ESP**O**N

EUROPEAN SPATIAL PLANNING
OBSERVATION NETWORK

ESPON Project 2.3.2

GOVERNANCE OF TERRITORIAL AND URBAN POLICIES FROM EU TO LOCAL LEVEL

Second Interim Report

Submitted by University of Valencia, Lead Partner for ESPON 2.3.2

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Foreword

This Second Interim Report (SIR) of 232 ESPON project on Governance of Territorial and Urban Policies from EU to Local Level try to adapt its structure to orientations from Lillehammer Guidance Paper regarding Final Reports. According with this, report is structured in three parts. Summary in Part One includes: a Scientific Summary covering main concepts, methodologies, typologies and indicators developed; a report on networking undertaken with other ESPON projects and on cooperation among TPG members, also as a synthesis of work done in working packages developed between FIR and SIR and following steps and relations among other working packages. Part two come across advances of the project regarding to methodological issues (hypotheses on territorial governance, data and indicators –quantitative/qualitative- for comprehensive coverage of ESPON space, approach to impact Assessment Methodology) also as provisional results on governance taking as basis National Overviews developed for TPG members according to defined guidelines (see 2.3.2 FIR). Thanks to impressive work done by WP2 responsible -NTUA and OTB- in a very short time, those are ready and have been organized in three chapters in this 2.3.2 SIR: 'Instruments for spatial planning and policies with territorial effects', 'Governance trends', and 'Tools and practices for territorial governance'. From this previous and necessary work results a list of case studies, main characteristics of which regarding territorial governance are also provided in this SIR. All ESPON space (29 countries) is represented in this proposal list of case studies, according with two main criteria: geographical (trans-national/cross-border, national, 'regional' polycentric urban networks, functional urban areas / metropolitan regions, urban-rural, intra-city) and governance dimensions (horizontal cooperation, vertical cooperation, integrated policies -includes diagonal cooperation-, participation of Non Governmental Actors/Openness, innovative mechanisms -as OMC). Also for these case studies, as we did for National Overviews, a set of guidelines according with each type of cases has been defined, even thought at this moment they remind open to future inclusions. A final section of conclusions and tentative policy recommendations, previous to annexes in Part Three, closes this report.

The present Second Interim Report of the ESPON Project 2.3.2 is a team effort of all project partners under the leadership of the University of Valencia.[*]

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- CUDEM- Center for Urban and Environmental Management, Leeds Metropolitan University, United Kingdom

- Cyprus Association of Town and Country Planners, Cyprus.

- ETH Zürich - Institute for Territorial Development and Landscape planning, Switzerland

- Faculty of Maritime Studies and Transportation. University of Ljubljana, Slovenia

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- IGEAT ULB - Institut de Gestion de l'Environnement et d'Aménagement du Territoire, Université Libre de Bruxelles, Belgium

- IGIPZ PAN - Geographic Institute, Polish Academy of Sciences, Poland

- INCD Institute for Urban and Regional Planning of Bucharest. Urban Proiect, Romania

- IRPUD – Institute fuer Raumplanung, University of Dortmund, Germany

- MCRIT, Spain

- Monitoring and Control Department, State Regional Development Agency, Latvia

- MRI - Metropolitan Research Institute, Hungary

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1. SCIENTIFIC SUMMARY

1.1 Main Concepts:

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

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

Governance of territorial and urban policies is the capacity of actors, social groups and institutions (public, private, third sector) to build an organizational consensus, to agree on the contribution of each partner also as on a common vision. As we deal here with **territorial governance**, we specify **"spatial" vision**, and further refined the definition with the addition of aspects concerning the outcomes of governance processes: there should aimed at helping **territorial cohesion** and **sustainable and balanced spatial development**.

Represent an evolution to "government to governance" -two not opposite concepts-, characterized for the **involvement of several actors**, the modification of policies and intervention objectives. Reflect a change from growth control to promoting development and collective action procedures, from authoritarian decisions to negotiated consensus building.

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

Key challenges for governance are creating **horizontal and vertical cooperation/ coordination** between various levels of government (multilevel governance, vertical relations), between sectoral policies with territorial impact, between territories - neighbouring or not-, as well as between governmental and non governmental organizations and citizens (multichannel governance, horizontal relations); and to achieve integration and coherence between disparate responsibilities, competences and visions of territories, that create the conditions that allow collective action in order to help territorial cohesion. Public powers have an important role to play here.

- **Territorial Governance:**

In general terms, territorial Governance could be defined as a process of actors co-ordination to develop social, intellectual and political capitals and of territorial development based on a non destructive use of territorial specificities in order to improve territorial cohesion at different levels.

In a more operative definition territorial governance is an organisational mode of collective action based on public and private actors partnerships and coalitions building, oriented towards a commonly defined objective. Unlike economic governance, confront with the interests representation problem, thus considering among its objectives the specific social and political dimension of the collective action. Refers to the territory not as a static and passive space, but as a dynamic and active context, as an actor itself in

the development process, particularly stressing 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.

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 c) as result, promote spatial sustainable development. So, territorial Governance is close to the concept of **Spatial Development** and strongly related with **Territorial Cohesion**.

- **Spatial Development**:

It evokes agreement between stakeholders (public and private alike, and in the area of economy, public facilities or infrastructure) to ensure the *spatial coherence* of the different actions. Therefore, it implies a degree of decentralisation and *multi-level governance*. Also as needs leadership ('pilotage') to manage territorial and multi-actor dynamics because the specific character of 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. That not only gives a specific character to governance principles but also could be considered as one of the most interesting test for governance processes.

Fig. 1.1: From produced space to space in production with a shared vision
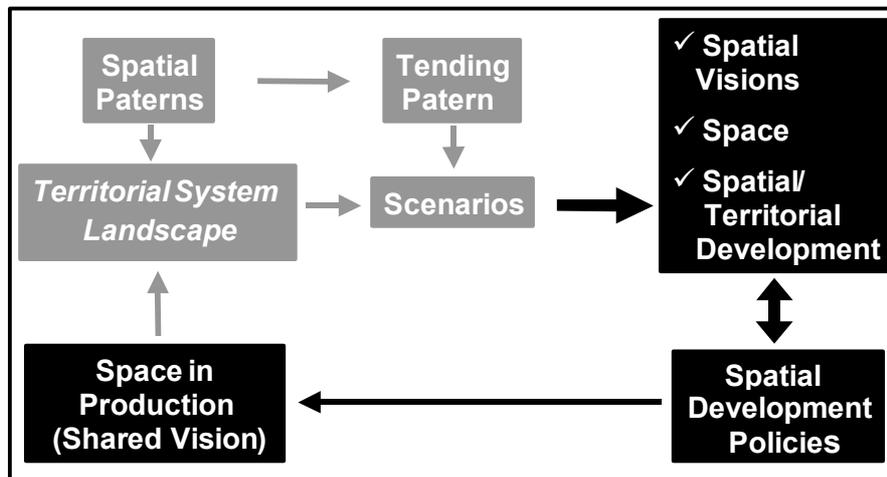
- **Territorial Cohesion:**

Territorial cohesion is defined (in 3rd cohesion report, 2004) as the synthesis of economic and social cohesion, safeguard of natural and cultural patrimony, and balanced competitiveness of the European space. According with *Conclusions of EU informal ministerial meeting on territorial cohesion –Rotterdam, 29.11.*2004, Territorial Cohesion is both a cross-sectoral also as 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, (understood as capacity of finding its own collocation with respect to the other territories and the outside world, in the globalisation ranking) and place spatial development strategies in a trans-national and European development context.

Figure 1.2: Two Dimensions for Territorial Cohesion
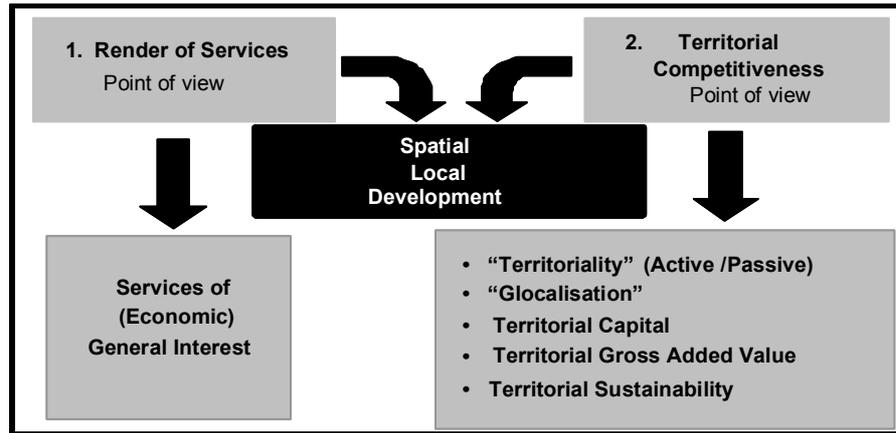
Farinós, J. & Parejo, T. (2004)

Territorial cohesion builds upon the notion of economic and social cohesion as stated in the EC Treaty, in particular the aim of contributing to the harmonious and balanced development of the Union as a whole, an aim that the ESDP also embraces. Territorial cohesion is associated to the political aim to diminish 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 strengths of areas and better targeting of policy instruments. This is a clear reference to the Lisbon Strategy of turning Europe into the most competitive area of sustainable growth in the world. Territorial cohesion has to complement the sustainability agenda and to promote greater coherence and co-ordination of policies with a substantial territorial impact. In this sense is also related with **territorial governance**.

- **Spatial Visions:**

Among diverse understandings of *vision* concept (Shipley & Newkirk: 1999) one of the most common is to identify it as *Master Plan*. However more recently vision is understood as *Mission Statement* tying to establish main principles of govern/management leading to a successful planning in a long term perspective (e.g. transparent decision making processes involving diverse interests through partnerships, including in planning sustainability principle).

From a territorial point of view visions, now *Spatial Visions*, are understood as *Spatial Planning Strategies* (in french version of ESDP document "Lignes directrices en matière de développement spatial"). Main purposes for spatial visions are diverse: a) know long term spatial development trends, b) provide a list of aims for territorial

structure of the area, c) inspire and guide spatial planning process, d) assisting in spatial planning programmes and projects selection. As important as visions is the ***visioning*** process. According with Nadin (2000) it is possible identify at least four aims for *visioning*: 1) identify priority issues for spatial development in an integrated and long term perspective, 2) generate solutions for existing problems and challenges, 3) generate partnerships and make possible consensus among divers interests sharing same goal, 4) make feasible citizens and groups of interest participation when define long term goals for the territory.

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

- **Balanced and Sustainable Development:**

Sustainable Development is a concept defined by the Brundtland Report *Our common future* (1987), edited by the World Commission for Environment and Development (WCED), as "...a development that satisfy the present needs without compromising the ones of the future generations".

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

Balanced spatial development goal results from the union of three objectives: economic and social cohesion, conservation of natural resources also as cultural heritage, and balanced competitiveness of European space. For balanced spatial development, cohesiveness, **competitiveness and sustainability** objectives has to be harmonized in order to combine efficiency-equity-heritage(natural/cultural)-modernization.

Rethink these three objectives and their interrelations according with particular conditions of each territory and its **territorial capability** is considered the best way to achieve sustainable and balanced spatial development at EU level.

- **Competitiveness in sustainability**:

According with ESPON 3.3 project, to be sustainable competitiveness has…

- To be able to sustain the market concurrence through those endogenous factors that differentiate the territorial whole/system (mix of social, environmental, economics indicators influencing the regional ranking within the enlarged Europe and in the international context).

- To have got some cheap raw materials linked to entrepreneurial vital and innovative factors within a stable social context;

- To face the market competition into scenarios capable to guarantee the environmental, social, cultural and economic sustainability;

- To have got some management faculties (components) capable to guarantee the territorial competitiveness: awareness of its innovative capacity, organisation in networks, capacity to integrate the different sectors and levels of activities, to cooperate into and with other territories, to involve different public and private

subjects and institutions, to have got both a global, coherent vision with respecting the use of local resources, to organise international, European, national, regional policies in a subsidiary vision.

- To have confidence in internal cooperation between different subjects and UE level for the environmental protection and development.

The last two are closely related with **territorial capital** concept, that explain **territorial capability**.

- **Territorial capability**:

Territorial governance According with ESPON 3.3 project, Territorial capability is the capacity of the territory to produce value and to own competitiveness/rank at world level. It's determined by eight components:

1. The attitude of the actors to develop and make the best out of the local competences and know-how, also through the proper use of new technologies;

2. The capability of the actors to guarantee the best utilisation of the private or public financial resources available in a given territory;

3. The capacity of the actors to create enterprises, and to organize and manage them during time;

4. The capacity to access to those markets that provide economic surplus-value;

5. The availability of human resources and of corporate operators (human capital), as well as the capacity of interrelationship that occur among them;

6. The territorial cultural and identity dimension, measurable also by the liaisons stemming out from the sharing of some values among the actors in the territory;

7. The capacity to correctly manage public affairs: the relationships of interests, affinity or rejection; the structures devoted to the management of power; tensions and conflicts between subjects and the capacity to intervene in a way that is agreed upon by the various public institutions and by the public and private sectors;

8. The potential provided by know-how and competences: the acquired knowledge about a social and democratic management, as well as the capacity to make the best of them and to acquire new ones.

1.2 Methodologies

Urban and territorial governance, or in other terms, the interpretation of urban and territorial policies as governance actions represents a very specific field of research because it depends on specific characters of each territory. In territorial matters correlations, or relations between cause and effects, 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.*" (page 12).

Certainly it is difficult define 'a priori' hypotheses, in sense of cause-effect relations for a matter as governance is. Is not possible, and even more not convenient, 'encapsulate' governance 'a priori'. This particular condition, also as the objective of benchmarking in order to learn about reasons of good and failed examples and their possible transferability along ESPON space, makes specially appropriate an inductive/qualitative approach. From this point of view National Overviews and Case Studies constitute, as sequential steps, the way in which we try to know territorial governance in its three dimensions: as structure (or preconditions for governance), as process and as results. As ToR document pointed out: "*...case studies, elaborated in a comparable way, are of an outstanding importance for this project and purpose, compared to other former ESPON projects*" (page 13). That could be understood as comparability among case studies families, but also, as far as possible, among families (all selected cases). For this reason guidelines for case studies will combine specific questions for each type of cases but also common parts.

National Overviews (NO) were considered a first step approach to the situation -and preconditions- for governance of urban and territorial policies ien each country. Guidelines for NO were specific designed according with the Terms or Reference document, not only in order to collect a common information necessary to fill in the list of deliveries/contents that have to be included in the first and second interim report, but also in order to make a characterisation of situation at ESPON space (29 countries) and to test the hypothesis of possibility and convenience of a review of European Compendium of Spatial Document (ECSP).

It was considered, as premise, that an updated report of actual situation on territorial governance was not available. We depart, so, from an unknown reality of each country that TPG members should try to scan, with a clear definition of objectives for this country based research. Of course, it not was a question of making an ECSP actualisation in the framework of 232 ESPON project. In fact it should be an overview about some specific questions defined in the guidelines; and just that, an overview in order to extract some conclusions and try to find classification criteria according with information sent by TPG members.

In addition, good knowledge of national experts on each national situation was considered the best guarantee to propose a list of case studies with the condition of covering all territorial typologies according with Terms of Reference document: geographical scales (transnational/cross-border, national, regional and local levels – intra-urban also as between city and its hinterland) and policy tradition styles (in fact all countries will be represented). A special attention should to be paid to Trans-national/Cross-border Cooperation, urban networks, horizontal cooperation between cities/urban areas (near territories, functional areas) and intra-city level (urban governance, public participation, general interest). The list of selected cases, can be seen in section 9.1 of this document. They has been organized in a matrix according with two main criteria: geographical scales (trans-national/cross-border, national, 'regional' polycentric urban networks, funtional urban areas / metropolitan regions, urban-rural, intra-city) and governance dimensions (horizontal cooperation, vertical cooperation, integrated policies -includes diagonal cooperation-, participation of Non Governmental Actors/openness, innovative mechanisms -as OMC).

An additional specificity for this 2.3.2 ESPON project is related with data and indicators availability. A detailed list of general indicators (on state, economy and civil society, both referred to structure and process) have already been elaborated, relating them with five principles of good governance of White Paper on European Governance. They will allow quantitative analysis, as it was explained in FIR and refined in chapter 4 of this SIR. However, due the special character of territorial governance, indicators related to territorial structure and processes (ITS and ITP, according with nomenclature on FIR, p. 66) have to be generated by the project. According with criteria for indicators presented in figure 4.3, section 4.1.4 of this SIR, National Overviews represent an strong basis for further elaborations on context and policies indicators -to be done along next April. In turn case studies analysis, focused on the territorial features of governance issue, will allow deep on territorial governance actions indicators and criteria, also as evaluate favourable territorial preconditions for governance. In this way the project combine quantitative and qualitative methods in a positive feedback. For this task of refine and select indicators, responsible of Working Packages 1, 2, 3, 4 & 5 are coordinating efforts and will cooperate intensively after presentation of this Second Interim Report.

This collaboration already was an important element for the preparation of guidelines for cases studies included in section 9.3. These guidelines are oriented in their structure to each case of governance (according with the matrix headings), proposing some common and specific parts for each case study. We consider that each geographical level could explain different aspects of governance processes with particular objectives. Each level is more appropriate to research a concrete aspect of governance: the local level for public participation and policy packages, the sub-regional (FUA) multi-level governance and coordination (all the actors, cross-sectoral or integrated policy strategy), the National-Regional for multi-level and diagonal governance, the Trans-national and UE level for guided top-down approach for new governance practices from institutional actors, multi-sectoral aspects… These guidelines proposed, and included in this SIR, will be tested and complemented with an additional section regarding to national data and indicators collection not after May.

1.3 Typologies

At this stage of the project maps reflecting typologies have not been produced. First essays of classification derived from national overviews have to be refined and completed with results of case studies.

1.4 Indicators used/developed

In previous reports and working papers the rather excessive list of data and indicators has been widely described. Also, more information on how and why below list has finally been chosen can be found in subsections 3.2 and 4.2.

The intensive work on data and indicators at IRPUD has now started. Some further checks on the ESPON data base and the data navigator as well as on other data sources (Eurostat, Regiodata) have already been conducted.

Particular problems became obvious with respect to coverage of geography and different administrative levels (see also in below table), and with respect to possible time series. The latter usually cover data since mid to late 1990s until 2003 or 2004, in best cases.

Table 1.1: Starting Set of Indicators (revised version)

	Domain		'Principle of good governance'
	State		
1	ISP1	Government effectiveness index [NUTS 0; EU15]	effectiveness
3	**ISS1**	**Number of public employees**	**(see maps)**
	Economy		
24	IEP2	Overall e-government contact for SME [NUTS 0; EU15]	effectiveness
25	IEP3	Regulatory burden Index [NUTS 0]	accountability
26		*Economic growth and development [Annual change in GDP/GRP, National/ regional]*	*effectiveness*
	Civil Society		
27	ICSP1	Influence of citizens on government [NUTS 2; EU15]	participation
30	ICSS4	Share of households having access to or using internet, www, compuserve [NUTS 2; EU15]	openness
	Space		
38	ITS1	FUA [NUTS 3, EU 15]	coherence
39	*ITP1*	*FLOW (various ESPON data available)*	*relations*

Italic style – potential additional indicator

CU/MU suggested to look at further new indicators, with some interesting proposals.

Ombudsman: Relates to accountability and openness. We had a number of indicators which can be understood as similar: public hearings, referendum, codes of conduct, access of public to policy etc. The quantitative indicators ICSP1, ICSP2 can be seen as equivalent. (A critical reflection on the ombudsman indicator can be found in chapter 3).[1]

Degree and quality of cooperation: Relates to openness. No indicator on cooperation exists as such. Cross border cooperation (ISP2, though listed in the ESPON data base at current not available) and regional clusters (IEP1) could be seen as similar. However, these indicators do not address the degree or the quality of those activities. Aspects which can not be captured from any known data source.[2]

2. COOPERATION WITH OTHER ESPON PROJECTS AND TPG MEMBERS

It is task of Lead Partner to ensure the smooth and effective running of the project, to co-ordinate TPG tasks and networking with other ESPON projects, ensuring that the partners with the main responsibility for taking forward each working package will be kept up to date with progress on other ESPON projects. Until this moment, it has been

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[1] On the third suggestion 'efficiency of partnership' the same comments apply.
[2] But e.g. could be sampled in a questionnaire or with delphi techniques. However, this demands considerable resources, not available to the project.

done through the development of an e-mail based network, working group meetings and utilizing past LP meetings and half-yearly ESPON symposiums in order to achieve a fruitful exchange with all research communities in the field.

2.1 Networking undertaken with other ESPON projects

● General overview:

Efforts on coordination has been done among mainly among 2.3.2 and other ESPON projects as 2.3.1 on application and effects of the ESDP in Member States, 3.3 on territorial dimension of Lisbon Strategy, 1.1.3 on UE enlargement and polycentrism, also as with 3.2 on spatial scenarios. More intense in the case of 2.3.1, in remaining projects coordination consists in a review and/or discussion on governance aspects tackled by them. Is the case of "Multi-level coordination methods" issue 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 two past LP meetings and following e-mails. Thereby, in 5th Lead Partner Meeting -Brussels, 22-23 November 2004- a meeting with LP for 2.3.1 ESPON Project was held at the end of formal LP meeting sessions. Also in 6th Lead Partner Meeting -Brussels, 17-18 February 2005, a common meeting with LP for 2.3.1 ESPON Project and with Nordregio representative of 3.2 project in charge of thematic scenario on "Issues of territorial governance" was held on Thursday 17th, before begin of formal LP meeting sessions. Also along breaks of these formal sessions we had informal meetings and comments related to methods to measure diffuse issues, as governance and sustainability are, with group members of LP for 3.3 ESPON project. In fact, some main concepts of the Scientific Summary of this SIR, include some definitions based on previous work of this 3.3 project.

Besides, and as positive complement for this coordination, LP of this 2.3.2 project is also involved in 2.3.1 ESPON Project "*Application and Effects of the ESDP in Member States*", also as in *2.4.2 "Integrated analysis of transnational and national territories based on ESPON results*", circumstance that will facilitate a more close relation among them in the next future, in an e-mail or web page based network or through attendance to future project meetings.

● Coordination between 2.3.2 and 2.3.1 ESPON projects:

A close relation exist among these two projects, also because coincidences in TPG composition of each one. In order to avoid overlapping and generate positive synergies, cooperation between 232 and 231 projects are based on:

1. Shared composition of team mates between 232 and 231. Some of them are responsible of related WP in each project; e,g. Polito, IRPUD and Nordregio.

    Polito is responsible in 231 for heading 2.'Means of application i.e. Tampere action plan, transnational and cross border -INTERREG III A and B-, urban governance, structural funds etc-, in section A) 'Scientific Review', in WP 1 "Literature studies & Working hypothesis". That is in close relation with 232 First Interim Report of 232

project chapter 2, on 'Territorial and urban governance in EU policy documents', what represents a complementary basis.

IRPUD and Nordregio are responsible on indicators for two project. In past 231 meeting on 19 November 2004 at Nordregio, were present common partners (Peter Ache –IRPUD- and John Jorgensen –Nordregio).

2. Due it began before, 2.3.2 could supply profitable previous resources, as results of National Overviews, on governance processes for 2.3.1, focused on application of ESDP at National level, that is on the degree of ESDP explanation on changes on governance processes. Besides, also some questions referred to ESDP influence on governance changes has been included in section V part II (point A.9) and final part III (point 7) of first guidelines for case studies in 2.3.2. Due coincidences on tame tables to perform case studies in both projects results could be shared in the following analysis phase.

3. 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 also as to reinforce complementarities, LP of 2.3.2 and 2.3.1 projects has been exchanging information about case studies proposal along the process of configuration of final list proposal included in their respective SIR (longer in 232 project). Also, will do the same for case studies guidelines, still open, in order to improve possible complementarities mainly regarding changes of planning procedures/practice and planning policies, and institutional changes. An important basis for which has already been given by national overviews (WP2 in 2.3.2) and case studies could help to refine. While 2.3.2 try to identify and analyse these changes as result of an evolution to successful governance practices, or the reason because failed, 2.3.1 specifically focus on at which extent these changes are consequence of application of ESDP in Member States.

4. LP 2.3.2 and 2.3.1 maintain updated each other about progress of each project also as minutes result of project meetings regarding main future steps.

● Final comment:

Thereby an exercise and effort of coordination has been done, making good use of possibilities in the ESPON seminars framework (an important basis is given in LP meetings, specially last one on February 2005 for presentation of Nijmegen paper by 3.2 ESPON project). However a question arises. The impression at this moment, regarding to governance issue, is that related projects focus in this common subject but each project focus in particular aspects and perspectives that logically allow parallel developments. An important question is define at which extent projects themselves have to intensify their coordination along their own running or that should be a question more appropriate and leaded, as it has been doing, for cross-thematic projects (3.1 and 3.2 projects) and CU, contributing to a cross-fertilization among related projects.

2.2 Cooperation with/among TPG members

2.3.2 ESPON project presents a particular feature as it is the long list of partners and subcontractors involved (25, see list in first pages of this report). That represents an important added value regarding to knowledge and representativeness of each territory

of ESPON space, but also a challenge for 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 seminar.

Also cooperation inside TPG has been developed mainly through an e-mail based network. Even though e-mail among LP and all team mates is fluent and direct, there is a differentiate 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, specially when affront conceptual, methodological and practical challenges for the project, usually inside each WP but also among WPs when it has been necessary. This coordination among WPs will be more necessary and intensive in the next weeks after SIR presentation and May as was explained above in Scientific Sumary methodologies' section. This cluster has been open to the rest of TPG members to test guidelines for national overviews, to ask for additional information and reviews in WP2, mainly after general meeting. As consequence, coordination in this broader and multiple context appears as a more complex and laborious task in a first moment after.

As was planned in the Tender until now there has been held two core meetings –4 October 2004 and 25 February 2005- and one general meeting - 25-26 February 2005. Two core meetings served to plan following steps for the project regarding WPs 1-5, also as to agree with structure and involvement of partners in elaboration of respective first and second interim reports. The general meeting, held in Valencia with support of Valencia University in 'Colegio Mayor Rector Peset' building, was used to test results of National Overviews and derived synthesis.

In a specific way, also LP meetings and ESPON seminar has been utilized by the LP to have meetings with TPG members responsible of key tasks at each stage of the project. Thereby past Nijmegen ESPON Seminar was seized for LP to have two meetings with some members of 2.3.2. ESPON project in order to translate decisions taken in the past kick-off meeting mainly regarding to the organization of WP2 (National Overviews) and WP3 (Data and Indicators). Displacement to Brussels for 5th and 6th Lead Partner meetings were used, first one, to maintain a previous meeting with IGEAT representative in order to share preliminary ideas about structure and contents for 'Working Hypothesis' FIR chapter, and second one to prepare a first proposal of guidelines for case studies that should be presented and discussed in the referred general meeting in Valencia following week.

Until now main difficulties on coordination are related with National Overviews, and consequently in relations between qualitative and quantitative approach. After proposal - by WP2 responsible and LP- and discussion in an open way - among a broad group of TPG members- guidelines for national overviews were supplied in order to elaborate 29 national reports. Tight time and delay in sending final complete versions of national reports, only 27 –one more (28) added 'a posteriori'-, made very difficult an adequate treatment of all this information to be ready for general meeting. Also compel to WP2 responsible to an extra-work along March to be ready to include this previous synthesis results on SIR.

As derived consequence, also integration among WP2 results an WP3 on data and indicators remains still open, also as guidelines for national data collection in WP4. An

additional effort of coordination among LP and responsible Partners has to be developed for these objectives along next weeks of April and first May. However it does not represent at this moment an insuperable obstacle, because the project has already produced a sufficient background for develop case studies, guidelines of which could be completed after start. It must be reminded that from May until first November WP4 (case studies and data collection) will be, together with coordination, the only one going on.

Coordination task should be maintained and developed, among TPG members –in short term because definition of guidelines and data collection at national level for indicators elaboration-, also as among other ESPON projects –through next Luxembourg ESPON Seminar and LP meetings or specific project meetings.

3. OVERVIEW OF WORKING PACKAGES 2, 3 and 4

3.1 Overview WP2

An extensive analysis of national overviews was carried out in February 2005 for the purpose of producing a synthesis. The synthesis reports produced by NTUA and OTB were circulated to all partners in advance of the all partner meeting which took place in Valencia on 26-27 February. They were presented at the meeting and partners were invited to study the report and provide a feedback in the form of comments, corrections and additions. The NTUA report included a number of tables in which countries were classified in terms of criteria, such as official acceptance of governance principles, extent of devolution of powers to regional or local authorities, experience of working with partnerships etc. It also included individual short sections on each country. The tables and these short sections are not reproduced in the 2nd Interim Report mainly because the process of collecting the reactions of partners is still open and it was felt that it is necessary to wait for their comments. An exception has been made in some sections of chapters 7 and 8, because of their importance, as explained in the respective chapters. The 2nd Interim Report includes however extensive conclusions on all the items analysed by NTUA.

The synthesis of national overviews produced by NTUA contained an analysis of the overviews, and in particular of sections 3, 4, 5 and 9, as numbered in the Guidelines for Writing the National Overviews (see 1st Interim Report). The analysis was structured along 23 points which are reproduced below (references are made to the numbers of sections of the Guidelines and of the overviews):

1. Official acceptance of governance concepts and principles (based on section 3.1 of overviews).
2. Changes in formal government in the direction of governance (based on 3.1).
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 9).
4. With regard to initiatives, implemented or under way, indicate the governance objectives on which the emphasis is placed (based on 3.1 or 9).
5. Factors operating in favour of adoption of governance approaches (based on 3.2 and 9). See also paragraph 21 below.

6. Internal variations (regional, urban-rural, ethnic etc.) within a country, in terms of acceptance of governance reforms (based on 3.2).
7. Use of methods (subsection 3.3), including OMC.
8. Experience with participation and partnerships (subsection 3.3).
9. Forms of co-operation (subsection 3.4), e.g. contracts, local agreements etc.
10. Progress towards vertical and horizontal co-operation and partnerships (subsection 3.4).
11. Factors which favour (catalysts) or prevent (barriers) the creation of partnerships (section 3).
12. Policy sectors in which the pursuit of governance principles and practices seems to be more promising (sections 3 and 9).
13. Existence of basic planning laws regulating (a) urban development / land use and (b) regional development, or multiplicity of laws (subsection 4.1).
14. 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.
15. Roles and responsibilities of governmental layers etc. (subsection 4.3), e.g. in relation to powers of plan approval.
16. Financial dependence of local government on central state (subsection 4.5), as indicator of meaningful devolution to local level.
17. Centralization / decentralization / devolution to regional and local levels (subsection 4.6).
18. Involvement of politics in planning (subsection 4.7).
19. Forms of cross-border etc. co-operation (section 5).
20. Style of planning (section 9). Reference to existing classifications.
21. Conditions leading to shifts towards governance (based on section 9).
22. Factors which act as obstacles to progress towards governance (based on section 9). Reference to cases of distortion of governance processes, prerequisite of good government, political culture and private interests.
23. Spatial problems (section 2), as identified in overviews.

For a variety of reasons, e.g. inadequate information in the overviews or varying interpretations placed on the questions, both the comments included in the synthesis and in particular the classification of countries in a series of tables produced for this purpose, were placed at the attention of all partners who were asked to provide feedback to correct errors or omissions. This process was necessary, before finalizing the synthesis reports.

Not all countries were analyzed in time for the all partner meeting of 26-27 February, because of time limitations and the amount of work involved. Although most countries were included in the synthesis, the process of analysis and interaction with the project partners continues until the finalization of the overview synthesis. The NTUA synthesis report included in addition a classification of the case studies (a total of 85) proposed in all the overviews.

A similar procedure was followed for the part of the synthesis of national overviews undertaken by OTB. The synthesis of national overviews produced by OTB contained

an analysis of the overviews, and in particular of sections 6, 7 and 8, as numbered in the Guidelines for Writing the National Overviews (see 1st Interim Report). The results of this analysis are presented in full in this report, including short comments on each country, along with conclusions.

Specific reference will be made in the following paragraphs to particular issues, instruments and policies, contained in Work Package 2 of the project, which have been studied and analyzed during the period covered by the 2nd Interim Report.

One of them is the issue of policy packages, used in the countries examined in ESPON 2.3.2. Policy packages are presented in section 5.7 of the 2nd Interim Report. As pointed out there, "policy packaging is one possible mechanism being used to promote the integration of sectoral policies in a number of contexts in Europe. A number of different ways of achieving policy packaging can be identified, including agencies, policies, procedures/processes, policy guidance, and programmes / projects". Section 5.7 contains the result of the analysis of national overviews on this particular instrument.

Another important instrument, to which specific reference is made in the original project tender within Work Package 2, is the Open Method of Coordination. The results of the analysis of the respective sections of the national overviews are presented in section 7.3.3 of the 2nd Interim Report. As mentioned in this section, according to Andreas 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. The possibility is being explored to use it in territorial cohesion policy. In view of the importance attached to OMC, an exception was made in the presentation of the analysis of the national overviews concerning this specific question. Although, as stated earlier, the results of the analysis have been circulated to all partners to give them the opportunity to check and correct possible errors and omissions, a process which is still continuing, in this case the results of the analysis of 28 countries was presented in full. As shown in the table to be found in section 7.3.3, 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, although some reservation has to be maintained regarding the correctnerss of this conclusion. In the subsequent paragraphs of section 7.3.3 the relevant remarks made in the national overviews are reported by country. The countries, in the overviews of which there was no reference to the use of OMC are not included, with the exception of Italy.

Another important theme addressed in the the context of Work Package 2 is the question of typology of territorial governance. This question is tackled both in a disaggregated way, with respect to individual "components" or "ingredients" of governance, in virtually all the sections of chapters 4, 6 and 7, on the basis of responses found in the national overviews, and in more aggregate way, with respect to the "styles of planning" prevailing in the countries analysed in the project, in section 8.2. As explained in this section, the authors of the national overviews were asked to provide information on the style of planning of the 29 countries represented in the project. We have made the point that the results of the overview analysis have been circulated to all partners to give them the opportunity to check and correct possible errors and

omissions, this being the reason of our decision not to include the answers of some questions (not of all though) in this Interim Report. Among the exceptions were the responses regarding the Open Method of Coordination, cross-border co-operation (see chapter 7), key spatial problems (section 8.1) and the style of planning, because of the importance of these subjects. In this report (section 8.2) we have included material on the style of planning from 28 countries [3], directly from the national overviews, sometimes in an edited form for reasons of brevity. This compilation makes easier any future comparison, out of which we hope to produce a representative classification at a later stage in the project. Some tentative conclusions are also included.

In the context of work in Work Package 2, the case studies proposed in the national overviews were summarized and listed, and a classification matrix was produced, as explained in detail in chapter 9 of the 2nd Interim Report. The proposed case studies were discussed in the all partner meeting of 26-27 February, held in Valencia, and the project partners were asked to finalize their proposals. The results are presented in chapter 9. In the meantime, guidelines for the case studies were drafted and are now finalized (see section 9.3).

3.2 Overview WP3

Gaps in Data and Indicators

In the FIR a starting set of data and indicators was presented (Chpt. 3.3 and Chpt. 3.4). About 100 different indicators collected until the end of 2004 in the ESPON programme have been scanned, using available governance definitions (see Table 3, p. 72 FIR) and conceptual ideas that had been developed by the data and indicator team (FIR pp. 65&66, see also Figure 3.1 below).

Figure 3.1: Indicators

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

Source: IRPUD 2004 (FIR)

Space has to be seen as an encompassing category.

This approach resulted in the starting set of indicators (Table 2 FIR p. 70), which has since then been used to critically scrutinize the availability of data and in part also the validity. We a working towards a final result before the actual start of the case study period, achieving three aspects: extension to EU 29, finer NUTS levels, and potential time series.

At the time of writing this chapter, IRPUD scrutinises and runs a test data and with above listed data and indicators (see Table 1.1).

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[3] The national overview of Denmark was not available.

For a proper data collection and analysis, it is very important to spend some more time on conceptual issues before actually collecting data. Not least due to the fact, that others need to be involved, to avoid double work or repetition. The intention is – *always on the condition of availability of databases* - to collect as many data as possible centrally! Only residual data should be collected decentrally by partners to the project, i.e. in all cases, where national statistical data are needed. Templates for data sheets will be worked out and distributed in time (following existing guidelines provided by ESPON).

In terms of work plans, we are now looking towards a period until September for the case study research and additional data mining. IRPUD has started to check and collect the data available form ESPON data navigator and dbase as well as the core indicators/typologies[4]. Until May, we will provide precise guidelines for data collection (following e.g. the guidelines of the Nijmegen paper).

Methodological Questions

It has been clear from the outset, that the identification of data and indicators for 'governance of urban and territorial policies' is a very complex venture. It has also been experienced, that at the moment no data and indicators are directly available to answer the central research questions of ESPON 2.3.2.

One particular point has to be mentioned here, the still open task for the entire group to define a set of hypotheses on cause-effect-relations. Only with the help of those it will be possible to identify the impact of 'good' governance in the field of urban and territorial policies on specific output dimensions. A first attempt on this is presented in the previous chapter XXX.

The quantitative approach has been outlined in the tender. It is mainly modelled on the basis of previous projects at IRPUD and combines different statistical methods (correlation, cluster and regression analysis). On the basis of these methods, statistical data will be generated and analysed which subsequently provide some insight into the relations between single governance indicators and 'outcome' indicators, and which can be used for some mapping exercises.

CU/MU shared the view expressed at the outset and suggested interesting new indicators for collection, as a work around. It is interesting to speculate about the cause-effect-relations or operational hypotheses behind these indicators. Data for the Ombudsman[5] can be used for demonstration: The ombudsman relates to accountability and openness. We do have a number of indicators which might be understood as similar: public hearings, referendum, codes of conduct, access of public etc. The quantitative indicators ICSP1, ICSP2 could be seen as equivalent. (See also Figure 3.2 & Text from EB)

Below figure and quote from Eurobarometer show that it is actually difficult to derive conclusions for the purpose of the ESPON 2.3.2 project. The Ombudsman relates to a

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[4] However, the list of core indicators and typologies do not provide ready information needed for the current 2.3.2 project. We need to discuss possible 'interpretations' of some of the indicators and discuss their potential explanatory contribution.

[5] Ombudsman first mention in Eurobarometer 1999

rather specific field of governance, the legal and judicial system. The figure also shows, that the majority of citizens (about 50%) answered 'DK' – the majority has no knowledge about this institution! In addition, the indicator covers only 15 EU countries at the moment.

Figure 3.2: Ombudsman
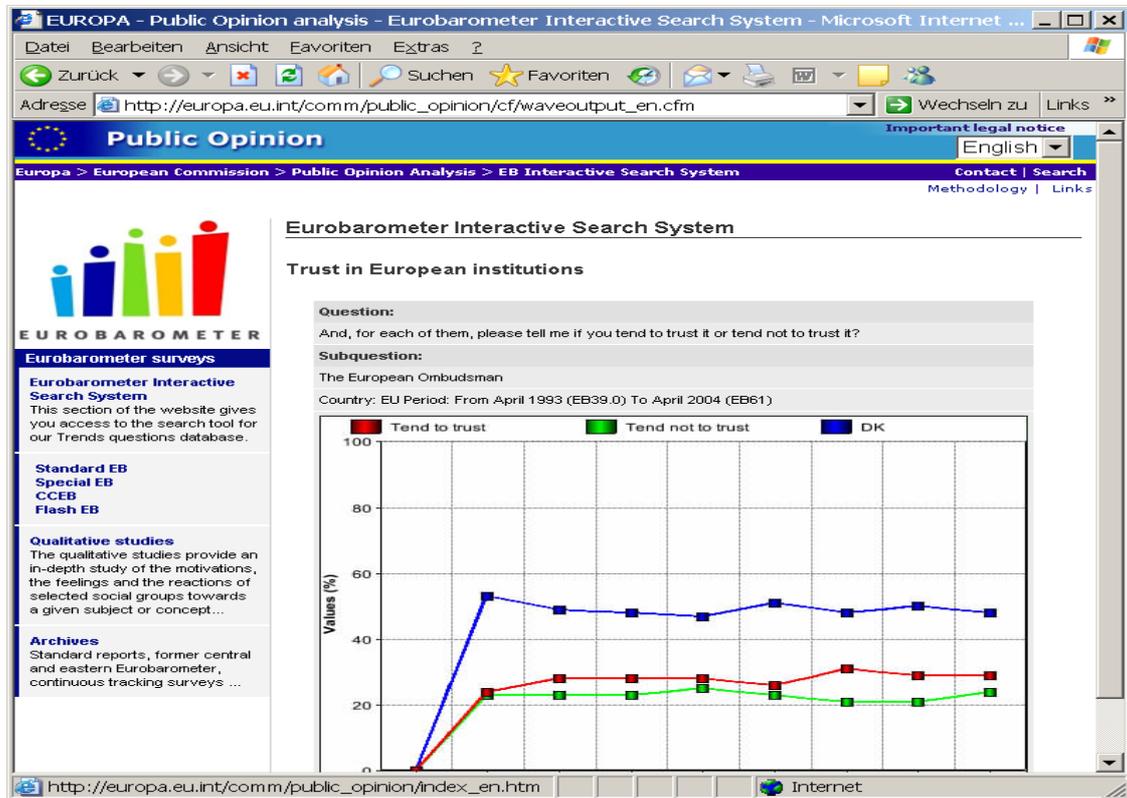
DK – don't know: The majority of people asked has no knowledge about the ombudsman!

"Interestingly, trust in the European Ombudsman is nine percentage points higher in the NMS countries (38%) than in the EU15 (29%). These average figures, in turn, yielded an EU15 average of 30%.

No major changes in levels of trust were noted between the autumn 2003 and spring 2004 polls other than a three-percentage point increase throughout the EU25 in levels of trust in the European Court of Justice.

It will be seen that the levels of trust in the majority of European institutions cited above (the exception being the European Ombudsman) are higher than in the case of national parliaments (EU15: 35%, NMS: 16%) and governments (EU15: 30%, NMS: 17%) mentioned earlier.
It is interesting to look at the levels of those not trusting the EU institutions in the EU15 countries. Almost a quarter (24%) of those polled did not trust the Ombudsman or Court of Justice, 29% did not trust the Parliament and the Commission, and 31% did not trust the Council of Ministers." (EB 61 & CCEB 2004.1, p.15)

Other indicators have also been looked for, such as 'trust' (see below figure 3.3, CC Eurobaromenter 2004).

Figure 3.3: Trust in political institutions
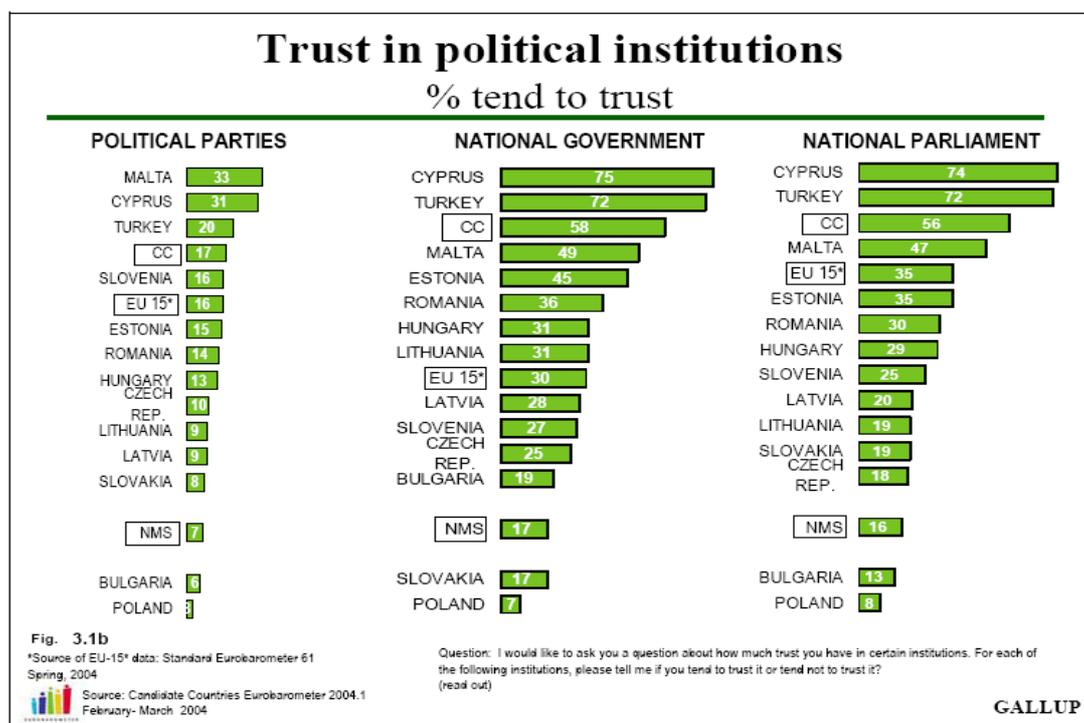
CC – Candidate Countries - Bulgaria & Romania & Turkey

NMS – New Member States since May 2004 - Cyprus (CY), the Czech Republic (CZ), Estonia (EE), Hungary (HU), Latvia (LV), Lithuania (LT), Malta (MT), Poland (PL), Slovakia (SK) and Slovenia (SI).

In the sense of indicators, some interesting ideas have been discussed around these data:

All member states have been ranked according to this indicator. In the sense of a synthetic indicator, it is likely to develop the following formula: MS <= EU 15/NMS/CC <=MS resulting in a plus, zero, minus indicator, which can be used in combination with other indicators. The obvious problem is of course the lack of geographical differentiation with respect to NUTS levels. Above data simply represent values for nation states.

