal level. For instance, innovations regarding citizen participation methods or public – private partnerships for urban regeneration purposes are here typical forms of governance.

### Civil society

The need for greater engagement of civil society is acknowledged in all overviews. It is in fact elevated to a sort of necessary credential, which no one wishes to deny, although there are hints that intensive citizen involvement may reduce effectiveness, prolong planning processes and lead to decision making inertia. It is probably the realization of the dangers of a democratic deficit and of the loss of legitimacy which wins the argument, because this deficit may be even more detrimental to effectiveness than procedural delays. We witness several examples in the overviews of mobilization and increased activism in opposition to government decisions, e.g. to locate infrastructures or proceed to urban renewal. But the presence of an informed, active and alert civil society is closely linked to past history and its creation is a lengthy process. Therefore even when lip service is paid to its importance, it is recognized that it is far from being an influential actor.

### Participation

Participation in decision making and implementation processes is naturally an indicator of a mature civil society. Here, however we can be more specific. Virtually everywhere spatial planning and land use legislation provide for a stage of participation in the planning process. The variations are enormous and misleading, depending on whether participation is invited at the plan drafting stage, or even better at the stage of goal setting, or is simply a formality after the plan is finalized. In the latter

case it is simply an opportunity to lodge an objection to the administration or an appeal to the courts. Interesting innovations, in a governance spirit, include e.g. initiatives and institutions, which maintain a constant 2-way interaction between public authorities and citizens, or regeneration projects which involve citizens from a very early stage. Information in the overviews was on the whole poor and did not allow an in depth analysis.

### Devolution

We hinted at the question of devolution of powers to sub-national levels of government, in connection with the regions and localities. Devolution seems to be taking place everywhere, but not without complications. These may be of a legal nature, e.g. in relation to the nature of the state, or functional. The experience of the adverse effect of excessive devolution on the room for initiative of the central government is reported in country cases, which have very different traditions and systems. The governance value of power transfers is not denied or opposed, but there are warnings. It is significant however that solutions to this problems are being sought again in a governance perspective, e.g. in coalition building, agreements and other cooperation forms.

### Cohesion

Is the central state losing its status and its dominant role? Should it be so? And what is the effect on territorial cohesion? These issues seem to preoccupy the authors of certain overviews. The influence of the European Union is decisive because of the rules that member – states incorporate in their government system and of the effect of EU regulations and directives. This overwhelming influence is on the whole recognized in all overviews, although in some cases the point is made that EU reforms were already in place, because of national traditions and legislation. As a result of the EU effect, regions and cities in all countries have become more powerful interlocutors in policy debates, but this may be to the detriment of less developed, more isolated, resource – deficient areas. Policies of territorial equalization and local development mentioned in the overviews are trying to create a more cohesive national, and by extension European, space. Some overview authors point out that the central state, in spite of appearances, is not after all losing its control power. Occasionally this is deplored, but there is also the reverse side of the coin. This is why a new style of central state intervention in spatial planning is also reported for some countries, i.e. the retention of a guiding role by means of issuing guidelines and performance indicators.

### Administration

The role of the administration is frequently commented upon, usually in a negative spirit. This is related to the role of the central state in general, but also takes specific forms of complaint and criticism, against what is seen as an obstacle to governance. Public administration is perceived as resisting change, lacking the necessary mentality or as being short of the skills required for a governance approach. This takes us back to the issue of the right balance between formal government and governance

processes and to the role of the administration as a regulator and protector of social justice. There is material in the overviews referring to innovations to increase openness and transparency and to protect the rights of the citizens.

### Institutions

The distribution of roles in the government structure has to do with regionalization, decentralization and devolution of powers. Key institutions dealing with territorial problems and planning exist at all levels of government depending on the degree of centralization. At the central level, all countries have key central ministries dealing with spatial issues, but there are variations regarding the extent of functional linkages between sectoral authorities, especially between those concerned with economic development and territorial organization. Interesting innovations exist rather in what we can call the "para-government" institutional structures, i.e. in supporting institutions acting as advisors and mediators; also, in organs of horizontal and vertical cooperation which foster the dialogue between sectoral and territorial agencies, let alone NGOs and citizen groups.

### Law

An attempt was made to explore the issue of consolidated or diffuse spatial planning legislation and of legal complexities, which stand on the way to the pursuit of governance. This is a complex issue, because on paper the statutes existing in various countries have a great deal of resemblance. In some cases the legal framework, which governments of new member – states tried to adapt to EU standards as a first priority, is new and has not been implemented and tested yet. Other countries have a long tradition of a regularly updated and consolidated statute book, although even there we had indications that the law does not keep pace with developments requiring higher efficiency and that litigation is on the ascent. Given the sensitive character of land property and development rights and of the special social importance of land ownership, it is not surprising that in some situations constitutional and legal provisions may be an inhibiting factor if certain key governance principles are to be adhered to (openness, transparency, accountability). Chaotic legislation causes ineffectiveness and may breed corruption.

### Traditions

The existing national culture of government is an advantage, which gives to certain countries a flying start in the governance race. In some cases, their past achievements are reported as far more advanced than the EU governance objectives, to the point that EU (e.g. sectoral) policies or their framing in strictly regional terms are considered as impediments. But there may be traditions in other countries too, even in protest movements and collective action, which could be successfully built upon to bring about a new governance culture. There are also issues around which new coalitions and partnerships can be constructed. It is for this reason that when the question is asked about policy areas which offer themselves for

a governance approach, the protection of the environment, heritage and individual rights are frequently mentioned, alongside regional development and economic competitiveness.