Regarding interpretation, it has to be said that e.g. for the EU 15 out of the sample 16% tended to trust in political parties, 30 % in national governments, and 35 % in national parliament. But, what about the 84%, or 70%, or the 65 % of the sample – do they not trust at all? At least it seems to be very likely that people tend not to trust!

3.3 Overview WP4

One of main goals of this ESPON project is to carry out case studies that will throw light on important, current developments within the realm of urban and territorial governance.
At this moment a wealth of comparative case studies (for a review, see FIR) 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.

Within this ESPON project it is the ambition 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. The genesis of the analytical matrix is described in chapter 9 below. The final version of the matrix will be decided upon in Mid-May and then distributed to the partners.

In order to ensure in-depth, qualitative case studies it was decided that each partner should select a maximum of 2 case studies per country, including transnational and cross-border regions. Each of the partners will be asked to 'frame' their case studies, not only by using the national overviews as background information, but also by asking each of the partners to comment on the case study by using the quantative information form the data collection phase (also WP4, which will run parallel to the case studies in the period from Mid-May to end of September). This quantative-qualitative approach is also described in the next section (4.4.). In the period until Mid-May the quantative and qualitative methods will be integrated further.

In the autumn Nordregio, assisted by other core teams, will do the first analysis of the 50+ case studies that will be completed by the end of September, in due course to be presented at the core team meeting in November and then included in a revised version in the third interim report. A meeting between Nordregio and IGEAT has tentatively been set up (for October 10th-11th) in order to facilitate the process of completing the 'comprehensive analysis' in WP5.

Data Collection

For a proper data collection and analysis, it is very important to spend some more time on conceptual issues before actually collecting data. Not least due to the fact, that others need to be involved, to avoid double work or repetition. The intention is – *always on the condition of availability of databases* - to collect as many data as possible centrally! Only residual data should be collected decentrally by partners to the project, i.e. in all cases, where national statistical data are needed. Templates for data sheets will be worked out and distributed in time (following existing guidelines provided by ESPON).

In terms of work plans, we are now looking towards a period until September for the case study research and additional data mining. IRPUD has started to check and collect the data available form ESPON data navigator and dbase as well as the core indicators/typologies[6]. Until May, we will provide precise guidelines for data collection (following e.g. the guidelines of the Nijmegen paper).

At the moment, one additional idea is to get into contact with the ESPON national contact points to explore, whether the contact points might help generate the indicators finally chosen for the project.

Parallel to the ESPON 2.3.1 project the team also discusses, how the method of 'synthetic indicators' might be utilised to achieve the intended results.

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[6] However, the list of core indicators and typologies do not provide ready information needed for the current 2.3.2 project. We need to discuss possible 'interpretations' of some of the indicators and discuss their potential explanatory contribution.

The approach in the Espon 2.3.2 project might follow in principle the approach of the ESPON 3.1 project (Final Report 3.1, part C chapter 7): individual indicators will be aggregated to a single index by using different procedures[7]. The final indicators can be used to visualise differences in the governance of urban and territorial policies.

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[7] This approach can briefly be characterised by classifying mean-standardised individual indicators and then aggregating those indicators with equal weights to a new indicator.

II - PART TWO: RESULTS OF THE PROJECT

4. METHODOLOGY

4.1 Operational definition of governance and formulation of hypothesis

4.1.1. Governance and territorial governance

The concept of governance is not new, but has been progressively redefined. Rhodes (1997) has outlined the way that the term was used in the past as synonymous with government, in contrast to its current interpretation, which refers to a different idea of public action and organisational structures that are partly opposed to the idea of government itself. Various theoretical perspectives have tried to conceptualise this transformation (Pierre, 1999 and 2000; Peters, 2000); in summary, the outcome of this process is now widely understood as a shift, not a substitution, from 'government' to 'governance'.

Governance idea is mainly related to the acknowledgement of the limits of the classic separations among State, market and civil society: in governance actions, policy formulation is not considered as the outcome of a single actor action or as something imposed from "the above". They rather come from the interaction and negotiation of a multiplicity of actors and interests. Interactions among different actors are diverse and combine, in different quantities and characteristics, complex sets of competitive, cooperative and conflicting interactions. 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.

This acknowledgement requires the strengthening (not least institutionally) of organisational modes based on reciprocity and cooperation. The governance process involves by definition a complex set of public and non public actors, based on flexibility, partnership, and voluntary participation. As Rhodes argues, "no one has all the relevant knowledge or resources to make the policy work" (Rhodes, 1997: 50). In this context, governance is about a collective action model where the building up of interests, expectations and intentions expressed by different actors is more important than pre-defined competencies and hierarchies.

In addition, the concept of governance has been widely used to refer to processes of definition of policies and development strategies both from supra-national bodies (such as the World Bank – WB - or the European Union - EU), national institutions and infra-national authorities (from the regional to the local level), giving it different perspectives and meanings. It is, in fact, quite different what it is intended by governance if we refer to "good governance" as defined by the WB or by the United Nations Centre for Human Settlement - UNCHS (BSHF, 2000), and, similarly, by the European Commission in the *White Paper on European Governance* (CEC, 2001). Generally, governance is seen as a process connected to economic growth and definition of development strategies, based on openness and transparency of the process itself and on cooperation/coordination among actors (horizontally and vertically), in a framework of a more or less explicit subsidiarity due to the partial retreat and hollowing out of the State. In this view, if territorial aspects are taken into account is mainly to consider their role in an efficient and effective allocation of resources. Besides, the accent is often on the definition of a "good" governance, because the definition of "good" is provided in official papers, as above refered. However "absence of good governance" does not imply necessarily a

"bad" dimension; even it is possible that apparent "good governance" practices could lead to bad results.

4.1.2. Territorial governance

If we point our attention to governance of territorial and urban policies a "spatial" point of view seems to be missing. The ESDP partly fills this gap, assuming that having territorial cohesion as a shared objective, territorial governance can be considered as the tool for reaching development, but is in EU urban policy documents (e.g. the *Sustainable Urban Development in the EU: a Framework for Action*; CEC, 1998) and in EU territorial and urban action programmes (e.g. the different Community Initiatives –CI) that territorial governance is more clearly defined. The CI using the issue of territorial governance with the widest meaning is probably Leader + (CEC, 2000). As the other CIs, it refers to keywords like inter-territorial cooperation, trans-national cooperation, exchanges of experiences and know-how through the creation of networks, and the need for a more integrated and territorial approach to policies definition and implementation. Besides, coordination, participation, bottom-up approach, partnerships are not taken as objectives of the Leader + CI, but as tools to build new forms of territorial governance, thus referring to the latter not as a product but as a process.

Fig. 4.1: Levels and approach of governance
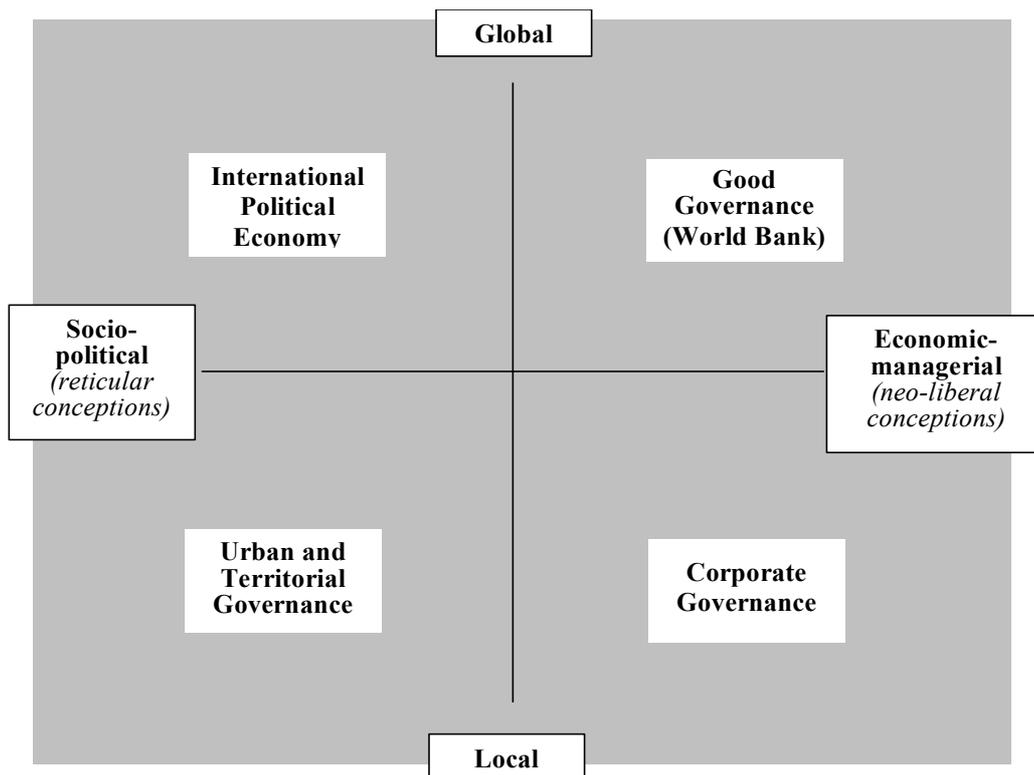
Urban and territorial governance, or in other terms, the interpretation of urban and territorial policies as governance actions presents a number of conceptual and operative differences from models of governance applied in different thematic field or in different policies spheres. We can resume this differences according to the distinction between

neo-liberal and reticular conceptions of governance (Bevir, 2002).[8] The differences between these conceptions, that according to him resume the international debate about governance, should be schematised by considering two characters of governance actions: scales/levels and approaches/aims (Holec e Brunet-Jolivald 1999) (fig. 1).

The first character, the scale or the level of actions, distinguishes between the field of international relationships and of global governance and the field of local policies. The second character concerns the difference between approaches and aims: on one hand, the economical-managerial approach, aiming only at improving the efficiency of public policies (neo-liberal conception of governance); on the other, a social and political approach, aiming at consensus building, elaboration of shared projects, aggregation of a multiplicity of actors and interests (reticular conception of governance).

Obviously, every governance action is, in reality, very complex: it operates at different scales, from local level to global one (multi-level governance), builds relationships among actors and interests normally far, combines different modalities of definition and implementation of policies, adopts different approaches and defines different aims. Different scales and levels, different approaches and aims are always co-presents in every definition and every practice of governance.

Territorial governance can, furthermore, be seen as a simple application in urban and territorial field of general principles of governance (see FIR, 2004), or, in a more complex and interesting way, not only as a governance process applied to urban and territorial policies, but as a process that has specific characters because:

- its object is the territory;
- its aims to regulate, to "govern", to manage territorial dynamics through the *pilotage* of a multiplicity of actors.

The challenge of governance is how to create new forms of integration out of fragmentation, and new forms of coherence out of inconsistency. This is particularly true in relation to territorial governance, if we consider its potential role in territorial cohesion. In other words, we consider *territorial governance as a way to improve territorial cohesion*. Territorial cohesion, defined by the Third Cohesion Report (2004) 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, should be considered as central to every urban and territorial policies.

As Stoker (2000) 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" (p. 93). It is about how collective actors emerge from a diverse group of interests (Le Galès, 1998). According to Bagnasco and Le Galès (2000, p. 26; and FIR, pp. 28-29) urban and territorial governance is "a process of co-ordinating actors, social groups and institutions in order to reach objectives which have been collectively discussed and defined in fragmented, even nebulous, environments". According to this definition, the main aspects that define a territorial governance actions (TGA) are summarised below:

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[8] According with Kohler-Koch (2002: 4) the EU belong to this second kind, as "…a system of 'network governance' which thrives on co-ordinating a multitude of actors and approximating diverse interests".

Territorial Governance:

- Is an organisational mode of collective action based on public and private actors partnerships and coalitions building, oriented towards a commonly defined objective
- Unlike economic governance, confront with the interests representation problem, thus considering among its objectives the specific social and political dimension of the collective action
- Refers to the territory not as a static and passive space, but as a dynamic and active context, as an actor itself in the development process (Cox, 1997), particularly stressing the role of proximity, sense of place and territorial identity to promote the collective action of local coalitions.

Territorial governance actions (TGA)

- Are the outcome of a complex negotiated process in which resources are exchanged and partly shared, objectives are defined, and consensus is sought

4.1.3. Research hypothesis

As we have already discussed, TGAs put the emphasis on *territorial cohesion* as a key objective. In this context, territorial governance actions (TGA) should:

- Facilitate vertical and horizontal co-ordination and co-operation
- Foster participation
- Promote sustainable territorial development and cohesion

More specifically,

- *Vertical and horizontal co-ordination*/co-operation deals with:
  - subsidiarity
  - integration (among actors, policies, economic resources)
  - devolution and decentralization
- *Participation* deals with:
  - involvement of stakeholders from public, private and voluntary sectors
  - Engagement with civil society
- *Territorial development* deals with
  - Territoriality
  - Sustainability

The key challenge of territorial governance is to create the conditions that allow territorial collective action to take place. It is to create the key ingredients of a favourable climate in which territorial collective action can emerge. Amin and Thrift (1995) coined the concept of 'institutional thickness' and argued that the nature of institutional relations is a significant factor in the economic and social health of

localities. Coffey and Bailly (1996) used instead the concept of 'innovative milieu', defining a broadly based local milieu, which encompasses economic, social, cultural and institutional factors, and in which significance of the complex web of relations that tie actors and agencies together are emphasised. Innes et al. (1994) speak about three types of capital: social, intellectual and political. They use the word 'capital' as it represents "shared value that can grow as it is used. Once created, this capital lives on among participants even after the group disbands, and facilitates future coordination" (pp. 46-47). Drawing on these perspectives and adding a fourth form of capital, i.e. material capital, Davoudi has developed a conceptual framework for evaluating the quality of territorial governance relations (Davoudi, 2005). She argues that the following set of capitals are key to the success of a self-organised voluntary coalition in terms of their ability to act collectively and to develop the capacity to achieve their goals and objectives:

- Intellectual capital → socially constructed knowledge resources
- Social capital → the nature of the relations among actors
- Material capital → financial and other tangible resources
- Political capital → power relations and the capacity to mobilise other resources to take action

In addition, Zonneveld and Waterhout (2005) use the concept of *territorial capital* to describe different conditions for territorial development and TGAs according to different territorial policies. According to them, 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 as:

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

In summary, it is possible to use the notion of territorial capital to include the four forms of capital as follows, where Cultural capital includes material and immaterial heritage and Geographical capital includes natural features, constraints/opportunities, circulation, distribution production…:

Figure 4.2: Forms of territorial capital

34
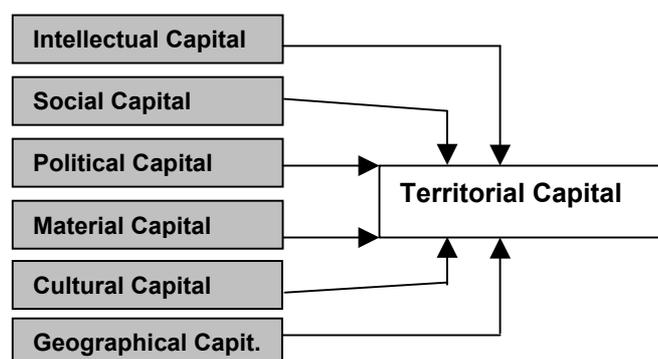
4.1.4. From concepts to criteria for indicators

To describe existing governance systems at different spatial levels [national (e.g. national overviews), sub-national (e.g. case studies)] and to evaluate the effectiveness of their actions (mainly at sub-national level, through case studies analysis) it is important to define indicators, data and criteria that refer to the appropriate level. Moreover, territorial governance should be seen as a process rather than a product. According to this, we can consider 3 types of indicators/criteria, each of which should be used for description and/or evaluation (see figure 4.3):

Figure 4.3: Types of indicators/criteria
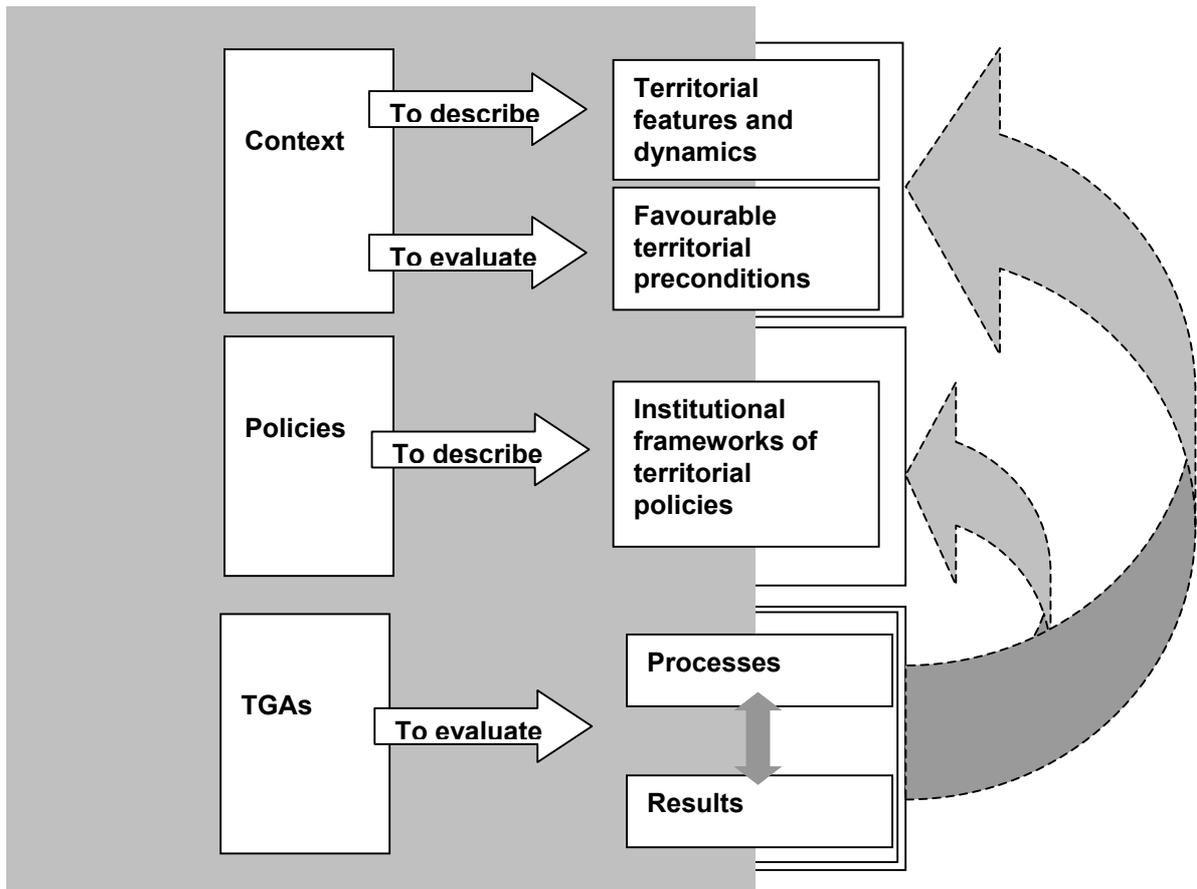
1. *Indicators and criteria of context*: to describe, at national and sub-national levels, the general structural conditions, features and dynamics of the territory. To evaluate, mainly in case studies, favourable territorial preconditions to define and implement TGAs (see: p. 6 of FIR on institutional thickness; innovative milieu; territorial capital)

2. *Indicators and criteria of policies* (both at national and sub-national levels) to describe institutional frameworks of territorial policies, instruments and procedures for governance

3. *Indicators and criteria of TGAs*: to evaluate, governance processes and results, at different levels. To evaluate these aspects, according to Innes and Booher (1999), we can consider both *process criteria* and *results criteria*, and their interaction (does

a good process always lead to a good result? If not why? Is it because of territorial characteristics - see above?)

The first and second sets (context and policies indicators and criteria) allow further elaborations on the national overviews. So, according to the overviews the indicators articulation should be redefined. The third set (TGA indicators and criteria) can be used to shape the guidelines for the case study analysis, and thus should be more focussed on the territorial features of governance issue. This third set could be composed of indicators that, for instance, refers to:

- Pertinence of the territory (in terms of territorial aggregation, level, resources, etc.);
- Inclusion/exclusion (participation, formal and informal decision rules and procedures, etc.);
- Governance effectiveness in territorial added value production (in terms of social and territorial capital used and produced, cooperative/competitive issues, etc.);
- Integration of the territorial action (among sectors, actors, instruments, networks, levels, etc.);
- Sustainability issues (environmental, social, economic, etc., dimensions of sustainability).

4.1.5. Synthesis

(See following page).

```
Territorial
governance
is a process
that has
specific
characters
```
──── **its object is the territory**

──── **its aims to regulate, to "govern", to manage territorial dynamics through the *pilotage* of a multiplicity of actors**

Definition ──── **A process of actors co-ordination to develop social, intellectual and political capitals and of territorial development based on a non destructive use of territorial specificities in order to improve territorial cohesion at different levels**

Challenge ──── **How to improve Territorial Cohesion**

──── **Vertical and Horizontal Coordination and Cooperation**

──── **Participation Procedures, Processes and Outcomes**

──── **Territorial Development Processes and Results**

Indicators/criteria ──── **Context**

──── **Policies**

──── **TGA**

4.2 Data & Indicators for comprehensive coverage of EU 29 Territory: Quantitative approach

The revision of the starting set of indicators has resulted in the following list of indicators:

ISP1   Government effectiveness index

Definition:	Composition of different indicators describing bureaucratic delay, institutional failure, red tape, quality of government, competences, policy stabilty, implementation.
	The government effectiveness index combines 31 indicators of nine different sources. Polled citizens were asked to indicate their degree of satisfaction with public services in their region or country.
Available on:	NUTS0
for:	EU29
years:	2002, 2000, 1998, 1996
from:	http://econ.worldbank.org/view.php?type=18&id=14980
Comments:	Description of procedures and components is also available.

Also available from same source: *Voice and Accountability, Political Stability, Rule of Law, Control of Corruption.*

IEP2   Overall e-government contact for SME

Definition:	Percentage of enterprises which use the Internet for interaction with public authorities
Available on:	NUTS 0
for:	EU 29
years:	2004; 2003
from:	EUROSTAT Information Society Statistics, Structural indicators, table "E-government usage by enterprises (demand side)"
Comments:	Availability of further time series as well as NUTS levels 1 and 2 need to be inquired. Indicator is also available for e-government usage by individuals.
	cf. http://epp.eurostat.cec.eu.int

IEP3   Regulatory burden (quality) index

Definition:	The regulatory burden index developed by the World Bank measures the degree to which a state regulates the economy in its jurisdiction. The index aggregates 61 variables of seven different sources and thus covers topics from wage controls, trade regulations to banking regulations and capital investment policies.
Available on:	NUTS 0
for:	EU 29
years:	2002, 2000, 1998, 1996
from:	http://econ.worldbank.org/view.php?type=18&id=14980
Comments:	Description of procedures and components is also available.

Also available from source: *see ISP1.*

ICSP1 Influence of citizens on government

Definition: How much influence, if any, do you think the opinion of people like yourself have on the decisions taken by the (NATIONAL) government ? (SHOW CARD)

Available

on: NUTS0

for: EU25+BG+RO

years: 2004

from: Eurobarometer 61 (SPRING 2004)

Comments: Availability bi-annually for 1971-2003 (Eurobarometers 1-60) for respective EU member states only, cf. http://europa.eu.int/comm/public_opinion/archives/eb_arch_en.htm.

ICSP4 Share of households having access or using internet, www, compuserve

Definition: Level of internet access of households in percent

Available

on: NUTS 0

for: EU 29

years: 2004, 2003, 2002

from: EUROSTAT Information Society Statistics, Structural indicators, table "Level of internet access (%)"

Comments: Availability of further time series as well as NUTS levels 1 and 2 need to be inquired

cf. http://epp.eurostat.cec.eu.int

ITS1   Functional Urban Areas

Definition:

Available

on: NUTS5

for: EU29

years: 2000/2001 (differs depending on indicator)

from: ESPON Database (Project 1.1.1), tables "013_Functional_Urban_Areas_N5i" and "013_Functional_Urban_Areas_3classes_N5i"

Authors: Anne Antikainen, Erik Glörsen (NORDREGIO),

Comments: time reference for some indicators needs to be inquired.

In addition, as has been discussed at the partner meeting in Valencia, as a kind of base line indicator the number of public employees (NPE) have been collected from EUROSTAT. NPE can be collected regionally differentiated and, taking the form of relative shares, describe the higher/lower importance of NPE in specific regions.

These figures might further be combined with e.g. GDP figures to highlight differences in the relative situation of regions. Linked with further results from national overviews or case studies, it might be possible to derive some hypotheses on causes and effects.

However, at EUROSTAT NPE figures are only collected for EU 29 on the aggregated basis of "Public administration and defence, compulsory social security; education; health and social work; other community, social and personal service activities; private households with employed persons" (NACE Index L to P).

Maps 4.1: Number of Public Employees (Nace L-P)
Development of absolute numbers (1999 = 100)

1999 = 100, Deviation to EU-Average

- --
- -
- +
- ++
- no data available
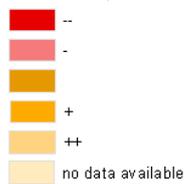
NUTS 2
Left 2000
Right 2003
Data from Eurostat
IRPUD 2005

* Draft version - Formats will be further adjusted to ESPON standards

Last, the spatial indicators are basically taken from the ESPON data base. The idea is to link these characteristics (structure and relations) to features of the government and governance system.

Figure 4.4: Number of public employees (NPE)

Legend:
- be Belgien
- cz Tschechische Republik
- dk Dänemark
- de Deutschland (einschließlich ex-DDR seit 1991)
- ee Estland
- gr Griechenland
- es Spanien
- fr Frankreich
- ie Irland
- it Italien
- cy Zypern
- lv Lettland
- lt Litauen
- lu Luxemburg (Grand-Duché)
- hu Ungarn
- mt Malta
- nl Niederlande
- at Österreich
- pl Polen
- pt Portugal
- si Slowenien
- sk Slowakische Republik
- fi Finnland
- se Schweden
- uk Vereinigtes Königreich
- ✳ All MC All Empl

(IRPUD 2005)

In above graphs figures without F, Malta, POL

ALL MC ALL – stands for all employees in all members states over the observation period.

Additional time series show, that since 1986 NPE steadily grows!(Mean '86/104-'91/132-'96/141) see arrow

4.3 The route from National Overviews to Case Studies

One of main goals of this ESPON project is to carry out case studies that will throw light on important, current developments within the realm of urban and territorial governance. Indeed, in the ToR document it is pointed out that: "*...case studies, elaborated in a comparable way, are of an outstanding importance for this project and*

purpose, compared to other former ESPON projects" (page 13). In this section the preliminary reflections concerning the process of researching governance issues through case studies is conveyed. Furthermore, it is stressed how the analysis of the case studies (WP4 and WP5) are integrated in the wider architecture of the project.

In principle case studies can be researched by the use of either inductive or deductive approaches. At this moment a wealth of comparative case studies (for a review, see FIR) 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. At the same time it is evident that governance defies a simple, 'a priori' definition. Governance has proven to be an almost ubiquitous phenomenon, and it seems to be an endless – if not a purposeless – process to add yet another group of case studies to the pile, unless the case studies are selected carefully, preferably by the use of working hypotheses and a mix of quantitative and qualitative methods (see for an example Gissendanner, 2003). Within this ESPON project it is the ambition 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. The matrix is developed in a way so that the qualitative observations can be systematized, for an example be referring to the observations in the (synthesis of the) national overviews, and yet at the same time it is 'flexible', enabling the national teams to include interpretations based on their insights in the institutional and historical legacies. The genesis of the analytical matrix is described very briefly in the next paragraph – and in greater detail in chapter 9 below.

As mentioned elsewhere NTUA and ÖTB presented the draft for the synthesis of the national overviews at the meeting between all partners in Valencia in the end of February. From the discussion between the partners it became evident that the observations on tools and mechanisms of cooperation and coordination in the 29 countries could be grouped according to **geographical scale, or geographical dimensions** – as it was already envisaged in the tender. Hence, as it is shown in the report on the national overviews, differences between (i) transnational, cross-border regions, (ii) national urban systems, (iii) regional, polycentric urban networks, (iv) functional urban areas and metropolitan regions, (v) urban–rural relationships and (vi) intra-urban relationships could be detected in the national reports. At the same meeting IGEAT and UV presented ideas for developing guidelines for the case studies (like the national overviews, also a part of WP2) based on a compilation of information from ToR, Tender and FIR. Among the compiled information observations on **governance dimensions** were apparent, i.e. horizontal and vertical cooperation and coordination practices and tools (formal and informal, legal and non-statutory – including civil society participation). Based on ideas from several partners the two set of observations where combined, and the analytical matrix for the case studies were produced by crossing the two dimensions. The matrix, which has been elaborated further between the Valencia meeting (inter alia at a meeting between IGEAT and Nordregio) and the completion of the second interim report, is explained in greater details in chapter 9 below. The final version of the matrix will be decided upon in Mid-May and then distributed to the partners.

In order to ensure in-depth, qualitative case studies it was decided that each partner should select a maximum of 2 case studies per country, including transnational and cross-border regions. In most of the countries two case studies will be carried out,

whilst in the smallest countries only one case study will be completed. All in all, the expectation (that we will complete 50-60 selected cases, cf. tender) will be met. The partners have been asked to indicate the profile of the selected case studies. This enables an overall description of the selected case studies, and furthermore a situation where all of case studies are flocking at one end of the matrix can be avoided by asking partners to choose case studies with different emphases.

Each of the partners will be asked to 'frame' their case studies, not only by using the national overviews as background information, but also by asking each of the partners to comment on the case study by using the quantative information form the data collection phase (also WP4, which will run parallel to the case studies in the period from Mid-May to end of September). This quantative-qualitative approach is also described in the next section (4.4.). In the period until Mid-May the quantative and qualitative methods will be integrated further.

In the autumn Nordregio, assisted by other core teams, will do the first analysis of the 50+ case studies that will be completed by the end of September, in due course to be presented at the core team meeting in November and then included in a revised version in the third interim report. A meeting between Nordregio and IGEAT has tentatively been set up (for October 10th-11th) in order to facilitate the process of completing the 'comprehensive analysis' in WP5.

Diagrammatically the analytical task ahead (WP5) can be illustrated as follows:

1: Maximum two case studies per country are selected and their profiles are indicated in the matrix:

Case study 1 – profile
Governance dimension

Case study 2 – profile
Governance dimension
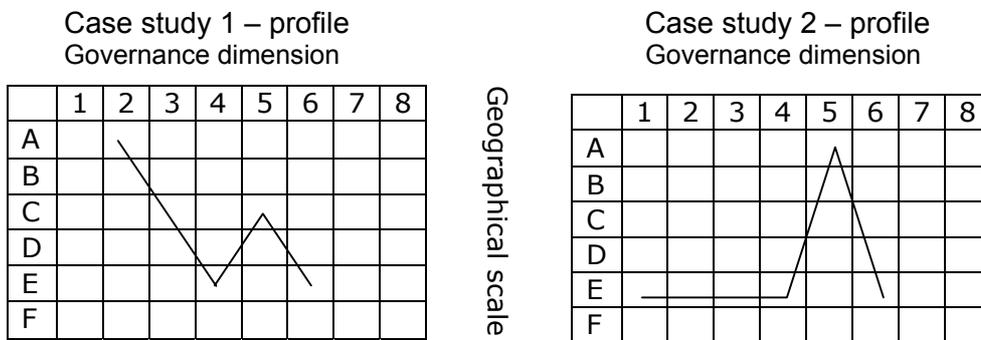
2: The case studies are carried out (WP4) – and 'families of governance' are investigated and analysed (WP5) according to this sketch:

Case studies - Σ
Governance dimension
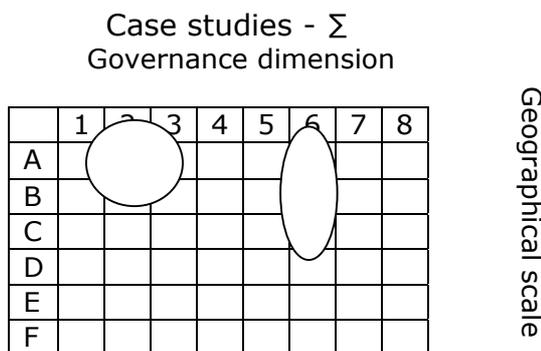
3: For the final report it is expected that the questions raised in ToR/Tender/FIR/SIR ('framing') will be analysed 'vertically', i.e. by analysing the geographical variation within each of the dimensions of governance:

```
                  ┌──────────────┐
              ┌──▶│  'Framing'   │
              │   └──────────────┘
              │
              │        Governance dimension
              │     ▼  ▼  ▼  ▼  ▼  ▼  ▼  ▼
              │   ┌───┬──┬──┬──┬──┬──┬──┬──┐
              │   │   │1 │2 │3 │4 │5 │6 │7 │8 │        ◀ Geographical scale
              │   ├───┼──┼──┼──┼──┼──┼──┼──┤
              │   │ A │  │  │  │  │  │  │  │  │
              │   ├───┼──┼──┼──┼──┼──┼──┼──┤
              │   │ B │  │  │  │  │  │  │  │  │
              │   ├───┼──┼──┼──┼──┼──┼──┼──┤
              │   │ C │  │  │  │  │  │  │  │  │
              │   ├───┼──┼──┼──┼──┼──┼──┼──┤
              │   │ D │  │  │  │  │  │  │  │  │
              │   ├───┼──┼──┼──┼──┼──┼──┼──┤
              │   │ E │  │  │  │  │  │  │  │  │
              │   ├───┼──┼──┼──┼──┼──┼──┼──┤
              │   │ F │  │  │  │  │  │  │  │  │
              │   └───┴──┴──┴──┴──┴──┴──┴──┘
              │     ▼  ▼  ▼  ▼  ▼  ▼  ▼  ▼
              │   ┌──────────────┐
              └──▶│  'Synthesis' │
                  └──────────────┘
```
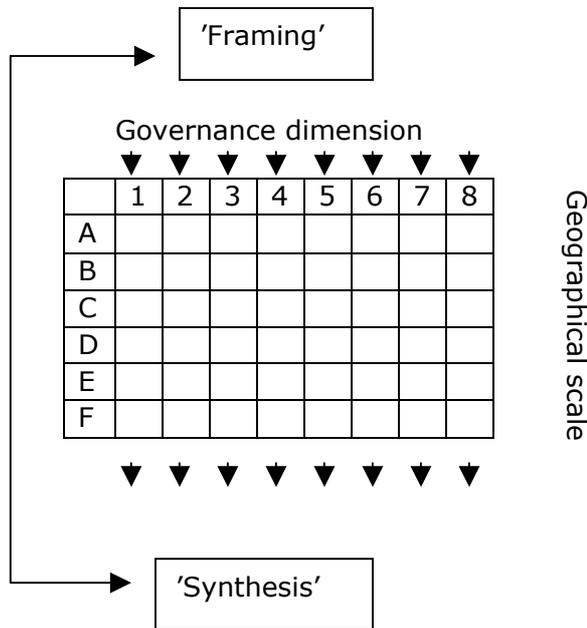
4.4 Articulation between qualitative and quantitative approach

For the time being, no particular articulation between the two different approaches has been made. The tender document emphasises that only a mix of quantitative and qualtiative approaches will achieve the intended results. This is also foreseen in the guidance papers for TIA – understood as territorial impact analysis instead of assessment. The quantitative parts of that analysis relate to aspects which constitute some foundations in the field (e.g. we concentrate on public employees and/or budgets and/or effective administrative levels and/or functional urban areas), which might be combined with more qualitative information (that might be converted into indicators?).

Approach to impact assessment methodology

Our intention is to closely follow the TIA manual. Most importantly we need to make sure to pay attention to the precise wording: The entire project will be a success if we can 'analyse' the potential impacts of good governance on urban and territorial policies in the sense of developing some hypotheses (and hence policy recommendations). Only one instrument here will probably be a set of regional typologies and maps on the basis of quantiative information.

The results of the AsPIRE project revealed, that the 'soft' factors can enhance the explanation of differences in regional performance – but in a narrow corridor.

TIA minimum requirements
- Scoping
    a. Reference to policy intervention
    b. Hypotheses on cause-effect-relations
    c. Regional scale of observation
    d. Reference to past and future
- Analysing
    a. Interventions and effects measured
    b. Quantitative/qualitative appraisal
    c. Technique of analysis
- Assessing
    a. Goals referred to (general?)
    b. Polycentric spatial development
    c. Social & Economic Cohesion
    d. Territorial cohesion

Applied meaning of spatial or territorial
Territorial coverage of outcome

Above list provides further clues on necessary working steps and crucial questions:

- Our point of reference needs to be precisely defined (scoping, a)

- Hypotheses on cause-effect-relations need to be worked out (scoping, b)

- The regional scale of observation is also a matter of interest: Many of the potential governance indicators (see lists in FIR) are only available on NUTS 0. ESPON 2.3.2 tends to define something on NUTS 3 level, following ESPON standards. For the smaller set of data (see Table 1), IRPUD will try to find solutions for a further break down of NUTS 0 – 2 indicators towards finer regional differentiations.

- At the moment, no time horizons have been defined for our project. The analysis of the academic literature starts in the second half of the nineties. The ESDP dates back to 1999 (early 1990ies). How long does it take to detect a shift towards governance and the consequent effects? Only some data are available in time series, with different starting points.

- The analytical part will follow a quali-quantitative approach, as said. The partners responsible for the case studies and data&indicators need to discuss about the precise articulation between the two approaches (see also point above).

5. INSTRUMENTS FOR SPATIAL PLANNING AND POLICIES WITH TERRITORIAL EFFECTS

5.1 Key spatial planning institutions (Presence of a dominant institution)

Institutional arrangements in the countries reviewed vary, depending on the size of the country, the unitary / federal / regionalized character of government and the complexity of its administrative traditions. However, certain interesting patterns emerge:

- Majority case: Single dominant central government ministry

In the majority of cases, a key ministry holds the competences associated with spatial planning. E.g. in Ireland the main government department with responsibility for spatial planning is the Department of the Environment, Heritage and Local Government. In Bulgaria, the Ministry of Regional Development and Public Works is the key ministry as far as spatial planning is concerned. In Lithuania, core responsibility for territorial planning, formulation of national policy, supervision and implementation lies with the Ministry of Environment.

In unitary states the key-player in the field of spatial planning is in most cases a single ministry. However, there are a few cases where more than one ministries share relevant responsibilities (e.g. Portugal and to some extent Norway). The most common cases of ministries sheltering spatial planning are those responsible for Internal Affairs, Regional Development, Public Works, Spatial Planning and the Environment.

- Variations in character of dominant ministry

The role of such central government ministries is not uniform. In some cases it may be the key actor even for day to day land use planning, as in a small country like Cyprus, in others it has a dominant position, but rather with respect to policy and not with regional and local spatial planning, which is the competence of powerful provinces and municipalities, as in the Netherlands (Ministry of Housing, Spatial Planning and the Environment). The following extract from the Dutch national overview is indicative:

"Currently the national government provides the spatial planning framework by adopting so-called 'key planning decisions'. These key planning decisions are laid down in for instance the National Spatial Strategy and are adopted by parliament. Sectoral ministries can also issue key planning decisions. Key planning decisions lay down the general spatial development frameworks in text and/or maps. These frameworks are being further elaborated during the adoption by the provinces of obligatory regional spatial structure plans. Provinces play a crucial role in bringing coherence between three administrative levels and various sectoral demands. Regional Spatial Structure Plans integrate Key Planning Decisions (also the sectoral ones) and territorially relevant regional policies such as transport, environment and water. The policy laid down in the regional spatial structuring plan is being further operationalised by local authorities in zoning plans. Zoning plans are the only spatial plan, which is legally binding for citizens as well as public government".

This is a situation which differs radically from that of e.g. Greece, where the Ministry for the Environment, Spatial Planning and Public Works is not yet at the point of acting purely as a policy and guidance central government agency.

Federalized states are usually characterized by the absence of key planning agencies at the federal level. It is the regions or the autonomous territories that have competence of territorial organization and town planning issues. The federal level can only set the framework and the guiding principles, and even that is sometimes of limited influence. In 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. 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. In Belgium, as a result of the federalization process, there is no spatial planning at the national level. This structure is likely to create problems of spatial organization of the national territory.

- Dichotomy of economic and spatial development reflected in central government ministries

In Greece, although the Ministry for the Environment, Spatial Planning and Public Works is the key spatial planning ministry, it is the Ministry of Economy and Finance which is in charge of economic planning, public investment and all the procedures linked to EU structural funding, which have a far greater impact on spatial organization. In Latvia the Ministry of Regional Development and Local Governments is the main institution in charge of spatial planning, regional policy, and local government affairs, but the allocation of EU structural funds is the responsibility of the Ministry of Finance.

In a sense, the existence or not of an "administrative marriage" between regional economic development and spatial planning is an indication of whether spatial planning is considered from a strategic, long-term and macro-scale point of view or from a non-strategic, non-intervening, piecemeal, short-term and small scale perspective.

   - Frequency of transfer of competences within central government
   - Link of spatial planning and internal affairs

The diversity and plurality of competent ministries and the phenomenon of continuous transfers of relevant competences from one ministry to another, as reported in some overviews, provides evidence of close linkages between spatial planning and other policy domains. The frequent pattern of spatial planning being within the scope of the Ministry of the Interior (or Public Administration or Local Government) shows the close interrelations between the pattern of allocation of powers across administrative levels and spatial planning competences. In Estonia, administration and supervision of planning activities at national level is within the competence of the Ministry of the Internal Affairs, where they have been transferred from the Ministry of Environment in 2004. In Hungary, the central government authority responsible for spatial (regional and local) planning was moved from one ministry to the other and was 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. The Ministry of the Interior has retained the control of local government administration and finance. In the United Kingdom, planning has been the responsibility of ministries with a variety of names, which have changed over the years. The Department of the Environment held the responsibility for a long period. Now,

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 currently held by the Office of the Deputy Prime Minister (ODPM), but implementation of planning policy is delegated to regional and local institutions.

- Local authorities: Correlation of general profile with spatial planning competences

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 in local spatial planning matters keeps pace with the more general, powerful or powerless, profile of local self government.

- Powerful regions v. weak local authorities and vice versa

In Bulgaria, 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. In 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. On the other hand, in Greece, where important powers are slowly being devolved to non-elected regional secretariats, 1st and 2nd tier local authorities (municipalities and prefectures) have limited powers, inspite of government intentions to the contrary, because of the 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.

5.2 Roles and responsibilities of governmental layers

The question about "Roles and responsibilities of governmental layers with respect to spatial planning" highlights a series of issues which are critical for the prospects of "marriage" between governance and spatial planning. In particular, these critical themes are:

(1) The extent to which planning of spatial development patterns and control of spatial problems within a country's territory rest with national, regional or local level responsibilities. Of further interest is whether this is an exclusive or joint responsibility of several governmental layers.

(2) The extent to which the above allocation of responsibilities contributes to or undermines territorial cohesion within a country and co-ordination of sectoral policies, at least in geographical terms. Of further interest are the mechanisms used to deal with incompatibilities and to enhance the   harmonization of plans and the synergies of sectoral policies on the ground. Examples of such mechanisms are: compliance of plans and planning provisions to hierachical structures of planning system, building inter-sectoral policy-making or policy-approving organs, building vertical forms of public authority partnerships etc.

(3) The handicaps of the existing structures of planning powers and planning systems, especially those to be potentially remedied by governance practices. From this viewpoint indications and evidences of governance procedures

adopted to make up for deficiencies and to support existing policy-making and implementation structures are of paramount importance.

The following commentary summarizes the basic features of planning systems across the EU with regard to the allocation of decision making powers.

The most commonly met pattern of spatial planning systems is the one including the national level plans, one or two intermediate level plans (regional and possibly county level) and the lower local level of municipal and inter-municipal plans. In the case of unitary states, national level plans are approved either by the mainly competent Ministry (see paragraph 5.1) or inter-ministerial organs (e.g. Cabinet of Ministers, inter-ministerial committees etc). This 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 policy control or supervision of central ministries. 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 where the decisive power rests on multi-layer government partnerships between central state delegates and elected Local Authority Councils.

Finally in the cases of federalized states there are no national level plans, but only guidelines, and the decisive powers for the plans of the autonomous regions are allocated within the respective and particular sub-national governmental structures.

In summary, we can identify the following prominent themes and patterns:

- Frequent pattern of national plan, intermediate plans (one or two levels) and local plans;

- National plans: Competence at the highest level, esp. in unitary states (effect on sectoral policies);

- Intermediate plans: National or, less frequently, regional competence of approval;

- Usual absence of national plans in federal countries, especially of a binding nature;

- Practice of national "guidelines" instead of plans;

- Wide variations of local authority powers.

What appears interesting is that governance tools and practices are randomly emerging to fill gaps in the planning systems, to amend ineffective structures, and to enhance coordination potential. These have been spontaneously placed in the appropriate nodal points of the spatial planning structures so as to serve either the general emphasis of the respective planning system (e.g. physical, land use planning) or to fix imperfections (e.g. separation and lack of communication between regional and spatial policy-making authorities).

5.2.1 Extent of financial dependence of local government on central government

Financial dependence is a good indicator of the ability of local government to exercise effectively the competencies which have been delegated by central authorities or have been historically within its jurisdiction. Although at the extremes the condition prevailing in individual countries is fairly clear, there are doubts as to the exact extent of dependence or independence, because of inadequate data and variations in definitions or control. On the basis of the information supplied in the national overviews, which were very unequal in this respect and did not provide a solid base for comparison, we tried to distinguish 3 categories of countries:

- Dependent on central government;
- Fairly independent;
- Very independent.

As with all classifications attempted in our analysis, this categorization is checked by individual project partners, to make sure that the draft synthesis of national overviews has received their agreement. Certain remarks are however in order, starting from the observation of a dominant general pattern of high financial dependence. There are naturally exceptions, but in broad terms it can be said that in the majority of cases local authorities are bound by the fact that the bulk of their resources are distributed by the central government. Naturally dependence is not determined only by the volume of resources allocated by the central state to local governments, because other factors can be important, e.g. limitations on the amount of expenditures or accounting rules and controls, which remain in the hands of the state.

Local governments in countries of EU-15, especially in the European "North", tend to be more financially independent, but even in such countries the true extent of independence is sometimes eroded by central government policy. This no doubt is a development closely linked with the national – local debate and the distribution of powers which we touch upon elsewhere and, indirectly, with the opposing forces of greater effectiveness in promoting competitiveness and of more extensive devolution of powers. There is also a growing split between centralized powers of strategic territorial policy making and decentralized routine functions of conventional spatial planning.

A symptom which has been reported is the incompatibility between extensive powers at the local level and continuing financial dependence of local authorities. This could confirm the suspicion, to which we return later, that the real motive of decentralization and devolution is often totally unrelated to genuine adherence to government practices, best described today by the all-embracing term "governance", and rather related to the realization that central authorities simply cannot cope with a rising volume of tasks, made more demanding by the rapidly growing complexity of modern economy. As a result, central authorities are often trying to unload some of the administrative burden, but are at the same time constrained by fiscal limitations and by the impossibility of transferring powers which impinge on critical decisions which the globalizing economy requires.

Conditions at the local level are far from ideal, particularly in countries where a traditionally centralized unitary system, in capitalist or former socialist economies alike, has only recently offered opportunities to the local level to develop a mature political culture. In these conditions, when powers are being transferred the results are

disappointing and there is a great deal of disillusionment with the performance of local authorities. Symptoms of lack of transparency appear and corruption can be widespread. This undermines the prospects of a genuine decentralization process. Blame for this distortion of a governance can be apportioned between central and local levels, since the influence of clientelistic political practices is strong. E.g. financial support to local authorities can be used as a lever to influence political alignments or to restrict decision making freedom.

5.2.2 Centralization / decentralization / devolution

With respect to regional decentralization and power devolution to regional authorities, we have a broad spectrum of country situations:

- 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;
- Countries with powerless regions, e.g. because of the size of the country or for historical reasons;
- Countries with no regional autorities, primarily because of size.

Equally, with respect to devolution of powers to 1st tier local authorities (municipalities), we have distinguished between:

- Countries in which substantial powers have been allocated to local authorities (municipalities);
- 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).

The issue of regional powers is of course intimately linked to political traditions and the constitutional structure of each country. Some remarks can be made even if they are the restatement of the obvious:

- The general rule in unitary states is that regional authorities are not elected, in spite of the fact that elections in a variety of forms are spreading beyond the confines of purely federal countries;
- Regions have a dominant place in federal and highly regionalized countries, although the latter term may in fact apply unequally across the national space;
- Countries with a federal or highly regionalized structure are facing the dilemma whether to reclaim a more prominent role for the central state in view of the processes of economic globalization;
- Countries with a tradition of a powerful central state retain a dominant role for the centre, inspite of extensive regionalization reforms;
- Several countries have embarked recently in regional reforms, which still have to be tested in practice;
- Countries with national / ethnic communities face particular problems of national co-ordination and regional equilibrium, even, in some cases, of effective integration of national space;
- Very small countries are an obvious case where regions are not necessary.

The interplay between regional and local is as interesting as that between national and local. The balances involved are frequently a matter of choice and emphasis, but they may involve constitutional issues as well. Some interesting cases can be quoted, as they appear in the national overviews:

- A continuous persistence of "localism" can be maintained, despite of extensive regionalization, a possible indication of the relative weight of cultural factors in comparison to more abstract rational reforms;

- The other side of the coin is perhaps the example of countries with traditionally weak regions but powerful local government, which sometimes becomes a pole of power antagonizing the center;

- There are cases of "involution" rather than devolution to local government, i.e. of a return of powers from the local level to the central state;

- The concentration of powers can be protected by an impenetrable web of constitutional and legal provisions, which neutralize all attempts at decentralization and devolution of powers.

5.3 Involvement of politics in actual policy implementation

The issue of the involvement of politics in actual policy implementation has been perceived and treated in various ways by the national overviews. In the German overview it is stated that "the impact of politics in the process of policy implementation is very high", but we be can certain that the perception of the influence of politics is far from that expressed e.g. in the Greek overview from which we reproduce the following quotation: "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… ".

Some overviews put the emphasis on the shortcomings of the present status of representative democracy and the consequent impacts on spatial planning. Such a case is e.g. 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 view of politicians actually undermines the strategic value of planning and the implementation prospects.

On the other hand there is a group of countries, where the emphasis is on the transitional stage they are going through. 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". In one overview, the point is being made that in the present circumstances the current political culture is marked by the replacement of old political elites by new ones, with a more pluralistic outlook.

There is one more group of overviews which speak of socio-political dividing lines and of how these give birth to a convenient environment for political maneuvering. It seems that societies lacking "the spirit of consensus" and torn by the claims of absolute

autonomy of their distinct parts allow room for excessive patronage of social views and mentalities. In such cases governance is far away from being embedded in the country's socio-political relations and practices. There is a parallel here with the case of the dividing lines between legal and illegal attitudes as regards spatial development, a problem encountered in some cases of Mediterranean regions. It is not surprising that in such fragmented societies, demands for governance are made because the latter is perceived as a way to overcome dichotomies and patronage.

The polarization of politics is stressed in the case of certain countries, as having a profound influence. According to the overview of Malta, government and politics in the country were characterised by "excessive power at the centre, too many infringements of the democratic process and an abnormally high level of political polarization". Limited resource availability makes people behave in a highly competitive way and to strive all the time to safeguard personal and familial interests first and foremost. Such conditions, typical of countries or individual regions with limited resources and historically rooted memories of difficulties of survival, breed a particular nexus between politics, government and citizens. As explained in the same overview, which is surely true in several Mediterranean regions, 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. Practices of political patronage are extremely difficult to eradicate in this situation. The difference of prevailing conditions in rural as opposed to urban areas or in peripheral as opposed to core regions and metropolitan areas further complicate the problem, since clientelism is frequently more entrenched in rural areas or in remote regions.

The Hungarian national overview contributes thoughts and remarks, which strike at the root of negative political influence on governance policies. As rightly pointed out, 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 short-term view of government at all 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.

Equally detrimental can be the absence of genuine, healthy politics and its replacement with the pursuit of short term interests by politicians, again a problem of political maturity. The writers of one overview point out that 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, a remark which is at the heart of the problem. With respect to another country which finds itself in a stage of transition, it is being remarked that 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.

However, the influence of politics can be equally serious and negative in terms of national governance processes in situations where large communities in the same country have historical and political problems of co-operation. In some cases a compromise has been made possible, with EU membership being no doubt a favourable catalytic factor. In others, the wounds are still open and to heal them, and then be in a position to speak meaningfully of governance at all levels, requires settlement of international issues of a much wider nature.

To summarize, these are the points that emerge from the analysis of groups of countries or individual situations:

- Variations of interpretation of the meaning of the influence of politics;
- Weaknesses and rigidities of system of government as a source of political influence;
- Domination of traditional politics and systems of patronage;
- Political culture and immaturity of political system;
- Effect of political transition and inherited old regime practices;
- Domination of "primitive" capitalism practices;
- Urban – rural / metropolitan areas – rest of the country dichotomies.
- Central – regional or inter – regional conflicts and divisions
- Entanglement in international political disputes.

5.4 Basic laws regulating (a) urban development / land use and (b) regional development

The reason of our interest in planning legislation is not solely to compare the planning systems represented in the project. We also consider that the simplicity and clarity of the statutes regulating planning contribute to transparency, to easiness of access to relevant information and to better state – citizen relations. Countries with a corpus of basic laws regulating urban and land use planning and regional development have an advantage in this respect over countries with diffuse and complex legislation, which leaves room for arbitrary decisions and administrative malpractices. In situations which facilitate dubious interpretations, the citizen is often at the mercy of the bureaucracy of the state and the interference of political favouritism and / or private actors with suspect motives is made all the more possible.

The first point that has to be made on the basis of the national overviews was that there was a paucity of adequate information and a difficulty to classify countries in terms of this criterion. The variety of administrative systems and the relative richness and diversity of the planning systems explain to a large extent the difficulty of categorization. The style of planning characteristic of each country has a great deal of influence. Therefore the first remarks we can make are the:

- Inadequacy of relevant information and the difficulties of classification; and the
- Existence of extremes, i.e. advanced consolidation and wide dispersal of legislation.

To take an example, in the 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. Incidentally, "the new Act [for England and Wales] will bring fundamental changes to the current system of planning and in particular the development plans". At the other end of the spectrum, in Greece, although three laws, on the extension of town plans and urban development, on sustainable urban development and on spatial planning and sustainable development, 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 relatively chaotic. This, according to the Greek national overview, becomes the breeding ground for endless disputes and official corruption. One distinctive feature of the Greek planning system is the existence of extensive urbanized areas which remain outside the official town plan boundaries and are regulated by separate statutes for out-of-plan areas.

It is necessary to stress therefore that:

o Legal complexity and opaqueness of land use legislation offers fertile ground for arbitrary decisions and corruption.

It is true however that the complexity of modern economies and the recent concern for environmental issues generate the need for special legislation, e.g. on various forms of infrastructure, on housing and environmental protection, which complicates the picture. This presents a challenge to policy makers and legislators, since:

o Consolidation of planning legislation, e.g. in a single spatial planning act, and the diversity of needs in a modern economy can be in conflict.

This dilemma is concisely presented in the Dutch national overview:

"Despite a series of amendments over the years, the Spatial Planning Act (1965) 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 on the land market".

As expected the analysis found:

• Separate legislation in autonomous regions in federal or very regionalized countries, with the consequent weakness of national spatial planning.

E.g. in Spain, each Region (Autonomous Community) has its own normative legal framework of spatial planning. In 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 frame for all their respective plans. In Switzerland, "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)… However, the reality of Swiss spatial planning is not as simple as stated in the article of the Constitution. In fact, confederation, cantons and municipalities are jointly responsible for ensuring economical land use."

In the former socialist countries there are:

- Clear trends towards new compact legislation, but without sufficient time to evaluate the results.

  E.g. according to the Hungarian overview, two basic laws exist, but there is still fluidity in the institutional environment, because of constant changes and because the implementation and acceptance of laws are not not proven yet. In Bulgaria the Spatial Planning Act of 2001 and the Regional Development Act of 2004 are only 4- and 1-year old respectively . In Latvia, spatial planning and regional development are regulated by the Law on Regional Development, which was adopted as recently as 2002.

5.5 Territorial and urban policies

A wide spectrum of approaches to territorial or spatial policy can be observed across Europe, varying from strong and well-established through to new and relatively weak traditions and processes, and, in some countries, no territorial or spatial policy. The same is true for urban policies. Again there is a spectrum of approaches (see table 5.1).

Approaches to territorial policy include examples such as national regional policies (e.g. Czech Republic), national regional development programmes (e.g. Finland, Latvia), guidelines for spatial policy or planning policy (e.g. Germany, Malta, England, Switzerland), national spatial plans or strategies (e.g. Greece, Netherlands, Slovenia), regional spatial plans (e.g. Belgium, Greece, Spain), comprehensive plans (e.g. Lithuania), national planning programmes (e.g. Luxembourg), territorial development programmes (e.g. Romania).

Urban issues have a high level importance in planning policy in some countries. The Austrian Spatial Development Concept, for example, defines urban regions as one of the biggest challenges for future decades. The Finnish national regional development programme recognises the role of cities and urban regions as growth engines. The Dutch draft Spatial Planning Strategy, currently being considered by parliament, focuses attention on city networks as important motors of the economy. In the UK, urban issues, particularly urban regeneration, form a key strand of government policy.

The rationale for urban policy also varies but urban regeneration and revitalisation are often important. Urban spatial policy in Germany attempts to counteract urban sprawl and the segregation of urban districts, promote revitalisation of inner urban areas and manage traffic congestion. In Greece, employment is supported in small and medium-sized settlements in an attempt to control migration from the countryside. Extra support is given to weaker urban areas, such as industrial areas in decline. The objectives of the

Table 5.1: Approaches to territorial and urban policies

Country	National Plan	Regional Plan	Municipal Plan	Autonomous Regions	No Plan
Austria		x			
Belgium		x			
Bulgaria					n.d.
Cyprus					n.d.
Czech Rep.			x		
Denmark					n.d.
Estonia					x
Finland	x	x			
France	x	x			
Germany					
Greece	x	x			
Hungary					x
Ireland			x		
Italy					
Latvia	x	x			
Lithuania	x	x			
Luxembourg		x			
Malta	x				
Netherlands	x				
Norway					n.d.
Poland	x				
Portugal	x		x		
Romania	x				
Slovakia	x	x		x	
Slovenia	x				
Spain				x	
Sweden		x			
Switzerland	x				
U.K.	x				

Swiss agglomeration policy include the enhancement of the economic attractiveness of urban areas, the maintenance of the country's decentralised urban system with it mutually supportive towns and cities, and the containment of urban growth within the existing boundaries of towns and cities.

A broad range of territorial or spatial concepts is evident. Finland's urban programme focuses heavily on promoting polycentric and balanced regional development. The idea of a network rather than a hierarchy of urban centres underpins urban policy in countries as diverse as Greece, the Netherlands and Switzerland (the northern part of the country). Here, large metropolitan centres are promoted as gateways to the countries and as means of enhancing their international reputation. The gateway concept can also be found in Ireland's settlement strategy. The concept of decentralized concentration, referring to a network of compact settlement areas of different sizes, can be found in the Swiss local spatial development guidelines.

5.6 Sectoral policies

Sectoral policy integration, particularly in relation to the integration of environmental issues into other areas of policy, has been a key area of interest at the European level for some time. Policy integration has been on the EU agenda since the early 1980s,

particularly since the 1992 United Nations Conference on Environment and Development (UNCED).[9] Various European spatial planning policy documents, such as the 1990 Green Paper on the urban environment (Commission of the European Communities, 1990) and the 1996 report of the Expert Group on the Urban Environment (Expert Group on the Urban Environment, 1996) stress an integrated approach to policy. According to the report of the Expert Group on the Urban Environment, 'the fundamental challenge is to achieve integration: integration between different levels (vertical) and between different actors in the policy process (horizontal)'. The European Commission's communication on urban policy touches on the issue and talks about engaging different levels of decision-making to achieve better policy integration (European Commission, 1997).

There are also various calls for policy integration at the national level (but a general lack of advice about how to achieve it). Hungary's Act XXI/1996 on Spatial Planning and Development for example declares the need for inter-sectoral policy integration. The 2001 Long-term Economic Strategy for Latvia states that sectoral policy has a critical impact on both the regional economy and the development of Latvia as a whole and recommends that sectoral strategies should be implemented at the regional level and co-ordinated with the regional development programs.

In many cases, despite calls for policy integration, policies often remain sectoral (see Table 5.2). Implementation also remains sectoral, probably more so than the policies themselves. There is a general awareness in policy circles that sectoral policies have some significant spatial implications but this is not always explicitly addressed in policy itself. Sectors such as transport, agriculture, forestry and rural development, environmental management, energy, tourism, employment are examples of sectors with significant spatial implications. This sectoral approach leads to a number of problems (see chapter 7), including policy inconsistencies.

Transport policy is frequently seen as one of the most important sectors in terms of spatial impacts. Transport planning and development has been a key influence on spatial development across all countries and has led to urban sprawl and increased environmental impacts. Decisions in transport policy have had, and continue to have, implications for a variety of other sectors (and vice versa) and can also have impacts far beyond the regional or even national level. Agriculture, forestry and fishing policy is also seen as an important influence on spatial development, especially rural development, and a contributing factor to issues such as rural depopulation and rural economic decline.

Furthermore there are also smaller sectors in popularity sectors that can be distinguisged like housing and education. Last but not least there are countries that have no sectoral plan whatsoever; however the majority of the countries seem to have an elaborate amount of sectoral plans. In this the Netherlands takes a special position in terms of intersectoral coordination. In the sectoral based policy there is a general tendency that shows that the new member states are not very well represented in having an elaborate system of sectoral policies.

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[9] Principle 4 of the declaration from the 1992 United Nations Conference on Environment and Development states that "[i]n order to achieve sustainable development, environmental protection shall constitute an integral part of the development process and cannot be considered in isolation from it" (United Nations, 1992).

Table 5.2: Sectoral policy focussing on

Country	Rural areas	Transport	Economy	EU based or funded	Elaborate sectoral policy	Housing /urban area	Education	No plan
Austria					x			
Belgium		x						
Bulgaria								n.d
Cyprus	x							
Czech Rep.				x				
Danmark								n.d
Estonia				x				
Finland	x						x	
France					x			
Germany					x			
Greece					x			
Hungary		x	x					
Ireland						x		
Italy					x			
Latvia					x			
Lithuania					x			
Luxembourg					x			
Malta					x			
Netherlands					x			
Norway								x
Poland	x	x	x					
Portugal		x						
Romania	x							
Slovakia					x			
Slovenia								n.d
Spain					x			
Sweden					x			
Switzerland		x						
U.K.		x	x					

There are relatively few examples of mechanisms or processes to integrate sectoral policies and examine the spatial implications. One such example is national legislation concerning regional development in Finland, which requires cross-sectoral coordination to identify activities and measures that are likely to have particularly relevant territorial impacts. Ministries are expected to draft sectoral strategies (e.g. education, agriculture and forestry) that outline strategic measures that will help to achieve the national goals for regional development. 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. Another example is the use of inter-institutional agreements for regional development as practiced in Italy. In Latvia, national and sectoral development programmes have to be prepared and implemented in accordance with the Regional Policy Guidelines, the National Spatial Plan and the National Development Plan (although, in practice, the link between these sectors and regional development is unfortunately rather weak).

Similarly, in Lithuania, sectoral development strategies, strategic plans and national programmes must all be prepared in accordance with the national comprehensive plan. Luxembourg's sectoral plans (*plans directeurs sectoriels*) are intended to promote coordination and integrate sectoral policies in spatial planning. Planning guidance for a variety of different sectors is produced in England and Malta with the intention of making links between planning policy and various other policy sectors. The draft Dutch National Spatial Strategy contains policies for various sectors including water management (giving space back to water is a key issue), mainports (i.e. transport and infrastructure connected to Schiphol airport and the Port of Rotterdam), agriculture and environmental management (e.g. greenspace, landscapes). Various sectoral policies are already consistent with the new National Spatial Strategy, which is the result of an inter-departmental group of officials who drafted the National Spatial Strategy. Policy packaging is another mechanism to help to integrate sectoral policies and is examined in the following section.

5.7 Policy packages

Policy packaging is one possible mechanism being used to promote the integration of sectoral policies in a number of contexts in Europe. A number of different ways of achieving policy packaging can be identified, including agencies, policies, procedures/processes, policy guidance, and programmes/projects.

For the first time a majority of countries can be seen that have no policy packages whatsoever, or of which sufficient information is missing, all of them are new member states (see Table 5.3). Furthermore there are countries that don´t yet have policy packages, but who are working on the creation of those. Of course there are also countries that have an elaborate system of policy packages, all of which are countries with a long spatial planning history. Finally we see a mix of intersectoral policy packages, containing the fields of: urban development, transport development, research and development, economic development and spatial planning. Whereas under the header of spatial planning also fall some cases which refer more to the scale of implementation, as for Spain the autonomous regions that have their own agendas and for the U.K. where the policy packages mainly exist on the local level.

One example of an agency-approach to inter-sectoral policy packages is the case of the Styrian Business Promotion Agency (SFG) in Austria which addresses issues of skills development, entrepreneurship, technology, innovation, research and development, intra-regional and inter-regional networking. In Portugal, there have been recent efforts to coordinate different sectoral policies in the same territory through a public agency. This has mainly taken place in less developed regions where public and private capital has been used.

Structural policy in Germany is a major example for a policy package, from the governance point of view as well as from the policy point of view. It is up to the Länder to decide whether and how to implement intersectoral structural policy, which means that the structural and institutional forms differ significantly between Länder. The Territorial Employment Package for the Ida-Viru County in Estonia (not yet implemented) combines an Employment Pact and the State Employment Plan. The long-term economic strategy for Latvia is an example of a policy package with spatial content, aimed at securing inter-sectoral synergies and policy integration.

Table 5.3: Policy Packages

Country	Intersectoral					Elaborate system of policy packages	No Policy Packages or missing info	Working on creation of policy packages
	Urban	Transport	R&D	Economic	Spatial Planning			
Austria			x	x				
Belgium							x	
Bulgaria							x	
Cyprus							x	
Czech Rep.							x	
Danmark							x	
Estonia							x	
Finland	x	x	x					
France						x		
Germany						x		
Greece								x
Hungary							x	
Ireland								x
Italy	x				x			
Latvia				x	x			
Lithuania			x	x				
Luxembourg		x			x			
Malta							x	
Netherlands						x		
Norway							x	
Poland							x	
Portugal							x	
Romania							x	
Slovakia							x	
Slovenia							x	
Spain					x		x	
Sweden								x
Switzerland	x			x	x			
U.K.					x			

In Greece, there has been some progress in sectoral policy integration through procedures and processes mainly connected to the management of Structural Funds, where synergies and inconsistencies have been explicitly recognized and acknowledged. There is however still to a lot be done to secure the implementation of these synergies through actual policy packages.

Planning policy guidelines (also mentioned in the previous section) can also be used as a means to produce policy packages. Luxembourg's guidelines for transport and spatial planning are an example of an approach to promote policy packages that achieve win-win situations for both planning and transport policies. Planning policy guidelines for a variety of sectors can also be found in England, Malta and Wales (see above). In addition, Local Development Frameworks, part of the new planning system for England

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introduced in 2004, involve 'linking strategies and programmes that exist at the local level together through the planning system'. They are also required to consider 'elements of other strategies and programmes, particularly the community strategy, which relate to the use and development of land'.

The Procom and Urbcom programme for city centres in Portugal, in which investments from national and municipal government as well as private parties has been used for urban regeneration and retail modernization, is an example of a programme approach to policy packaging. The Fourth Report on Spatial Planning (Extra), published by the Dutch government in 1991 included policy packages such as the so-called ROM areas that focused on integrating spatial planning and environmental issues.

5.8 Essay of a classification of situations

The range of issues covered in this chapter is such that to bring them into a common classificatory matrix is practically impossible. We can however attempt to bring out certain themes, which will take us a step further in the direction of future recommendations. No doubt certain patterns emerge. We do not refer here to patterns which are the natural accompaniment of the structure of government in the countries represented in the project. It is obvious that a number of characteristics are associated with the unitary, federal or regionalized form of government. This must be taken as given and if we are to distinguish certain patterns which are useful for a debate on governance we must move beyond that. The same is true of variations related to geography, e.g. the size or insularity of a country.

The study of planning institutions, planning legislation, allocation of competences, regionalization and devolution processes, the independence of sub-national government, and policy co-ordination and synergy is important not as a subject *per se*, but only to the extent that it relates to key governance principles. If we look at these seemingly disparate issues from this perspective, we can begin to see and interpret our findings in a new light. The aim surely is to identify the currents and counter-currents which affect the pursuit of governance and may facilitate or divert its future course.

For pure rational reasons, all countries try, or at least wish, to simplify and rationalize the web of institutions, statutes, competences and policies, which determine the operation of planning processes. But in so doing, efficiently or in gradual steps, they must also take on board the reality of the modern world, where rationality is no longer the only ultimate guiding principle, where diversity of values and opinion is now far greater or more free to manifest itself and where these issues are not judged any more exclusively in the confines of the nation state. The same goal and the same task, i.e. of rationalizing institutions, statutes, competences and policies, would be understood and conceptualized differently 30 or 40 years ago. Today, the task is totally different and suffers from external and internal contradictions and pressures.

Looked at in this perspective, the task of modernizing (or perhaps post-modernizing!) territorial governance structures is not all that different in individual country situations. Awareness, experiences, know-how and political stability may vary, but the unifying theme is that of coming to grips with a new reality of uncertainties. The new parameters of a globalized society and economy, of new forms of civil society co-operation and solidarity and of a more diverse and emancipated body of citizens require a new rationality which transcends the conventional rationality of traditional, well-meaning

and tested reforms of the past. It is naturally important and essential to have simple and transparent decision-making government structures, to do away with labyrinthine procedures and legal documents or to secure synergy between territorial and sectoral policies, to name but a few tasks, but the real issues are how this world of statutory planning responds to the new uncertainties. This to some extent explains contradictory tendencies even within the 29 countries examined in this project. More or less decentralization? More or fewer tailored-made institutions and laws to respond to a growing diversity of situations? More or less politicized planning? Strong top-down policy guidance and equally strong, but conventional, competencies in lower government tiers? Or vice-versa? (One is here reminded of the Swiss "counter – current" principle).

The analysis attempted in this project, which will continue when the first results of the analysis of national overviews are fully commented upon by all partners, and, even more so, when the 50 or so case studies have been concluded, has shown, on one hand, a rich experimentation with structures, and, on the other, a broad range of policies and instruments largely influenced by the EU. One problem is that internal government restructuring and planning legislation are still dominated by national decisions, while policies, mainly because of the policies of EU Structural Funds, tend to converge, with inevitable variations due to old or recent EU membership, national administrative traditions and rigidities and fiscal difficulties. This dichotomy is a matter of concern and its resolution is of course dependent on negotiation and convergence at the highest level. But imposing models of structure and law is far more difficult than streamlining policies, the co-ordination of which is made easier when the funding carrot is used effectively.

The conclusion is that we still have a long way to go in terms of pinpointing differences and classifying successes and failures, good and bad practices, suitable and unsuitable solutions or models. We shall certainly return to this discussion in later stages of this project.

6. Governance trends

6.1 Official acceptance of governance concepts and principles

It would be possible to classify the 29 European countries reviewed in the project into three groups, in terms of official acceptance of governance concepts and principles. The categories can be the following:

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

It is not attempted here to place individual countries in one of these categories, at least not yet at this stage of the project. Nevertheless, we can sketch the profiles of the countries which belong to one or other category.

Official acceptance of governance concepts and principles is not necessarily the result of endorsement of the White Paper on European Governance. It is clear that certain countries, particularly those with a long history of consensus politics, participation practices and partnership arrangements and traditions, have embraced what we now acknowledge as governance and have incorporated its essence in their regular governmental processes. Although they may not have necessarily produced a clear statement of acceptance of the White Paper, governance in the current sense has been always present in their usual mode of tackling problems, territorial or not. It can happen in fact that some countries were already more advanced in some respects in the direction of governance.

The governments of certain countries, particularly those where the issue of governance has become the subject of debate, at national or even local level, have clearly stated their intention to proceed in this direction. But others which have not been so explicit in their intentions have introduced innovations in legislation or policy documents, which are in the same direction. Such innovations may cover a broad field and may range from legislation to secure transparency and effectiveness in public administration to strengthening participation processes in spatial planning. The absence of relevant past experience naturally makes the future of such innovations uncertain, but it can be argued that these innovations are testimony of positive acceptance of governance principles.

It is clear from the national overviews produced for the project that social and economic conditions are ripe for a more open acceptance of governance. More than that they generate pressures for more urgent measures to open the system of government to new directions, because the present situation tends to stifle initiative, create bottlenecks and suppress a general desire for change. In this context, the principles of governance, although in an often confused way, provide a promise, which remains to be fulfilled.

The conclusion is that, on the basis of the national overviews, a first category of countries can be distinguished, in which we observe active acceptance:

- ➢ Active acceptance in countries with
  - ▪ Long tradition of governance practices;

- No experience, but recent actual legislation encouraging governance;
- Clear and unequivocal acceptance by government authorities;
- Government system with important governance ingredients;
- Conditions, albeit diffuse, pressing urgently in governance directions.

Indirect, and perhaps grudging, acceptance can be detected, although this is difficult to prove, in countries which although not obviously identified with a system described by such catchwords as participation, consensus, decentralization, grassroots involvement and consultation at all levels, have nevertheless a successful government tradition and a good record of effective administration and planning. The very fact of their being a recognized model of government and planning may cause a certain reluctance to accept a novel approach, or some aspects of it, the advantages of which are seen as not necessarily superior to their existing long established system of government and territorial management.

Indirect acceptance in the above case is potentially the result of a successful record and hence of a guarded reception of innovations. It can be however the outcome of other more mixed and far less happy conditions. E.g. it can deduced from stated intentions, which although clear are nevertheless expressed in a less clear socio-political environment, characterized by transitoriness and fluidity. The reason why acceptance in these conditions must be qualified and labelled as "indirect" is the doubt whether the intentions of a government of the day are indeed embraced by a broad social, political and administrative spectrum. There is in other words a lingering concern that the gap between intentions and political realities is wide. In some circumstances the gap may be glaringly obvious, rather than suspected, e.g. when official acceptance is not limited to simple intentions, but is manifested in specific reforms, against a background of reaction which is embedded in the established system of administration and social practice. In this sense, official acceptance, even official action, is not a guarantee of change in the long run, at least not if the problem is not adequately addressed.

Therefore, the indications provided in the national overviews allow us to distinguish a second category of countries, where we observe indirect acceptance. In fact, this is an intermediate group in our classification:

- ➢ Indirect acceptance in countries with

  - Strong national traditions based on a long established and largely successful system ;
  - Positive intentions but fluid conditions of transition;
  - Clear official acceptance, but resistance built in the present socio-economic conditions.

The third category, which is marked by low acceptance, requires a prior comment. This has to do with the particular political conditions of some countries, in which governance practices can be relatively or even widely accepted and implemented in parts of the country concerned, but are virtually non existent at the national and / or inter-regional level, because of uneasy relations among constituent regional communities. This makes the validity of an overall judgement very questionable. Such conditions, which involve delicate balances and are not easily discussed, can be found at different rungs of the economic development ladder, since they are associated with historical roots, peculiar to

each country. The umbrella of the EU makes the problem less pressing, but the difficulty remains if one tries to classify countries as wholes.

This situation is made more intractable, hence the classification problem more difficult, if the inter-regional division is accompanied by serious delays in economic and / or social development in the country as a whole or, which is even worse, in particular regions. Given the dominant economic development priorities in such conditions, it comes as no surprise that governance is receiving no more than lip service, perhaps simply to maintain a European profile.

Factors which were mentioned in the previous category are present here too, but this time with far greater intensity. One is the danger that acceptance of governance principles remains on the surface and does not remotely affect the deep and critical layers of government and administration, where these principles may be an object of puzzlement or even scorn. The other is the strains of transition from past socio-economic, political and administrative conditions to a new mode of behaving and acting. Incidentally, it would be wrong to associate this problem, exclusively with former socialist countries, although it is undoubtedly strongly present in them.

Low degree of acceptance may also assume the form of indifference. In a variation of a theme already observed in the previous category, we can associate indifference with satisfaction with the present regime. This can be criticized as a disguised superiority complex, but it is natural to remain indifferent to innovations and ideas which are not expected to offer something really new or more promising than the *status quo*.

With these considerations in mind, which are based on the national overviews or the outcome of "reading between the lines", we can argue for a third category of countries:

> ➤ Low degree of acceptance in countries with

  ▪ Political problems at the national level, involving separate communities;
  ▪ Internal political and economic delaying factors;
  ▪ Low penetration of governance concept in official thinking;
  ▪ Indifference because of a satisfactory and successful *modus vivendi*;

Serious difficulties of transition from previous regime.

6.2 Changes in formal government in the direction of governance

The attempt to identify specific changes in formal government as a further proof of genuine acceptance of governance principles proved more difficult than anticipated, because of the broad variations of interpretation of what these changes consist of and whether they are worth reporting. A problem here, to which we return in another context, is the fact that changes which are a significant innovation in some countries can be commonplace practices in others.

The intention here was to group countries in three categories:

- Existence of specific reforms which are already implemented;
- Existence of intended reforms or of reforms under way;
- No initiatives so far.

The difficulty is to decide at which stage a reform is considered as already implemented or simply under way. Inevitably, the differences of making a judgement in this respect can produce awkward instances of co-habitation in the same category of countries with widely different traditions and tangible achievements.

A positive outcome of this analysis is the identification of the nature of these changes, regardless of their degree of effective implementation. This is interesting because it helps us understand the character of reforms, which respondents regard as changes in the direction of governance. A first category of changes concern the administration and its attitude towards the body of citizens, e.g.

- Innovations in the system of administration aiming at greater effectiveness and better quality of personnel;
- Innovations leading to greater transparency and citizen protection (e.g. institution of the Ombudsman), access to information etc.;
- Protection of human rights and personal data.

This is where it becomes obvious that territorial governance has to pass first through a stage of government reform, which is taken for granted in some countries, but is still a major challenge in others. We may have to ask the question here whether "better government" is a more immediate goal in some cases than "governance", of which better "government" is a precondition. Given than in several fields certain countries or regions are asked to move from one situation to the next by skipping intermediate stages of change, we may ponder the possibility that this may be what they are being asked to do in terms of governance. This is not simply a matter of increased difficulties they will have to overcome, but also a matter of entering the wrong path without the necessary safeguards or even of making choices which are either premature or poorly linked to their historical conditions.

A second category of changes reported in the national overview have to do with questions of devolution, reforms in the lower tiers of government and better organization at the national level to increase co-ordination and responsiveness to a broad range of stakeholders. Such changes are:

- Reforms of regional government and devolution of powers;
- Reforms towards strengthening local government, devolution of powers and enabling municipal co-operation;
- Creation of organs aiming at better co-ordination at the national level (advisory bodies, councils etc.);
- Innovations in the field of partnership creation, both horizontally and, even more so, vertically.

There seems to be a broad consensus that such changes are a positive step in the direction of governance. The argument seems to run as follows. Governance is about openness, sharing power, enablement of non-central actors to take decisions, subsidiarity and decentralization, in fact the opposite of what the traditional centralized, secretive and the more or less authoritarian national state represented. Hence, giving more powers to regions and local municipalities is a progressive step, combined with greater institutional capacity at the center to consult all stakeholders and take a more

strategic perspective. All this is of course encouraged by the EU. The result is, quite naturally, that decentralization reforms undertaken not necessarily with more democratic governance in mind, but rather to relieve the central government of tasks it could not possibly continue to shoulder, are interpreted as sufficient evidence of a change towards government.

What is of interest though, is that in some cases the problem seems to be the opposite, i.e. the inability at the center to control developments, to make decisions on a rising and increasingly complex number of issues of supra-local and supra-regional significance and to respond to globalization and competitiveness issues of national and European importance. Another governance principle, coherence, is of course at stake here. Accountability may be involved as well, because e.g. local authorities in absolute control of developments in their territory are not accountable to the national population. The point therefore to be made is that decentralization and devolution of powers which appears as a popular change, to be reported as evidence of progress towards governance, is by no means adequate.

The introduction of councils and committees which bring together a variety of stakeholders and which are often presented as forms of partnership may create a false impression. More should be known about the effectiveness and genuine character of co-ordination and co-operation involved.

In thematic terms, not surprisingly given the nature of the project, certain sectoral aspects appeared frequently among the changes achieved in individual countries in the direction of governance. These include:

- Environmental initiatives and creation of environmental agencies;
- Reorganization of spatial planning system and introduction of new instruments and agencies.

A point, which preoccupies us in other contexts too, is the question, whether simple streamlining initiatives and rationalizations of spatial planning processes are dressed up as novel governance approaches, or whether new systems are being introduced which may in fact turn out to be the rigid *status quo* of the future.

Finally, the point must be made that several cases of very recent reforms will be tested in the future and have not yet proven themselves.

6.3 Priority emphasis on governance objectives as indicated in national overviews

The majority of overviews did not examine separately and systematically, one by one, the individual governance objectives, given that there was no direct question in the guidelines. Reference to individual objectives is scarce and sporadic. Governance principles have been examined more or less in an aggregate way, as "governance objectives". This is partly because there is no set of criteria or indices to test adoption and actual implementation of each individual "governance imperative". However, there are also some other causal factors which give a better, more substantial explanation about why overviews avoided explicit reference to individual governance principles.

First of all there is often an ambiguity with respect to the meaning and content of each governance principle, at least in the context of the political terminology of those countries with a divergent political tradition. For instance, some overviews stressed clearly the fact that coherence is still not perceived in its proper dimension. Also, the terms proportionality and subsidiarity still seem to have a nebulous content in the framework of individual countries' political vocabulary, and this holds true despite the fact that these terms have been in use for long in EU legislation and documents.

Apart from the problems of vague or poorly understood terminology, sometimes certain governance principles look contradictory within the existing environment of public administration and political culture. Examples of such perceived inconsistencies within pairs of principles, at least in practice, are "openness and effectiveness" or "openness and accountability". Moreover, experience has provided evidence that sometimes decentralization clashes with vertical coordination.

The above semantic inconsistencies, ambiguities and contradictions indicate that governance principles should be re-considered in the light of European political cultures and structures. Governance does not and cannot have the same meaning across European space, at least not in the short run. This suggestion is confirmed by the fact that several countries made reference to other principles which are critical for the improvement and rationalization of their own structures and processes. Such suggested principles, diverging in a sense from those of the White Paper, are autonomy, appropriateness of structures for the responsibilities assigned to them, flexibility in inter-institutional relationships, streamlining of the bureaucracy etc.

Despite the fact that overviews avoided in general terms explicit reference to individual principles, there is still enough room for some observations. Public participation is the most emphasized issue. 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 the opportunity given for objection or appeal. It is obvious that these cases representing maximum and minimum participation are very far from one another. It should not escape notice that broad public participation can render procedures slow-moving and ineffective. Another issue, admittedly concerning only a few country cases (in particular some countries of the European South) is that certain features of the political culture may run against public participation and conflict resolution. This is the case for example of the trend towards political polarization where public opinion is shepherded by politicians to their own personal and/or political advantage.

Horizontal coordination has received the minimum of 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).

Effectiveness is generally acknowledged as the weak point. It has been mentioned that governance imperatives make the already unwieldy bureaucratic processes more and more ineffective. The path towards transparency and openness is already open in some countries, predominantly the Nordic ones, due to a strong relevant political tradition.

Minimal attention has also been given to the principles of coherence, subsidiarity and proportionality. Coherence is to some extent interconnected with vertical and horizontal coordination. 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.

From the above considerations some points are raised which are of critical importance:

- Absence of explicit reference in the national overviews to governance principles;
- Ambiguity and conceptual gaps in the content and meaning of governance principles;
- Interconnections and overlaps between principles create classification problems (e.g. transparency and accountability);
- Conflicts and inconsistencies between principles call for reconsideration and clarification;
- Participation receives special emphasis;
- Suspected wide variations between countries with regard to participation, from simple right to appeal to full involvement;
- Horizontal co-ordination is mentioned least of all, maybe because of inherent difficulties reported in the overviews;
- Coherence, subsidiarity and proportionality are rarely mentioned;
- Subsidiarity and proportionality require maturity of system;
- Effectiveness is a strongly emphasized issue ;
- Governance principles are promoted by some political traditions and subverted by others.

6.4 Internal variations (within a country) in terms of acceptance of governance reforms

This was not a question explicitly addressed in the guidelines of the national overviews, hence no direct responses were expected. However, the analysis of overviews produced interesting indications that the acceptance of governance reforms cannot be considered as uniform and universal in each country. Internal variations do exist because of regional, cultural, ethnic, historical or development differences. This is not surprising and of course cannot be overlooked, particularly if we think of future policy action to encourage governance practices. It was for this reason that in the synthesis of national overviews circulated to partners towards the end of February 2005 we included a section with a summary of findings gleaned from the overviews. We hope that now that the issue has been raised there will be responses from the project partners, which will enable us to carry a second round of synthesis. As this process is not completed, we can only present here some preliminary tentative conclusions.

As explained, the majority of overviews did not touch this subject. In addition to the lack of a direct question in the guidelines, this may be partly because such variations or differences cannot be documented easily and partly because, at least in most countries, the new governance agenda has not passed yet through a thorough public discussion and has not been subjected to the test of acceptance by both the public and the pre-existing political structures. In a few cases however, overviews speak about variations and

differences in the country under examination and in several others there is an indirect reference to relevant issues. Before we attempt some conclusions, it is worth referring to responses regarding particular countries, because we consider them of wider interest.

The first interesting contribution refers to Poland.

> "The regional differentiation of Poland in the domains of political culture and tradition is largely associated with the separate formal status of the Polish lands in the years 1815-1918, or even 1772-1945… The central and the eastern parts of the country…, the so-called Polish Kingdom, were an integral part of the Russian Empire (1815-1918). The western part of the territory traditionally inhabited by Polish population belonged at least between 1815 and 1918… to the Ist and IInd German *Reich*… The southern part of the country made in the period 1772-1918 a part of the Hapsburg Empire… The western and northern parts of Poland were settled by the Polish population only after World War II…"

> "This division had an enormous influence on the development of the regional differentiation of traditions and political culture. Hence, political divisions in Poland reflect to a high degree the regional differences. It can be said that the particular political currents are associated with the mentality formed in particular regions. In this connection, the politics of the particular administrations, depending upon their political composition, makes to some extent appear the tendencies characteristic for the political traditions of the particular regions".

The historical associations of Poland with Russia or the connections with Austria and Germany or the identification with the communist system are generating different visions, i.e. visions of individual political parties and population sections of modern Poland, about centralization, civil engagement, religious institutions, self government, independence of local communities, tradition etc. This creates inevitable divisions.

> "Another division is linked with the urban-rural divide. Thus, in towns higher interest in the nation-wide issues is observed (reflected, in particular, through higher attendance in the parliamentary elections). In the countryside there is a stronger involvement in local matters (higher turnout in the self-governmental elections). These local phenomena are strengthened or weakened by the regional tendencies. We can generally speak of two main tendencies: the civil and the centralist ones. Which of the two dominates in a given instance in the policies of the authorities is determined by the political composition of the administration. This kind of oscillations in tendencies shall most probably continue into the future".

A second important extract concerns Hungary.

> "Throughout the country a strong social polarization has taken place in the last 10-15 years. Besides a relatively thin high-income stratum (reaching the western European living standard), an ever-widening stratum now finds itself in a desperate position, where even the most basic needs can hardly be met. The depth and the extension of poverty in Hungary is difficult to document with statistical data, since the most vulnerable and poorest groups are likely to evade any kind of survey. In 2002, approximately one-third of all Hungarians lived on subsistence

level. They were the people who had been hit especially hard by the housing costs and surging utility prices growing rapidly from the beginning of the 1990s. Some studies have indicated that, in 2002, after paying all housing-related costs, about 400,000 families – approximately 1.1 million people – had 3,400 forints (14 euro) left per capita for all their other expenses…

The worst hit population is the Roma – the only ethnic minority present in substantial numbers in Hungary. The tension between the Roma and the non-Roma personifies one of the deepest frictions in Hungarian society. The strong anti-Roma feelings bring about a situation of clear-cut social exclusion… Their exact number is not clear; the census of 2001 found that 190,000 – 1.86 per cent[10] – of the Hungarian population had a Roma background, although experts estimate that, in reality, they make up 5-6 percent… They are clearly discriminated against in almost all instances of life… A positive sign however, is the apparent acknowledgement of the gravity of the problem from most parties of the whole political spectrum… As a symbolic gesture, during the European elections in June 2004 Roma politicians also appeared on party lists… A more pragmatic move however, was the setting up of a special office within the Ministry of Education to foster the integration of underprivileged and Roma children in 2002…"

Finally, of great interest for our analysis are remarks made with respect to France:

At a national level variations can be detected in terms of a difference between *centralisateurs* and *décentralisateurs*, the latter being considered as more open to governance types of method.

"At a regional level, Regions have different ways to deal with relations with infra-regional territories: from mainly bureaucratic approaches to real bargaining processes with local authorities. Finally, it can be considered that the capacity of each Region – both considered here as elected bodies and as State institutions (Prefecture of Regions, which has also an important role to play) to use fully and appropriately European funds is a good measure to asses its role in terms of mobilization of local resources. From that point view, this involvement in local development can vary from one region to another".

Differences of capacity "to mobilise regional and local institutions and people can also be partly linked to regional traditions of relative autonomous organizations (Alsace) or history of mobilisation for regional and local development, as in Britanny, in the post war period…"

We can now reach some indicative conclusions, as input to further analysis and discussion:

- Development standards and key spatial problems play certainly a role with respect to attitudes towards governance. Several overviews hint that peripheral, poorly urbanized areas, with small settlements situated at a great distance from urban centres are equally far from the new political imperatives. Such is the case of declining municipalities, with poor or underused social and technical

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[10] The census defines a person as Roma on the basis of self-declaration.

infrastructure, ageing population and obsolescent technical know-how. Having said this, we are aware that there may be contrary views and arguments. It is not necessarily true that urban populations and political structures are more ripe to accept governance practices, at least not much more than their rural counterparts. For instance, some overviews speak of a division with respect to governance attitudes that is strongly linked to the urban-rural culture divide. Their suggestion is that in the rural regions there is a strong sense of locality dominating the rural culture, while in towns and cities the interest focuses rather on international and nation-wide issues. This interest is reflected in the higher turnout of urban residents in parliamentary elections. It seems that the small scale of settlements and communities in the countryside contributes to a stronger spirit of locality and local culture. Therefore, there is a stronger involvement of the population in local matters and the rural regions exhibit a higher turnout in self-government elections.