### Cooperation

We touched on cooperation in previous paragraphs. EU regulations (e.g. of the Structural Funds) are on the whole considered as of decisive importance in promoting (in fact, demanding) cooperation, as a prerequisite for funding. We had a large number of such instances reported in the overviews, especially of an inter-regional or inter-municipal character. Even in situations of a limited partnership tradition, a considerable amount of inter-municipal cooperation already exists, even if it concerns only infrastructure projects. There is also experience of public – private partnership in public works. But the trend is now visible everywhere, at least in the enactment of framework legislation, towards an extension of partnership working (public – public or public – private). The fiscal crisis has played a role in this respect. A large number of cases, e.g. regarding urban development and regeneration or infrastructure provision, have been reported, supported by innovative cooperation arrangements of a contractual nature. Regional cooperation is increasingly taking a transfrontier dimension, again mostly in northern, western and central Europe. The institution of Euroregions and the Interreg Initiative provide the predominant framework. Transfrontier cooperation arrangements, by themselves an important cohesion and governance initiative, are harbouring a variety of innovations on partnership, participation and service delivery.

### Methods and instruments

The use of a large number of instruments is mentioned in the overviews, although it must be said that in some cases they are rather conventional (e.g. land use plans). But increasingly such formal tools are accompanied by a variety of strategic, comprehensive and guidance documents. In some cases even relatively small municipalities have to produce both a land use and a strategic development plan. More sophisticated policies are now pursued at the regional or urban level, e.g. e-society or technological development policies, alongside conventional regional development plans. New methods are reported regarding cooperation, consultation and partnership, leading to a variety of agreements and contracts. Specific information on the use of the Open Method of Co-ordination in territorial issues was rather scant. In spite of its use in other policy areas, it seems to be of rather rare application in spatial policy making.

### Catching up

We pointed out that in a number of countries there was already a governance tradition, albeit without reference to the term, long before the White Paper on European Governance. The characteristics of these countries were probably the prototype the authors of the White Paper had in mind. Is this prototype to become the benchmark for other countries too? Are they to imitate the “achievers”, as in the 1950s the less



developed countries were invited to follow the “stages of growth” of the more developed ones? Are the laggards to emulate the governance pioneers? This would seem to be the objective, but this assumption may become a dangerous oversimplification or a trap, because it involves a circular argument. Less governance-prone countries are judged by the standards attained by others, and then encouraged to achieve them themselves, but in a totally different historical juncture, severely marked by economic globalization and uncertainty. All we can say is that the undoubtedly valid objectives implied by the term “governance” may be achieved by individual countries, not necessarily by importing institutional forms and administrative practices, but by building on their own traditions and advantages. Innovations are not of a uniform character. What is innovative in one country may be regular practice in another, but must not be underestimated for this reason. Or, it may diverge from established practices but still be directed towards a similar aim.

### Planning styles

The above remarks are of relevance to the description of each country’s style of planning. The adoption of similar models of planning and action, largely under the impact of the EU, may create a semblance of uniformity and of a trend towards a style of comprehensive planning. To some extent this is true, but only partly. It would be nearer the truth to admit that real planning, as opposed to that described in national planning legislation and documents, presents a wide range of variations, due to the co-existence of methods of action, particular to each country. Besides, it is not totally certain that specific models describe accurately the present, often fluid, situation even in the countries traditionally associated with them. In addition, the question has to be asked if “comprehensiveness”, which brings to memory former periods of planning history, which citizens of some European countries would like to forget, is compatible with notions like “openness” and “communicative – collaborative rationality”, advocated now as essential ingredients of a more “governance” – oriented planning. Contradictions are likely to be nearer reality than uniformity.

### Finally, governance

The European Union is creating its own distinctive profile, rightly, and hopefully, building on European traditions. But similarities should not conceal its enormous diversity, especially after, and because of, its recent enlargement, and even more so after its future one. This diversity, also emphasized in documents such as the European Spatial Development Perspective, is apparent in the ESPON 2.3.2 national overviews, in spite of the effort to bring out the unifying influence of EU policies. Diversity exists in national attitudes and policies in other sectors too, but governance is a case of policy (not the only one) where national cultures and traditions play a very significant role. Individual aspects of governance are understood, let alone implemented, in widely different ways, especially when their application touches on everyday social interests and practices. This is a lesson which the authors of the synthesis of national overviews have learnt by reading the overviews, often between the lines, and by

communicating with their authors. It may be a lesson for future policy makers too.

## **Appendix to Section 8 of the analysis and conclusions by section: A proposal for further analysis of participation in practice**

We consider the issue of participation and of great importance for the future of governance in Europe. We have also reached the conclusion that participation of citizens, as opposed to participation of public agencies and organized interests, is far from adequate, particularly in some countries in the East and South of Europe, without being fully satisfactory elsewhere. This is the reason why we have added, at the end of the conclusions, this annex which first appeared in the 3<sup>rd</sup> Interim Report. The present analysis aims to delve deeper into the evidence on citizen participation in spatial planning, as supplied in the national overviews.

The annex 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, cause 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 framework of future research.

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 as granted or considered as unimportant, given the reporting of other more advanced forms of participation. Whether the participation principle is in fact always honoured 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.

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 opinion on various issues or activity sectors, is a common practice, but is not necessarily a form of participation which deserves special mention. 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 like therefore 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 participation is invited in order to decide 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 participation is 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 participation is invited in order to decide 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 participation is 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 layers, 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 here the key characteristic. 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.