- Key environmental problems may also prove an underlying cause of variations with respect to governance acceptance. Such problems call often for a multi-disciplinary approach and multi-level government policies, as long as these problems transect administrative boundaries. Broad consortia involving universities, research institutions, diverse professional associations and private stakeholder interests as well as multi-level government partnerships are already commonplace structures created to address and resolve environmental problems in affected territories.

- Variations arise also from the utilitarian position towards governance. Individual regions are "in need" of governance as a vehicle driving to very different goals and destinations (e.g. economic development, accessibility to EU funds, a broadened territorial and sectoral scope of local authority competences etc). This consideration of governance from a utilitarian point of view entails preferential attitudes vis-a-vis specific aspects of the notion at specific regions and territories. For instance, low level self-government authorities hang on to the decentralization principle, while higher level central authorities and public administration are concerned with effectiveness and coherence and try to resist the pressures for decentralization and the membership of local government in central state partnerships. Indicative is the example of UK government which while agreeing that the EU needs to reflect more fully the role and contribution of local and regional government is at the same time 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.

- Political ideology is also a generating cause of variations. In France the basic dividing line is among the adherents and opponents of centralization or decentralization. On the other hand the Polish overview –as a representative example of former socialist countries- refers to two main tendencies in the country: The adherents of the predominance of civil society and the adherents of statism.

- It should not escape attention that regions and territories experiencing tensions between the majority population and minorities are faced with additional difficulties on the way towards governance. An indicative example is the tension between the Roma and non-Roma populations that represents one of the deepest frictions in Hungarian society. The strong anti-Roma feelings bring about a

situation of clear-cut social exclusion and a serious obstacle in the way of governance.

- Finally historical conditions and differences with respect to political tradition dictate different attitudes. Poland for example experiences variations between regions which in the past were parts of different empires (Russian Empire, Hapsburg Empire etc).

We can summarize our preliminary findings in the following points:

- Differentiations in terms of acceptance of governance are difficult to detect;
- Governance debate and incorporation is in early stages to appear as a differentiating factor;
- Certain variations can be detected even at this stage;
- Certain regions need governance to bolster their capacity to bid for funds;
- Certain regions or authorities need governance in their struggle for higher status;
- Ideologies and political attitudes may differentiate acceptance of governance;
- Historical conditions may dictate different attitudes;
- Urban – rural dichotomies are also a differentiating factor;
- Ethnic / religious factors certainly play a role but are not recorded;
- Fear of consequences and structural rigidities are also important in differentiating communities.

6.5 First assessment on governance trends:

6.5.1 Factors operating in favour of adoption of governance approaches

The alternative likely factors which have a favourable impact on the introduction of governance approaches, which we identified in our analysis were mainly the following:

- 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).

It is clear that all these factors, especially the first, have played an important role in many countries. Undoubtedly the most important factor to encourage the adoption of governance approaches has been the policies of the European Union. The White Paper on European Governance did not always have a direct impact, but in countries where it was actively discussed it did. As mentioned in the British overview, "in recent years the UK government has gradually integrated what might be called governance concepts into its practice. This can be seen from its response to the White Paper on European Governance …, which was generally positive. Much of these reforms are related to the government's concern with promoting 'joined-up thinking' ''. In other countries, the influence was mediated in other ways. E.g. in Romania, as indicated in the national overview, the implementation of the pre-accession instrument has played a significant role in the spread of governance principles, in particular at local level. In the Greek overview it is stressed that 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.

In some cases however, probably where there is already a local "governance" culture, the influence of the EU is having a mixed response. The Finnish position was that although "the Finnish governance system has been modified and adjusted largely based on the European Regional Policy model of the Structural Funds", at the same time, as it transpired in a particular project, "the debates and attitudes towards reform processes within regional governance reflect mainly national concerns and processes and it was … argued by the policy makers … that the sources of governance reforms have in most cases been domestic and endogenous rather than exogenous". The writers of the overview emphasize that "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 than inspired by European debates… The EU Structural Funds policies on the other hand 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 by their management structures. An often referred to problem here is also the problem of difficulty in promoting cross-regional co-operation: the SF 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".

Therefore the first points emerging from the analysis are:

- EU and European integration as dominant innovative factors;
- Effect in particular of Structural Funds, but with some reservations regarding an excessively sectoral approach and the danger of a bureaucratic approach.

The effect of the EU, in the case of former socialist countries, is related to to the need to overcome the heritage of the previous political regime. E.g. in the Bulgarian overview it is pointed out 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. It imposes the need of strengthening and development of the framework with respect to the applied policy, the programming and management capacity of the public administration in Bulgaria and of the judicial system, so that the country can be in a position to introduce and apply the EU legislation. In the report about Hungary, the EU impact is discussed with reference to the example of the production of the National Development Plan. According to the overview the EU is triggering some responses through the Structural Funds and other policies however these have so far limited results, raising scepticism. The preparation of the National Development Plan places emphasis on partnership approach. What casts a shadow in this overall positive picture is the relatively common opinion that participation in this process remains rather formalised and that the strict adherence to EU regulations does not necessary mean that the innovative ideas are incorporated into the National Development Plan itself.

A further point which emerges from the overviews is that the problem of making a successful transition from a political past, often marked by authoritarian regimes, is not limited to former socialist countries. In addition to that, the pursuit of governance is not seen simply as a political recipe to enter a new stage of political organization. It is also seen, perhaps optimistically, as an essential step towards breaking out of a stagnant mode of economic organization and thus escaping economic backwardness. This "breaking out" of the old mould is associated with the coming of age of a new elite or a new class of actors, who strive to replace the old bureaucratic elite of outgoing regimes. Thus four more points can be made, with respect to factors influencing the drive towards a new model of governance:

- Internal political conditions, following collapse of socialist regimes and / or authoritarian governments;
- Internal progressive political initiatives and pressures of a new elite;
- Hope of overcoming backwardness through better governance;
- Stagnation of economies and pressures of competitiveness.

The last factor is not of course limited to countries which are considered as lagging behind in terms of economic development. In prosperous countries too the role of economic pressures is acknowledged as an important factor. This is e.g. the case of Germany in the overview of which reference is made to internal economic pressures resulting from the unification of the country and a frustrating economic situation. The economic crisis is often of a more complex nature. The French report refers to the ideological, economic and financial crisis of the 1970s and 80s and admits that the decentralization process, which dates back to the early 1980s, was the most important development in favour of the indirect adoption of governance approaches, mostly through the contractual procedures.

The introduction of governance approaches is facilitated, or maybe considered as something already familiar and routinely practiced, in countries with a governance culture. We mentioned already the example of Finland. In Nordic countries in general there is long tradition of association, membership of organizations and co-operation with the authorities. As the writers of the Norwegian overview put it, "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."

It is obvious that a critical factor is the existence of:

- Long traditions of "working together" and citizens' participation.

Finally, it is worth mentioning that awareness of particular problems, specially environmental, creates a precondition for adopting attitudes and approaches which are the essence of governance. It is not without significance that in the overview of Ireland it is mentioned that 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. In a similar vein, the point is made in the overview of Cyprus as well: "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".

Therefore, we can conlude that a common important factor is the:

- Realization of environmental problems and of the need for concerted action.

6.5.2 Criticisms regarding the lack of progress towards governance and / or the weaknesses of the present situation

A number of points of criticism regarding the lack of progress towards governance, emerge from a reading of the national overviews, e.g.

- There exist serious mismatches between the existing institutional and administrative context and the dictates of governance. One example is the current compartmentalized administrative structure and the respective territorial organization, which perpetuate exactly this pattern of fragmented competences. Working across administrative lines as governance dictates presupposes the weakening or elimination of these dividing lines, i.e. presupposes radical administrative reforms;
- Devolution of powers and competences does not keep pace with the transfer of resources, hence competences remain illusory;
- The involvement of non-elected bodies and agencies in decision-making is often considered, and may in fact be, illegitimate interference; this involvement might also raise suspicions of unfair competition and/or struggle for power;
- Partnership mechanisms involving the private sector might compromise common good objectives and interests to the advantage of private interests;
- Devolution of planning powers to lower government levels entails compromising the added value of strategic plans aiming at an integrated vision of territorial planning;
- Practical methods and tools for consultation are frequently missing; also missing may be new spatial planning instruments to bridge gaps owing to different terminologies of individual policy sectors, different methods and processes, different spatial and time references;
- The corpus of education and knowledge of public officials, politicians and even the general public is inadequate.

It is clear that the bulk of the criticism of the current situation is turned against the performance of the system of administration. Such criticism refers to the:

- Persistence of a traditional *modus operandi* in the administration, often inspite of a new legal framework;
- Extremely slow progress of reform;
- Incompatibility between old and immutable structures and new governance aims;
- Ineffectiveness of administration;
- Mentality of administration personnel;
- Bureaucratization and complexity of procedures, even because of EU policies, which are being accused of introducing unecessarily complex procedures;

- Inadequate attention to NGOs and citizen groups.

These are remarks of a general nature. Sometimes though, criticism becomes specific, in the sense that it concentrates at the local level. Of interest therefore are critical points like the following:

- Poor progress at the level of local authorities, low level of plan making activity and weak spatial and land use planning, a point which may in fact imply a criticism from a non-governance perspective, in the sense that it demands more old-style planning;
- Loss of powers at the local level, a complaint related to the atypical condition in some countries, where strong local powers have been withdrawn; this naturally shows once again the discrepancies in the stage of development between the countries represented in the project;
- Incompatibility of territorial jurisdictions of different government functions, already mentioned above;
- Excessive local power, consequent loss of the strategic dimension, and power struggle between local and national levels, a situation which is stressed elsewhere too in this report, which shows how in the current circumstances we witness opposing tendencies and forces.

Related to the last point are two more criticisms, which are worth reporting here:

- Lack of progress towards governance at the national level because of inter-community problems, a problem we touch upon elsewhere as well;
- Weakness of central government (at federal level).

This tug-of-war between national and local is a recurring theme, a most important one in any discussion about governance. Siding with the "national" or the "local" without a deep understanding of the issues involved is obviously a crude over-simplification of the situation.

6.6 First conclusions

6.6.1 Conditions leading to shifts towards governance

To a considerable extent the examination of these conditions duplicates the analysis we presented earlier in this chapter on the factors operating in favour of adoption of governance approaches (see 6.5).

The first conclusion is the role of the EU as the dominant influence. The EU has created, in a variety of ways, the conditions which trigger shifts towards governance. In the words of the Greek overview: "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". In Latvia too, governance principles as a result of the influence of EU programmes and policies are recognized and accepted in national documents and guidelines. Finally, according to

the Italian national overview, 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.

We can therefore identify the first important conditions leading to shifts towards governance:

- Overwhelming importance of the EU as providing the key conditions;
- EU Structural Fund reform as a specific decisive factor

As we pointed out earlier, some countries have enjoyed for long a tradition of co-operation and participation, which facilitates the incorporation of governance innovations. In Sweden, associations and federations of local authorities and county councils, arising from merger of former ones with more limited scope and competence, constitute commonplace efforts and forms of co-operation. Germany has had for long 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. Another good example is the Netherlands. According to its national 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, which, as long as since the 16th century and in fact the instalment of the first water boards…, for their maintenance required the involvement and mutual agreement between many stakeholders. Hence, 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…"

We are right therefore in concluding that a condition of great importance is the:

- Existing domestic traditions in the spirit of governance, long before it was advanced as a new concept.

Economic conditions, the effects of globalization and official economic development objectives are also essential conditions. A point made in the Finnish report is that 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. As stressed in the overview of Lithuania, the political and social changes, changes in the market economy and in private land ownership have transformed the economic basis of the country's cities. A completely new economic, social and legal environment for urban planning and development has been created. The values perceived by individuals and society, as well as lifestyles, have been changing. The report on Poland reiterates 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.

Of relevance is also this extract from the overview of the Czech Republic: "The post-1989 urban and regional spatial change in the Czech Republic has been conditioned by the government-led reforms aimed at the establishment of a capitalist system based on pluralist democracy and the market economy, and at the integration into international political and economic systems. The establishment of market principles of resource allocation and growing exposure to the international economy constituted the basic preconditions for the development of spontaneous market-led transformation of the economic, social, and cultural environment. The most important were internationalization and globalization, public policies favouring unregulated market development, economic restructuring in terms of deindustrialization and the growth of producer services, and increasing social differentiation".

These remarks underline the importance of the following conditions:

- Pressures of internationalization and globalization;
- Quest for "modernization" and integration in world capitalist model;
- Governance perceived as a "path to economic development".

Another important condition is the perception that internal integration is a goal of national significance. With respect to Latvia, we find in the respective overview remarks that indicate that 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. We have also stressed already the significance of transformation away from the conditions of a prior political regime as a motive for pursuing innovations in government and planning, a motive not limited to former socialist countries. With respect to Portugal, the respective overview refers to the political and administrative decentralization process triggered by the revolution of 1974 which allowed local planning and building capacity practices to develop. The laying of the foundations for a mature pluralistic system, the overview continues, resulted in the development of better planning practices, particularly by extending welfare and social services throughout the country and stimulating some bottom - up approaches.

We can therefore identify two more important conditions, namely the

- Internal pressures for greater integration and identity building at the national level;
- Transition from the stagnation of past political regimes.

The problems associated with the inefficiency of the administrative system and with the lack of transparency and co-operation with the citizens are also generating conditions for the emergence of pressures for better governance. Frustration with the inefficiency and mentality of the administration is repeatedly expressed with reference to some Mediterranean countries. As mentioned in the Greek overview: "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". The resulting conditions are:

- Indignation with inefficiency and corruption of government;
- Effect of citizen emancipation and emergence of citizens' movements.

Finally, the technological revolution of the last 20-25 years has created totally novel conditions which make possible a new awareness of governance. According to the overview on Greece, "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".

6.6.2 Factors which act as obstacles to progress towards governance

The factors acting as obstacles to progress towards governance seem to differ across the EU territory. These factors are shaped according to the particularities of the political / administrative and cultural background of the country under consideration as well as to the respective development status. Consequently:

- There are overviews addressing historical nationality divisions and cultural segregations as barriers to governance (e.g. Belgium).

- Certain overviews (basically those of the former socialist countries) view old public administration structures, built to serve centrally planned economies, as incapable of adapting to the new governance philosophy and to the rationale of a customer-oriented structure. Reforms and transition to the new regime are not easy processes, because they are impeded in certain cases by a lack of transparency in administrative practice and by political lobbying, for purposes of winning electoral support. The Romanian overview emphasizes that good governance principles do not exactly match traditional Romanian political and organizational culture which includes persistent visions of hierarchies and authority, mostly strongly personalized. 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.

- In another group of countries (especially among those belonging to the Mediterranean group) we come across problems of mutual distrust between the state, local governments and the citizens as well as hostility against spatial planning and disobedience of relevant rules and regulations. Several overviews of Mediterranean countries state that the respective societies see the institutionalization of physical planning as a reaction and a barrier to the exploitation of land…Development in these countries is still viewed purely in economic terms and thus the ends (profit, employment, more up-scale tourists) justify the means (destruction of national patrimony of land and historical monuments, environmental degradation). In these cases spatial policies are not respected even by those stakeholders who took part in the consultation process and provided input to the plan. These conditions might act either against or in favour of governance. The latter case is explained by the fact that sometimes these situations give rise to the birth of citizens' movements, usually

active in the field of environmental protection. On the one hand civil society organizations and local authorities (LAs)are inclined to build partnerships as a means to fend off unpopular policies and try to take in their hands future rules for development control. "Opposition governance" structures have already been mentioned as a way to resist unwelcome and unpopular spatial policies. On the other hand these same conditions render horizontal and vertical cooperation attempts, those involving central state agencies, LAs and civil society organizations, unsuccessful, at least in terms of implementation.

- Quite a few overviews address power antagonisms and competition between political parties, central and local governments, administration departments as well as territorial authorities struggling for and against autonomy as obstacles in the way of governance. The overview of Greece states that co-operation between departments, authorities and tiers of government in relation to the production and implementation of planning instruments is undermined by the fragmented, piecemeal or overlapping responsibilities and the multiplicity of policy actors / agencies involved. Difficulties of co-operation are made worse because individual policy agencies often tend towards introversion, when they view only their own narrow policy domain. Professional monopolies and barriers and dubious expectations hamper co-operation and mutual understanding, in particular, among spatial planning and agencies or services responsible for the protection of natural and human environment (e.g. Forestry Service).

- Several overviews raised the issues of administrative bureaucracy, of the complexity of governance arrangements within current political / administrative contexts, of the "uninformatized" and immature societies and the out of date education of public officials with regard to the new rational communication doctrine in policy making. According to the overview of Greece long chains of multiple consultations and co-decisions required prior to the approval of plans cause problems of delay and result in outdated plans. Such chains have been further lengthened after the institution of prefectural self-government authorities. Moreover, as the authorities consulted in the process are frequently controlled and patronized by political parties of conflicting ideologies, there clearly exists the risk of deliberate obstruction for party political reasons. Hence, there is a growing awareness of the need to make local communities accountable for their own decisions, to shorten approval procedures and relieve central and local government agencies from overloads of objections, consultation procedures and advisory reports.

- Distorted governance mentioned by several authors calls for comments and attention. Alliances of powerful interests may lead to the creation of conditions of political and economic oligarchy. As a result, financially fragile agencies (such as LAs) may find themselves outmaneuvered. Moreover the term governance seems to embrace as an overarching umbrella mutually contradictory procedures and practices. Therefore it is not strange that some governance requests seem to counteract others. For instance, decentralization and devolution of competences may cause marginalization of processes of cooperation and mutual understanding.

In sum the major points addressed regarding obstacles in the way to governance are the following:
- Wide variations among countries;

- National divisions and nationality / ethnic origin divisions;
- Resistance of administration apparatus accustomed to style of centrally planned economies;
- Resistance of administration in countries with overinflated central government machinery;
- Traditional "client-oriented" political culture;
- Citizen hostility towards the state and mutual mistrust;
- Distorted governance serving private interests;
- Economic crisis and shortage of resources;
- Contradictions of governance objectives (e.g. coherence and decentralization).

6.6.3 General comment regarding the policy sectors in which the pursuit of governance principles and practices seems to be more promising or otherwise

According to the answers provided in the national overviews all policy domains incorporating the spatial planning component are favourable to governance practices: Regional economic development, spatial development, environmental protection, infrastructure policies, urban regeneration, protection of cultural heritage, risk management policies, 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.

Each of the above policy domains seems to take advantage of the specific governance aspects akin to its own profile. Some of them focus on problems which are likely to involve a variety of stakeholders, others involve specific social groups without the participation of which it is impossible to put policies into effect and there are several others requiring scientific work of a multi-disciplinary character and of great complexity, calling for the contribution of different specialists and the academic community. Furthermore, large scale projects and public works usually transcend formal administrative boundaries and have serious impacts on several jurisdiction territories. In detail, infrastructure policies need governance both to maximize the advantage of enhanced possibilities for public-private partnership and to secure the consent of affected local authorities. Implementation of urban regeneration plans presumes agreements between the involved landowners, the investors and the local authorities concerned. Environmental and heritage protection policies are focused on the dilemma and debate between the holders of spatial development interests on the one hand and ecologists on the other or generally those putting a high priority to environmental values. It is for this reason that environmental policy-makers often seek the support of public fora and conflict resolution processes. These processes are of paramount importance in Malta for instance, which suffers from high population density, a tendency for people to own their houses and a tourism sector that dominates substantial part of the coastal zone areas. Land space in Malta is a very rare commodity and in the absence of a proper planning framework, pressure groups such as Nature Trust and the Greens resorted to support from their international counterparts to create and raise public awareness. Malta's urban sprawl has increased to encompass more and more virgin land, leading to public outcries and protests.

The former socialist countries seem to adopt governance practices in the fields of administrative reform / decentralization and that of regional economic development. It is particularly interesting that these countries seem ready to employ governance practices at the highest possible level, i.e. the national level, and for large scale policies, i.e. policies covering the whole national territory. It seems that governance tools and processes are appropriate for image building of the new States and consolidation of their power.

Natural hazards and post disaster relief and rehabilitation is also a policy-domain offering itself as a fertile field of action towards governance. This is because disasters enhance solidarity within the affected community and guarantee greater success of the potential conflict resolution efforts. The area of ethnic community relations is another policy field where governance is most likely to prove helpful and it is not by chance that the Cyprus overview places emphasis on this matter.

Governance methods are a promising path towards effective implementation, a point worth stressing. They seem to meet better than traditional practices the challenge of implementation, which has always been the most sensitive and tough task of the planning cycle.

Hence, sectors favouring and / or requiring governance approaches are as follows:

- Administrative reform / decentralization;
- Regional economic development;
- Spatial development;
- Environmental protection;
- Infrastructure development;
- Urban regeneration;
- Protection of cultural heritage;
- Risk management;
- Health and social policy;
- Social "inclusion".

6.7 Final remarks

If there is one image that emerges from the preceding analysis, and in fact from the synthesis of national overviews, is that the "governance landscape" of the countries reviewed is far from uniform. This should not come as a surprise, given the diversity of national situations. In fact, as we indicated earlier, we should rather speak of regional diversity. We can no doubt refer to the obvious dividing lines between e.g. old and neo-capitalist (former socialist) states or between European North and European South, but there is a lot more which escapes these simple divisions.

Governance, as a new mode of thinking and acting, seems to be universally accepted, at least at the level of national governments. But, in a large number of countries, it is far from clear to what extent this acceptance is consciously shared by all government levels and agencies and by civil society or is merely surface-deep. This doubt concerns particularly spatial planning processes. In other respects, which concern more broadly the functioning of the administration and its contact with the citizens, we can be more

confident that at least some important innovations have been introduced virtually everywhere. A question is, to achieve what? I.e. what objectives which can be described as an essential feature of governance? This is where it is apparent that there is a lot to be desired and a lot to do in the future. The undoubted impact of the European Union, which is universally acknowledged as a key influence, is producing confused results and it is not clear what principles of governance are in fact being promoted. The reasons are not the same in all countries. In some cases, i.e. in countries with a successful record of coordination, co-operation and participation, EU governance principles and objectives overlap with domestic practices or are perceived as complementary, even perhaps in some cases as unnecessary interference. In other countries, they are often inadequately understood or considered as of low priority or even resented. A major effort is needed here to make certain that these principles reach all administration layers and the body of citizens.

The need to popularize governance principles and policies is not a matter of national governments only. It is essential to adjust them to national, regional, even local conditions. It is also important to make effective use of existing traditions and experiments. The role of citizens' associations and NGOs may be critical. It is also important to disengage governance from purely fund-hunting and power-seeking motives. This does not mean that some utilitarian factors which we identified as favouring the pursuit of governance should not be built upon, such as the effort to improve economic competitiveness and administrative efficiency, to strengthen lower levels of government and to balance regional development. But it also means that the rise of a more active citizen movement must be encouraged and the highjacking of co-operation and partnership formation by private interests should be resisted. Otherwise the encouraging trends which we were able to observe will be compromised and degenerate into new forms of institutionalized rigid structures. Governance should not be seen as purely a matter of economic efficiency and global competition.

It can be argued that the present climate of state – citizen relations favours governance reforms. Criticisms of the present conditions focus overwhelmingly on the inefficiencies of formal administration structures, especially in less developed South European or former socialist countries, a reflection of citizen displeasure with the State. But the State has come under sustained criticism in developed countries too. However, we have to wonder whether the real issue is simply to neutralize traditional state structures or rather to enhance their real potential, in the context of a more open society.

In this context, one issue of great importance is the attainment of a good balance between supra-national (i.e. EU), national, regional and local. There is evidence, at least as we were able to diagnose, that in some cases the present balance is not a happy one, not only, as it is often assumed, because there is inadequate decentralization, but sometimes because the pendulum has swung excessively in favour of decentralization. This is an example of the fact that the single-minded pursuit of what are popularly perceived as governance objectives should be tempered by other considerations of a more old-style, rational nature. More selective focusing on sectors where governance can clearly yield promising results may be an advisable policy. Several such sectors have been identified in our analysis, which in a number of cases have the added advantage that the mobilization of citizens and the formation of partnerships may be particularly effective.

7. TOOLS AND PRACTICES FOR TERRITORIAL GOVERNANCE

7.1 Costs and benefits of policy coordination

Surveying a range of literature, Alter and Hage (1993) summarise the costs and benefits (also referring to them as risks and motivators) of network co-operation between firms and organisations in a 'calculus of inter-organisational co-operation' (Table 7.1). The Cabinet Office (2000) recognises several potential costs and benefits of cross-cutting interventions (Table 7.2). Compared to the overview by Alter and Hage, these are more oriented towards the practice of co-operation and policy-making. Interestingly, the same document gives some insight into reasons why effective cross-sectoral working is often inhibited. These reasons mainly relate to the organisational structure and, to a lesser extent, cultural reasons. The Cabinet Office report notes that although the conventional vertical structure of local government (based on a functional organisation of responsibilities) has its advantages, it also often inhibits effective inter-sectoral working and policy integration.[11]

Table 7.1: Costs and benefits of inter-organisational collaboration

Costs	Benefits
• Loss of technological superiority; risk of losing competitive position	• Opportunities to learn and to adapt, develop competencies, or jointly develop new products
• Loss of resources – time, money, information, raw material, legitimacy, status	• Gain of resources – time, money, information, raw material, legitimacy, status
• Being linked with failure; sharing the costs of failing such as loss of reputation, status, and financial position	• Sharing the cost of product development and associated risks, risks associated with commercial acceptance, and risks associated with size of market share
• Loss of autonomy and ability to unilaterally control outcomes; goal displacement; loss of control	• Gain of influence over domain; ability to penetrate new markets; competitive positioning and access to foreign markets; need for global products
• Loss of stability, certainty, and known time-tested technology; feelings of dislocation	• Ability to manage uncertainty, solve invisible and complex problems; ability to specialise or diversify; ability to fend off competitors
• Conflict over domain, goals, methods	• Gain of mutual support, group synergy, and harmonious working relationships
• Delays in solution due to problems in co-ordination	• Rapid responses to changing market demands; less delay in use of new technologies
• Government intrusion, regulation and so on	• Gaining acceptance from foreign governments for participation in country

Adapted from Alter and Hage, 1993.

This conventional structure may, for example, sometimes lead to policy-makers taking a narrow perspective on policy and focusing on departmental aims rather than the overall goals of the organisation or the end-users of services. They may also lead to weak or perverse incentives for policy co-ordination. Other barriers include a lack of management mechanisms for policy integration and professional and/or departmental culture (Box 7.1).

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[11] The vertical management structure of local government is effective in delivering many local government policies and priorities, and of course has its advantages: (i) it provides a single, clear line of accountability; and (ii) it is effective at keeping tight control over scarce resources and ensuring those resources are used efficiently and effectively.

Table 7.2: Potential benefits and costs of policy co-ordination as seen by policy-makers

Costs	Benefits
• Less clear lines of accountability for policy and service delivery • Greater difficulty in measuring effectiveness and impact, because of the need to develop and maintain more sophisticated performance measurement systems • Direct and opportunity costs of management and staff time spent establishing and sustaining cross-cutting working arrangements	• Helping to convey the 'big picture' for strategic issues • Helping to realise synergies and maximise effectiveness of policy and/or service delivery • Exploiting economies of scale • Improving customer/client focus and thus the quality and user friendliness of services • Providing a framework for resolving potential conflicts and making trade-offs • Improving service delivery for particular groups

Source: Cabinet Office, 2000.

A 1996 OECD report presents a number of tools to increase policy coherence (OECD, 1996). Tools of coherence are organisational concepts which, translated into structures, processes and methods of work, have helped bring greater policy consistency in governments from different political and administrative traditions. They concern the *process* of policy-making, not the *substance* of policies. While the focus is on recommendations for the centre of government, a wider set of concerns is addressed. A number of commonalities in organisational concepts that have been developed to manage coherent policy-making are presented. They include the following rather broad recommendations (OECD, 1996:41-42):

- Commitment by the political leadership is a necessary precondition to coherence, and a tool to enhance it
- Establishing a strategic policy framework helps to ensure that individual policies are consistent with the government's goals and priorities
- The existence of a central overview and co-ordination capacity is essential to ensure horizontal consistency among policies
- Decision-makers need advice based on a clear definition and good analysis of issues, with explicit indications of possible inconsistencies
- Mechanisms to anticipate, detect and resolve policy conflicts early in the process help identify inconsistencies and reduce incoherence
- The decision-making process must be organised to achieve an effective reconciliation between policy priorities and budgetary imperatives
- Implementation procedures and monitoring mechanisms must be designed to ensure that policies can be adjusted in the light of progress, new information, and changing circumstances
- An administrative culture that promotes cross-sectoral co-operation and a systematic dialogue between policy communities contributes to the strengthening of policy coherence

In an analysis of what dimensions of activities are taking place under the banner of joined-up government in Britain, Ling (2002:626) identifies four ways of achieving more integrated policy in practice:

- defining new types of organisation (e.g. culture and values, information and training)
- defining new accountabilities and incentives (e.g. shared outcome targets and performance measures)

- defining new ways of delivering services (e.g. joint consultation and involvement)
- defining new ways of working across organisations (e.g. shared leadership, pooled budgets, merged structures and joint teams)

Box 7.1: Examples of barriers to coordination between professions and departments

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Narrow perspectives
- policy-makers can fail to look at things from the perspective of the overall goals of the organisation or the end-user of services
- departments may be over-prescriptive in specifying the means of delivery which may conflict with objectives set by other departments

Weak or perverse incentives
- high-profile initiatives often receive more recognition than lower-key contributions to corporate goals, even where lower-key contributions have as much impact as high-profile initiatives
- current incentive structures encourage more interest in what an individual department contributes to a corporate goal, rather than what the whole organisation contributes to the goal
- there is little or no reward, either in financial terms or in terms of enhanced status or career prospects, for helping someone else to achieve their objectives: conventional public sector pay and appraisal systems are generally not very good at recognising or rewarding a contribution to a team effort, especially to a team effort which will deliver another department's objectives
- recognition tends to be given to individuals skilled in perceptive policy analysis, not to those who make it easier for others to achieve their objectives
- there is often a reluctance to promote inter-sectoral working because it involves complex relationships and lines of accountability, which means they can be risky, or at least difficult to manage
- inter-sectoral working can mean significant costs falling on one budget while the benefits accrue to another, which discourages a corporate approach
- the skills required for successful inter-sectoral working are different from those required to promote a departmental brief but the lack of incentives for inter-sectoral working (above) inhibits individuals and organisations from developing these skills

Lack of management mechanisms
- current mechanisms for sorting out inconsistencies and conflicts between different departments' objectives and priorities are sometimes not effective enough to avoid conflicting messages being passed down from different departments to service providers
- mechanisms for reconciling conflicting priorities between sections can be weak
- appraisal systems are often incapable of identifying and rewarding a contribution to a successful inter-sectoral project, which reduce the incentive to work together effectively

Professional and departmental culture
- departments (and sections within them) tend to defend their budgets, which are generally allocated on a departmental or sectional basis, rather than to policies or functions, even where these straddle sectoral boundaries
- departmental objectives often take priority over corporate goals

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Based on Cabinet Office, 2000.

A number of specific problems arising from inadequate policy integration can be identified in the context of territorial or spatial policy in Europe:

- Outcomes run counter to policy aims in cases where policies are fragmented, incoherent (or even in contradiction). For example, most of the support for foreign direct investments is in greenfield locations, whilst the National Environmental

Policy states that development should be directed towards inner city revitalization and the restriction of sprawl outside cities.

- Practice is not consistent with policy – there is often a wide gap between sectoral aims or objectives and the outcomes of development.
- Disputes or delays in policy-making, especially where there is a lack of horizontal integration
- Higher costs of policy implementation
- Uncertainty in the development process can lead to a standstill in development
- Difficulties in coordinating large groups of actors in the process, especially when they have different goals. The collaborative drafting processes for regional plans and programmes in Finland are based on partnership and the participation of a broad range of actors, which is not easy to co-ordinate as sectoral issues are discussed and planned in separate thematically-based working groups which each draft their plans quite independently.
- Legal and governmental arrangements favour a sectoral approach to policy-making and implementation rather than an integrated approach.
- Policy coordination has profound resource implications. This became apparent in the Netherlands in the 1980s when every department developed policy documents regarding their respective responsibilities in the field of the planning and the system became overburdened with coordination activities
- The burden of coordination works counter-productively in some cases: the involvement of many actors blurs competency and responsibility structures and it becomes increasingly difficult to organize win-win situations for all actors
- Responsibilities for one issue are fragmented horizontally or vertically and competency and accountability is blurred. For example regions are legally defined as the main institution responsible for spatial planning in France but the state is asking local authorities to play an increasing role in spatial planning, which makes lines of responsibility and decision-making more complex. In the UK, waste management is subject to a fragmentation of responsibilities between government departments responsible for environment, trade and industry, and planning with the consequence of a disjointed approach: the environment department has lead responsibility for waste disposal, whilst the department of trade and industry is responsible for producer responsibility and the planning ministry is responsible for local government and land-use planning matters.
- Lack of common regional definitions or divisions in policy-making or programming hinder policy integration and lead to policy inconsistency. Sectoral ministries in some countries use regional sub-divisions that are not coincident with spatial planning regions. Institutions do not always share the same geographical boundaries. The responsibilities and functions of institutions sometimes partly overlap with those of others. Both of these factors add to the complexity of policy integration. Horizontal cooperation is mainly voluntary, and jurisdictions will only choose to become involved if this has an advantage for them. High transaction costs and political ambitions may prevent intergovernmental agreement, even if all participants would potentially benefit. The frequent reluctance or outright refusal of jurisdictions to co-operate reflects the difficulties in providing public services across political borders.
- Inadequate policy integration results in resource wastage and a lack of synergies
- Democratic accountability. Horizontal collaboration usually means a transfer of responsibility from a government to a new intergovernmental body or special

agency. Citizens would no longer be in direct control over the provision of public services: more steps lie between the citizen and the provider of services. Given that the delegates of many intergovernmental bodies are not publicly elected, there is less accountability. Over time, this entanglement of bodies with different legal backgrounds and territorial coverage leaves the citizen with little influence on local and regional public services.

7.2 Approaches for horizontal and vertical cooperation and coordination

7.2.1   Horizontal and vertical government relationships

There is a quite great variety of existent relationships within the countries at vertical and horizontal level. Due to the factor of the relationship is not a tangible element is very difficult to classify those ones by close groups. Table refers to the degree of the relationships (positives or negatives) between different actors, at vertical and at horizontal levels. In any country the evolution in the implementation of the relationships has been considered negative.

Table 7.3: Attitudes related to relationships

	Vertical relationships	Horizontal relationships
Possitive attitudes or positive evolution of the attitudes	Belgium, Bulgaria, Estonia, France, Germany, Hungary, Ireland, Italy, Latvia, Norway, Portugal, Slovak Republic, Slovenia, Sweden, Switzerland	Bulgaria, Cyprus, Estonia, France, Germany, Hungary, Ireland, Italy, Latvia, The Netherlands, Portugal, Romania, Slovak Republic, Slovenia, Sweden, Switzerland
Weakness in the attitudes	Austria, Czech Republic, Greece, Luxembourg, United Kingdom	Austria, Belgium, Czech Republic, Finland, Greece,

As general comment some kind of relationships has been developed, but also must be improved. Having appointed the performance of each country with regard to its internal relationships, a classification has been elaborated. This classification rates the countries according with the causes of the status of the relationships (see Table 7.4). Therefore, five are the main causes obtained, three positives and two negatives.

Table 7.4: Causes of the status of the relationships

Causes	Countries
Established framework which allows good relationships at vertical and horizontal level	Estonia, France, Germany, Ireland, The Netherlands, Slovenia, Switzerland
Legislation	Cyprus, Hungary, Slovak Republic
Other soft forms in a good way to establish linkages	Bulgaria, Italy, Latvia, Malta, Norway, Portugal, Sweden
Problems of relationships between different government levels	Austria, Belgium, Czech Republic, Luxembourg, United Kingdom
Sectoral approach for policy system	Finland, Greece

For some countries there are not references to all levels of relationships. This is the case of Cyprus, Finland, The Netherlands, Romania, Luxembourg, Norway, United Kingdom and Malta. For the four first countries is only commented the horizontal relationships, for the three those follow is only commented the vertical ones, and for the latter not enough details are given. According to the report Austria, Czech Republic and Greece have a bad performance, specially criticized in latter. In the other hand there many countries where is considered there is having a good job in terms of establishment of relationships.

In order to see clearly the kinds of the relationships and their causes Table 7.4 would be observed. Countries are classified in five groups according to its performance with regard to the relationships. The first group gather the countries where exists an established framework which allows good relationships at vertical and horizontal levels. This is the case of Estonia (Ministry of Internal Affairs), France (DATAR), Germany (Conference of Ministers for Spatial Planning, Spatial Planning Advisory Council), Ireland (Interdepartmental Steering Committee), The Netherlands (National Spatial Planning Committee), Slovenia (National Agency for Regional Development) and Switzerland (Committee for Spatial Organization). Those frameworks play at horizontal and vertical levels but in the Netherlands, where only is referred to horizontal level. The second group includes countries in which laws, decrees or legislative provisions define the competences, the roles and the responsibilities of each actor. The third group, the last one which includes positive performances in the relationships, join diverse forms of establishment of linkages. These forms are quite particular in each country: *Territorial Pacts* (Italy), *consultation procedures* (Latvia), *personal contacts and networks* (Malta), *regional commissions* (Portugal), *Regional Growth Agreements* (Sweden), or others that simply consist on the involvement of a number of partners in the elaboration of plans (Bulgaria, Cyprus, Norway).

The causes of the negative of the relationships can be divided in two groups. Those ones in which the problems remain mainly in the relationships between different government levels and those in which the problem is the sectoral approach for policy system itself. In the first group are gathered countries as Austria or Belgium due to problems in the relationships between Länders and national communities. Czech Republic and United Kingdom have strong local governments and have not tradition in the relations between central and local authorities. Luxembourg has the handicap of its size and that the system of planning is centralised. In the second group Finland is making important efforts to improve its horizontal integration trough cross-sectoral policy programmes, but the system of governance is quite sectoral. Greece has a problem in the administrative structure that not allows a better coordination between the actors.

7.2.2 Cooperation between agencies, departments and authorities

As in the other sections, the classification of the cooperation between agencies, departments and authorities is very complex because of the different State models of each country, among other aspects. Territorial structures of some countries lack institutions at regional level and in other cases, the regional or local organizations have a degree of autonomy so high that there are difficulties to establish optimal channels of cooperation, (case of federal countries, symmetric and asymmetric, e.g. Austria or Belgium). According with available information from National Overviews countries are

gathered in Table 7.5 according to the forms through which the agencies, departments and authorities cooperates and they are related among them

Table 7.5: Forms of cooperation between agencies, departments and authorities

Types of cooperation	Examples of countries
Organisms that act as frameworks for the co-ordination of the relationships at different levels	Finland, Slovak Republic, Slovenia, Spain, United Kingdom
Cooperation only for making a plan or some plans	Czech Republic, Hungary, Portugal, Bulgaria
Encouraging by central governments to establish linkages between local and regional partners	Italy, the Netherlands, Norway
Cooperation trough associations	Poland, Switzerland
Other forms of cooperation	France, Sweden

The first group shows the countries where are present organisms or bodies that act like frameworks for the coordination of the relations at levels vertical and horizontal. To this group belong regional councils Finnish, the Office for Structural Policy and Regional Development in Slovenia (it continues the work of the National for Agency Regional Development), and the Regional Government Offices in United Kingdom. In the Slovakian case a key politician has been nominated to coordinate the national regional development. In Spain the Network of Environmental Authorities is the body which organises cooperation and collaboration between environmental authorities and those that administers the Community funds of the three administrations (community, state and regional) with the basic purpose of combining criteria to integrate environmental protection into all actions financed with Community funds.

In the second group of countries the cooperation takes place only at the moment for elaborating plans, but a participative tradition nor of establishment of partnerships or associations does not exist. In Czech Republic the efforts are focused in the National Development Plan, in Hungary it is the National Spatial Strategy and in Bulgaria and Portugal the cooperation between agencies and associations with departments of the government takes place when it elaborates different plans and projects.

There are central governments which encourage to private and public organisms to make contact among them with different reasons. Italy, through the *Nuova Programmazione* (New Planning) prepares itself for applications under the Structural Funds for the period 2000-06 and 2007-13 and plans the Community Support Framework. The coordination is the responsibility of the Department for Cohesion Policies of the Ministry of Economy. The case of the Netherlands consists of the creation of government reports and legislation to develop methods and principles to improve administrative relations. Norway gives priority to regional and local partnerships through its central government, but the regional governments also animate to the municipalities and to the private sector to establish links and relations.

In Poland and Switzerland the cooperation takes place through regional associations (cantons) in the Swiss case and local in the Polish one. These associations have in

common their purpose. They are created generally to obtain an optimal management in the public services, as it is the case of water management, water supply or waste disposal, for example.

Other forms of cooperation in France and Sweden exist. In the first one cooperation and the relations only take place between the central government and the other levels, but not between the regional levels and the local levels. The centralized model of the country does not allow that the relations settle down outside the reach of the (central) State. In Sweden there is a concrete case in which a single authority is at the same time local and regional authority. This case is the local Gotland authority. Authorities, associations and institutions of different kinds are involved in a broad partnership in the regional growth programme.

7.2.3   Relations with EU policies and/or programmes

The relations between national performances and EU policies and/or programmes have been closer by the time in all cases. The start point was very different in each country and the way walked was not the same for all. Actually the degree of relations remains closer in a broad group of countries: Finland, France, Germany, Hungary, Ireland, Lithuania, Luxembourg, the Netherlands, Poland, Romania, Slovak Republic, Slovenia, Sweden, Switzerland, United Kingdom. Special close is in case of Finland and Luxembourg. Countries with an important advance in their relations with EU policies and programmes has been logically those of the East of Europe (Poland, Romania and Slovak Republic).

The evolution in the relations of each country has been developed in very different ways. Table 7.6 try to summarize them in four groups according to causes of improvements of the relations with EU policies and programmes. The first group gather countries which have included the guidelines of the ESDP in their Spatial Planning documents. Although Switzerland is not a country within the EU, it shows similarities with the ESDP in its planning policy guidelines. The rest, mainly Hungary and Romania, have adopted the same guidelines than the ESDP.

Table 7.6: Impulse for the improvement of relations with EU policies and programmes

Motor of the improvement	Examples of countries
Adoption of guidelines of the ESDP	Luxembourg, Hungary, Romania, Switzerland
Changes in national legislation or planning	Bulgaria, Germany, Lithuania, Slovak Republic, Slovenia
Changes in methods for governance	France, Italy, the Netherlands, Portugal
EU funding	Austria, Czech Republic, Estonia, Finland, Greece, Italy, Norway, Portugal, Sweden, United Kingdom, Spain

The second group is formed by the countries that have changed their national legislation or planning instruments in order to adjust more closely their relations with EU guidelines. The most remarkable country is Germany, which has changed its Federal Constitution to re-emphasize the federal principle and the subsidiarity principle, and adjust the terms of cooperation. Lithuania has elaborated a long-term strategy taking

account the conclusions of the Lisbon, Barcelona and Gothenburg European Council meetings.

The third group shows the countries that have introduced changes to governance methods. This is the case of France, Italy, the Netherlands and Portugal. The main changes are referred to a more pro-active culture of spatial planning, the development of partnerships, the development of forms of evaluation in spatial planning, integrated regional and/or local development and a more participate planning.

Finally, the last group gathers the highest number of countries, this is the group of the countries that have improved their relations with EU policies and/or programmes in order to develop initiatives at regional and local levels with EU funds. Some countries have enjoyed mainly the INTERREG initiative, as is the case of Estonia, Norway and Italy. Other countries have developed initiatives and projects under other Structural Funds Programmes as LEADER.

7.3 Processes for spatial planning

7.3.1 Integrated territorial planning: bottom-up initiatives

- *Forms of cross-border co-operation*:

Table 7.7: Cross-border spatial planning structures and organisations in Germany

Institutions and Modes of co-operation	Work results
European level	
Council of Ministers European Commission	Structural policy
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
National, bilateral, multilateral level	
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
Subnational level (also multilateral)	
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
Local level	
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.

Given the importance of cross-border co-operation, an exception is made here, as it will be done with the use of the Open Method of Coordination, in the presentation of the analysis of the national overviews concerning this specific question. Although, as stated earlier, the results of the analysis have been circulated to all partners to give them the opportunity to check and correct possible errors and omissions, a process which is still continuing, in this case the results of the analysis of 28 countries are presented in full.

Forms of cross-border co-operation present themselves in a great variety. Naturally, countries with long land borders and a considerable tradition of co-operation in the context of the EU have a richer experience of co-operation. Germany is a good example (see Table 7.7). 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 co-operation can cover.

A tentative grouping of forms of cross-border co-operation is attempted in the following Table 7.8:

Table 7.8: Forms of cross-border co-operation

	Examples
Euro-regions	Bulgaria, Hungary, Poland, Greece, Belgium, Latvia, France, Germany, Spain, Czech Republic, Austria, Slovakia, Slovenia
Functional Urban Areas (FURs)	Switzerland, Malta, Germany
Interreg Initiative areas (Note: possible overlaps with other categories)	Bulgaria, Belgium, Finland, Luxembourg, Hungary, Poland, Romania, Latvia, France, Ireland, Germany, Lithuania, Spain, Italy, Greece, Switzerland, The Netherlands, Czech Republic, Austria, Sweden, Norway, Slovakia, Slovenia
Initiatives for accession countries (e.g. Phare-CBC)	Bulgaria, Czech Republic, Slovenia, Romania, Slovakia, Finland, Belgium, Latvia, France, Lithuania, Slovenia, Greece, Germany
Other European Initiatives and programmes	Malta, Portugal etc.,
Other forms of co-operation between neighbouring countries or regional country groupings	Sweden, France, Finland, Norway, The Netherlands, Spain, Portugal, Belgium, UK, Germany, Austria, Slovenia, Hungary, Greece
Other programmes of international organizations	Lithuania, Malta, Hungary
Exchange experience partnership with non European countries	Portugal, Sweden
City networks and co-operation between cities	Portugal, Luxembourg, Slovenia, Germany, Finland, Slovakia, Greece, UK etc.

In the following paragraphs, the relevant remarks made in the national overviews are reported by country.[12]

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[12] Denmark and Estonia are not mentioned, because no national overview was available for analysis in the first case, while in the second case we did not have sufficient information.

Austria	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 Mühlviertel, 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.
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 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. Co-operation has been established between the two Mayors of the 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.
Finland	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.
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 coutries (example: SAR-LOR-LUX space). The development of exchanges and partnership between firms, technologies transfers are the main fields of co-operation. They are developed in the framework of a convention or thanks to the settlement of a co-operation institution, such as the Eurorégion Nord-Pas-de-Calais, Kent, Flammish regions, Brussels and the Wallonia. 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. A large number of arrangements of cross-border urban co-operation 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. 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 co-operation between municipalities). The highest institutional form of German cross-border co-operation 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. 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. Greek cities and municipalities are active in a variety of city networks.
Hungary	Transnational co-operation 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-peration with regard to environmental matters concerns the following areas: River Tisza, Donau, Alps – Adria (supported by the Council of Europe). Bilateral co-operation exists between Hungary and Slovakia on environmental matters (nature conservation) and on the planning of cross-border regions.
Ireland	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 Intereg II. Leader programmes have operated in rural areas of Ireland since the beginning of the programme.
Italy	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. There are several schemes of cooperation with neighbouring countries (Latvia, Belarus, Poland), 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).
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 co-operation 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 on a 1977 agreement covering Dutch and German regions. 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.
Norway	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 in to a lesser degree in the case of Polish-Czech border area. There are some strict preconditions for effective cooperation: Similar scope of competence and territorial responsibility. In this sense Euroregions of the Carpathians, Bug River, Niemen River and the Baltic Sea cause problems because of their excessive spatial reach.
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 co-operation exists within the frame of PHARE Cross-border Co-operation 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.
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.

The programme INTERREG III A Spain/Portugal, the most important from a budgetary point of view (807 milions €) includes 17 cross-border NUTS III: Huelva, Badajoz, Cáceres, Salamanca, Zamora, Ourense and Pontevedra (on Spanish side), Alentejo Central, Algarve, Alto Alentejo, Alto Trás-os-montes, Baixo Alentejo, Beira Interior Norte, Beira Interior Sul, Cávado, Douro and Minho-Lima (Portugal). Includes 136.640 km^2, that is the 23,5% of Iberian Peninsula and embrace 5.420.627 inhabitants, 11,5% of Iberian Peninsular population. With a length of 1.234 Km., the '"raya" ibérica' (Iberian line), oldest cross-border line in Europe (Alcañices Treaty, 1297), is considered a double lagging and peripheral area (in EU but also in Spain and Portugal).

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.

The countries reviewed, collectively, share a rich experience of cross-border and transnational co-operation and a broad range of arrangements, which it proved difficult to categorize. An original, more analytical, tabulation proved unwieldy and full of slots occupied by one country only. Transfrontier and inter-territorial co-operation is an extremely diverse field and the European Outline Covention on Transfrontier Co-operation itself includes, for guidance only, a variety of possible types of agreement. There is no doubt that the variety of co-operation 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. 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 my 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 co-operation 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 co-operation arrangements. Urbanization spreading on either side of dividing borders is a critical factor encouraging co-operation, as witnessed by arrangement in functional urban regions. Other themes like environmental protection are also frequently the focus of co-operation. Having said that, it is however impressive that co-operation 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 co-operation 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 co-operation arrangements defying easy classification;
- Popularity and variety of Euroregions;
- Success of arrangements under the Interreg Initiative;
- Large number of examples of cross-border co-operation in Central and Northern Europe;
- Cross-border co-operation involving extensively urbanized areas and functional urban regions
- Importance of environmental concerns as factor encouraging co-operation;
- Broad range of issues tackled through co-operation;
- Special case of island nations;
- Special case of Cyprus and its divided territory;
- Existence of cross-border arrangements with negligible activity.

- *Examples of regional and local initiatives for integrated territorial planning:*

The integrated territorial planning can be made of many ways. Examining the examples of the national overviews it can be observed that the purpose of the experiences of cooperation at regional and local level is diversified and includes numerous fields. Thus the typology varies from the water, waste or quality of the air management, to the establishment of potential metropolis or the strategies of integrated spatial development. Table 7.9 shows a classification of the examples according to the fields to is dedicated each one:

Table 7.9: Classification of regional and local initiatives for integrated territorial planning

Fields	Examples at local level	Examples at regional level
Transport	Austria, Finland, Ireland	
Water management	Cyprus	
Waste management	Finland, Ireland	
Air quality management	Finland	
Urban environment	Greece	Germany
Environment		The Netherlands
Coastal protection		Spain
Encouraging dialogue and coordination between authorities and/or sectors	France, Portugal, Switzerland	France
Making of plans	Austria, Luxembourg, Norway	The Netherlands
Economic development	Austria, Ireland, Italy	
Establishing potential metropolis	Lithuania	The Netherlands
Strategies of integrated spatial development	Czech Republic, Finland, Hungary, United Kingdom	Spain

The examples at local level usually cover metropolitan areas or a group of cities. In Austria it is the GU8 from south-east of Graz, in Cyprus the metropolitan area of Nicosia, in Finland the metropolitan area of Helsinki, in Greece Eleonas, place of the airport of Hellenikon; in Ireland Greater Dublin Area; in Lithuania the cities of Vilnius and Kaunas, in Norway Trondheim; in Portugal the group of cities of Vale do Lima; in Switzerland West Zurich and United Kingdom Leeds City Region.

In the field of the transport work the Austrian GU8, Helsinki Metropolitan Area Council and Greater Dublin Area, where the Dublin Transportation Initiative exists, which covers the Dublin FUR area.

The Sewage Board of Nicosia is the only in which the municipalities cooperate on issues of water treatment plant and irrigation.

Waste management is included as a target field in the Finnish and Irish initiatives. In this latter there is an integrated waste management plan adopted by the four local authorities of the Dublin region. Helsinki Metropolitan Area Council also is a joint organisation for matters concerning air quality management.

In areas with high degree of urbanisation there are problems of pollution in the urban environment. In two countries there are initiatives in order to transform the Ruhr into a new style of garden landscape (in the German case) by creating a network of green corridors and by applying ecologic standars of construction for housing and commercial buildings, and in the Greek case the master plan of Eleonas is adressed to redevelope the site of the former Hellenikon airport as a metropolitan park.

In The Netherlands the government has initiated and supported bottom-up initiatives in 11 ROM areas and 8 Elaboration Area, focused, among other aspects in environment.

The Government of Cantabria, in Spain, has developed a Plan for its Coastal Area (POL), whose main objective is to provide effective and integrated protection of the coastal area.

In some countries the initiatives are focused on many objectives and, according to the national overviews the main function is to act as fora that encourage dialog and coordination between authorities and/or sectors. These are the cases of France, Portugal (*Vale do Lima*) and the Swiss West Zurich.

In Austria (GU8), Luxembourg (SYVICOL: *syndicat intercommunal à vocation multiple des villes et communes luxembourgeoises*) and Norway (Trondheim) the main target of the examples is the joint elaboration of regional plans.

Economic development appears as an objective in GU8, Greater Dublin Area and in Italian cities with problems resulting from industrial decline.

The Lithuanian cities of Vilnius and Kaunas , as well as the region of The Netherlands called Randstad (trough *Delta Metropolis Association*) have joined forces to establishing metropolitan spaces.

Strategies of integrated spatial development has a greater importance for the integrated territorial planning, becaues shows forms of cooperation that have the objective of elaborate integrated spatial development strategies. At local level Czech local governments may create municipal alliances (microregions) where there are common interests and they often prepare strategies of microregional development. The Helsinki Metropolitan Area Council has prepared the Helsinki Metropolitan Area Vision 2025, an example of inter-municipal plan prepared by a jointly-run organisation. In Hungary exist "special regions", as is the case of Balaton Resort Area, and the Agglomeration Area of Budapest, which have been created for integrated plannig with the focus upon public participation. Leeds City Region, in the United Kingdom, has been identified as a functional sub-area and a set of policies and objectives are being developed for the area in the current work on developing the Yorkshire and Humber Regional Spatial Strategy. Finally, at regional level, some examples of strategies of integrated spatial development can be found in two spanish regions. The first one is the Navarrian Spatial Vision, following the guidelines set by the ESDP, and the second one is the Catalonian Spatial Planning Programme.

- *Examples of regional and metropolitan strategic planning initiatives*:

In this section only 14 examples of countries have been able to be studied because only 14 national overviews explain regional and metropolitan strategic planning initiatives in detail. The methodology for the study has been similar to the previous section. Through the examples of the countries the areas where they are working in each initiative have been synthesized and a classification has become according to the action fields. The variety of fields is very great but the general sensation is that the interests and the objectives of the initiatives are more concrete, that is, the fields are well defined (see Table 7.10).

These fields could be grouped in different classes. First one including specific-single fields as education, culture, tourism, communication, housing, transport, water management or waste management. The second group would conform economic, social

and rural developments. Finally third it would be formed by the fields with a greater territorial sense, as they are urban-rural relationships, spatial planning, environment and mainly the Metropolitan Strategic Planning, that they would be the initiatives with a greater degree of adjustment and integration between actors and territories implied in these initiatives. Examples are cited in Cyprus (Metropolitan Nicosia), with the implementation of the Local Plan for the Nicosia wider urban area; in Portugal (Lisbon Metropolitan Area Regional Spatial Planning Scheme); in Sweden (Council of Stockholm-Mälar Region), which pays special attention to cooperation between the public and the private sector, by organizing networks between partners, and is actively involved in the creation of an international network in the Baltic Sea Region; in Spain, with the metropolitan strategic plans Ebrópolis (Zaragoza), Barcelona, Vigo, Ferrol Metrópoli, Master Plan of Strategies in the municipalities of the Urban Territorial Area of Pontevedra, and Metrópoli 30 (Bilbao) and in Greece the Master Plans for the metropolitan areas of Athens and Thessaloniki.

Table 7.10: Classification of regional and metropolitan strategic planning initiatives

Field	Example countries
Education	Austria, Finland
Culture	Austria, Bulgaria
Tourism	Austria, Slovak Republic
Communication	Austria
Housing	Bulgaria, the Netherlands, United Kingdom
Transport	The Netherlands, Switzerland, United Kingdom
Water management	Hungary, Slovak Republic
Waste management	Slovak Republic, United Kingdom
Economic development	Bulgaria, Czech Republic, Finland, the Netherlands, United Kingdom
Social development	Czech Republic
Rural development	Hungary, United Kingdom
Urban-rural relationships	Switzerland
Spatial Planning	Bulgaria, Hungary, the Netherlands
Environment	Bulgaria, Czech Republic, Hungary, the Netherlands, United Kingdom
Metropolitan Strategic Planning	Cyprus, Greece, Portugal, Sweden, Spain

The complete list of examples related is:

- Action Framework of Loeben (Austria): with problems associated with a declining industrial region. Some fields of action are education, culture, tourism and communication.

- Urban Strategy for Sofia (Bulgaria): contains an action plan with proposals for spatial planning, economic development, social and cultural development, housing and environmental protection.

- Metropolitan Nicosia is an example of a metropolitan strategic planning in Cyprus.

- Some Czech municipal development programmes have as main priorities actions in fields of economic, social and environmental development.

- Culminatum Ltd Oy (Finland) seeks to develop the international competitiveness of the Helsinki Region and utilisation in the bussiness community of the region's resources of education, science and research.

- The watershed of river Tisza (Hungary) acts in the fields of water management, spatial planning and development, landscape management, agriculture and rural development.

- KAN Area (the Netherlands) works with policies that have been developed in the areas of spatial planning, housing, land ownership, traffic and transport, economic development and environment.

- *Réseau Urban Neuchâtelois* (Switzerland) is focused on urban-rural relationships, strengthening alliances between the cities and the adjacent rural areas through an urban-rural network, and on improvement of public transport facilities.

- Lisbon Metropolitan Area Regional Spatial Planning Scheme is the Portuguese example of integrated metropolitan strategic planning.

- In Slovak Republic, a number of micro-regions have been formed in order to implement a variety of joint tasks such as sewage, waste water treatment and tourism activities.

- The council of the Stockholm-Mälar Region is a Swedish example of regional strategic planning outside the formal planning system.

- Regional Spatial Strategies (United Kingdom) incorporate a regional transport strategy and works with the fields of housing, environment, infrastructure, economic development, agriculture, minerals extraction and waste treatment and disposal.

- In Spain there are six metropolitan strategic plans. They have been elaborated by Zaragoza, Barcelona, Vigo, Ferrol, Pontevedra and Bilbao.

- In Greece, the forms of planning which are officially considered as coming nearest to a strategic planning approach are the Regional Frameworks for Spatial Planning and Sustainable Development and the Master Plans for the metropolitan areas of Athens and Thessaloniki. However, despite official claims to the contrary, strategic planning is still very weak in the Greek planning system, a weakness which is painfully evident in the case of large urban centres, especially the above metropolitan areas.

7.3.2   Cooperation outside the formal government system

- Profesional and public fora:

As it can be seen in the Table 7.11 the most of the examples of the countries, related to the existence of professional and/or public fora in order to improve the cooperation between sectors in the society, are permanent fora, that is, fora whose activities are offered throughout the year. On the other hand, only two examples of 'ad hoc' fora are present in the national overviews, and these ones are professional fora. As in the other sections, there are not included all national overviews and the classification is adjusted only to the examples that can be enjoyed.

Table 7.11: Types of professional and public fora

Typology of participants	Types of fora	
	Ad hoc	**Permanent**
Professional	Greece, The Netherlands	Cyprus, Greece, Hungary, Luxembourg, The Netherlands, Poland, Portugal, Romania, United Kingdom
Public		Belgium, Czech Republic, Finland, France, The Netherlands, Spain, Sweden (2)
Public and professional		Austria, Germany, Ireland, The Netherlands, Portugal, Slovenia, Sweden, Switzerland, Malta

Within the group of the ad hoc fora can be found examples of professional fora in Greece, as is the case of the Technical Chamber of Greece, which acts as an occasional fora for purposes such as discussion groups or short conferences convened to debate issues of spatial development. Another professional ad hoc fora can be found in The Netherlands and it is the one for the elaboration of the New Map of The Netherlands, which is revised aproximately each 5 years.

For the permanent fora a classification has been made. The examples have been divided into three groups according to the typology of the potential participants, that is, to whom are adressed. The first group joins the examples of professional permanent fora. Those fora pretend to establish meetings and linkages between professional planner experts on spatial planning. In some cases the publication of books or journals is a way to exchange information.

Other group is formed by fora which pretend to involve the citizens. The main level in which works those fora is the local level, the nearest level to the citizens. Only can be found examples up to local level in Belgium (*Societé regionale de développment*), in Spain (mailing list for communication between people interested in territorial issues in Catalonia) and in France, where there are fora at the three territorial levels, so called *Conseils*. One of the most used forms of establish linkages and relations in those fora is through Internet, because the most of the examples talk about net portals where citizen can participate. The main activity to those fora are focused is to improve local government and democracy but, as is the case of the Swedish Environment Centre, the main target are the environmental issues.

The last group has a most integrated character and gathers the examples of fora that allows public and professional participation. The countries where mainly are created integrated fora are those that have a more participative culture and tradition among their citizens. This is the case of the countries of the core of the EU and some of the north of Europe, where public and private participation is a usual issue. At the three levels can be found examples of public and professional fora but in this case the most of the examples are found at regional (Austria, Portugal) and at national level (Ireland, Slovenia). The fora are adressed to a lot of fields and activities, such as industry, economy, research, and spatial planning and they pretend to put in contact experts and

professionals in a field with the rest of the society in order to involve this latter into planning processes. The example of Switzerland is a remarkable case because the Law on Spatial Planning oblige to political responsibles to involve the public in planning projects.

- *Mechanisms of participation and spatial conflict resolution:*

Main mechanisms of participation and spatial conflict resolutions are presented in Table 7.12. Them has been grouped according two criteria: level of implication, that is, if the processes are developed following participation principle or only that of consultation. The second way is the intensity of those mechanisms. Three levels of intensity have been defined. The lowest level relates some concrete planning procedures or a limited level of involvement by the society on the making of local or regional plans. The medium level joins the examples whose participation or consultation methods are established parts of the planning process. Finally, the highest level of involvement by the citizens is related in the group of the examples whose mechanisms of participation and spatial conflict resolution are regulated by national legislation. As in the other sections, there are not included all the national examples because it was impossible to access to all national overviews and its information. Therefore, this classification is not so complete and only shows that examples that have been able to be analyzed.

Table 7.12: Mechanisms of participation typology

Intensity of mechanisms	Level of Implication	
	Consultation	Participation
Legislation that encourages public involving mechanisms	Switzerland	Cyprus, Finland, Hungary, The Netherlands, Sweden, Spain
Participation and/or consultation mechanisms are part of the planning process	France, Germany, Malta, Poland, Portugal	Austria, Belgium, Latvia, Lithuania, Slovenia, United Kingdom, Romania
Other soft mechanisms	Czech Republic	Greece, Ireland

The first group of examples is referred to those countries whose legislation encourages to public participation and/or consultation. In this group the intensity also ranges from the encouraging to participation disposed in some planning law (as is the case of the Town and Country Planning legislation in Cyprus, or of the Planning and Building legislation and the Environmental Code in Sweden) to the establishment of arrangements in countries whose society enjoys a high participative culture. This is the case of The Netherlands and Switzerland. In The Netherlands there is a strong institutionalization of the participation mechanisms for planning issues. The Spatial Planning Act includes some procedures and obligatory public hearings during the planning process. In Spain participation at local level is encouraged by central government through recent (2003) and criticized Law of Modernization of Local Government. Law provides for the creation of the City Social Councils, maked up by representatives of the most representative economic, social, professional and citizens organizations in order to elaborate proposals of strategic plans for cities. In Switzerland, although the most used is the consultation mechanism. This procedure is an important instrument and political tool in the Swiss legal system because it is used not only in the planning process but also during the phase of the legislation process.

Generally the obligation for the political or technical responsible to allow public participation or public consultation is not a legal imposition, rather those legislative dispositions are created because of that societies have those mechanisms as usual procedures and the legislation is just a regulation of the methods.

The second group of examples shows that participation and/or consultation mechanisms are part of the planning process. National overviews talk about different levels of involvement by the citizens (e.g. in Lithuania this involvement is low), but do not detail too much the information. This is the greater group of examples, that is supposed the more expanded method of involvement by citizens. In some cases are explained some participative or consultative mechanisms such as public meetings, conferences, written questions and responses, surveys of residents and experts or public hearings.

The third group gathers some examples in which the participation and consultation procedures are not strongly established in the planning process or are developed at lower levels. In countries such as Czech Republic or Greece cooperation, discussion, consultation or participation are not common practices or they are limited. In Czech Republic, although citizens have opportunities to comment on planning documents in all phases of plan-making process they rarely use it. Formal participation in Greek spatial planning is limited and rather negligible in importance except for a few cases. However, informal participation (e.g. protests, legal challenges) can sometimes have significant influence on decisions that affect spatial development. Conflict resolution is usually left to the courts, especially to the supreme administrative court (Council of State) and, more recently, to the Service of the Ombudsman. In Ireland the participation debate is used at local level with the new period of urban policies.

- *Informal and ad hoc mechanisms for planning and development*:

There are very few useful examples related on the national overviews about the issue of 'ad hoc' mechanisms for planning and development, even though formal and well established. The proposed classification (see table 7.13) organize these mechanisms by level and purpose. The first one gathers those ones which are dedicated specifically to spatial development. The second group are formed by the examples that are addressed to the environment management and conservation but influences spatial development. Finally, the third one explains alliances or cooperation between municipalities. In this last case, mechanisms really mean organizations or institutions at different levels that are created and addressed to work for two main fields: spatial development and environment.

The examples for the first group generally are located in national or regional government departments, but also in German report an example is given for local level: *German Association of Towns and Cities*. All cases in this first group works through research and statistic institutes. The most important institutes for spatial development at national level are DATAR in France, BBR (Federal Office for Building and Regional Planning) in Germany and Nordregio (the Nordic Center for Spatial Development) in Sweden. Their work on spatial planning extends to the whole European space. Additional examples of national institutions for spatial development are the Center of Expertise Programme (Finland), The Hungarian Office for Spatial and Regional Development, The Netherlands Institute for Spatial Research and the Federal Office for Spatial Development in Switzerland.

Table 7.13: Typology of 'ad hoc' mechanisms for planning and development

Purpose	Levels		
	National	*Regional*	*Local*
Spatial Development	Finland, France, Germany, Hungary, The Netherlands, Sweden[1], Switzerland[1]	Germany, Hungary, Spain[1]	Germany
Environmental, but with influences on Spatial Development	Finland, Greece, Ireland[2], Lithuania, Malta, Portugal, Sweden		
Alliances or cooperation mechanisms			Belgium, Luxembourg, Slovenia

1 Joint work with universities
2 Other organism is the Construction Industry Federation (CIF), which represents the construction industry and is a significant lobby organisation. It is a prescribed organisation in certain spatial planning matters

At regional level, regional governments have carried out some initiatives of spatial planning institutes (Research Institute for Regional and Urban Development in North Rhine-Westphalia, and Institute of Territorial Studies in Catalonia) or Regional Development Agencies (Hungary).

Second group includes organizations or governmental departments that are focused on the field of environment, its conservation and its management. All the examples of this group are at national level, even one of the Swedish examples is an initiative of WWF, an international NGO. Most of the examples are departments or agencies included into the national Ministries of Environment and are environmental watchdogs. They are continuously elaborating data collections concerning to environmental issues but their works usually helps the improvement of spatial development.

The last group of examples are alliances or cooperation mechanisms between municipalities, all of them at local level.

7.3.3   Open Method of Coordination

According to Faludi (2004), 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. The possibility is being explored to use it in territorial cohesion policy.

In view of the importance attached to OMC, an exception is made here in the presentation of the analysis of the national overviews concerning this specific question. Although, as stated earlier, the results of the analysis have been circulated to all partners to give them the opportunity to check and correct possible errors and omissions, a process which is still continuing, in this case the results of the analysis of 28 countries are presented in full.

As shown in the table 7.4, 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 [13]. Some doubt still remains whether this is a correct conclusion.

Table 7.14: Use of OMC in connection with Territorial Planning

	Examples
OMC used in territorial planning	Belgium, France, Ireland, The Netherlands
OMC used in other fields	Belgium, Finland, Hungary, Malta, UK, Greece, Latvia, Ireland, Germany, Norway, Spain, Austria, France, The Netherlands, Switzerland, Sweden, Czech Republic
No indication of use of OMC in national overview	Italy, Lithuania, Bulgaria, Cyprus, Czech Republic, Estonia, Poland, Portugal, Romania, Slovakia, Slovenia

In the following paragraphs, the relevant remarks made in the national overviews are reported by country.[14] The countries, in the overviews of which there was no reference to the use of OMC are not included, with the exception of Italy.

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.
Czech Republic	In 2003 the Government of the country prepared (with the European Commission) a Joint Memorandum on Social Inclusion of the Czech Republic with the purpose of preparing the country for full participation using the open method of coordination on social inclusion upon accession. Similarly National Action Plan for Employment for the period 2004 – 2006 as well as National Research and Development Policy for 2004-2008 stated a policy objective to act in synergy with an open method of coordination in the areas of employment and research and development.
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

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[13] This is clearly stated in the case of Romania.
[14] Denmark is not mentioned, because no national overview was available for analysis.

	the way to the local level.
France	OMC is conceived in its broad sense, i.e. coordination that is achieved by means other than hard-law and funds, which are already in place. The method (or elements of it) is used in employment policy. The use of the OMC method in territorial planning was only indirect.
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 system 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.
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.
Luxembourg	The open method of coordination is not used inside national Luxembourg, as there is only one level of power: the national state. It is used however 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 in The Netherlands, 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).

There is history of several decades in The Netherlands to introduce new methods and principles to improve administrative relations in general. 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'…. In 1999 the government and the associations of provinces and municipalities signed the so-called BANS-agreements. BANS stands for *Bestuursakkoord Nieuwe Stijl*, which means Administrative Agreement New Style…, on issues such as youth welfare, vital countryside and social inclusion. The BANS-agreements form a framework for the pursuit of other governance methods as well. Covenants… are an example of a method that is actively supported by the BANS-partners.

A co-operation form that has been laid down in an act is the temporary Framework Act Changing Government… of 1994 (now replaced by a new act). It makes it possible to engage in new and intensified co-operation between municipalities in urbanised regions around large agglomerations…, about policy fields of spatial planning, housing, transport and infrastructure, economic affairs and environmental issues. Another method that is increasingly being more used since the 1990s are covenants. Covenants apply to both co-operation between administrations as well as co-operation between public and private or semi-private actors. They are being applied in policy fields concerning youth welfare work, countryside and regional development…. A variant of this method has been used for large housing projects. The process involved a complex round of consultation and participation.

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, to legitimise policies and achievements to specific bodies, to simplify supervision and to assess performance… In this way, without mentioning the term as such, benchmarking comes pretty close to what has been described as the Open Method of Co-ordination. A special interdepartmental working group, including representatives of the provinces, municipalities, consumers organisation and employers federation, has been set up in order to promote benchmarking. The focus is at the national government as well as lower tier authorities. It is expected that especially

	municipalities seem to have much potential for mutual learning, for instance in the field of granting building permits. But also, medical organisations, educational organisation, hospitals and various administrative bodies are expected to benefit of this method. The objective is to make benchmarking an integral part of public administrative work.
Norway	According to the overview: The open method of coordination (OMC) has been explored differently in the different sectors of the Norwegian government. With respect to the Nordic cooperation in higher education the considerations, opportunities and challenges related to the implementation of the Lisbon Agenda and the use of the OMC has for instance led to a number of issues for the Nordic authorities at the national and the Nordic level.
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.
Sweden	The OMC has been applied in labour market policy, IT issues and deregulation issues (railways, telecommunication networks).
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	The following is an extract from the national overview: 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.

A general conclusion is that in a large number of countries the OMC is not used 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.

7.4 Conclusions

7.4.1 Forms and methods of cooperation

What was asked from the partners in the national overviews was 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. 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.

The variety of instruments used made categorization extremely difficult. Not surprisingly, countries which have a long history of administrative innovations and urban development experiments have developed a broad range of instruments adjusted to a multitude of situations. E.g. in such countries there is ample experience, often going back for centuries, of contractual methods and agreements between central authorities and local actors.

Instruments concerning urban development and / or regeneration are the most frequent. Various forms of contracts and agreements are being used e.g. by France, Italy, the UK, Switzerland, Germany and other countries. But the variations are such that more detailed grouping is virtually impossible. Countries like Belgium, Switzerland and Spain have used instruments, under a variety of names, e.g. neighbourhood contracts, tripartite agreements or forms of participation. Programming documents, pacts etc. are widely used in Italy. "Alliances" are used in Poland. The list is very long. Certain conditions, e.g. the management of highly urbanized regions or the demands for technological development, generate new forms of co-operation and contractual arrangements.

At the same time however, in some countries the field is still dominated by conventional land use planning instruments. By and large these are countries where one can speak much more of old style town planning, rather than of urban policy, and where vertical administrative relations are still very hierarchical and based on a top-down model. This does not imply that in countries with a federal or very regionalized structure the conditions are without problems. Here, we can witness instruments and arrangements which attempt to overcome the problem of a weak centre, which faces difficulties of implementing nationwide policies and of enforcing a modicum of co-ordination.

Local development agreements are noticeable in rural areas, particularly where efforts are being made to introduce tourist development as a complement of agricultural activity. Such agreements are often used by local development companies and local authority associations.

Interesting co-operation forms have been reported in relation to specific events, e.g. in Italy and Greece, for the purpose of organizing major athletic events. In such situations the uniqueness of the requirements of such events calls for innovative instruments.

To summarize, we can provide a short list of the main points:

- Extreme difficulty of categorizing the various forms of co-operation;
- Richness and broad spectrum of co-operation arrangements in countries, with long traditions of government and urban development and administration;
- Importance of historical familiarity with contractual methods;
- Absence of innovative arrangements in countries, operating only with conventional planning instruments;
- Domination of urban experimental, innovative arrangements;
- Local agreements for rural development;
- Arrangements in the particular conditions of federalism to overcome limitations of co-ordination;
- Co-operation forms applied in *ad hoc* conditions of important events and / or projects
- Co-operation arrangements for technological development.

7.4.2- Progress towards co-operation and partnerships

In this section of the synthesis of national overviews, we tried to analyze first progress towards vertical and / or horizontal co-operation and partnerships and then the specific direction of progress in the case of horizontal co-operation and partnerships. Our attention turned to the following questions, in full awareness that not all of them could be answered in full:

- Was there progress towards either vertical or horizontal co-operation and partnerships?

- Was it more pronounced in one direction or the other?

- Which forms and tools of co-operation and partnership enjoy wider acceptance and use and what seem to be the underlying causes?

- What sorts of partners come together in the context of certain types of administrative structures and spatial planning systems and, if possible, for what reasons?

- What sorts of partners tend to build coalitions aiming at conflict resolution, in order to produce policy solutions for certain types of spatial / environmental problems?

With regard to relative progress and prospects of vertical and horizontal co-operation and partnerships, the following patterns can be observed:

1. Horizontal co-operation 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. In many cases horizontal co-operation is the inevitable step and initiative to be taken if efficiency and feasibility of planning schemes is pursued. In addition, co-operation is dictated by imperatives related to sustainable development and the resolution of problems arising from environmental resource exploitation claims or environmental degradation, i.e. problems transecting administrative boundaries. One could reasonably assume that the more limited are the planning powers and restricted the territorial competences and reserve funds of a local authority, the more inclined it appears to co-operate and be incorporated in a network. However, these partnerships may then encounter the problem of their weak status; nonetheless local authorities as members of these networks or coalitions can fight for enhanced competences and additional financial support from a better position.

2. At the national level the usual forms of horizontal co-operation and partnership are the cabinet of Ministers, inter-ministerial committees / boards or inter-ministerial working groups. At the national level the range of partnerships rarely transcends the boundaries of the constitutionally provided executive powers. It is understandable that devolution of powers at this highest level to non-elected organs by means of mechanisms operating outside the system of representative democracy would provoke the public opinion and raise reactions. Besides, national states are not willing to suffer additional losses of political power in addition to those that have been lost as a result of the EU membership.

3. The above may not be the case with former socialist countries, where partnerships at the national level seem to be built more easily due to the still fluid character and non-consolidated powers of the post-socialist regimes. This is of course an untested speculative hypothesis, but if it is accepted it should not come as a surprise that these countries are prepared to experiment with new and original informal horizontal partnership configurations; the transitional phase they are going through facilitates such experiments.

4. Innovative tools and progressive arrangements in vertical co-operation are found in federal or highly regionalized countries with great regional autonomy (e.g. Germany, Spain, Italy). The case of France is interesting and exceptional. While France has not abandoned the centralized style of administration and planning, at the same time the mechanisms of vertical partnership and co-operation between central state and self-government authorities at the regional and local level are fully developed.

In terms of horizontal co-operation and partnerships across the countries represented in the project, an examination of the nature of horizontal mechanisms offers some tentative conclusions:

1. The most frequently encountered pattern of horizontal partnership is the public-public one between regions, cities, local authorities etc.

2. Public-private co-operation and to a lesser degree private-private agreements (consortia) are preferred in cases of infrastructure projects and urban regeneration plans.

3. The NGOs (environmental in particular) seem to increase their role in horizontal partnerships dealing with sustainable development and spatial plans involving major environmental issues. This looks like being the long-term result of the more historically embedded right of NGOs to complain and challenge planning decisions that are considered by them as environmentally harmful.

4. Universities and research institutes seem to expand their activities and role in the context of horizontal co-operation and partnerships. This is partly because of their prominent status as information and knowledge providers, partly because of their capability to perform a role of facilitator in conflict resolution processes and partly because they can lend validity and political prestige to decisions and views of other agencies / partners or the partnership entity as a whole.

5. Contractual agreements become more and more popular as effective mechanisms of public-private cooperation.

7.4.3 Partnership formation and co-operation: Barriers and catalysts

Barriers to governance on the one hand and catalysts favouring partnership and co-operation on the other are significant for policy recommendations. They serve as indications or even evidence of an immature and unfriendly or mature and conducive to innovation socio-political environment for the production of governance structures and relations. Several socio-economic and cultural or political conditions do not have an obvious and straightforward impact on governance potentialities. Factors which support and promote governance initiatives within a particular society or community may have contradictory effects in a different socio-political context. A good example is the

shortage of funds, which severely curtails the activity of a large number of local authorities (LAs). However, this may turn out to be a stimulus and a mobilizing factor for them to co-operate with agencies of the private sector or neighbouring LAs in order to bid for EU or national funds. On the other hand, it can equally become a handicap for a local authority and a discouraging factor for building a partnership, since potential partners may be unwilling to co-operate with an agency unable to contribute to the cost of a partnership. LAs which cannot finance small scale interventions in their restricted localities are much less capable of paying their share in the case of major projects and interventions, which would be the very reason of establishing a wider municipal network.

In general terms, the national overviews produced in the framework of the project provide a fair amount of information on the existence of factors favouring governance, but their content is rather poor with respect to barriers. The most evident instigator of governance practices is the EU itself, with its policies and corresponding funding opportunities. This looks like a utilitarian acceptance of partnership, which automatically raises a question about the long run prospects of EU-supported partnerships, at least in cases where partnerships are a more recent development. Their survival potential will be in jeopardy if and when EU support is reduced of even altogether withdrawn. It should not escape our attention that partnerships encouraged and shaped by EU policy are in some cases criticized as undemocratic and elitist.

Long tradition in the creation of partnerships is definitely a catalyst and possibly a guarantee that existing partnerships do not need EU support or can survive without EU backing. At the other extreme, in situations of low social consensus, partnerships are used as an instrument to oppose government policies and as an umbrella for their opponents. Official authorities are aware of the detrimental effect of opposition and are often trying to appease opposition by incorporating it in decision making processes. E.g., co-operation with NGOs in the field of spatial and environmental policy formulation is often used as a means of avoidance of opposition and unwelcome protest. When NGOs are reluctant to be drawn into such consensus building arrangements and insist on protesting against policies formulated by formal, government-dominated partnerships, the latter inevitably suffer from limitations and ineffectiveness.

Closely related to this situation is the existence of opposition partnerships built on the basis of public reaction to government policy and public projects. There are country cases, chiefly among the Mediterranean group, where it is hardly probable that a partnership is built to enforce a new or uphold an existing spatial planning policy or regulation. It is far more likely that a partnership is formed to resist it. Sometimes these practices are not independent from party politics. Therefore, initiatives with a governance appearance may well undermine spatial planning instead of promoting it. Conversely, incompatibilities and conflicts between official spatial policies and individual socio-economic behaviour may act as a stimulus or catalyst for the generation of informal governance coalitions which are hostile to territorial planning. Consequently, governance may either serve the entrenchment and implementation of territorial policies or subvert them. However, good governance does not necessarily imply that official territorial policies are accepted and that their rejection breaches good governance principles. In fact, it may well serve to ward off the danger of unwelcome, unsustainable territorial developments.

Speaking about barriers to the establishment of governance structures, of special interest are the issues raised by former socialist countries and the countries belonging to the group of the European South. The first are concerned with the problems encountered by the partnerships involved in the preparation of national development plans (e.g. Poland, Lithuania, Hungary, Slovakia). The complexity of processes of consultation and negotiation, the limited flow of information, the insufficiency of national funding, the lack of transparency in the making of final decisions and the poor skills of actors involved are mentioned as the underlying reasons of what can be termed as a bad governance paradigm. On the other hand some countries of the European South (Cyprus, Malta, Greece, Portugal) insist on some recurring themes as barriers to good governance: political polarization, society and public opinion fragmentation, lack of trust to the State and political parties, privatization and individualistic visions and interests.

Finally, the pursuit of departmental autonomy in both central and local administration is considered a critical obstacle to communication and co-operation in several overviews, this time not only of the European South, but of other countries as well. .

In sum, the most common types and patterns of governance catalysts and barriers are as follows:

- EU policies as inducement or prerequisite for partnership formation, perhaps a utilitarian acceptance of partnerships;

- Prior existence of partnerships in several countries;

- Danger of EU-style partnerships being undemocratic and elitist;

- Rigidity or partnership requirements may create inability to obtain funding;

- No tradition of partnership formation in some countries;

- Councils, committees and boards with representative membership as a substitute of genuine partnerships;

- Progress often related to creation of regional government bodies;

- Local political culture and state – citizen relations as effective barrier;

- Bureaucratic structures as a serious obstacle;

- Existence of opposition partnerships in reaction to government choices and action.

7.4.4   Experience with participation processes and partnerships

The issue of Experience with participation processes and partnerships reflects eloquently the strong or limited tradition and historical background of each country, with respect to these two forms of governance practices. Experience is valuable because, by means of experience, knowledge and information are accumulated for the refinement and adaptation of new governance methods to national particularities (administrative, cultural etc). On the other hand experience might hinder the enthusiastic adoption of the new philosophy of power allocation, in the sense that there is already awareness and consciousness of the limits and difficulties of the new governance structures, when applied in the country's context. Experience may trigger scepticism and act either as an impetus or as an obstacle to governance. On the other hand, the lack of experience, when coinciding with a transitional phase of administrative

and political reform, tends to elevate the new governance imperative into a major political challenge.

The latter seems to be the case of several former socialist countries, which while lacking experience, are nevertheless willing to experiment with new governance practices. Naturally, this willingness to innovate has to be looked at from another perspective, that of the weak identity of the newly born capitalist central state in the place of the former socialist regime. It is most likely that these newly emerging states are inclined to build alliances in order to consolidate their position.

The national overviews of the former socialist countries show limited experience in both public participation processes and partnership structures. Poland is an interesting exception and this might be attributed to the cultural and political history of the country as a whole and its constituent parts and regions, which differ with respect to nationality origins. However, the lack of experience did not inhibit countries such as Bulgaria, Hungary, Romania, Slovakia, Poland and others to make decisive steps towards governance. It is worth noting that in several of these cases national plans are elaborated on the basis of widely open procedures involving a plurality of partners: research institutions, business associations, environmental organizations, local authorities and the general public. In a sense this is surprising, when one notices that western countries with a long tradition of governance practices and several years of EU membership admit a certain amount of immaturity when it comes to adopting more open procedures in the elaboration of their own national plans.

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 progressive or already attained autonomy of the regions of these countries is naturally the cause of experience in partnership building between central state and autonomous communities. However, this does not necessarily imply parallel advancements in public consultation for policy-making.

With regard to experience in participation and consultation processes one can distinguish two different categories: Cases where formal provisions have been in place for long and cases where experience and tradition derive from informal occurrences, which does not make them less real as actual practices. The analysis of the overviews produced an observation that while in some countries, which should be classified as with limited experience in public participation, the formal provisions for such processes are in place, actual participation does not ever take place. This condition is usually met in several of the Mediterranean countries. It has been reported besides that there is often an effort by the authorities to sidestep legal provisions referring to public consultation, in order to avoid the embarrassment of conflict resolution processes. Mentalities of individualism in promoting one's own interest and other cultural patterns in the Mediterranean Region seem to account, at least in part, for the inability to achieve consensus. Relevant to this issue, more or less the other side of the coin, is the phenomenon of negative or opposition alliances and networking (in Mediterranean countries again) to oppose existing policies, rather than participate and contribute in the formulation of new ones.

A point of particular interest is that centralized political structures do not necessarily imply lack of susceptibility to governance practices and openness to new forms of policy-making. On the contrary, it seems that sometimes decentralization runs against partnership and cooperation. This is about a battle for power: As long as an actor gains exclusive powers he is not willing to share them. Inversely, actors with limited powers try to increase them through networking and coalitions.

In conclusion, the most themes emerging in more than one country cases are the following:

- Experience is affected by past, but still recent, political regime;
- Historical factors, often recent, may explain familiarization with participation;
- Participation and partnership experiences have a strong correlation;
- Particularity of Mediterranean countries;
- Effect of recent reforms of modernization, even on paper;
- Effect of regionalization and regional autonomy;
- Participation is more historically determined, than partnership formation;
- Government centralization is not a necessary handicap;
- Informal governance coalitions and networking as a form of resistance against government policies.

7.4.5   Limits and barriers to policy coordination

Policy integration may well be an aspiration for policy-makers and politicians and there are undeniably some good reasons for policy integration but there are also limits to which policy integration can be achieved in practice. In this respect, the OECD remarks that the 'pragmatic approach adopted... has led to a measure of caution concerning the extent to which coherence can, in practice, be strengthened. It has also raised the concern that excessive efforts to enhance coherence can result in a high degree of central control, and a consequent loss of flexibility in the policy making system' (OECD, 1996:8). With respect to the gap between the need for coherence and the capacity to achieve it, they conclude that this is due to the complexity of governing contemporary society and the multifaceted nature of the public policy domain. They discern different spheres of coherence (e.g. economic, social and political), attributing a different internal logic to each of them. Another key lesson is that governing in a democratic political system necessarily involves a degree of incoherence. Social and political factors bring into play an array of forces that rarely converge toward coherent policies. Incoherence can hardly be avoided, rather managing it is the way to proceed. The recent report of the Dutch Scientific Council for Government Policy on sustainable development expresses similar views, stating that the propensity for integrality 'disguises the fact that there are always multiple, complex and conflicting goals at issue in the public arena, which do not generally complement one another but require choices to be made' (Scientific Council for Government Policy, 2002:27).

7.5 Final remarks

This chapter brings out the importance and difficulties of all forms of cooperation and the variety of tools and organizational arrangements used for this purpose. It starts with an analysis of the advantages and disadvantages, costs and benefits of policy

coordination. What is of importance to keep in mind here are (a) the divergent perceptions of advantages and disadvantages, depending on the viewpoint of the actor or observer involved (e.g. internal departmental view v. global organizational view or view from the outside), and (b) the fact that cooperation, contrary to the facile judgment that it is patently necessary, is not free of costs and tensions, which are part of the order of things and of the nature of democratic societies. As pointed out in other sections of this report, problems of accountability, control and allocation of responsibility may arise. This e.g. could result in certain actors opting out to avoid sharing responsibility for decisions they feel impotent to influence. Cooperation, partnership and participation are also costly processes, and the public, let alone the actors themselves, have to be convinced that shouldering this cost is worthwhile. This is by no means an argument against cooperation, but simply a warning that cooperation, in all its forms, is fraught with difficulties and conflicts, which have to be ironed out.

A number of possible arrangements for horizontal and vertical coordination, departmental cooperation and cooperation with agencies outside formal government are presented in the review incorporated in this chapter. Coordination between sectoral policies or between them and territorial policies, the mechanisms of drafting national and regional plans, the principles of vertical cooperation (like the German and Swiss counter-current principle), the operation of a variety of councils, committees and coordinating organs etc. are recurrent themes in the cumulative experience of the countries rewieved. Examples of cooperation with and between agencies and departments tend to cover similar ground and a variety of arrangements, which appear in more than one subsections of this chapter, are presented: Interregional schemes, various forms of contracts and agreements, cooperation in the form of regional / local associations, partnership with voluntary sector etc. In fact the responses regarding horizontal / vertical cooperation and ooperation between agencies, departments and authorities to a large extent reiterate information supplied on methods of cooperation and / or partnership formation.

The EU programmes and policies, as concluded in several sections of the overview synthesis, have had a serious effect. Key words here are Structural Fund policies, EU Inititiatives (Interreg, Leader, PHARE etc.), European Spatial Development Perspective, Trans-European Networks, Community Support Frameworks, environmental and other directives etc.

A particular form of cooperation is that between countries sharing common borders, or transnational and interregional. Intense cross-border cooperation activity has been observed in several countries, taking a variety of forms and focusing on a broad range of issues. In more advanced cases this takes the form of integrated territiorial planning, which is naturally more extensive within countries, where it is the outcome, once again, of a variety of horizontal partnerships addressing a host of issues and problems. Strategic planning, particularly at metropolitan level, is evident and successful in complex urbanized regions, but is also a much misused term in situations in which more conventional land use planning is dressed up as strategic and policy-oriented.

Organizations acting as exchange, meeting and discussion *fora* include a variety of associations of authorities, institutes, councils, professional associations etc., providing a platform of encounter, cooperation and debate. Overview writers gave a variety of interpretations to the term. The same thing happened with regard to mechanisms of

participation. In most overviews reference is made to participation in connection with statutory plan preparation. But there are clearly countries with a far more sophisticated tradition of participation, extending to a variety of governing forms. Non-governmental organizations play a significant role here and they also appear prominently in connection with informal mechanisms, along with various training and research activities and agencies.

The most important method, in terms of the interests of the project, among forms and methods of cooperation, is the so-called Open Method of Coordination. Our conclusion was that in a large number of countries the OMC is not used or is used in a very limited way. Even knowledge about the method seems to be limited, which is highly significant. Particularly pronounced is the absence of the method's use in territorial development and planning. Under forms and methods of cooperation a large number of methods are mentioned, especially with regard to urban development and regeneration, inspite of the persistent domination in several countries of conventional land use instruments. Partnerships are most frequent at the local level, while at the national level the usual forms of horizontal cooperation and partnership are mostly cabinets and committees of ministers and various working groups. Innovative arrangements of vertical coordination are usually found in federal or regionalized countries. Partnerships are encouraged by various conditions (EU policies, political culture etc.), but are also impeded by bureaucratic structures, poor state – citizen relationships, institutional rigidities, lack of resources etc. It comes as no surprise that where these conditions prevail experience with partnership formation and participation is limited.

Policy coordination and integration may suffer from similar obstacles. But they are also affected by genuine limitations of the possibilities to achieve coherence. As pointed out in the relevant subsection this difficulty may be inherent in the nature and complexity of contemporary society and economy. The old truth of planning being faced with conflicting goals and aspirations of various social groups and institutions is still with us.

8. TO A CLASSIFICATION OF SITUATIONS AND BEHAVIOURS

8.1 Key spatial problems

The authors of the national overviews were asked to provide information on the key spatial problems in the 29 countries represented in the project. The results of the overview analysis have been circulated to all partners to give them the opportunity to check and correct possible errors and omissions, a process which is still continuing. This resulted in the decision, concerning particular sections only of our analysis, not to include tables of classification and comments per country, as long as we had not received the responses of our partners. However, we made exceptions, e.g. in the sections on the Open Method of Coordination and on cross-border co-operation (see chapter 7), because of the importance of certain subjects. We are making an exception with regard to key spatial problems as well. An additional reason is that the table in which we attempted a classification of situations was not satisfactory, at least not at this stage, because of the nuances of individual country situations. We are therefore presenting here material from 28 countries[15], directly from the national overviews, sometimes in an edited form for reasons of brevity. This compilation makes easier any future comparison, out of which we hope to produce a more representative classification at a later stage in the project.

The countries are presented in alphabetical order:

<u>**Austria**</u>

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.

<u>**Belgium**</u>

Problems are different in Wallonia, Flanders and in Bruxelles:

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[15] The national overview of Denmark was not available.

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.

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 km2, 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 Bruxelles. Half of the working people in Bruxelles come from outside the Region (around 350 000 persons). Bruxelles is also the most populated city in Belgium, and a hub of communication. Nevertheless, as the territory of the Bruxelles 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 "center-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 marvelous 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,

a. 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,
b. 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…
c. by the infrastructure necessary to accommodate the needs of the additional population, both permanent residents and tourists.
d. by the shortages in water supply and lack of adequate water reservoirs…
e. 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

a. Massive structures erected along the coast obstructing the visual contact and functional relationship between the sea and the hinterland…
b. 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.
c. Excessive pressure on resources. Shortages in water supply…
d. Loss of fertile agricultural land to tourism. Similarly conflicts in land use between industrial development and tourism.
e. Overcrowding phenomena along certain beaches with beach capacity under considerable pressure…
f. Lack of adequate open spaces for public use especially along the coast and hindered accessibility to the beach…
g. Constant rise of land values as a result of high demand (pressure for development) and limited availability of coastal land suitable for tourist development.

h. Pressure for further development and land exploitation within and around historic sites and antiquities…

i. Destruction of the architectural heritage in some villages…

j. Disfigurement of the landscape and other environmental degradations stemming from the need to construct new motorways and other roads…

k. 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 were arisen 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, redifferenciation 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 postcommunist 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… [T]here is developing 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 postcommunist 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…

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… [S]ome 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.

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

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 have 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 periurban 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…)".

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 flexbile 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 insustry emission of pollutants);
- Decline and congestion of old, high density residential areas in large cities.

Hungary

Hungary is an extremely 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. Ironically, given the historical and geographical circumstances, 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… What remains unchanged however is that Budapest has always had an essential role in GDP production as well… A further problem is the above-mentioned disparity between cities and their surroundings… 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 strengthened 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 O'Leary 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» (Salone, 1999). 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 Treasure, 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 (Salone, 1999);

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 ant 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, overpopulation in the cities, as well as 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 activities. 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. At the same time residential zones of social exclusion and physical isolation have been occurring. In the recent decade the public transport lost its domination. The cities became multi-transport cities; the public (later – municipal) urban transport companies ceased being monopolistic carries as they were intervened by private carries and automobiles owned by the residents; the solid regulation system stopped its existence. The non-regulated urban and automobilization developments increase the negative impact on urban functioning producing economic and social losses, environment pollution, traffic risks…

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 problems in the Lithuanian cities. The unresolved problems include the insufficient scientific and methodological basis, the gap between the science and planning practice, the weak management of the urban planning and development, the contradiction between the urban development and the sustainable development concept".

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 rurbanisation. 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 is 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…

In addition, there have been instances of public concern and alarms 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 [16]

"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 mill. 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^2. There are, however, enormous variations in terms of population density between different municipalities as well as different counties…"

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 streches 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

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[16] The Norwegian national overview does not contain a special section of spatial problems.

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 accomodation 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-us development and spatial cohesion is the lagging construction of high-level and effective transportation infrastructure.

Slovenia

The key spatial problems of the country fall under the following categories:
- 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 suppose an average density of 77 h/km2, 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

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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.

The 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, Göteborg, Malmö and Uppsala 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…

Under 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…

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 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.

<u>Conclusion</u>

In the tentative classification which we attempted as a first step in our analysis, it became obvious that certain types of problem dominate the picture. These were the following:

- Regional inequalities, e.g. "North – South" or "Centre – Periphery";
- Regional isolation and and marginal position of rural areas;
- Urban expansion and urban sprawl;
- Urban – rural relations and development role of cities;
- Poor development of system of cities;
- Land supply and mismanagement;
- Environmental issues and natural resource problems;
- Intra-urban problems and urban decline or obsolescence;
- Problems of historic towns and heritage;
- Infrastructure location and impact;
- Natural disasters;
- Social (urban or rural) problems and social exclusion etc..

This is of course a preliminary list of problems. The main difficulty in inserting individual countries was that problems presented themselves in a variety of forms, which made some of these categories too coarse and unsuitable to cover national and regional variations. This was quickly pointed out by some partners, who found it difficult to identify the various categories in which their respective countries should be classified. Classifying spatial problems is of course neither a matter of pure academic interest nor an issue unrelated to the specific objectives of this project, i.e. those related to territorial governance. Some problems have a direct impact on how individual countries incorporate governance objectives in their system of administration and planning. For this reason we decided to avoid classifying individual countries at this stage. We hope that with the benefit of partner feedback and, in particular, of case studies we shall be in a position to refine our classification.

8.2 Styles 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".

As in the case of the previous section on key spatial problems, the authors of the national overviews were asked to provide information on the style of planning of the 29 countries represented in the project. As we explained already, the results of the overview analysis have been circulated to all partners to give them the opportunity to check and correct possible errors and omissions, a process which is still continuing. This resulted in the decision, concerning only particular sections of our analysis, not to include tables of classification and comments per country, as long as we had not received the responses of our partners. However, we made exceptions, e.g. in the sections on the Open Method of Coordination and on cross-border co-operation (see chapter 7), and in the previous section on key spatial problems, because of the importance of these subjects. We are again making an exception with regard to the styles of planning. We are therefore presenting here material from 28 countries [17], directly from the national overviews, sometimes in an edited form for reasons of brevity. This compilation makes easier any future comparison, out of which we hope to produce a representative classification at a later stage in the project.

The countries are presented in alphabetical order:

Austria

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

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[17] The national overview of Denmark was not available.

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 relative Law in England. 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, add 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 the city 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 Czech republic… Fist 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.

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 he 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

From the post-war period, it can be said that spatial planning in France is a State business. The creation of the 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, 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 from a 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… [E]ven 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, we [witnessed] a new involvement of the State in spatial issues 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 intermunicipalities) 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, has had an influence on the actual framework of spatial planning. The new orientations of the 1999 law, shows

clearly the influence of local development (bottom-up, participation, use of local resources…) methods, which has been incorporated in the law… To a certain extent…, it can be said that it 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, projects 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. 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, inspite 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 co-operation 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 for the country is decentralized, arranged in different levels with a number of responsible institutions… 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.

Lithuania

Urban development of Lithuania has its 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 to be carried out earlier, despite the fact that it was not fully implemented, creates favorable 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 co-operating centres… The last 15-year period was marked by attempts to find effective urban planning model in the market economy conditions. The current situation is contradictory, but planners have acquired the experience… However, the real urban development initiative is being intercepted by private structures.

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 planning procedures…, too many details in the comprehensive plan, without association with the strategic planning objectives;

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] Cachia (2003) …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.

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] Chapman (1999 … " there is a question of whether the system takes into account the cultural context of the Maltese Islands". [According to] Cachia (2003) … 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… ". 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… [T]he future Spatial Planning Act will foresee in such flexibility and case specific requirements".

Norway [18]

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 [19]

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 highly limited.

There is in Poland a complete conformity of the policies, programs, 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. This, in fact was the necessary condition

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[18] There is no section on the style of planning in the national overview of Norway.
[19] There is no section on the style of planning in the national overview of Poland.

for the Polish accession to the EU. 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 of the metropolitan areas, that is – of the areas of large cities and the directly 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.

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 polices all over the country's territory, irrespective of areal on environmental pecularities. 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 France's, including the primacy of the Capital City against the "province", with a few "*métropoles d'equilibre*"… [T]he 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 breaktrough, particulary 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. On 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. On the regional level there are self-governing regional bodies (total 8 regions) and on the local level there are individual towns and villages…

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 [20]

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… [T]erritorial 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.

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[20] A national overview on Slovenia was not available. We had only brief comments on the draft synthesis of national overviews. The phrase quoted here comes from these comments.

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 Böhme (2002) 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… Böhme (2002) 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 Böhme, 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 two key parts of planning at the local level are the comprehensive plans and the detailed development plans.

Switzerland

Within the five categories [of ESPON 1.1.1], 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… [T]he 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.

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 transparence (Thierstein et al. 2003).

United Kingdom

The style of spatial planning that exists in the UK can be categorised, following the example adopted in ESPON 1.1.1, 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. Bennett (1993) 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.

Conclusion

Only some provisional and rudimentary remarks can be made at this stage, the first of which is the obvious difficulty that at least some respondents had to provide clear, unequivocal answers. Our remarks, to some extent deliberately provocative, can be summarized as follows:

- Countries with a traditional model of planning, e.g. in the British, French or Germanic tradition, are so identified with the origin itself of the model, that they cannot but reaffirm their planning identity. Yet, it is obvious that even in these countries there are currents at work which tend to produce a planning variant, inspite of the maintenance of the system's basic characteristics. Governance principles or wider, global developments have had an impact.

- The crisis of conventional, hierarchical, land use style of planning, discussed extensively in the planning literature, is reconfirmed. This largely outdated style risks becoming irrelevant in the context of current realities. It can also act as an obstacle to governance processes. However, we must be cautious, as we shall indicate in our last remarks.

- The priorities of economic development and competition are having a decisive effect on spatial planning in the sense that they push it into a marginal role or at least expose its limitations. The uneasy co-existence of spatial planning and economic development planning, not by any means a new phenomenon, is becoming more obvious, almost untenable, and calls for a new approach, a goal underlying the spatial approach adopted in several EU policy documents.

- The popularity of a "project by project" approach, already dominant in several situations, further undermines the traditional role of comprehensive, socially-motivated spatial planning. This becomes even more glaringly obvious in countries where conventional planning either was never really effective or is in a stage of transition and fluidity.

- This fluidity of present conditions leads often to a "hybrid" style of planning, the components of which simply co-exist, with a minimum of real communication between them, and respond to totally different imperatives, on one hand of the traditional part of the social and economic system, and, on the other, of its open, globalized, internationally oriented section. A similar dichotomy may be reflected in the configuration of agents in charge of planning.

- An obvious uncertainty of transition prevails in former socialist countries either because they are engulfed in processes which tend to run out of control or simply because reforms and innovations have not been properly tested yet in the real world.

- A danger exists in countries experimenting with new tools of adopting an already "discredited" system, simply because they need to have a system that works in the

short run and they do not have adequate time to evolve gradually in the direction required of them in the present climate of globalization and governance reforms.

- The co-existence of old planning systems with new governance approaches presents a great challenge. Are they really completely incompatible and if not how can they be wedded in fruitful marriage?

- To put the same question in more extreme terms: Will there be a planning system in the future? How will it look like? Are we heading towards a diffuse system with a minimum of rules, as we have known them in the past, in the name of governance principles? And a rhetorical question: Are we in danger of throwing the baby with the bathwater?

9. PROPOSAL OF CASE STUDIES

9.1 List of selected case studies

Case studies constitute the basis for mainly analyse and evaluate processes of territorial governance and results of these processes (and relations between processes and results, that is, if goods processes always result in good results) at different scales. Also try to explain the relation between institutional and formal decisions and practices.

Case studies will be the basis for a comparative analysis and benchmarking to identify conditions, catalyst and barriers for good practices and results, and possibilities of transferability, a main challenge because the unpredictability of behaviours, even in neighbour territories, also as reasons of failures.

Table 9.1: Case Studies Matrix

Governance dimensions / Geographical	VERTICAL RELATIONS		HORIZONTAL RELATIONS				
	Multi-level Cooperation	Decentralizat. Devolution / Regionalisat.	Multi-Actor/ Multi-Chanel	Among Territories	Integrated Policies	Participation of NGA/ Openness	OMC, Innovative Mechanisms
Trans-national/ Cross-border	1.1, 5.2, 12.2, 13.1, 14.2, 17.2, 23.1a, 23.2a, 27.1, 28.2	13.1	1.1, 5.2, 8, 12.2, 23.1, 28.2	12.2, 13.1, 14.2, 17.2, 27.1, 28.2	(12.2), 13.1, 14.2, 17.2, 18.1, 23.1, 23.2, 27.1,(28.2)	13.1, 14.2, 17.2, 23.1, 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' Polycentric Urban Networks	1.1, 3.1, 5.3alt, 8, 10.1, 13.2, 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, 13.2, 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, 13.2, 15.1, 15.2, 18.1	8, 10.1, 13.2, 15.1, 15.2, 18.1, 28.1	10.1, 13.2
Functional Urban Areas, Metropolitan Regions	1.2, 4.2, 5.2, 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, 5.2, 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, 20.2	✕	2.1, 3.2, 5.3alt, 10.2, (16.2), 20.2, 26.2	3.2, 4.1, 20.2, 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, 20.2, 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

In order to clarify the types of territories we will focus on, and the main aspect of governance we are interested in, a matrix has been elaborated (see Case Studies Matrix) according with two main criteria: geographical scales (trans-national/cross-border, national, 'regional' polycentric urban networks, funtional urban areas / metropolitan

regions, urban-rural, intra-city) and governance dimensions (horizontal cooperation, vertical cooperation, integrated policies -includes diagonal cooperation-, participation of Non Governmental Actors/openness, innovative mechanisms -as OMC):

- *'Regional' polycentric urban networks* refers to polycentric urban networks, larger than a city, FUA or Metropolitan Area, but smaller than national. In this case 'regional' scale refers to institutional or otherwise.

- *Horizontal Cooperation* refers to relations …
    - Among territories: physically contiguous (neighbour) or not (network), also as to
    - Interaction/relations between different actors (governmental/non governmental)

- *Vertical Cooperation* refers to …
    - Multi-level relations: Cooperation/interaction between political-administrative levels: European, national, regional and local.
    - Decentralisation, regionalisation, devolution (including power, responsibility and resources). In some States recent processes of entitlement of more competencies, resources and political autonomy –with or without legislative powers- to lover levels (subnational authorities).

- *Integrated policies*:

    Even though could be included as a way or horizontal cooperation (among policies), coordination among policies: cross-sectoral, integrated polices or policy packages, comprehensive planning not only could be found at only one level, but also between different levels of power. That is, 'diagonal governance', that could be found in some cases (e.g. integrated spatial planning style, federal states...)

- *Participation of Non Governmental Actors*: implication of citizens, including both, public participation and stakeholder involvement

- *Openness*: information, communication towards and between governmental and non governmental actors, institutions, organisations.

    Openness in this way is related with the 'intellectual capital' concept, understood as level of available knowledge shared and circulated among all actors and their capacity of learning and openness to new ideas.

- *Open Method of Coordination* and other innovative practices or mechanisms (e.g. counter-current principle in Germany, Committee for spatial organisation in Switzerland, cyclical planning exercise in Hungary).

    Some tool, practice or mechanism can be "innovative" in some countries, but already used for some time in other (local/regional involvement, public consultation for instance)

    The Open Method of Coordination (OMC) is a systemised soft law technique which, through a wide range of tools seeks to induce compliance of State Members' policies at national and regional level 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. It seeks to engage concerned governmental and non-governmental actors and operates through common objectives, generic approaches, exchange of best practices, commitments to action, and joint evaluation of implementation. Examples include guidelines, indicators, benchmarking

systems, networking and peer review. Originating in the European Employment Strategy introduced in the Amsterdam Treaty and elaborated at the Lisbon submit, OMC is being promoted as an alternative in policy areas where the Community method does not apply, as social exclusion and pensions. According to Faludi (2004), the OMC could be promoted as an alternative method for territorial cohesion.

In order to clarify the types of territories we will focus on, and the main aspect of governance we are interested in, a matrix has been elaborated were each partner should inscribe two case studies in the matrix,

The selection of the cases, and the selection of the boxes (four per case studies) should be explained in relation to their interest for the 232 project (types of territories, planning tradition, institutional context, example of successful or failed territorial governance, help to identify governance trends and prerequisites and to propose recommendations for better territorial governance).

9.2 Case studies characterization; hypothesis on the territorial effects on governance of the territorial and urban oriented policies

According with FIR (p. 110) five criteria to classify case studies were:

-   planning tradition and polity system,

-   levels (geographical/institutional), because each level could be more appropriate to research a concrete aspect of governance: the Local-Sub regional for participation and policy packages, the National-Regional for multi-level and diagonal governance, the Trans-national and UE level for guided top-down approach for new governance practices from institutional actors…

-   types of territories (e.g. urban, rural, urban-rural, coastal, large metropolitan areas, lagging / successful rural areas, peripheral areas, border regions), because its diversity of specific problems, necessities and barriers (see the general list in 8.1 section conclusions) but also catalysts.

-   type of territorial or urban oriented policy, and

-   type of stakeholder

These five dimensions could be understood as axes in which we try to fill in case studies ensuring some "relevant coverage". However the project has to choose the case studies realistically, following the option of select illustrative cases displaying good/failed practices that will tell "stories" about territorial governance, that help to identify governance trends and prerequisites and to propose recommendations for better territorial governance, more than cover all real situations in Europe, an impossible aim due specificity of conditions and processes in each territory. As was explained above, the list of selected cases has been organized in a matrix according with two main criteria: geographical scales and governance dimensions. A third basic criteria as it is planning tradition and polity system, is guaranteed because all 29 ESPON countries are represented. Also the number, more than 50 cases, ensure that different types of territories, territorial or urban oriented policies and stakeholders, are represented. A picture of this representativeness is showed in following Tables 9.2 - 9.5.

A more detailed characterization of these cases, also as a initial prospective on main issues expected could be found in the annex.

Table 9.2: Case Studies: Regional Types of Rural-Urban Spatial Patterns

1 Regions dominated by a large metropolis
2 Polycentric regions with high urban and rural densities
3 Rural areas under metropolitan influence
4 Polycentric regions with high urban densities
5 Rural areas with small and medium sized towns
6 Remote rural areas

COUNTRY	CASE STUDIES	1	2	3	4	5	6
1. Portugal	1.1 Atlantic Axis		X			X	
	1.2 Metro do Porto		X				
2. Austria	2.1 Leoben					X	
	2.2 Regional managements in Austria	X	X		X	X	
3. Italy	3.1 Mezzogiorno Development Programme – Integrated Territorial Projects (MDP-ITP)		X			X	
	3.2 Project of Promotion of Sustainable Development Processes in the Pinerolese (PPSP)		X				
4. France	4.1 The "Pays" policy	X	X		X	X	X
	4.2 The analysis of the town planning instruments of the urban area of Lyon		X				
5. Germany	5.1 The Socially Integrative City (Duisburg, Essen or Herne)			X			
	5.2 Hamburg Region	X					
	5.3 (alt.) New planning bodies (Hannover or Stuttgart)		X				
6. Belgium	6.1 The development of Zaventem airport		X			X	
	6.2 The project "Tour et Taxis"		X				
7. Switzerland	7.1. Greater Zurich Area		X				
	7.2 "Glow.dasGlattal"		X				
8. Slovenia	8.1 The influence of European corridors and displacement of Schengen borders on regional growth		X				
9. Czech Rep.	9.1. Brownfields	X	X			X	
	9.2 Sprawl in PMA	X					
10. Spain	10.1 Pla Estratègic del Litoral Metropolità de Barcelona (PEL)		X			X	
	10.2 Pla Director del Sistema Urbanístic Costaner (PDUSC)		X			X	
	10.3 Pla Territorial Metropolità de Barcelona (PTMB)		X				
11. Hungary	11.1 The Process of Developing the National Spatial Plan	X	X		X	X	X
	11.2 The Process of Developing the Spatial Plan for the Agglomeration of Budapest	X					
12. Danmark	12.1 The Triangle Area					X	
	12.2 The Oresund Region					X	
13. Estonia	13.1 Via Baltica					X	
	13.2 Ida-Viru					X	
14. Finland	14.1 The Structural Land Use Plan of Lahti Region		X				
	14.2 Haparanda-Torneå		X				
15. Latvia	15.1 Zemgale Technological Park		X				
	15.2 Kurzeme Transport System Initiative		X				
16. Norway	16.1 Trøndelag counties: common regional development plan (fylkesplan).					X	X

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COUNTRY	CASE STUDIES	1	2	3	4	5	6
	16.2 Enhetsfylke Hedmark. Pilot experiment in co-ordinating selected functions of national regional representative (the office of the Fylkesmann) with regional administration units (Hedmark Fylkeskommune).					X	X
17. Sweden	17.1 Västra Götaland Region					X	
	17.2 ARKO-collaboration		X			X	X
18. Lithuania	18.1 Comprehensive plan of the territory of Lithuania, adopted in 2002					X	
	18.2 Vilnius city strategic plan 2002-2012					X	
19. Ireland	19.1 Greater Dublín GD	X			X		
	19.2 Atlantic Gateways AG					X	X
20. Romania	20.1 Development Region 8 Bucharest-Ilfov	X					
	20.2 Prahova County – Ploesti Area		X				
21. Slovakia	21.1 Slovak Spatial Development Perspective 2001		X			X	
	21.2 Pilot Study of the residential area Jánošíková, Malacky					X	
22. U.K.	22.1 Strategic Waste Management in England –SWM	X	X	X		X	
	22.2 Urban – Rural Compacts –URC	X	X	X		X	
23. Luxembourg	23.1. La Grande Région					X	
	23.2 The "Pôle européen de développement"					X	
24. Cyprus	24. The "Greater Nicosia Development Plan"	X					
25. Bulgaria	25. Master Plan for the Metropolitan Area of Sofia.	X					
26. Greece	26.1 Devolution of powers, regionalization and spatial planning	X			X	X	X
	26.2 Prefectural development companies: An instrument for horizontal network and bottom-up planning	X			X	X	X
27. Poland	27.1 Euroregion Nysa (Neisse)					X	
	27.2 Transport Policy in a metropolitan area. The case of Warsaw	X					
28. Netherlands	28.1 Knooppunt Arnhem Nijmegen (KAN-region)		X				
	28.2 "Het Drielandenpark" (Park of three countries)		X				
29. Malta	29.1 The Regeneration of Cottonera					X	
	29.2 Garigue: A wasted land or a fertile land?					X	

Table 9.3: Case Studies: Types of territories

Border Regions, Coastal, Periferal, Large Metropolitan Areas (LMA)
Rural, Rur-urban, Successful Rural Areas, Urban

COUNTRY	CASE STUDIES	TYPE OF TERRITORY
1. Portugal	1.1 Atlantic Axis	BORDER REGION, COASTAL
	1.2 Metro do Porto	LMA
2. Austria	2.1 Leoben	URBAN & RURAL
	2.2 Regional managements in Austria	URBAN & RURAL
3. Italy	3.1 Mezzogiorno Development Programme – Integrated Territorial Projects (MDP-ITP)	URBAN & RURAL
	3.2 Project of Promotion of Sustainable Development Processes in the Pinerolese (PPSP)	PERIFERAL, RURURBAN

COUNTRY	CASE STUDIES	TYPE OF TERRITORY
4. France	4.1 The "Pays" policy	URBAN & RURAL
	4.2 The analysis of the town planning instruments of the urban area of Lyon	LMA
5. Germany	5.1 The Socially Integrative City (Duisburg, Essen or Herne)	URBAN
	5.2 Hamburg Region	LMA
	5.3 (alt.) New planning bodies (Hannover or Stuttgart)	URBAN & RURURBAN
6. Belgium	6.1 The development of Zaventem airport	LMA, URBAN
	6.2 The project "Tour et Taxis"	URBAN
7. Switzerland	7.1. Greater Zurich Area	LMA, URBAN
	7.2 "Glow.dasGlattal"	PERIPHERAL
8. Slovenia	8.1 The influence of European corridors and displacement of Schengen borders on regional growth	URBAN & RURAL
9. Czech Rep.	9.1. Brownfields	URBAN & RURAL
	9.2 Sprawl in PMA	LMA
10. Spain	10.1 Pla Estratègic del Litoral Metropolità de Barcelona (PEL)	COASTAL
	10.2 Pla Director del Sistema Urbanístic Costaner (PDUSC)	COASTAL
	10.3 Pla Territorial Metropolità de Barcelona (PTMB)	LMA
11. Hungary	11.1 The Process of Developing the National Spatial Plan	URBAN & RURAL
	11.2 The Process of Developing the Spatial Plan for the Agglomeration of Budapest	LMA
12. Danmark	12.1 The Triangle Area	RURAL SUCCESSFUL AREAS
	12.2 The Oresund Region	BORDER REGIONS
13. Estonia	13.1 Via Baltica	BORDER REGIONS
	13.2 Ida-Viru	URBAN
14. Finland	14.1 The Structural Land Use Plan of Lahti Region	LMA, RURURBAN
	14.2 Haparanda-Torneå	BORDER REGIONS
15. Latvia	15.1 Zemgale Technological Park	URBAN & RURAL
	15.2 Kurzeme Transport System Initiative	URBAN & RURURBAN
16. Norway	16.1 Trøndelag counties: common regional development plan (fylkesplan).	LMA, URBAN
	16.2 Enhetsfylke Hedmark. Pilot experiment in co-ordinating selected functions of national regional representative (the office of the Fylkesmann) with regional administration units (Hedmark Fylkeskommune).	URBAN & RURURBAN
17. Sweden	17.1 Västra Götaland Region	URBAN & RURAL
	17.2 ARKO-collaboration	BORDER REGIONS
18. Lithuania	18.1 Comprehensive plan of the territory of Lithuania, adopted in 2002	URBAN & RURAL
	18.2 Vilnius city strategic plan 2002-2012	LMA
19. Ireland	19.1 Greater Dublín GD	LMA, URBAN
	19.2 Atlantic Gateways AG	URBAN
20. Romania	20.1 Development Region 8 Bucharest-Ilfov	LMA
	20.2 Prahova County – Ploesti Area	RURURBAN
21. Slovakia	21.1 Slovak Spatial Development Perspective 2001	URBAN & RURAL
	21.2 Pilot Study of the residential area Jánošíková, Malacky	URBAN
22. U.K.	22.1 Strategic Waste Management in England –SWM	LMA, URBAN
	22.2 Urban – Rural Compacts –URC	URBAN & RURAL

COUNTRY	CASE STUDIES	TYPE OF TERRITORY
23. Luxembourg	23.1. La Grande Région	BORDER REGIONS
	23.2 The "Pôle européen de développement"	BORDER REGIONS
24. Cyprus	24. The "Greater Nicosia Development Plan"	LMA
25. Bulgaria	25. Master Plan for the Metropolitan Area of Sofia.	LMA
26. Greece	26.1 Devolution of powers, regionalization and spatial planning	URBAN & RURAL
	26.2 Prefectural development companies: An instrument for horizontal network and bottom-up planning	URBAN & RURAL
27. Poland	27.1 Euroregion Nysa (Neisse)	BORDER REGIONS
	27.2 Transport Policy in a metropolitan area. The case of Warsaw	LMA
28. Netherlands	28.1 Knooppunt Arnhem Nijmegen (KAN-region)	URBAN POLICENTRIC
	28.2 "Het Drielandenpark" (Park of three countries)	BORDER REGIONS
29. Malta	29.1 The Regeneration of Cottonera	URBAN
	29.2 Garigue: A wasted land or a fertile land?	RURAL

Table 9.4: Case Studies: : Approach to main types of territorial-urban policies

1. Integrated / Strategic Planning
2. Economic
3. Social
4. Environmental / Lanscape
5. Infrastructures
6. R+D
7. Cultural Heritage and Relationships

COUNTRY	CASE STUDIES	1	2	3	4	5	6	7
1. Portugal	1.1 Atlantic Axis					X		X
	1.2 Metro do Porto					X		
2. Austria	2.1 Leoben	X					X	X
	2.2 Regional managements in Austria	X						
3. Italy	3.1 Mezzogiorno Development Programme – Integrated Territorial Projects (MDP-ITP)	X	X					X
	3.2 Project of Promotion of Sustainable Development Processes in the Pinerolese (PPSP)	X	X	X				
4. France	4.1 The "Pays" policy	X						
	4.2 The analysis of the town planning instruments of the urban area of Lyon	X	X	X				
5. Germany	5.1 The Socially Integrative City (Duisburg, Essen or Herne)			X				
	5.2 Hamburg Region	X	X			X		X
	5.3 (alt.) New planning bodies (Hannover or Stuttgart)		X	X	X	X		
6. Belgium	6.1 The development of Zaventem airport					X		
	6.2 The project "Tour et Taxis"							
7. Switzerland	7.1. Greater Zurich Area		X					
	7.2 "Glow.dasGlattal"					X		
8. Slovenia	8.1 The influence of European corridors and displacement of Schengen borders on regional growth		X					
9. Czech Rep.	9.1. Brownfields							
	9.2 Sprawl in PMA	X						

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COUNTRY	CASE STUDIES	1	2	3	4	5	6	7
10. Spain	10.1 Pla Estratègic del Litoral Metropolità de Barcelona (PEL)	X			X			
	10.2 Pla Director del Sistema Urbanístic Costaner (PDUSC)	X	X			X		
	10.3 Pla Territorial Metropolità de Barcelona (PTMB)	X	X	X		X		
11. Hungary	11.1 The Process of Developing the National Spatial Plan	X				X		
	11.2 The Process of Developing the Spatial Plan for the Agglomeration of Budapest	X						
12. Danmark	12.1 The Triangle Area		X		X			
	12.2 The Oresund Region	X	X					
13. Estonia	13.1 Via Baltica							
	13.2 Ida-Viru							
14. Finland	14.1 The Structural Land Use Plan of Lahti Region	X	X		X			
	14.2 Haparanda-Torneå	X		X				
15. Latvia	15.1 Zemgale Technological Park							
	15.2 Kurzeme Transport System Initiative					X		
16. Norway	16.1 Trøndelag counties: common regional development plan (fylkesplan).	X						
	16.2 Enhetsfylke Hedmark. Pilot experiment in co-ordinating selected functions of national regional representative (the office of the Fylkesmann) with regional administration units (Hedmark Fylkeskommune).							
17. Sweden	17.1 Västra Götaland Region							
	17.2 ARKO-collaboration							
18. Lithuania	18.1 Comprehensive plan of the territory of Lithuania, adopted in 2002	X						
	18.2 Vilnius city strategic plan 2002-2012	X						
19. Ireland	19.1 Greater Dublín GD	X				X		
	19.2 Atlantic Gateways AG		X					
20. Romania	20.1 Development Region 8 Bucharest-Ilfov	X						
	20.2 Prahova County – Ploesti Area							
21. Slovakia	21.1 Slovak Spatial Development Perspective 2001	X						
	21.2 Pilot Study of the residential area Jánošíková, Malacky	X						
22. U.K.	22.1 Strategic Waste Management in England –SWM					X		
	22.2 Urban – Rural Compacts –URC	X						
23. Luxembourg	23.1. La Grande Région	X						
	23.2 The "Pôle européen de développement"	X						
24. Cyprus	24. The "Greater Nicosia Development Plan"	X						
25. Bulgaria	25. Master Plan for the Metropolitan Area of Sofia.	X						
26. Greece	26.1 Devolution of powers, regionalization and spatial planning	X						
	26.2 Prefectural development companies: An instrument for horizontal network and bottom-up planning	X						
27. Poland	27.1 Euroregion Nysa (Neisse)	X						
	27.2 Transport Policy in a metropolitan area. The case of Warsaw					X		
28. Netherlands	28.1 Knooppunt Arnhem Nijmegen (KAN-region)	X		X	X			
	28.2 "Het Drielandenpark" (Park of three countries)						X	
29. Malta	29.1 The Regeneration of Cottonera			X				
	29.2 Garigue: A wasted land or a fertile land?		X		X			

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Table 9.5: Case Studies: : Approach to main types of key stakeholders

1. Public Administrations   2. Private Sector
    1.1 Central   3. University & Research Centres
    1.2 Regional   4. NGO, Associations, Citizens
    1.3 Local   5. Citizens

(Cells shaded in colour are marked below; █ = shaded cell, * = shaded cell with asterisk)

COUNTRY	CASE STUDIES	1.1	1.2	1.3	2	3	4	5
1. Portugal	1.1 Atlantic Axis		█	*	█	█		
	1.2 Metro do Porto	█	█	*	█	█	█	█
2. Austria	2.1 Leoben					*		
	2.2 Regional managements in Austria	█	*		█			
3. Italy	3.1 Mezzogiorno Development Programme – Integrated Territorial Projects (MDP-ITP)		*					
	3.2 Project of Promotion of Sustainable Development Processes in the Pinerolese (PPSP)			*			█	
4. France	4.1 The "Pays" policy	█	█	*	█		█	█
	4.2 The analysis of the town planning instruments of the urban area of Lyon	█		*			█	█
5. Germany	5.1 The Socially Integrative City (Duisburg, Essen or Herne)		█	*			█	█
	5.2 Hamburg Region		*	█	█			
	5.3 (alt.) New planning bodies (Hannover or Stuttgart)		*	█			█	
6. Belgium	6.1 The development of Zaventem airport		█	█			█	█
	6.2 The project "Tour et Taxis"		█	█			█	
7. Switzerland	7.1. Greater Zurich Area		*	█	█			
	7.2 "Glow.dasGlattal"			*				
8. Slovenia	8.1 The influence of European corridors and displacement of Schengen borders on regional growth							
9. Czech Rep.	9.1. Brownfields	█	█	█			█	█
	9.2 Sprawl in PMA			*			█	█
10. Spain	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)	█	█	*	█	█	█	█
11. Hungary	11.1 The Process of Developing the National Spatial Plan	*				█	█	█
	11.2 The Process of Developing the Spatial Plan for the Agglomeration of Budapest	*			█		█	█
12. Danmark	12.1 The Triangle Area		█	*				
	12.2 The Oresund Region		█	*				
13. Estonia	13.1 Via Baltica		█	█			█	
	13.2 Ida-Viru		█	█				█
14. Finland	14.1 The Structural Land Use Plan of Lahti Region		█	*			█	█
	14.2 Haparanda-Torneå	*	█		█			
15. Latvia	15.1 Zemgale Technological Park		█	█			█	█
	15.2 Kurzeme Transport System Initiative	*	█				█	█
16. Norway	16.1 Trøndelag counties: common regional development plan (fylkesplan).		█	█			█	█

COUNTRY	CASE STUDIES	1.1	1.2	1.3	2	3	4	5
	16.2 Enhetsfylke Hedmark. Pilot experiment in co-ordinating selected functions of national regional representative (the office of the Fylkesmann) with regional administration units (Hedmark Fylkeskommune).	teal *	teal					
17. Sweden	17.1 Västra Götaland Region	teal	teal				orange	red
	17.2 ARKO-collaboration	teal	teal	teal			orange	red
18. Lithuania	18.1 Comprehensive plan of the territory of Lithuania, adopted in 2002	teal						
	18.2 Vilnius city strategic plan 2002-2012							
19. Ireland	19.1 Greater Dublín GD		teal	teal *				
	19.2 Atlantic Gateways AG	teal	teal	teal *				
20. Romania	20.1 Development Region 8 Bucharest-Ilfov		teal	teal			orange	red
	20.2 Prahova County – Ploesti Area		teal	teal				
21. Slovakia	21.1 Slovak Spatial Development Perspective 2001	teal *	teal					
	21.2 Pilot Study of the residential area Jánošíková, Malacky		teal	teal				
22. U.K.	22.1 Strategic Waste Management in England –SWM	teal *	teal	teal				
	22.2 Urban – Rural Compacts –URC			teal *				
23. Luxembourg	23.1. La Grande Région	teal	teal				orange	red
	23.2 The "Pôle européen de développement"	teal	teal				orange	red
24. Cyprus	24. The "Greater Nicosia Development Plan"		teal	teal			orange	red
25. Bulgaria	25. Master Plan for the Metropolitan Area of Sofia.		teal	teal			orange	red
26. Greece	26.1 Devolution of powers, regionalization and spatial planning	teal *	teal	teal				
	26.2 Prefectural development companies: An instrument for horizontal network and bottom-up planning							
27. Poland	27.1 Eurregion Nysa (Neisse)		teal	teal			orange	red
	27.2 Transport Policy in a metropolitan area. The case of Warsaw			teal				
28. Netherlands:	28.1 Knooppunt Arnhem Nijmegen (KAN-region)		teal	teal	green			
	28.2 "Het Drielandenpark" (Park of three countries)	teal	teal	teal				
29. Malta	29.1 The Regeneration of Cottonera	teal	teal	teal				red
	29.2 Garigue: A wasted land or a fertile land?			teal	green		orange	

9.3 Guidelines for case studies

As was indicated in subsection 1.2 of this SIR, guidelines proposed will be tested and complemented with an additional section regarding to national data and indicators collection not after May.

- **General context for case studies selection and guidelines**

Our project deals with urban and territorial governance, so a common understanding of the concept had to be defined and agreed. From the synthesis of FIR conceptual analysis (see section 4.1 of this SIR), the ToR document and discussion in Valencia general meeting, we define governance in general as the capacity to build an organizational consensus, agreeing on the contribution of each partner, and agreeing on a common vision.

It represents a shift, not a substitution, from "government to governance", and reflect a change from growth control to promoting development and collective action procedures, from authoritarian decisions to negotiated consensus building (in governance models, multi-actors interactions are regulated through a wide set of social modes of coordination rather than by a limited set of hierarchically defined organisational procedures), involving several actors (governance process involves by definition a complex set of public and non public actors, based on flexibility, partnership and voluntary participation).

As we deal here with territorial governance, we specify a common "spatial" vision, and further refined the definition with the addition of aspects concerning governance processes and their outcomes:

- keywords are inter-territorial cooperation, trans-national cooperation, exchange for experience and know-how through the creation of networks, more integrated and territorial approach to policies definition and implementation.
- tools for new territorial governance are coordination, participation, bottom-up approach, partnership.
- outcomes should aimed at helping territorial cohesion, and should be sustainable. Territorial cohesion is defined (in 3rd cohesion report, 2004) as the synthesis of economic and social cohesion, safeguard of natural and cultural patrimony, and balanced competitiveness of the European space.

Therefore, our hypothesis is that good governance practices should improve territorial cohesion objective.

Our definition of territorial governance is an organisational mode of collective action based on public and private actors partnerships and coalitions building, oriented towards a commonly defined objective. Economic, social and political dimension of collective action are among its objectives. The territory is a dynamic and active context, an actor in itself, particularly stressing 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.

Territorial governance actions (TGA) are the outcome of a complex negotiated process in which resources are exchanged and partly shared, objectives are defined, and consensus is sought.

- **Key challenge**

The key challenge of territorial governance is to create the conditions that allow collective action. Those conditions are linked to the "territorial capital", which includes

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 infrastructures)

5. Cultural capital (material and immaterial heritage)

6. Geographical capital (natural features, constraints/opportunities, circulation…)

In order to use and develop this territorial capital a key challenge of governance process is to create horizontal and vertical cooperation or coordination between various level of government (multilevel governance, vertical relations), between sectoral policies with territorial impact, between territories –neighbouring or not-, as well as between governmental and non governmental actors (multi-channel governance, horizontal relations), and to achieve integration and coherence between disparate responsibilities, competences and vision of territories, in order to help territorial cohesion in a sustainable way (non destructive use of territorial specificities).
Public powers have an important role to play here.

- **Axis for research:**

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

This means we will identify the stakeholders, involved or not, and we will consider different territorial level: territories (FUA, trans-national, …) which are not delimited by institutional border, and request new modes of governance, but also more classical (institutional) territories which facing the current evolution, need also new modes of governance in addition to more traditional one.

We will use the different principles presented in the WPG as background criteria: effectiveness (appropriate level, proportionate decision), coherence (integration and involvement of regional and local power), accountability, participation (of all stakeholders) and openness, as well as the two concepts they are complementing: subsidiarity and proportionality. Two principles will be specifically adressed: participation and openness.

Another specific address are the innovative mechanisms coming from implementation of governance principles, their success or failure (degree and quality of cooperation, efficiency of partnership, sustainability of the decision and the implementation…) and their side effects, and the link to possible "prerequisites" for successful governance.

Eventually, in order to clarify governance trends, we will try to identify and understand better the possible discrepancies between official discourse on governance and reality of decision making, as well as between the decision taken and its implementation

All those axis will be used to understand processes of governance (elaboration of decision), but also outcomes: which kind of decision (form: policy package, integrated territorial planning; content: what about territorial cohesion, sustainability, ...) and which implementation.

It should also allow the recognition and assessment of factors that characterize good governance (prerequisites, "mechanisms"), and their possible "transferability"

(transferability of conditions, but also transferability as the capacity of adaptation to solve specific territorial problems and help decision making).

- **The matrix, the selection of case studies and links to guidelines**

In order to clarify the types of territories we will focus on, and the main aspect of governance we are interested in, a matrix has been elaborated were each partner should inscribe two case studies in the matrix, having in mind that he should decided a maximum of four boxes per case studies. The selection of the cases, and the selection of the boxes should be explained in relation to their interest for the 232 project (example of successful or failed territorial governance, help to identify governance trends and prerequisites and to propose recommendations for better territorial governance). This will be the point on which the partner will concentrate the analysis.

The template of guidelines will included all boxes, so depending on the choice of each partner, some subsections of the template do not have to be filled.

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GUIDELINES PROPOSAL FOR CASE STUDIES

</div>

- Each case study: between 15 and 20 pages
- General remark:

    Those case studies must help a comprehensive analysis /diagnosis of governance trends, applications, mechanisms at trans-national, national and subnationals level, as well as the identification of existing territorial disparities and tentative of outlining models of governance.

Part I

The frame of the case study

Description of general context (2/3pages, mainly to be taken from National Overview) to be filled for each case study

1. Political and institutional context, nowadays, and important evolutions if any (including centralised, unitary, federal, regionalisation or decentralisation or devolution process at work,…

2. Type of territory, physical (rural, urban, …) and geographical (trans-national, FUA, local, institutional, non institutional …)

3. Spatial planning framework, nowadays, and important evolution if any

4. Which territorial levels are involved (descriptive)

5. Which actors are involved (identification of main actors, groups, public and non public which are concerned by the case study, and participate in relations/cooperation on the territory, descriptive), and at which territorial level they are involved

6. What is at stake (open question, half a page): Social, economical, political, environmental, spatial planning interests….
The way the author understands the mains grounds of the case study "Subjective vision of an expert" (cf justification of selection of case studies and boxes in the matrix)

Part II

Thematics identified as key aspect of governance

Not all thematics have to be filled (according selected boxes in the matrix).
One thematic has to be filled by each case study: V (outcomes)
10 /12 pages , including the 3/4 pages of point V.

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

A: Vertical multilevel (territory level) relation of governance ("MLG")

1. Which role for the central state, formal (legal, institutional) and informal (relational networks, unofficial pressure or bargain…)

2. Which role for the infranational (subnational) levels, formal and informal, which kind of involvement from local and regional authorities Which autonomy for the infranational levels, concerning competences, power of negotiation, financial resources

3. Which kind of relations between the different level: hierarchical (top down), cooperation, coordination, OMC, conflictual, …Are we in a regulated context, of decentralisation, devolution or regionalisation, with well delimited area of competence and adapted resources, or in a regulated context but with overlap of competences, and /or resources not adapted, Or are we in context of contractual framework, with autoregulation? If we are in a context of decentralisation, regionalisation or devolution, shift to point B

4. Which non public actors are involved, in which way; is there a cooperation/coordination, dialogue, …between actors from different territory level

5. Conflict resolution: are there formal or informal mechanisms to deal with conflict, is there a main actor in those mechanism, Is there a possibility to ask for a revision of the decision

6. Is there one identified responsible (accountable)

B: Decentralisation, devolution, regionalisation

1. Definition of the term decentralisation, devolution or regionalisation (from the law or the constitution)

2. In which dynamic context is this decentralisation, devolution, regionalisation taking place (time evolution), on which basis the d/d/r was decided (top down

decision, with or without consultation and involvement infranational authorities, bottom up initiative, …)

3. Which role for the central state, formal and informal

4. Which role for the infranational levels, formal and informal, which kind of involvement from local and regional authorities Which autonomy for the infranational levels, concerning competences, power of negotiation, financial resources

5. Who is deciding allocation of resources, who is controlling

6. Are competences well delimited, or is there overlap

7. Is there a need for negotiation in order to reach objectives

8. Conflict resolution: are there formal or informal mechanisms to deal with conflict, is there a main actor in those mechanism, Is there a possibility to ask for a revision of the decision

9. Is there one identified responsible (accountable)

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

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

1. What is the role of the actors involved (leader of contestation, in between negotiation status, pressure from economic point of view, expert of spatial planning in charge of elaborating spatial solutions, administration …..)

2. Are specific policies (i e urban renewal, environment, …), related to specific actors, at stake

3. In which way are the actors involved; formal (institutional structures, legal framed partnership, established lobbies organisations….) or informal (ad hoc group, contractual negotiation, informal meetings and consultation, actions "on the field"…..)

4. Are the actors or part of the actors coordinating

5. Are there new modes of governance in the way the actors are involved (public-private partnership, contractualisation, decision by consensus, not hierarchically imposed, involvement of civil society…..)

6. Are there actors newly involved in this process

7. Are there actors which should be involved in the processes, and are not

8. Are there actors "mobilizing" (really active) the territory (civil society contestation, political leader, planners, enterprise chief, workers union, …), if yes, with which instrument (a specific project, a spatial vision, …)

9. Is there a main actor, public or private, which has the final say about the decision

10. Are they possibilities for non governmental actors to influence public decision

11. Conflict resolution: are there formal or informal mechanisms to deal with conflict, is there a main actor in those mechanism

12. is there one identified responsible (accountable)

B: Horizontal relations among territories, coordination of territorially based policies, multisectoral or integrated policies approaches

1. Which are the municipalities with closer relations in the case study area

2. Which different level of relations among the territories involved (integrated policies, coordination, cooperation, dialogue, conflict, non relations),

3. Due to which type factors (infrastructural, institutional, social, cultural…)

4. Is there instrument of coordination, and specifically

5. Is there any instrument of coordinated spatial planning for the area (imperative or not), if not, possible explanation

6. Is there a policy integration or policy packages (cross-sectoral approach) territorially based, if yes, which ones

7. If there is a thematic approach (sectoral), are all the territories concerned involved in the decision making process?

III: Participation, openness

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

1. Are there specific mechanisms or instruments to involve civil society or private sector
   - in the elaboration of the decision
   - in the implementation of the decision,

   if yes,

2. Which mechanisms: ad hoc meeting, consultation, referendum, public inquest …

3. And are the mechanisms mandatory

4. Are the results of the mechanism mandatory, in which way

5. Are those mechanisms and instruments effective:
   a. a significative and representative amount of people are participating
   b. demands are taken into account to elaborate the decision
   c. actors are involved in the implementation

6. Or is it a mere formality, with no real impact

7. Are group of interest easy to identify (i.e. possibility to identify lobby activities)

8. Who is participating

9. Which interest are best represented

B: Openness

1. Are those mechanisms or instruments known and possible to be used by the actors concerned by the decision (the stakeholders)

2. Are there information with equal accessibility for large public, are there communications to the public

3. Is there a mechanism to involve actors which should be involved but are not participating (lack of time, interest, knowledge,…) (if possible, socio economic profile of those non participating actors)

4. Are there any resources (financial and/or human) attributed to those instruments

5. Are specific agencies created for the management of a policy, including openness to public

IV Innovative tools, practices and mechanisms

1. Are some innovative tools, practices or mechanisms of governance used,

E g Practices of OMC, civil society, private sector, experts… involvement… , counter-current principle (Germany), Committee for spatial organisation (Switzerland), cyclical planning exercise (Hungary).

Remark: some tool, practice or mechanism can be "innovative" in some countries, but already used for some time in other (local/regional involvement, public consultation for instance).

Innovative is related to time (last ten/twenty years) but also to important changes following shift from government to governance (cf context for guidelines) and new forms of decision making process

If yes,

2. What are the level of public power involved, in which way (partnership, cooperation, conflict…

3. What are the actors involved (experts …)

4. In which way are the actors involved (private lobbies, civil society consultation, mandatory or not …

5. What is innovative about this tool/mechanism/practice

6. What was the objectives of the governance process?

7. Could it be reached with the tool, practice, mechanism presented

8. How were conflict dealt with

9. To which aspect of the territorial capital does it contribute (social, intellectual, political, material, …)

10. Which resources does it need (human, finance, …)

V Outcomes (policies, strategies, partly cf matrix "integrated policies"): decisions and implementation to be filled for each case studies (3 /4pages)

 A: Which decision:

1. Was it possible to reach a decision

If yes,

2. In which way: who is finally taking the decision, was it finally a top down decision making, or a proactive decision taking from the local actors
3. Which policies and strategies: a short term, sectoral decision, or a cross sectoral approach, or an integrated policy packages or a spatial common vision could emerged
4. is there any integrated planning (on FUA, metropolitan area, interrmunicipality area) or territorial policies coordination was there a capacity to "integrate and shape (local) interests… and to represent them to external actors" (cf Le Gallès cit in FIR)
5. What was developed in relations with spatial planning,
6. Is it helping territorial cohesion
7. What about the "sustainability" of the policy (social, economical and environmental aspect)
8. Which relations to Eu strategies, rules, policies, funding in general,
9. Which relations with ESDP in particular….

If not,

- possible explanation and consequences

B: Which implementation

1. Which practical decision for implementation was taken,
2. In which interest?
3. Who is in charge of the implementation, are there specific "governance" modes for implementation?
4. Which groups benefit from the implementation
5. Which group are "loosing" from the implementation
6. Who is financing the implementation, who is controlling the allocation of resources
7. Are they new problem arising from the implementation

Part III

Governance failures and success

To be filled for each case study (3/5 pages)

1. After interview of experts, what is the general understanding of the case? Is it a success, on which aspect?

2. Do you agree with that understanding? Is it an example of good governance practices?, in which sense ?

3. Were those new way of territorial governance successful (a decision could be taken, in a consensual way, involving all stakeholder, the decision is helping to reinforce territorial cohesion in a sustainable way, and the decision is implemented):

   • Was it possible to build a consensus? On which basis? (consensus, MOC, partnership, contract….)

   • Was it possible to agree on the contribution of each partner, each stakeholder being involved?

   • Could they reached "negotiated and shared rules" in a "governance" mode (consensus, shared vision)

   • Was it possible to reach an integration of the territorial action (among sectors, actors, instruments, networks, levels, …)

   • Was it possible to reach a common spatial vision on the area of the case study?

4. If no consensual decision could be reached, what solution, if any, was found?

5. What were the main aspects of new mode of territorial governance? (territorialisation of policies, partnership, role of state and local authorities, impact of civil society and private sector, link with the five WPG principle …)?

6. Describe main changes leading to new territorial governance (regarding to previous situation): in the policy design and application phases.

7. How old are these changes? Which degree of relation with EU and ESDP mainstream.

8. What about the "rapport de force", power struggle at stake, were there obvious winner and loser as consequences of the decision which was taken

9. Which groups benefit from the implementation

10. Which group are "loosing" from the implementation

11. Were there obstacles, barriers, making it difficult to use governance practices and tools (5 WPG principles of effectiveness, coherence, participation, openness and accountability, practices of consensus building, partnership, involvment of different actors, involvement of local and regional authorites, coordination…)

12. Considering processes and outcomes of governance, what are the main weakness and strength (Strength, Weakness, Opportunity, Threat / SWOT analysis)

13. Is there an evolution in this SWOT (time aspect)

10. CONCLUSIONS AND TENTATIVE POLICY RECOMMENDATIONS

At this stage of the project, only three months after First Interim Report, the project is still in a phase that does not allows offer definitive conclusions. Even though at this moment first National Overviews results, with some limitations explained in this report, allow design a general picture of governance in ESPON space and formulate, at least, some oriented reflections if not recommendations in strict sense.

A logical approach we can follow to present them is asking for main resources and main lacks that are contributing or stopping governance trends, in order to promote or avoid them, and in which way it could be made, also as positive or negative recognized factors.

We take as given diversity of situations regarding characteristics are associated with institutional (the unitary, federal or regionalized form of government, leading to differences between local, regional and national levels capacity to face structural reforms, different traditions across Europe on both governmental and business cultures) and territorial (geography, e.g. the size or insularity of a country) features. Positive elements are long tradition of "working together" and citizens' participation, innovations in the field of partnership creation, reorganization of spatial planning system and introduction of new instruments and agencies. Then a question arises: favourable resources are related with quality of territorial capital, a very complex and specific issue the project will look in deep in case studies. At this moment, then, proposals are easier if oriented in a reactive way than proactive, focusing in a first moment on main lacks and related factors.

One conclusion we can extract is that there are conditions, albeit diffuse, pressing urgently in governance actions. However, there are also wide variations in acceptance of governance concepts and principles, among states also as inside States, depending on long history of consensus politics, participation practices and partnership arrangements and traditions, but also recent decided attitudes in favour or governance principles and practices. Here behaviour patterns are not clear, at least a correlation between new / old Member States and positive or negative is not clear. Some of new MS could improve substantially their relative position (as others did when their adhesion) while old MS, as southern Mediterranean, strongly maintain traditional discourses. Also in the core we could find advanced examples of federalism that present problems to coordinate decisions while other centralized ones runs better. Thereby, institutional models seems to be less decisive than mature systems of planning, specially spatial planning for sustainable spatial planning. So, it seems that runs the hypothesis of spatial planning and the realization of environmental problems as natural and illustrious fields for governance.

Looking for some explanation to previous comment, we are leaded to subsidiarity principle. Initially a legal basis principle to be applied in State-EU relations, progressively has been translated, in practice to Member States, through application in them of European policies –trough SF mainly. In this process, subsidiarity principle could be banalized and/or misunderstood, in interested confusion with federalism-decentralization-devolution-regionalization. Instead to be considered, as it seems not obvious, a principle of double way (top-down but also bottom-up) to solve incompatibilities at different levels, weakness/excessive power of one level

(central/regional/local), where the most important is not the allocation of resources but the role to each one to solve common problems or affront common challenges. In this sense, approach to the middle between top-down and bottom up institutional changes, sharing soverignities, subsidiarity principle closely links with governance. Governance, as a new mode of thinking and acting, seems to be universally accepted, at least at the level of national governments. But, in a large number of countries, it is far from clear to what extent this acceptance is consciously shared by all government levels and agencies and by civil society or is merely surface-deep. The need to popularize governance principles and policies is not a matter of national governments only. It is essential to adjust them to national, regional, even local conditions. Subsidiarity and proportionality require maturity of system.

European Union policies and integration processes is recognized as the most important catalyst factor for adoption of governance approaches. Despite this, and the fact EU influence on governance tendencies in countries is clear in other spheres in policies, particularly Structural Funds, acceptance of governance concepts and principles is not directly the result of endorsement of the White Paper on European Governance. That seems to confirm European integration (the construction of Europe) has been the more consequence of policy integration than polity and politics integration. That is a fundamental background to preserve and develop.

Principles of governance are not clearly understood. They are promoted by some political traditions and subverted by others:

- Interconnections and overlaps between transparency and accountability

- Coherence, subsidiarity and proportionality are rarely mentioned. Subsidiarity and proportionality require maturity of system, as referred above.

- Effectiveness is a strongly emphasized issue

- Participation receives special emphasis, but with wide variations between countries, depending on political culture and tradition.

- Horizontal co-ordination is mentioned least of all, maybe because of inherent difficulties reported in the overviews: territorial incompatibilities, administrative and professional barriers, introversion of individual policy agencies, etc.

Last one is a remarkable circumstance because dispute horizontal coordination among policies as first option for governance practices development. The need of an integrated focus, a territorial policy co-ordination method as a territorial development planning condition can be easily justified. The space, the territory, as its being already set ahead, is a scarce resource, and because of that, its planning has become an strategic activity in which an integral vision is needed. Nevertheless, it is much more complicated to put this idea into actions.

There is a predominant organization of sectoral policies and plans with unequal presence of policy packages, depending on tradition and style of planning. Despite calls for policy integration, policies often remain sectoral, and even more their implementation. Countries that have an elaborate system of policy packages are countries in which spatial planning already has a long history. Usual policies in inter-sectoral policy packages are urban, transport, research and development, economic

development and spatial planning. Instead, it is more difficulty to find policy packages in New Member States. However countries that do not yet have policy packages are working on the creation of those.

In fact we attend to an emergence of new ways of relations among institutional levels (vertical relations). Here an hypothetic paradox: slow advances in cross-sectoral practices (even though communitarian integration has been based on policies) but progressive institutional changes at state level (vertical polity system). Besides, difunction among compartmentalized administrative structure and functional areas (nearby territories coordination –horizontal coordination among territories) presupposes new governance methods but also the weakening or elimination of these dividing lines, i.e. presupposes radical administrative reforms that make this process complex and slow.

Other obstacles for governance are the problem of legitimating participation of non-elected bodies and agencies in decision-making: participative democracy versus struggle for democratic powers. Even more when private interests –presents as lobbies or partners- advantage common general interest and this situation is understood as the 'status quo'. Several overviews of Mediterranean countries state that the respective societies see the institutionalization of physical planning as a reaction and a barrier to the exploitation of land.

As final coment, to conclude, we present as bullet points some oriented questions:

- Conciliation or reconciliation of official – formal spatial planning system and territorial governance.

- Recognition that formal spatial planning processes can still offer a reliable framework, particularly in conditions of immature capitalist development.

- Further debate on the role of central government in spatial planning – Guidance only? Exclusive competerncies reserved for central state?

- Strengthening of forms of cooperation: Exchange of experiences, seminars, field trips, advisory missions.

- Resolution of conflict between decentralization / partnership / local empowerment on one hand and central control / cohesion / effectiveness / competitiveness on the other.

- Resolution of conflict between government structures which decided nationally and policies which are increasingly influenced, even dictated, by the European Union, with a number of inevitable incompatibilities.

- The rythm of adaptation of different countries to governance principles is bound to differ and it would be counterproductive to enforce a uniform pace.

- Removal of contradictions between governance principles: These contradictions must be identified and adjustments made, particularly in different national conditions.

- Better and more clear definition of governance principles and resolution of the inconsistencies between them.

- Governance must be made, and be seen, to operate for the benefit of society and not of private interests, in the name of economic efficiency and enhanced competitiveness.

- Formulation of criteria to evaluate observance of governance principles.

- Outlining sets of preconditions for good governance structures pertaining to specific targeted themes, i.e. regional economic development, urban regeneration, infrastructure development, protection of cultural heritage, risk management, environmental protection, spatial planning etc.

- Some additional principles or sub-principles should be considered with respect to their importance for spatial planning (and not alone), e.g. autonomy, appropriateness of governance structures for specific policy matters, flexibility in inter-institutional relationships, etc.

- Encouragement of administrative reforms, those improving compatibilities of territorial jurisdiction of different government functions (predominantly environmental protection, development and spatial planning).

- Boosting forms of sectoral horizontal cooperation and partnership since communication between different policy sectors seems to lag behind.

- Encouraging vertical cooperation and partnerships in cases of federalized or highly regionalized states since coordination in the vertical sense is their weakest point.

- Encouraging horizontal partnerships in territorial terms in cases of regions and municipalities with feeble identity either in terms of their size (of territory or population) or in terms of their competences and financial capabilities.

- Supporting national level horizontal partnerships, those established to formulate National Development Plans and Regional Policies, in cases of former socialist countries, among others as a means of consolidating the new states and maintaining political stability.

- Supplying the corpus of governance education and knowledge of public officials, politicians and spatial planners with new inputs.

- New spatial planning instruments are needed to bridge gaps owing to different terminologies of individual policy sectors, different processes, different spatial and time references.

- Coupling governance with sustainable development, which means support of governance structures established with a clear and declared objective that is compatible with the problems of unsustainability faced in particular regions.

- Hence, supporting governance structures established to promote economic development in backward regions; and supporting governance structures established to resolve environmental problems in environmentally degraded regions.

- Supporting conflict resolution between agencies and structures representing formal spatial policies on the one hand and opposition movements or structures fighting against these policies on the other.

- Upgrading the image of the state in countries where there is low level of social acceptance and trust of the state on the part of the citizens.

III - PART THREE: ANNEXES

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Case studies characterization

1. Portugal

1.1 Atlantic Axis

Geographic scale: a. trans-national/cross border and b. polycentric urban networks
Effects on governance:
a. multi-actor/multichannel (horizontal), multi-level cooperation (vertical),
b. multi-actor/multichannel (horizontal), multi-level cooperation (vertical)

The Atlantic Axis of the Iberian Northwest is an association of 18 cities of Northern Portugal and Galicia, established in 1992 and organized around four commissions. It has promoted various activities, such as a joint Agenda 21, a strategic study, a journal and a guide, apart from encouraging regular cooperation programmes in the area of culture and sports. The Axis's 18 municipalities have also concerted positions on some projects, such as the priorities of road and rail infrastructures, and a set of proposals to be presented and defended before the respective national governments and the European Commission, with increased participation of regional authorities and other public and private agents in both sides of the Galicia with the North of Portugal border. As such the project can thus be seen as a project on the *trans-national/cross border* scale, overlapping several regions and Galicia, but also as a clear case of a *polycentric urban network* containing 18 cities. The effects from the polycentric urban network level should be both horizontal and vertical coordination. Horizontal coordination effects could be found in the **multi-actor/multi channel** due to the big number of actors involved. (I would like to make the remark that the project most likely will also sort effects among territories, looking at the neighbouring cities networking etc.). **Multi-level coordination** on the vertical scale should also be expected, being a project that comprises several administrtive scales. In the catogory of the trans-national/cross-border the same effects are to be expected.

1.2 Metro do Porto

Geographic scale: a. the functional urban areas/metropolitan regions and b.in the field of intra-city
Effects on governance:
a. the multi-actor/multichannel (horizontal), multi-level coordination (vertical), participation of NGOs and openess
b. participation of NGOs and openess

Due to its effects on mobility within a congested area, due to the importance that it has come to assume in public discussion and due to the involvement of several municipalities in articulation with the Central Government, the Metro Project in Porto MA is a highly relevant case study, when also considered the dynamics of (forced) openness, negotiations and debates that have tended toward decision-sharing with the public and formal and informal metropolitan agents. It is proposed as a study case, due to its relevance and pedagogic exemplarity, even if it is recognizable that it has not always been characterized by the best practice. It has involved a public enterprise, the government, the Oporto metropolitan administration and the municipalities directed

affected by the project. It has been one of the most debated projects in Portugal, with special sites, blogs and all types of participation, with increased relevance on decision and political debate.

This project is also located in two scales, being an intra urban project it can be put in the *functional urban areas/metropolitan regions* and in the field of an *intra-city project*. Starting from the intra-city it is to be expected to have effects on the **participation of NGOs and the openess;** this coincides with the interesting mix of actors and elaborate participation mechanisms. In the field of funtional urban areas it has a threefold effect. Again we see the **participations of NGOs and the openess**, but it also is expected to have results on the **multi-actor/multichannel** (horizontal) aspect again due to the mix of actors involved. We also see vertical coordination through **multi-level cooperation**, because the project does not only have implications and thus interests on one level.

2. Austria

2.1 Leoben

Geographic scale: Urban-Rural
Governance effects: Multi-Actor/multi channel (horizontal), Multi-level cooperation(vertical), Participation of NGOs/openness, integrated policies

Leoben, the second largest city in Styria is located in a declining industrial region and has to struggle with different kind 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. The scheme is composed of four hierarchic levels: The mission statement for orientation of the development, the objectives to define concrete endeavours, the strategies and measures to assign work orders and responsibilities and timetable. Thereby the citizens should be able to identify themselves with the projects going on in their town or region. Leoben will focus othe following topics over the next years and wants to avow itself to being an energetic town willing to realign itself:

- Leoben wants to identify itself as a university town with plenty of innovative potential
- Culture and tourism will be the economic emphasis
- Communication has to be developed further
- Leoben has to strengthen its role as the regional centre (urban-rural relationship) in Northern Styria

From this case description it becomes clear that the project is on the geograpical scale of the *urban-rural relationship*. It effects on governance are to be threefold. First of all on the scale of the horizontal coordination it is a **multi-actor/multichannel** project taking into account the number and diversity of actors involved. Everybody

prospers with breaking free of the negative spiral, so public and private parties work together. Also in the field of vertical coordination there is **multi-level cooperation**, the project not only comprises the urban area, but the total region and in the end its specific place in the country. Last but not least there are effects to be measured in the **participation of NGOs and the openess**, this again relates to the multi-actor heading. **Integrated policies** also might take place (among policies)

2.2 Regional managements in Austria

Geographic scale: national/intraregional
Effects on Governance: amongs territories, multi-actor/multichannel (horizontal), decentral./devolut./regionalisation (vertical)

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 political and private regional actors (horizontal cooperation among actors and policies), to develop bottom-up (as an aspect of decentralisation, regionalisation) development strategies in co-ordination with the national and regional level (horizontal and vertical cooperation), and to promote regional key projects in consensus with the most relevant actors of the region. They represent a participative concept to promote regional development in cooperation with the residents, the EU, governments at different levels, economic partners, and other institutions and act as a consulting interface between all partners.

The project is located on the geograpical scale of the *national/intraregional*, being a project that is about regional development organisations on the national level. It is expected to have a threefold effect of which the main effects lie in the field of horizontal coordination. Here we see the fields of **among territories** fulfilled due to the cooperation of neighbouring urban areas, regions etc. It is also a **multi-actor/multichannel** project taking into account the focus of the regional managements to improve the coopration of political and private regional actors. Furthermore their tasks consist of stimulating the bottom-up principle and as such represent a **decentralisation, devolution and regionalisation** of powers. **Integrated policies** also is expected to take place (among policies)

3. Italy

3.1 Mezzogiorno Development Programme – Integrated Territorial Projects (MDP-ITP)

Geographic scale: Regional, polycentric urban networks
Effects on Governance: amongs territories (horizontal), multi-level cooperation, decentral./devolut./regionalisation (vertical), integrated policies

A good example to test the changes of the Italian urban and territorial policies towards forms of territorial governance are the complex strategies carried out to promote the development of the Italian Objective 1 regions for the 2000-2006 period: Basilicata, Calabria, Campania, Puglia, Sardegna, Sicilia and Molise (in phasing out), all in Southern Italy (the *Mezzogiorno*). In that case, policies for the promotion of development have been adopted according to the guidelines of the EU and are identified

in the so called *Nuova Programmazione* (New Programming) of the *Programma di Sviluppo del Mezzogiorno* (MDP). These documents describe the strategies for the promotion of development in the *Mezzogiorno* according to two keywords: integration and territorialization of policies. Such strategy proposes the convergence of interventions towards a limited number of primary objectives which must be in relation to six strategic axes:

- natural resources;
- cultural resources;
- human resources and services;
- local development systems;
- cities;
- networks and communications.

The key instrument through which these complex objectives can be reached is the *Progetto Integrato Territoriale* (Integrated Territorial Project - PIT). PIT's are defined as those sets of actions that cross diverse sectors but aim at common territorial development objectives and require a united and coherent implementation approach. They are based on the realisation of inter-sectoral actions as well as on the connection between, and the coordination among, the various instruments available to promote local development.

The project is located on the geograpical scale of the *regional polycentric urban networks*, as it is a case focussing on the regions with the cities and networks as one of their strategic axises. It is expected to have effect in four fields. In the horizontal coordination level the field of **among territories** can be crossed due to the cooperation of neighbouring regions. There is also **multi-level cooperation** taking place, because the case is implemented at the local level, but has a more national common objective which connects the different levels. The case study is also expected to have effects on the **decentralisation, devolution and regionalisation**. One of the main goals of de MDPs is to integration of policies, so it is very obvious that effects are expected in the field of **integrated policies.**

3.2 Project of Promotion of Sustainable Development Processes in the Pinerolese (PPSP)

Geographic scale: urban-rural
Effects on Governance: amongs territories, multi-actor/multi-channel (horizontal), integrated policies, OMC method/innovative mechanisms

The *Progetto di Promozione dei Processi di Sviluppo Sostenibile del Pinerolese* (PPSP for short) regards a typical example of instruments created to coordinate public and private local actors interaction in areas where different development projects are ongoing. The Pinerolese is in the Province of Turin, from Turin's metropolitan area to the French border along the Alps. It has a strong territorial identity, mainly based on a common history and a long series of government institutions referring to the same territory. As many other parts of Piedmont, and Italy in general, this area is now striving to sort out a deep industrial crisis, a demographic problem due to the loss of population in the mountain areas and the search for new sustainable processes of development. The PPSP has been created in the framework of a Territorial Pact in which stakeholders and

governmental actors interact for the definition on common development strategies. Its aim is to coordinate different local institutions and non-governmental actors (whether contemporarily involved in the Territorial Pact or not) and ongoing projects like:

- Interreg III;
- Leader+;
- several projects funded by the Province of Turin or the Piedmont Region;
- a good number of projects sponsored by local authorities and agencies;

the next Winter Olympic Games (that will in part occur in this area).

The case study relates to the geographical scale of the *urban-rural* relations containing an area of urban settlements and rural area. The main effects are expected in the field of horizontal coordination through coordination between the different neighbouring regions involved (**among territories**) and **multi-actor/multi channel**, through the diverse mix of actors involved due to the PPSP construction. There are also effects to be expected in the field of **integrated policies**, because the case study tries is about an integral view of the area that will be studied. The last field that can be mentioned related to this case study is the field of **OMC method/innovative mechanisms** again due to the contemporarily involvement in the Territorial Pact.

4. France

4.1 The "Pays" policy

Geographic scale: urban-rural
Effects on Governance: amongs territories (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGOs/openess

This case study has its effects drawn from the geographical unit of the *urban/rural* scale on several domains of governance. The document in which the case studies are propesed and categorized in the table provides a synthesis and an analysis of governance practices in the framework of the "Pays" policy. It will be presented as a general assessment of this national policy illustrated by local examples, which seem interesting to us in terms of governance practices. The main objective of the policy is to favour cooperation between urban areas generally of a moderate dimension and surroundings areas from peri-urbans to rural ones. The local development projects are proposed by local authorities at local and/or inter-municipal levels but they also depend of the "Contrat de Plan Etat Region" at Regional level and then indirectly on the State funds. They can mobilize other partners at infra-regional level as departmental authority councils or even private partners at different levels. Integrated policies can be considered as far as local development project are multi-sectoral with an attempt to tackle all the local development issues in the more general way possible combining the different local policies with synergic effects. Participation of NGA/Openness: one of the main inovation of this policy is the obligation to create at local level, local forums composed by representatives of the civil society. It will be of a great interest to assess the different configurations of such organizations, the way they work, their participation to the building process of the local development project, their influence and impacts on decisions making.

The project is concerned with the *urban-rural relation* concerning the urban areas as a whole also covering the rural country that seperates the cities. The effects on governance can be found **among territories** through neighbouring municipalities and regions, concerns **multi-level cooperation** by the involvement of the local leven, regional level and indirectly the state (funds). The **integrated policies** are also of importance as mentioned above through the multi-sectoral approach. And last but not least there are considerate effects to be aspected on the **participation of NGAs and openess**, because this seems to be one of the main focusses of the project.

4.2 The analysis of the town planning instruments of the urban area of Lyon

Geographic scale: functional urban regions/metropolitan areas
Effects on Governance: multi-actor/multi channel (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGOs/openess

Lyon is the second metropolitan area in France and because of the existence of a fully integrated urban policy giving way to a better dialogue between horizontal and vertical cooperations, we have chosen the case of the urban area of Lyon. Lyon benefits of a mature town planning experience. Lyon is governed by a municipal council and by a powerful urban authority since 1967, the Grand Lyon The Grand Lyon is engaged in all urban contracts and uses several planning instruments. We will precisely analyse the SCOT ("Schéma de cohérence territoriale"), as the urban area planning instrument, and the PLU ("Programme local d'urbanisme"), as the urban planning instrument at municipal level. The SCOT and the PLU are instruments to define spatial planning priorities and actions to resolve urban problems, like land use, living conditions, accessibility, economic attraction, urban segregation Furthermore, some neighbourhoods are integrated in the "Politique de la Ville" : four "Grands Projets de Ville" have been put into practice in the urban area. In this framework, different specific actions have to be harmonized. That requires coordination between different actors and decision levels Naturally, the effects of the decentralization process can not be put a side but it can be considered as the general picture in which new instruments of town planning are nowadays developed. We will then focus (SCOT, PLU and GPV) on the improvement of horizontal cooperation at local level and of the local system of government (governance). It will be possible to explain the ways local, regional, national and European levels interact through these specific town planning instruments The openess issue will be dealt with studying the methods, issues and fields of dialogue between administrations, representatives and inhabitants as far as the local authorities should organize their schemes in collaboration with State (Regional and Departmental Prefectures), and in a permanent dialogue with inhabitants (participative democracy).

Because Lyon is the second metropolitan area of France, the project is exactly on the scale of the *functional urban area and metropolitan region.* The effects on governance are expected in the area of **multi-actors**, the projects requires coordination between different actors and decision levels. On the vertical level there will be **multi-level cooperation** through the different levels of government, from EU to the local interacting through the specific town planning instruments. There will also be effects in the **integrated policies** trying to make a policy that is crossing all the different relavant sectors. On the field of **participation of NGAs and openess** there should also be some more insights by a study of the methods, issues and fields of dialogue between the various actors.

5. Germany *(alternative 3rd project)*

5.1 The Socially Integrative City (Duisburg, Essen or Herne)

Geographic scale: a. intra-city, b. national/inter-regional
Effects on governance: a. multi-actor/multi-channel (horizontal), participation of NGOs/openess, integrated policies, b. integrated policies

The programme's aim is to reduce the widening socio-spatial disparities within cities and districts. The programme fosters participation and co-operation in terms of intersectoral governmental co-ordination as well as participation of NGOs and citizens. It follows a conceptual approach on federal level but is implemented on local level. The programme is regularly evaluated on federal as well as state and municipal level thus providing useful background data for the description of the case study. The Socially Integrative City represents a new political approach to German urban district development. The integrative approach of the programme is illustrated by the fact that measures and projects are realised in all fields of urban policy and often cover more than one field at the same time. Developing and implementing projects relies on a mixture of direct action in collaboration with citizens and concept oriented measures in order to reach short term as well as long term effects. Fields of activity emphasising the policy package approach are:

- Employment, qualification and training
- Accumulation of neighborhood assets
- Social activities and improving social infrastructure
- Schools and education with a strong emphasis on young persons' participation
- Health promotion, esp. for less educated and migrants
- Transport and the environment
- Urban district culture, aiming at improving the internal and external image of the district
- Sports and recreation
- Integration of diverse social and ethnic groups
- Housing market and housing industry
- Living environment and public space
- Urban district marketing and public relations.

Horizontal co-ordination ("multi actor horizontal co-ordination") as well as public participation ("Participation of NGA/Openness") are the key methods for implementing the programme. While the former mainly results from the policy package approach, emphasised by well equipped state and federal funds, the latter is regarded as acting as a bridge between policy conceptualisation and implementation. Integrating NGOs and citizen representatives into programme advisory boards and organising frequent information activities and citizen workshops is supposed to improve quality and acceptance of projects and measures. Migrants and young persons (children, teenagers) are the main focus of participatory action, assuming that migrants are the socially lest integrated group in the district and assuming that young persons will automatically act as multipliers for the programme as well as the district development.
Since the programme was established in the 1990ies in North Rhine-Westphalia, participating districts show significant differences in co-ordinating multisectoral

stakeholders as well as implementing intersectoral projects. It will be an important point of the case study to see how the district selected for the case study competes with other districts in the programme.

The case study will be chosen from the state of North-Rhine Westphalia, where the today nationwide programme had its origin in 1993, thus providing a maximum state of knowledge and experience. The selection of the cities however is subject to expert interviews we will have in the initial stage of the elaboration process.

This case studies is located in two geographical scales, the first scale is the *intra-city* on which the majority of the effects are to be expected. The project focusses on an urban region containing three main cities, thus making it logically an intra-city project. The effects are expected to be in the **multi-actor/multi-channel** field due to the wide focus of the project involving many different actors, from transport organisations to sportclubs. The method to approach this is found in the creation of policy packages (**integrated policies**). The **participation of NGA/openess** is another key method for implementing the programme by creating a bridge between policy conceptualisation and implementation. Citizens and NGAs are integrated into programme advisory boards and organising frequent information activies and workshops. These are supposed to improve quality and acceptance of projects and measures. Migrants and young persons (children, teenagers) are the main focus of participatory action, assuming that migrants are the socially lest integrated group in the district and assuming that young persons will automatically act as multipliers for the programme as well as the district development. The case however can also be catogarized as a national/inter-regional programme in which we again see the integrated policies.

5.2 Hamburg Region

Geographic scale: a. trans-national/cross-border, b. functional urban areas/metropolitan regions
Effects on governance:
a. multi-actor/multi-channel (horizontal), multi-level cooperation (vertical),
b. multi-actor/multi-channel (horizontal), multi-level cooperation (vertical)

The city of Hamburg operates an extensive system of multi-level and multi-actor strategies to promote the location in various ways. This complex system suggests itself for an intensive study, in particular with a view towards governance structures (see e.g. column actor-project constellation). An extensive matrix can be made in which the complexity of the relations is visualized, however here we make focus only on a section of this matrix in which the more current projects are described.

- Metropolitan region Hamburg, an inititaive to find an institutional structure for the functional urban region,
- STRING, a transnational initiative to define a 'transitional' region between Germany, DK, and Sweden, and the cooperation agreement Berlin-Hamburg, an initiative to coordinate the political activities between the two most important northern metropolitan regions in Germany, clearly with a view towards the potential impact as centres in north-east Europe.

The case study is located on the two geographical scales of the *trans-national/cross border* and *functional urban areas/metropolitan regions*.

In both levels have the same expected impact on goverance, **multi-actor/multi channel coordination** and **multi-level cooperation**. They are both very logical effects, because of the fact that the project tries to connect many different types of actors on various levels.

Project	Spatial level Strategic positioning			Function of the region	Actor-Project-Constellation	Rhetoric[1]	Focus	Conflicting issues?
	macro [2]	meso	micro					
Olympic Games 2012	Global			Location Carrier	Private-Public Networks	*Global Challenge* Marketing	Economic programme	After event 'service'? People Public spending
STRING	European (Global)			Transregional Resource container	Public-Public Expert Networks	*Globalisation* Learning Culture Sustainability Growth	Economic Transport and communications Culture Sustainability	Core-Hinterland
Cooperation Agreement Berlin Hamburg	European	National		Power houses Strategic axis	Public-public	*Global Challenge* Synergy Learning Excellence	Strategic	Relations with other larger cities Core-hinterland
Metropolitan Region Hamburg		National		Resource container Institutionali-sation of the functional urban region	Public-public	Synergy Sustainability Growth	Range of Leit-projects	Core-hinterland Political conflicts
HafenCity			Local	Locational Bedrock Light house	Public-Private-Partnership	Excellence Metropolitan Global Challenge	New Economy	Old Economy Old jobs Common People
String of Pearls			Local	Locational Bedrock Cultural resources Light house	Public initiator Private investors	Romantic vision of harbour life	Impulse and lever for regeneration	Common People Traditional functions

5.3alt. New planning bodies (Hanover or Stuttgart)

Geographic scale: a. polycentrism urban networks, b. urban-rural
Effects on governance: multi-actor/multi-channel (horizontal), multi-level cooperation, decentral./devolut./regionalisation (vertical), b multi-actor/multi-channel (horizontal)

German municipalities, counties and planning regions have been discussing the mode of power distribution and decision making for a long time. Since few years, the Hanover region and the Stuttgart region have restructured responsibilities and competencies resulting in new ways of decision making in the fields of

- regional and landscape planning,
- traffic and transport planning as well as public transport planning,
- social housing planning (Hannover only)
- economic promotion   and tourism marketing,
- local recreation planning (Hanover only)
- waste disposal management,
- schools, youth welfare, social welfare, and hospitals planning (Hanover only).

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[1] Rhetoric – excerpts from programmes.
[2] Whether the global and the European level are both **macro** aspects might be debated. The scale between the categories is probably rather a sliding one, with no sharp dividing lines.

Partly, non governmental stakeholders are involved, but it is mostly the new distribution of competencies between city, county and region in terms of horizontal co-operation (between municipalities) and vertical multi-level co-operation (between municipality, county, region) that we consider important. Governing councils on all levels have changed their legal responsibilities, in Hanover following the guideline of non-centralisation of decision making capacity (i.e. a former municipal responsibility may not be delegated to the region, only vice versa). As a consequence, both regions act as examples for decentralisation of competencies. Stuttgart as well as Hanover are examples for how regions can react to changing planning requirements within a strongly regulated planning system. The selection of the exact region would be subject to expert interviews would have in the beginning of the elaboration process.

Again we deal with a case that can be catogarized on two geographical scales, the *polycentrism urban networks* and the *urban-rural* relationships. The case consists of a vast urban region with its remaining rural area. The effects can be found mainly in the scale of the polycentrism urban networks. Here there should be **multi-actor/multi-level** coordination between municipalities, **multi-level cooperation** between municipality, country and region and **decentral/devolut./regionalisation** due to change of power distribution. On the other scale there could be **multi-actor/multi-channel** coordination also between the rural and urban area.

6. Belgium

6.1 The development of Zaventem airport

Geographic scale: functional urban areas/metropolitan regions
Effects on governance: multi-actor/multi-channel (horizontal), multi-level cooperation (vertical), participation of NGOs/openess, integrated policies

The project description is limited in this case therefore we will go straight to the relations in the matrix concerning this case study. This case study lies in the geographical field of the *functional urban areas/metropolitan r*egions, because it is dealing with the impact of an airport. The expected effects of governance can be found in the vertical coordination through **multi-level cooperation**, as different levels of public power are involved. We also can see horizontal effects in terms of **multi-actor/multi-channel coordination** as some similar level of government are involved, with no hierarchy of rule. This case also involve several actors, economic, social, environmental (quality of life), which is also the reason for the insertion in box **participation of NGAs/openess**, to understand in which extent each of those actors can influence this highly conflicting case. This is typically a case of problematic management and governance at metropolitan level. Finally box policy package and **integrated planning**, as this should be the outcome for this case, but we will experiment here a "failure" of governance.

6.2 The project "Tour et Taxis"

Geographical scale: intra-city
Effects on governance: multi-level cooperation (vertical), participation of NGOs/openess, integrated policies, OMC method/innovative mechanisms

This case study is about the urban conglomerate of Brussels where we see multiple municipalities involved and thus can be located in the *intra-city* scale. It contains the large inner city area of Tour et Taxis, where a huge piece of vacant land exists since the 80's. This is quite unusual for Brussels, which has usually a problem of vacant space for large development. Vertical coordination is expected through **multi-level cooperation** as public power are quite involved, at level of Region and municipalities (plus the federal state in some aspect). Furthermore effects can be expected in the field of **participation of NGAs/openness**, because this is a local case, concerning people directly and rapidly, and different consultation were going on (and protest). The third effect that is to be expected lies in the box OMC methods/innovative mechanisms, that we hope will be filled with an example, as this should be the case (about partnership for instance). The last effect should be in the box **integrated policy**, as this project was already a focus in different plans.

7. Switzerland

7.1 Greater Zurich Area
Geographical scale: Functional Urban Areas, Metropolitan Regions
Effects on governance: multi-channel/multi-actor (horizontal), multi-level cooperation (vertical), integrated policies

The "Greater Zurich Area Standortmarketing" Foundation is responsible for marketing and acquisition activities for the Greater Zurich Area abroad. The founders' intention was to emphasize 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. They also felt it necessary to strengthen the economic multi-cantonal region of the Greater Zurich Area and position it internationally. The Foundation members are actors from the private and public sectors (representatives from cantons and cities). The Foundation members provide the yearly financial resources.
The GZA is of interest for a case study for three reasons:

1. The Greater Zurich Area (GZA) is a transcantonal cooperation with a functionally oriented perimeter which is defined by its member cantons and corporations.
2. The GZA is oriented towards the Domestic Policy System as well internationally oriented in the international economic competition between European regions.
3. Although the GZA has been critizized to be inefficient and not fit to reach its objectives, it is the only unit dealing with a large perimeter that comprises the functional economic region of Northern Switzerland

The case is located in the geographical scale of the *functional urban areas, metropolitan regions*, containing the conglomerate of Zurich. There are two effects to be expected both in the field of coordination. The first is in the field of horizontal coordination through **multi-actor/multi-channel** coordination. In this we also even see the main goal of the foundation of promoting public private partnership (and transcantonal cooperation) in order to achieve greater success of the region. The second effect that is expected is in the field of **multi-level cooperation** and takes place through internally connecting the domestic channels and also connect them to the international channels. Furthermore we see effects in **integrated policies** by cross sectoral development based on economy.

7.2 "Glow.dasGlattal"

Geographical scale: Functional Urban Areas, Metropolitan Regions
Effects on governance: integrated policies, multi-level cooperation (vertical), participation of NGAs/openness, OMC methods and innovative mechanisms

The initiators and members of the inter-community association "glow.dasGlattal" are representatives of eight communities in the agglomeration of Zurich, mostly mayors. The executive members had the need for an informal interest platform in addition to the existing regional and canton institutions. The trigger for the foundation was the political promotion of an urban light railway in order to solve the severe traffic problems.

"Glow.dasGlattal" is of interest for a case study for three reasons:

1. First, the perimeter of the eight communities is located in one of the most densely populated regions of Switzerland, north of Zurich, exluding the city of Zurich.
2. Second, although relatively young and still weak in its objectives and competencies, it is one of the well-observed examples of inter community cooperation in an metropolitan context.
3. Third, the association, „glow.dasGlattal"decided to participate in the agglomeration policy with the Best Practice Model „Networkcity Glattal".

The project is on the level of *Functional Urban Areas, Metropolitan Regions* because it is an inter-community association. It has effects on **integrated policy** (among policies), **multi-level cooperation** (the eight communities cooperating with higher and lower echelons), **participation of NGAs/openness** (mix of actors), **OMC methods and innovative mechanisms**.

8. Slovenia

8 The influence of European corridors and displacement of Schengen borders on regional growth

Geographical scale: a. trans-national/cross-border and b. 'regional' polycentric urban networks
Effects on governance: a. multi-channel/multi-actor (horizontal), OMC method, Innovative Mechanisms, b. multi-level cooperation (vertical), participation of PNAs/openess

Slovenia consists of 12 Statistical Regions, which will be reorganized in fewer units according to new legislation, which is not yet accepted by the parliament, but the question of appropriate regionalization is one of the main debate and has been subject of several research projects in the past. Each existing statistical region is composed by 10-20 municipalities. According to existing legislation there exist direct vertical axes: government – local authorities. Statistical regions are in process of reorganization in political units being legally adapted. The governance will be especially important approach to regional affairs. Horizontal Cooperation exist   among Slovenian

municipalities inside the informal regions which are in the process to be legally accepted also in new Constitution, but also direct horizontal cooperation exist among the municipalities of two different regional units. (Municipality is the basic local self-governed community in Slovenia. A municipality can consist of a single or several settlements. The territory and the names of municipalities have been set forth in the *Establishment of Municipalities and Municipal Boundaries Act* adopted by the National Assembly of the Republic of Slovenia. There are 193 municipalities in the Republic of Slovenia). At the project, where the influence of European corridors and displacement of Schengen borders on regional growth have been studied, vertical cooperation among national level, (where two sectors have been horizontally involved: Ministry of the Environment and Spatial Planning and Office for Structural Policy and Regional Development, supported by Dutch Pre-accession program through SENTER International), regional (not jet formally established level) and municipalities (local) level has been achieved.

This case study is focusing on European corridors and its interaction with the Slovenian municipalities and regions and thus is can be located in two geographical scales; *trans-national/cross-border* and *'regional' polycentric urban networks*. On the first scale effects are expected in terms of **multi-channel/multi-actor** coordination between the big amounts of municipalities involved. The case will also try to get some more insights in the **OMC method, Innovative Mechanis**ms again making use of the big amount of municipalities involved. On the geographic scale of the 'regional' polycentric urban networks there could be effects in the vertical coordination box related to **multi-level cooperation** in which the interaction is studied between the municipalities, national level and regional level. The case of possible coordination of regional policies developed through "Office for Structural Policy and Regional Development" and spatial planning activities accepted by Ministry of the Environment and Spatial Planning will be presented. Practical possibilities of Multi – Level Governance cooperation will be described.
Lastly effects lie in the field of **participation of NGAs/Openess.** The participation of Non Governmental Actors through innovative e- communication will be described. This approach enables Openness (information, communication towards and between governmental and non governmental actors, institutions, organizations where also the solutions how better understand the results of mathematical models for supporting decisions in public participation will be given.

9. Czech Republic.

9.1 Brownfields Regeneration of post-industrial brownfields in the Czech Republic: two strategies of brownfield regeneration in Objective 1 and Objective 2 regions

Geographic scale: national
Effects on governance: multi-actor/multi-channel (horizontal), multi-level cooperation (vertical), participation of NGOs/openess, integrated policies

One of the main urban problems of Czech cities are brownfields, left after by declined industries, railway, army, etc. They are present in most cities. Only in a few selected places, especially in locations close to downtown Prague, brownfields are regenerated by private commercial companies. In majority of instances a support from public sources is needed to initiate brownfield regeneration. Czech cities and regions

can use support from EU Structural Funds for brownfield regeneration together with national regional policy support, national FDI support and local sources. Concerning the EU Funds, there is a major difference between Prague, which is not eligible to draw support according top Objective 1, and the rest of country. Parts of Prague that were affected by deindustrialisation can however, draw support according to Objective 2. This case study will explore the problem of brownfield regeneration, looking on the coordination of urban, regional, national and EU funds with a special attention to differences between Objective 1 and Objective 2 areas. Furthermore, brownfield regeneration can be fully achieved only through a combination of public sources for the initiation of the process and private funds for the actual regeneration. Therefore the case study will place attention to governance issues in the field of public-private partnership in brownfield regeneration.

This case study concerns brownfield regeneration in urban areas and because this is a problem throughout the country the geographical scale is the *national*. A fourfold of effects is expected to be observed. First of all in the area of **multi-actor/multi-channel** coordination where we see private and public actors involved in the regeneration of brownfields. Also vertical coordination through **multi-level cooperation** takes place where the national level draws financial resources and policy from the EU level and the municipal and regional levels connect to these higher echelons. The key element of this case however lies in the **participation of NGAs/Openess** because the private parties are a very important actor in this. Brownfield regeneration is only possible through a successful public private partnership. Lastly the field of **integrated policies** also has some importance to cross all sectors involved in this regeneration process.

9.2 Sprawl in PMA Vertical and horizontal relations between strategic and physical planning initiatives and instruments in Prague metropolitan area: possibilities for the management of urban sprawl

Geographic scale: Functional urban areas/metropolitan regions
Effects on governance: among territories (horizontal), multi-level cooperation (vertical), participation of NGOs/openess, integrated policies

The Capital City of Prague and its metropolitan region is the prime area in the Czech Republic that would benefit from vertically and horizontally integrated strategic and territorial planning. The city itself is both the municipality and region. Furthermore, it is divided into 57 boroughs with own elected local governments and decentralised planning powers (despite there is a single master plan for the whole city, on the lower scale, boroughs prepare urbanistic studies and detail regulations plans). The core city is functionally integrated with surrounding suburban areas. However, these areas are under the jurisdiction of a large number of independent municipalities on the municipal level and under the jurisdiction of Central Bohemian regional government. Therefore, there is a case for horizontal cooperation on both municipal and regional level. Another field is the application of EU programming documents that requires cooperation of the city with particular national government ministries. Therefore the case of Prague and its metropolitan region presents a complex and complicated web of horizontal and vertical, territorial and sectoral policy and planning relations. The case study would serve as an example for the governance structure in Czech Republic, reveal the main strengths and weaknesses of existing situation and offer recommendations to strengthen the territorial

coordination and collaboration. The case study will specifically refer to rapidly developing residential and commercial sprawl in Prague metropolitan area, which should by tackled by joint effort of both regional governments and through vertical national-regional-municipal coordination.

The case study speaks about the metropolitan area and thus can be categorized on *the functional urban areas/metropolitan regions* scale. There are four fields of effects to be measured. There are horizontal effects **among territories,** because it involved multiple neighbouring local governments and the surrounding independent municipalities. The vertical effects can be sought in the **multi-level cooperation** where we will see the local governments with their planning powers cooperate with higher echelons. The goal is to use the Prague case as the example that can give better insight in the general Czech planning system and create more openness (**participation of NGAs/openness**).

10. Spain

In the case of Spain all three cases have the same background in which the different aspects of governance are mentioned implicitly after which a small project description and summary in relation to the matrix is given.

Spain historically suffers from both a *single hierachical central political power,* with often visionary ambitions but limited capacity to efficiently manage all policies, and *multiple decentralised peripheral social networks of influence*, with limited political legimity with the Autonomous Regions. While the central bureocracy has a long tradition of goverment, since the XVI century, and often has been *arbitary*, non democratic, non transparent, peripheral networks were to some extend absorved by the new autonomous bureocracies, that often have visions constrained by local concerns and people interests, short-term minded.

Systems of government and governance	Legimity (citizen's acceptance?)	Efficiency (overall performance)
Centralised hierarchy	Official, traditions invented and imposed since XVI.	Visionary long-terms goals. Limited capacity to day-to-day management.
Multiple peripheries	Informal, modern, traditions invented in modern times, or even nowadays	Short-term oriented based on permanent negotiation among citizens, firms and institutions.

During the nineties, no multiparty relations between the central government and regions were celebrated; while most regions had rethorical spatial plans, the central government implemented projects and plans with as little as possible public information and negotiation, having in mind a centralistic vision of the Spanish territory. Recently, the new government approved a PEIT(Plan Estratégico Infraestructuras del Transporte) with a new discours but not so different policies (no list of projects is included, but an aggregated list of costs by type of projects).

The creation of regional bureocracies reduced the stregth of pre-existing networks, since people involved in social and economic networks became member of institutions. The long period under Franco regime reduced the vitality of local activities and enterpreneurship. Needless to say, there are important differences across regions.

The integration in Europe has also both dimmensions: while cities and regions form networks of cross-border cooperations, often more rethorical than operational, the actual drivers of the integration process are countries. As national governments transfer competences to European institutions, they became more concerned on nationalistic aspects.

The Metropolitan coastal zone of Barcelona is composed by the 27 municipalities, from Cubelles to Malgrat de Mar, including Barcelona.

Recently, two simoultaneous iniciatives (PDUSC and PEL) were launched in the coastal metropolitan zone of Barcelona. PDUSC is a top-down govermental regulation protecting the land still not urbanised closer than 500 metres from the sea, and the PEL a bottom up strategic plan launched by an association of municipalities, a new governance-like iniciative. In between there is PTMB, a plan was launched in 1989 and still has not being approved.

All other decision-making policies relevant in this territory will also be briefly reviewed as background for the three case-studies:

- *By types of plans*: (those defined in the Compendium -1994: Regional economic, integrated comprehensive, urbanistic...)
- *By mechanisms of coorperation*: there are vertical (inter-scales) and horizontal (inter-sectoral)cooperations, compulsory and mandatory, based on citizens participation and
- *By themes*: cross-borders, urban-regional, strategic, environmental, inner city redevelopments, infrastructure, risk management, business-oriented plans.

Next, a list of main policy documents are listed and classified preliminarly:
Project by project negotiations:
- Projects DCC
- Projects related to highspeed railways

Local programes of investments
- PAM Plans d'Actuació Municipal

Institutional agreements:
- PUOSC (Pla Unic d'Obres i Serveis)
- PDI (Pla Director de Infraestructures)
- Pla Delta (aproved serveral times and always modified)
- Agreement of the Consell Comarcal del Maresme on infrastructures and mobility

Structured public involved:
- POUM (Plans d'Ordenació Urbanística Municipal),
- PDUSC (Pla Director Urbanístic Sistema Costaner, ongoing)
- PTMB (Pla territorial metropolità de Barcelona, onging since 1989)
- PGM (Pla General Metropolità, 1976)

Estratègic:

- PEM (2004)
- PEL (Pla Estratègic del Litoral Metropolità, ongoing until 31-7-2005),
- PEIT

Participatory:
- Agendes21

Cross-border:
- CTP
- EURAM

10.1 Pla Estratègic del Litoral Metropolità de Barcelona (PEL)

Geographic scale: 'regional' polycentric urban networks
Effects on governance: multi-actor/multi-channel (horizontal), multi-level cooperation (vertical), participation of NGAs/openness, integrated policies, OMC method/innovative mechanisms

It's is a voluntary agreement made by 27 municipalities and is non mandatory. The goal is defining common strategies and be able to interact more efficiently with sectoral institutions and it started in June 2004 and will finish in June 2005.
The project is in the scale of *'regional'polycentric urban networks* dealing with a network of municipalities. We can see **multi-actor/multi –channel** coordination (more efficient interaction sectoral institutions), **multi-level cooperation** (cooperation by the local level with the higher levels, county, national), **participation of NGAs/openness** (citizen participation), **integrated policies** (cross sectoral policy approach) and lastly **OMC method/innovative mechanisms.**

10.2 Pla Director del Sistema Urbanístic Costaner (PDUSC)

Geographic scale: urban-rural
Effects on governance: multi-actor/multi-channel (horizontal), integrated policies

It's a mandatory zoning regulation issued by the Regional Government protecting from urbanisation land in the first 500 metres from the sea, for all municipalities in Catalonia, and providing funds for ecologic restoration. The plan is now initially approved and will be formally approved in May 2005.
The project is in the scale of *urban-rural* relations dealing with a network of municipalities. We can see **multi-actor/multi –channel** coordination (interaction between the municipalities), **integrated policies** (urbanisation and ecological restoration are connected).

10.3 Pla Territorial Metropolità de Barcelona (PTMB)

Geographic scale: functional urban areas/metropolitan areas
Effects on governance: multi-actor/multi-channel (horizontal), multi-level cooperation (vertical)

It is a mandatory masterplan that started in 1989 for 162 municipalities' around Barcelona, and, after having four successive teams working on it, is not yet finished. The Regional Government plans to submit it in 2007.

The project is in the scale of *functional urban areas/metropolitan* areas dealing with a network of municipalities. We can see **multi-actor/multi –channel** coordination (internal in teams, external with related actors), **multi-level cooperation** (cooperation between municipalities and the regional government)**.**

11. Hungary

11.1   The Process of Developing the National Spatial Plan

Geographic scale: national
Effects on governance: multi-actor/multi-channel (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGA/Openness

The making of the National Spatial Plan was an example of consistent, inter-disciplinary co-operation of agencies in the planning process. It was a process that not only involved a multi-actor and multi-level cooperation, but finally allowed for the participation of different NGOs and had integrated policy development as its aim. The Commissioning authority for the National Spatial Plan was the National Authority for Spatial Development and Planning, and the main planning agency was the VÁTI Hungarian Public Nonprofit Company for Regional Development and Town Planning. The process of planning involved several ministries (Ministry of Agriculture, Ministry of Transport and Water Management, Ministry Environment and Landscape Management, Ministry of Economy), but other participants included three university departments, two research centers, agencies for road, rail, water and air transport, for water management, water supply, for agriculture and rural development and representatives of NGOs. Plan preparation began with inter-departmental working meetings both. The process of decision making was long and tiring, but consensus was achieved, more important, the viewpoints and values were mutually understood and shared. The draft of the plan was presented to the representatives of the counties and local authorities as well as to representatives of professional organisations. The ensuing useful discussions and debates led to the enrichment of the contents of the plan.

Unfortunately, the final stage of the work, when the plan was given a legal form and the ideas and concepts of the plan had to be tailored in accordance with the rules of the legal system, was much less satisfying. Particularly frustrating was the highly politicised consultation period, when the views, comments and the decisions to support or reject some items in the plan (i.e. paragraph of the legislative document) were influenced by political preferences rather than genuine conviction.

It is clear that the case study is on the *national scale*, being about the development of a national spatial plan. Furthermore the effects to be expected on governance can be found on both the horizontal as well as vertical coordination. In the field of horizontal coordination the effects are to be expected on aspect **multi-actor/multi-channel** as they also tried to have a successful mix of private and public actors. This also gives a better inside in **the participation of NGAs and the openness** of the project. This is also an indicator of the **multi-level cooperation** together with the

fact that the final document is national, but the implementation and implications are also or maybe even more on the lower levels.

11.2 The Process of Developing the Spatial Plan for the Agglomeration of Budapest

Geographic scale: Functional Urban Areas, Metropolitan Regions
Effects on Governance: among territories and multi-actor and multi-channel (horizontal), multi-level cooperation (vertical), participation of NGO/openness

The process of developing the spatial plan for the agglomeration of Budapest is all in all a story of failures and unfulfilled possibilities. It still hasn't reached its end and the plan itself – although void of any real value or planning restriction now, remains disputed from many sides.

The idea of preparing such a document came as a result of strong suburbanisation tendencies and the growing ring of retail and manufacturing establishments around the capital, which have critically diminished the green belt surrounding Budapest. As the process has been speeding up, a collective action was necessary to impose regulations on the various municipalities in order to achieve a balance between the growth up public wealth and environmental protection and needs. This gave the impetus to the central government, which with the purpose of preserving the remaining open land, decided to elaborate a spatial plan for the whole agglomeration area of Budapest and submitted this plan to the Parliament. As the enactment of this spatial plan would have resulted in land-use restrictions, the municipalities concerned were not willing to cope with it. So through the political powers, which they could mobilise, they managed to lengthen the consultation and approval process of the bill to the extent that by now most of the open land, which was to be preserved, has been lost.

Despite the obvious failure of the planning process, this case study can be a very useful tool in showing how governance works in Hungary, and how the political interferences can create a situation where progressive ideas and long-term goals are sacrificed for short-term priorities. The development of the spatial plan itself has all the features of good governance: the participation of different territories, different actors and different decision making levels. It also involved the civil society, giving place for the NGOs to express their opinions. However, these positive attributes did not suffice. It shows that political interferences are part of the everyday practices in Hungary, and are seriously distorting the forming process of good governance.

The project can be put in the geographical scale of the *functional urban areas, metropolitan regions*, because it concerns a spatial plan for the whole agglomeration of Budapest, containing many municipalities, including Budapest itself. Because of this grand scale there are effects to be expected on the horizontal level through the heading of **among territories** (neighbouring cities, regions etc.) and **multi actor/multi** channel aspects, again due to the same reasons with the addition of the mix of private and public actors involved by creating an environment in which the NGOs and civil society could voice their opinions. There will also be effects to be measured in the field of vertical coordination through to the **multi-level cooperation**, where the different layers of government were involved in the process. Last but not least it cannot come as a surprise that the **participation of NGOs/openness** had some interesting effects on governance.

12. Denmark

12.1 The Triangle Area

Geographic scale: ´regional´ polycentric urban networks
Effects on Governance: among territories and multi-actor and multi-channel (horizontal), decentr/devolut/regionalisation (vertical), integrated policies

The triangle consists out of a polycentric region in the Eastern part of Jutland – at the bridgehead to Funen. In their own PR-material, the eight municipalities that has established a rather elaborated, inter-municipal cooperation 'see themselves collectively as Denmark's largest open, green "city", with each town having its own special character and functioning as an urban community, large or small, as a part of the whole. They are linked by a shared interest in developing prosperity and welfare, and enhancing the environment and the quality of life in the Triangle Region. There is lively traffic between the towns - both in trade and in the use of each other's cultural and educational institutions. Together, the eight municipalities, home to 225,000 people, can undertake tasks that would be impossible for the individual municipalities. The Triangle Region has acquired status as a 'provincial centre', which means it plays a crucial role in the nested national planning system, which is in effect until the end of 2006: After January 1st 2007, according to a newly proposed reform of local authorities, one of the cities in the Triangle Area will act as a 'provincial capital', which means that the division of labour between the cities will have to be re-evaluated, and indeed this process of re-revaluation has already begun. The Triangle Area can be seen as a bottom-up project, which involves private stakeholders as well as public bodies. The Triangle area has established cooperation with national planning authorities, and in the investigation period (Mid-May-End of September) it is to be expected that this will form one of the elements in the regionalization process, which will predate the reformation of local authorities.

The triangle area is located in the geographical scale of the *regional polycentric urban networks*. There are effects to be studied in four fields. First of all there are two effects related to the horizontal coordination, consisting of effects **among territories**, a triangle of cities (actors) with an elaborate inter-municipal cooperation which makes up a **multi-actor/multi channel coordination** as well. Furthermore effects are to be effected in the **integrated** policies, because it does not only involve one sector of cooperation.

12.2 The Oresund Region

Geographic scale: trans-national/cross-border
Effects on governance: among territories and multi-actor and multi-channel (horizontal), multi-level cooperation (vertical), integrated policies

The Oresund region is a transnational region involving national, regional and local authorities at both sides of the Sound between Denmark and Sweden. A variety of organizations have been set up to ensure further integration in the transnational region after the completion of the fixed link in 2000. Some of these initiatives involve EU-funded activities, e.g. INTERREG-programmes.

Although a whole range of cross-border co-operations (some of which are multi-level as well) have been set up, it has proven to be difficult to establish binding activities when it comes to planning initiatives that moves beyond 'projects'. Barriers have had to do with differences in institutional configuration between the two-neighbouring countries - despite affinities in terms of economic, social and cultural factors. Local actors have been calling for integrative perspectives and policies for the cross-border co-operation. The prospect of the cooperation is going to be influenced by the reform of local authorities in Denmark, as the Greater Copenhagen Authority will cease to exist. Hence many of the established co-operations will have to be reconfigured.

The Oresund region, being a transnational region, can be categorized in the scale of a *trans-national/cross-border project*. Both effects of horizontal coordination are to be expected. **Among territories** because it involves two neighbouring countries and thus also the **multi-actor/multi channel** element applies due to the mixture of actors involved. The **integrated policies** element also plays an important role, because the two countries try to integrate and coordinate the diverse policies in order to be more in harmony with each other.

13. Estonia

13.1 Via Baltica

Geographic scale: trans-national/cross-border
Effects on governance: among territories (horizontal), Multi-level Cooperation and Decentr/Devolut/Regionalisation (vertical), participation of NGO/openness, integrated policies

A large-scale trans-national co-operation project that provides opportunity to illustrate problems and benefits of such kind of planning – variability of interests and planning cultures of partners, reconciliation of conflicting proposals etc.

13.2 Ida-Viru

Geographic scale: ´regional´ polycentric urban networks
Effects on governance: multi-actor and multi-channel (horizontal), multi-level cooperation (vertical), integrate policies, participation of NGA/openness, OMC methods/ innovative mechanisms

It is closely connected with complex development of a restructuring industrial region – the only region of this kind in Estonia that has, in addition, difficult environmental problems. The local governments and other partners were actively involved in the planning process. Local co-operation areas have been formed in the county.

14. Finland

14.1 The Structural Land Use Plan of Lahti Region

Geographic scale: a. Functional urban areas, metropolitan regions and b.urban rural relations
Effects on governance:
a among territories (horizontal), multi-level cooperation (vertical), (integrated policies), participation of NGOs/openness,
b. integrated policies

The proposed case study deals with a long-term structural land use plan of Lahti region, which is one of the regional centres in Finland and is also one of the growth centres of the larger Helsinki Metropolitan Area. The structural land use plan covers the area of six municipalities who have been traditionally active in land use planning cooperation. The planning process for structural land use plan took place between 2001 and 2004. Its main objective was to find answers for future land use challenges and to achieve a common vision and understanding of the main principles for the development of Lahti region's community structure, taking into account the principles of sustainability and at the same time the promotion of region's competitiveness and local knowledge-based economy. The purpose of the plan is to work as guidelines and as a basis for regional and municipal land use planning. The output of the process includes long-terms structural solutions presented in the plan, having 2040 as the year of reference. The common spatial vision in Lahti region means e.g. solidification of the community structure, utilisation of region's logistical position, creation of new possibilities for the development of know-how and safeguarding the attractive natural and cultural environments. The suggested case allows us to examine horizontal cooperation between six neighbouring municipalities in Lahti region, as the plan is a result of joint physical planning effort by these municipalities. Other important local stakeholders were also involved in the planning process. The plan is also interesting in terms of vertical cooperation, since the preparation and the procedure for the approval of the plan involved actors from different administrative levels (local, sub-regional and regional levels). It also should be possible to analyse how integrated land use policies have been prepared in the functional urban region and in a planning area with a clear urban-rural dimension. Finally, the aspects of participation and openness will be examined, since the planning process has applied mechanisms for participation, i.e. a specific procedure for participation and impact assessment was set in the beginning of the planning process.

The geographical scale of the case is on two levels, the first and most important one is the scale of the *functional urban areas/metropolitan regions*, but also the *urban-rural* relations scale can be used. The effects on the first scale can be found on the vertical level through **multi-level coordination**, like mentioned above due to the involvement of local, sub-regional and regional levels. In the horizontal coordination the effects are **among territories**, because the project concerns six neighbouring municipalities to work on a spatial vision. The effects on the **integrated policies** are not yet clear, that all depends what the spatial vision will include in its vision. Lastly in this scale there are effects to be expected on the **participation of NGOs/openness**, since the planning process has a mechanism for participation. The urban rural scale is also to be included in terms of **integrated policies**, because the whole plan overlaps an area that includes as well urban and rural areas. Most likely there are more effects to be noted besides integrated policy effects on this scale.

14.2 Haparanda-Torneå

Geographic scale: trans-national/ cross-border
Effects on governance: among territories (horizontal), multi-level coordination (vertical), integrated policies, participation of NGOs/openness

The other case study deals with a spatial plan developed within the twin city of Haparanda and Tornio on the northern Swedish-Finnish border. The cities have a long tradition of close co-existence and co-operation and gradually this have been developing towards an idea of a merged twin-city across the national borders. Since 1987 there has been a special co-operative body "Provincia Bothniensis" for the development of this co-operation. The Finnish and Swedish EU-memberships provided the necessary means of taking the co-operation forward in a more concrete fashion and the region has since developed an integrated rescue service, innovative solutions for postal services etc. One of the most concrete issues within this co-operation has been the development of a common spatial land-use plan, which has been developed within the framework of a EU-co-financed project "På Gränsen" (On the Border). Here a common vision for the land-use and building of the geographically already merged centres of these small urban conglomerations representing one of the main urban conglomerations in Northern Finland and Northern Sweden. The plan provides a good, though untypical example of a cross-border governance process, where both national and local political cultures, planning systems and governance models have been central. The plan has been taken forward as any other land-use plan with the hearings and participation mechanisms involved and the municipalities have processed it in their governance structure in 2003. There were also national level projects into investigating the possible legal constraints of such a cross-border spatial plan and these were ironed out. In 2002 there was a non-binding referendum organized in Haparanda about the plan and the merging of the two cities and here the Haparanda electorate voted against the plan. The turnout remained very low and the mobilization of the electorate was not seen as particularly successful, perhaps indicative of the fact that as extensive co-operation with a long history exists; planning issues may not be the most central for the population. The case study allows us to analyse the vertical axis issues of Trans-national/Cross-border Cooperation, Urban networks and Horizontal cooperation between cities/urban areas (near territories, functional areas). Horizontally the issues of public participation and integrated planning (specially with respect to the achievement of the ESDP objectives) are at the heart of the "Haparanda-Tornio" case of "På Gränsen".

The project involves two countries crossing borders in the purest sense and thus is to be located in the *tran-national/cross-border* scale. There are obviously effects **amongs territories**, Finland and Sweden are involved through two urban areas. There are also effects to be expected on the **multi-level coordination** through the national level that is involved as well as the lower levels of the municipalities. Even the EU level is involved by playing a role in providing the necessary means to take the co-operation a step further. There was a non binding referendum involving several **NGOs** and other private actors **opening** up the process. A last point are the **integrated policies** where also effects could be measured, seeing the complexity of sectors involved in a cross-border twin city cooperation project.

15. Latvia

15.1 Zemgale Technological Park

Geographic scale: ´regional´ polycentric networks
Effects on governance: among territories (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGAs/openness
"Regional" Polycentric Urban Networks

The Zemgale Planning Region Development Programme envisages the establishment of several inter-related technological parks, covering all centers of the planning region. One of such technological parks is Zemgale Technological Park, located in Jelgava. It is also envisaged to improve the connectivity among rural and urban areas by improving the public transport system among the urban centers where technological parks will be located. In the process of establishment of Zemgale Technological Park it is of importance to involve all relevant stakeholders. In particular, interaction between the following political-administrative levels: local municipality (selection of location, detailed spatial plan), regional (compliance to regional development programme), national (compliance with sectoral development programmes and national development plan), European (relevant EU documents). Zemgale Technological Park along with other technological parks will serve as a tool for development of polycentric urban systems, among other aims.
Zemgale Technological Park will be one of the several technological parks that will serve to achieve this objective through increase in GDP, high added value, increase of SME in high technology fields, export growth in high technology fields, etc. particular focus of Zemgale Technological Park will be high technologies in wood processing. In order to ensure the achievement of the above specified outcomes, it is important to achieve good integration and coordination of several sectoral policies, in particular, in education and science, employment, transportation.

A number of institutions, governmental and non-governmental actors are involved in the planning process for the establishment of Zemgale Technological Park. Available knowledge is circulated among the partners. Major channels of information exchange are: participation in working groups, discussions with municipalities and central government institutions, and public hearings. Significant support is expressed by Latvian Agricultural University (LLU), located in Jelgava.

The case study can is on the geographical scale of the *'regional' polycentric networks* concerning it is focused on a technological park that is part of a regional plan of multiple inter-related parks. It is expected to have a fourfold effect. The first effect could be seen **among territories** where we see all the municipalities in the region coordinate their agenda's through the regional plan. **Multi-level cooperation** can also be observed in the interaction between all political administrative levels. The effect of **participation of NGAs/openness** is guaranteed with the involvement of many public and private partners and the circulation of all available information.

15.2 Kurzeme Transport System Initiative
Geographic scale: a. national and b. ´regional´ polycentric networks
Effects on governance: a. among territories (horizontal), b. multi-level cooperation (vertical), integrated policies, participation of NGAs/openness

Kurzeme Planning Region Development Plan envisages the improvement of transport system in the region. Particular attention is paid to railroad system and road system. Presently proposed transport system developments do not match those proposed by the Ministry of transport. Presently there is no passenger railroad transport between Riga and Ventspils, and Riga-Liepaja. Liepaja and Ventspils are among the largest port towns in Kurzeme region. Thus, regional initiative is undertaken to propose regional transport network to in line with national needs. This process is coordinated by Kurzeme Planning region Development Agency. Therefore this initiative is regarded as of national importance.

In the process of improvement of transport system in the region it is understood that all relevant stakeholders must be involved. In particular, interaction between the following political-administrative levels: local municipality (detailed spatial plan), regional (compliance to regional development programme), national (compliance with national Road plan drafted by Ministry of Transport), European (relevant EU documents).

Development of transport system in the region will serve as a tool for development of polycentric urban systems (Kurzeme plans to develop 5 centers, as opposed to presently 2). Railroad passenger transport is crucial for development of the region, in terms of connectivity, mobility, as well as from tourism perspective. In order to ensure the development of transport system, it is important to achieve good integration and coordination of several sectoral policies, in particular, transportation, employment, tourism.

A number of institutions, governmental and non-governmental actors are involved in the planning process for the development of transport system in Kurzeme. Available knowledge is circulated among the involved partners. Major channels of information exchange are: participation in working groups, discussions with municipalities and central government institutions, and public hearings. Strengthening of cooperation and coordination of activities with Ministry of Regional Development and Local Governments and the Ministry of transport are of utmost importance.

The project is moving on two geographical scales, the scale of the *national* level and the *'regional' polycentric networks*, being a project focussed on a major transport network imbedded and thus creating a polycentric network of its own in the national territory. On the national level there are only effects **among territories** with the multiple neighbouring municipalities involved that the network crosses. The majority of the effects however can be found on the other geographical scale. First of all there is **multi-level cooperation**, through the interaction of the local municipalities, regional, national and European level. Then we can also see **integrated policies** connecting transport with employment and tourism. The last effect of **participation of NGAs/openness** can be seen in the mix of government and non-government actors involved and the openness of information circulating freely.

16. Norway

16.1 Municipality of Trondheim, Sør- Trøndelag and Nord-Trøndelag counties: common regional development plan (fylkesplan).

Geographic scale: functional urban areas/metropolitan areas
Effects on governance: among territories (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGAs/openness

Sør-Trøndelag and Nord-Trøndelag county municipalities have joined forces with the regional centre (Trondheim municipality) in proposing a common regional plan that incorporates all municipalities in both counties. Responding to regional political initiatives, the proposed regional plan ('Kreative Trøndelag') is an example both of horizontal and vertical spatial coordination in the making. Similar regional initiatives may be found in other parts of Norway, although none of these have so far resulted in formal planning documents and −strategies akin of those found in Trøndelag. The Trøndelag initiative represents an innovative current approach in developing regional development plans (fylkesplaner). The *fylkesplan* is one of the main instruments for regional development in Norway. Its main objective is to co-ordinate state, county municipal and municipal territorial activities. Regional planning is founded in the current PBL (§ 19) as one of the tasks of the county municipalities. The main objective is to coordinate the activities of public bodies and interests, but as private actors are central in regional development, the regional planning process puts much focus on getting private sector and voluntary sector interests involved in the regional planning process.

The Trøndelag Regional Council (a common political body incorporating Nord-Trøndelag and Sør-Trøndelag counties) is a major driver in pushing through the common regional plan/coordinated territorial development programme for the two counties, "Kreative Trøndelag", which was formally accepted in November 2004. The planning period is from 2004 to 2007. Case 1 could be approached as a bottom-up initiative.

The project is about the development of a common regional plan and as such can be categorized in the geographical scale of the *functional urban areas/metropolitan areas*. There are four effects to be expected. The heading of **among territories** can obviously be found in the fact that it concerns neighbouring municipalities who develop the plan. **Multi-level cooperation** also takes place in developing the plan in accordance with the national and municipal level. They attempt to **integrate policy** as well by covering several sectors in the regional plan and last but not least effects can be seen in the **participation of NGAs/openness** through involving public bodies and private actors.

16.2 Enhetsfylke Hedmark. Pilot experiment in co-ordinating selected functions of national regional representative (the office of the Fylkesmann) with regional administration units (Hedmark Fylkeskommune).

Geographic scale: a. national, b. functional urban areas/metropolitan areas, c.urban-rural
Effects on governance: a. national multi-actor/multi-channel(horizontal), b. decentral/devolut./regionalisation (vertical), integrated policies, OMC method/Innovative Mechanisms, c. multi-actor/multi channel

Enhetsfylke Hedmark - an experiment with co-ordinating selected functions of national regional representative (the office of the Fylkesmann) with regional administration units (Hedmark Fylkeskommune) is a trial running from January 1st 2004

to December 31st 2007. In this experiment, the two public bodies establish close co-ordination and integrate tasks. Hedmark county is a rural district incorporating 22 municipalities with a total population of almost 190,000. Only two of the municipalities have more than 25,000 inhabitants.

The experiment is managed by a unitary council (Enhetsråd) consisting of 8 political and administrative representatives. The activities of the unitary council are based on concensus principles, and the council has formulated the following objectives of this trial in territorial administration:

- To improve territorial development in Hedmark county
- To provide the municipalities, then inhabitants and the private sector with accessible and high-quality services, and
- To make the regional state and county municipality administration more efficient through joint and coordinated governance and an integration of tasks.

The co-ordination is focussed on territorial development, planning environmental and transportation issues, schooling and training and public health. This trial in territorial governance does not imply a complete merger of administrative functions. A similar experiment is taking place in the Møre and Romsdal county. Here, the organisational repercussions are regarded as more radical than those being laid out in Hedmark. Case 2 could be approached as a top-down initiative, as it stems from a 2002 call for proposals from the Norwegian Ministry of Local Government and Regional Development.

This case study is located in three geographical scales, which is quite unique; *national, functional urban areas/metropolitan areas, urban rural.* On the first level **multi-level/multi-actor coordination** is expected as the core of the project in attempting to coordinate selected functions between the national and the regional level. On the second geographical scale we find the majority of the expected effects. There is an obvious **decentral./devolut./regionalisation,** because with re-assigning of functions the power is partly being transferred to the lower level. There is also an expected effect in the **integrated policies** having all sectors involved or considered with the re-assigning of sectors. The last effect in this scale is in the **OMC method/Innovative mechanisms** being all about this. On the urban-rural scale we expect multi-actor/multi channelcoordination

17. Sweden

17.1 Västra Götaland Region

Geographic scale: ´regional´ polycentric networks
Effects on governance: among territories (horizontal), decentral/devolut./regionalisation (vertical), integrated policies, participation of NGAs/openness

Västra Götaland Region in western Sweden has a population of 1.5 million (17% of the Swedish population). The region is one of two pilot regions in Sweden with a directly elected assembly. The assembly consists of 149 members elected every four years. The Region was established in 1999 by merging three former county councils and parts of the decision-making functions of Gothenburg, mainly those concerned with

health care. One of the reasons for the merger was that, with time, the former historic county borders became an obstacle to mutual interests in fields like public transport and catchment areas for health care. Hence, this is an example of a functional region that was spanning several administrative territories. Functional regions have different sizes depending on what factor is focused. In terms of specialist health care it may be the case that the Västra Götaland Region as a whole can be seen as a functional region. In terms of labour market areas (travel-to-work areas) the region has, however, identified eight such functional regions within its boundaries.

The regional council is responsible for healthcare, taking up 90% of the region's budget. Another important assignment for the council is regional development: to create the best conditions for development of business, infrastructure, culture, tourism and environmental issues. It is also authorised to levy council taxes. Regional development policy is normally a Government responsibility exercised through the county administrative boards, i.e. by the state at the regional level. In this respect, the regional council's responsibility for regional development policy is an example of decentralisation or devolution from the state.

This is a regional case by an institutional and territorial definition, but it can also be described as a polycentric urban network. Sweden's second largest city, Gothenburg, is located in the region, but there are also a number of other small and medium sized towns within the region as well as a fair amount of rural areas. The administration is spread over six Regional Offices across the region in order to underline the close proximity to the citizens. Vänersborg is the regional 'capital' where the Regional Council meets and the Regional Executive Board with its secretariat resides. The regional development unit is located in Göteborg, the environmental unit in Borås, culture in Uddevalla and the Health and Medical Executive Board in Skövde with the Public Health Committee in Mariestad. In this respect, this is an example of urban network and horizontal cooperation between urban areas. There are also other examples of such cooperation, e.g. the University of Trollhättan/Uddevalla which is a multi-site university college with departments in the three urban areas of Trollhättan, Uddevalla and Vänersborg.

The council collaborates with other public bodies such as the 49 local authorities in the region, and also aims at public participation. This is reflected in the organisational structure of the regional council. The Regional Councillors appoint the 17 Members on the Regional Executive Board that, in turn, prepares proposals for the Council with the assistance of e.g. a Health and Medical Care Executive Board, 12 local healthcare committees and service provision committees. Four patients' committees report directly to the Council. Regional development, environment and culture each has a committee of 15 regional representatives working with another 12 municipally elected representatives in drafting committees thus providing a wider base for public opinion.

In the development of the regional growth programme 2004-2007 there was wide consultation and collaboration with a large number of actors. Cross-sectoral, joined-up thinking is a key theme of the regional growth programmes.

The project is in the geographical scale of the *'regional' polycentric networks* as it concerns a region which itself contains 17% of the Swedish population. There are four main effects that could be measured, **among territories** (neighbouring municipalities),

decentral/devolut./regionalisation (in this casevthe regional council's responsibility the development policy is an example of decentralisation or devolution from the state), **integrated policies** (mainly linking medical care with the relevant other sectors) and **participation of NGAs/openness** (many private and public actors involved)

17.2 ARKO-collaboration

Geographic scale: trans-national/cross border
Effects on governance: among territories (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGAs/openness

The ARKO-collaboration is a cross-border collaboration between Värmland in Sweden and the Norwegian Östland. It has been in place in one shape or another since 1965. It was revitalised when Sweden joined the EU in 1995 and today the ARKO collaboration consists of seven Norwegian and four Swedish local authorities.
Over the years the ARKO-collaboration has included different constellations of multi-level and multi-actor cooperation. From the beginning, the group consisted of officers from the County Administrative Board of Värmland in Sweden and the county administrations of Hedmark, Östfolds and Akershus fylke in Norway. From 1968 the collaboration was extended to include annual deliberations between the county governors of Värmland and the three Norwegian counties. Three specific collaborations were started. Out of these, one is still running: the ARKO-region (named after the towns of Arvika in Sweden and Kongsvinger in Norway) that was headed by a Norwegian-Swedish committee where members were selected by the local authorities and industries in the region. The administration was handled by the county administrative boards, i.e by the state at the regional level. The aim of the committee's work was towards production and trade within the manufacturing sector and to produce joint information aiming at attracting new businesses to the region.

The ARKO-region collaboration was revitalised with the new funding opportunities that the Interreg programmes brought from 1995 when Sweden joined the EU. The European level was brought in through this programme. ARKO is also part-funded by the Nordic Council and in that way another supra national level is included. ARKO collaborates with other cross-border partnerships; The Öresund Committee, the Border Committee Østfold-Bohuslän-Dalsland and Provincia Bothniensis.

Today the ARKO collaboration consists of seven Norwegian and four Swedish local authorities. The objective with the current collaboration is to stimulate a development process in the border region where the barriers that a border can create are replaced by a view on the border as a resource. The main focus in the work is to support the development of favourable conditions for the labour market and for labour market measures, to collaborate on issues of communication and education, to create tourism projects and to work for cultural exchange across the border. ARKO is now run by a steering group consisting of the leaders and the chief executives of all the member local authorities. There are also five working committees on specialist fields; IT, communication issues, education and training, trade and industry, and culture. The committees meet 4-6 times per year and the steering group meets 4 times annually.

A recent study (Hagsmo, 2004) indicates that the ARKO collaboration has a weakness in terms of participation and that the collaboration may be anchored only at

the high level and not something that the citizens of the region are aware of. The ARKO strategic and action plans 2000-2007 includes the area of internal and external information and the acknowledgement that good information sharing is increasingly important because ARKO is a network organisation with an growing number of collaboration partners.

The project can only be placed in the scale of the *trans-national/cross-border*. Effects are expected **among territories** (two countries involved), **multi-level cooperation** (local to international level), **integrated policies** (several sectors involved represented in 5 working committees) and the **participation of NGAs/openness** (there is still a weakness)

18. Lithuania

18.1 Comprehensive plan of the territory of Lithuania, adopted in 2002

Geographic scale*:* a. Trans-national/cross-border, b. National, c. Regional Polycentric Urban Networks, d. Functional Urban Areas, metropolitan Regions, e. Urban – rural, f. Intra-city
Effects on governance: a. integrated policies, b. among territories, multi-actor/multi-channel, multi-level cooperation, devolut./decentral./deregionalisation, integrated policies, participation of NGAs/openess, c. multi-level cooperation, integrated policies, participation of NGAs/openness, d. multi-level cooperation, e. multi-level cooperation, f. multi-level cooperation

Comprehensive plan of the territory of the Republic of Lithuania was prepared according to the Decision of the Government of the Republic of Lithuania. The Ministry of Environment performed the role of the organiser of the Comprehensive plan. The preparation of the document was based on legal demands of the "Law on Planning of the Territories" of the Republic of Lithuania (adopted by *Seimas* at the end of 1995).

The Comprehensive plan of the territory of the Republic of Lithuania was approved by the ministries, by the governors of apskritys (the counties), checked by the State Territorial planning and construction inspectorate, approved by the Government and in 2002 adopted by Seimas (the Parliament of the Republic of Lithuania). National sectoral programmes were evaluated during the preparation of the draft comprehensive plan.

The main solutions of the territory are presented in following main directions: common territorial structures, specialised territorial structures, spatial integration of the development of the territory of the state, reservation of the territories for the common needs of the state.

The adopted Comprehensive plan: is obligatory for state governmental institutions taking decisions on national level related to the use, management and protection of the territory of the country, forming regional policy; forms planning conditions for national level special plans, long term programmes and strategies and for regional level comprehensive and special plans; fulfils other asks.

The project is located in many geographical scales, which is very unique and also has a vast amount of effects on governance

a. An integrated policy through the comprehensive plan was prepared according to the ESPD principles.

b. Within the territory of Lithuania (**among territories**), **multi-actor/multichannel** takes place through the sectoral ministries of Lithuania that participated in the preparation of the comprehensive plan of the territory of Lithuania by providing relevant information to the organizer of the plan, commenting on the drafts of the plan and finally approving the prepared comprehensive plan solutions. The box of **Multi-level cooperation** is also completed as the comprehensive plan was approved by the ministries, checked by the State Territorial planning and construction inspectorate, approved by the Government of Lithuania and finally adopted by the Seimas (Parliament). **Decentral./devolut./regionalisation** already took place due to the fact that the plan preparation was initiated by the Government of the Republic of Lithuania.The functions of the planning organiser initially performed by the Ministry of Construction and Urban Development and after administrative reform in 1998- the Ministry of Environment. **Integrated policies** are also an important issue, because during the preparation of the comprehensive plan national sectoral policies were taken into account. Adopted Comprehensive plan is obligatory while forming regional policy, preparing projects of the territorial planning documents, taking decisions of state governmental institutions on national level related to the use, management and protection of the territory of the country; forms planning conditions for national level special territorial plans, long term programmes and strategies and for regional level comprehensive and special territorial plans. **Participation of NGAs/openess** took place as any legal and natural person had the right to participate from the early beginning of territorial planning process. Public and stakeholders participated in the discussions on draft on territorial planning document, submitted comments. Conferences, expositions of planning solutions for public have been organized.

c. In the course of the reasoning we see the same reasons coming up so therefore the explanations will be brief. The box of Multi-level cooperation can be checked as the comprehensive plan was also approved by the governors of the counties (regions). Furthermore we find integrated policies whilst during the preparation of the comprehensive plan existing regional plans and programmes were taken into account. Lastly the box of participation of NGAs/openness can be checked again because there were several conferences in organised in the counties (regions) for municipalities.

D, e and f share the same effect on governance (multi-level cooperation) for the same reasons being that city municipalities as any other legal person according to the territorial planning legislation had the right to participate in territorial planning process.

18.2 Vilnius city strategic plan 2002-2011

Geographic scale: intra-city
Effects on governance: among territories, multi-actor/multi-channel, devolut./decentral./deregionalisation, integrated policies, participation of NGAs/openess, OMC method/innovative mechanisms

Vilnius City Strategic Plan 2002-2011 has undergone five preparation stages in 2001-2002. During the first stage Vilnius City vision was created, during the second stage analysis of economical and social conditions was made, during the third stage -

long-term priorities for the city's development were determined. On 28 November, 2001 the Vilnius Municipal Council approved Vilnius City Vision - 2020 and development priorities for 2002-2011:

- Increasing the international competitiveness of Vilnius,
- Developing a new economy,
- Creating an advanced society,
- Developing of transportation infrastructure.

During the fourth stage according the set out priorities a project of Vilnius City Strategic Plan 2002-2011 was prepared. Vilnius City Strategic Plan was discussed in February - May, 2002 and raised great public interest. After the evaluation of suggestions, made by the committees of Vilnius City Municipal Council, administration and society, Vilnius City Strategic Plan was corrected and supplemented. The Vilnius City Municipal Council approved the Vilnius City Strategic Plan 2002-2011 by the Decision No. 607 dated June 19, 2002. Vilnius City Strategic Plan relates to the Strategic Plan for Municipal Activity in 2002-2004 and the Vilnius City Official Plan 2005.

During the fifth stage Vilnius City Strategic Plan's monitoring system was created. It creates conditions to control the implementation of the Strategic Plan, to evaluate implementation's impact on the city and, if necessary, to supplement and change the Strategic Plan.

This case study is more classic again in the sense that is is located in ´only´ one geographical scale, the *intra-city scale*. It does however fill in almost all boxes concerning the effects on governancee. Starting with the effect **among territories** where cooperation was within the territory of Vilnius city municipality and with Vilnius Administrative District Local Municipality. We can see **multi-actor/multi-channel** taking place as the Vilnius City Municipal Council initiated the plan preparation and approved the Vilnius City Strategic Plan. There are also effects in terms of **devolut./decentral./deregionalisation**, because the plan preparation was financed from Vilnius city budget and from other resources. **Integrated policies** take place due to the fact that the Vilnius City Strategic Plan has followed the Comprehensive plan of the territory of Vilnius city municipality. Furthermore we can see **participation of NGAs/openess** as during the preparation of Vilnius City Strategic Plan they carried out: 3 surveys (of experts, residents of Vilnius, Municipality), interviews; 15 "work breakfasts"; 6 seminars for the discussions; 2 conferences for the presentation; suggestions received; Four cooperation contracts were signed; 2 films created and an Internet page for Vilnius City Strategic Plan was created. Lastly they made use of some of the **OMC method/innovative mechanisms** during the preparation of Vilnius City Strategic Plan. In this participated: Vilnius city municipal council (8 committees), commission of strategic planning (12 persons), work group of strategic plan's preparation (10 persons), division of analysis and strategic planning (5 persons), responsible for strategic planning in structural divisions (16 persons) and 18 preparers/ developers of Vilnius City Strategic Plan and 95 consultants.

19. Ireland

19.1 Greater Dublín GD

Geograpic scale: Functional Urban Areas, Metropolitan Regions
Effects on Governance: among territories (horizontal), of multi-level coordination (vertical), integrated policies

Ireland was identified in ESPON 1.1.1 as one of the most monocentric countries in Europe, with its urban structure dominated by the capital city of Dublin. 40% of the countries total population lives in the Greater Dublin Area (GDA). This case study would examine the governance relationships to be found in the horizontal forms of cooperation between these various municipalities that comprise the Greater Dublin Area, and the kinds of integrated policies that result from this cooperation. Examples include the Dublin Transportation Initiative, which covers the Dublin FUR area; Partnership for Investment, which is an initiative by the four local authorities of the Dublin region to promote economic development; and the integrated waste management plan adopted by the same four local authorities.

This project falls under the header of the ´functional urban areas, metropolitan regions´ and is expected to have effects in three areas of governance. There is an effect **amongs territories**, making neighbouring authorities cooperate. On the vertical coordination there is an expected **multi-level coordination** through coordination between the local and higher authorities in achieving the goal. One of the other expected effects on government lies in the **integrated policies**, trying to also involve the related sectoral fields (like environment).

19.2 Atlantic Gateways AG

Geographic scale: ´regional´ polycentric urban networks
Effects on governance: amongs territories, multi-actor/multi-channel (horizontal), multi-level cooperation (vertical).

This case study would examine the governance relationships between the cities of Cork, Limerick, Galway and Waterford, which have been identified in Ireland's 2002 National Spatial Strategy (NSS) as 'gateways' to be developed as "national and regional engines of growth". The NSS describes the monocentric structure and the effects of under-utilisation of the economic potential of the other regions. As with the ESDP, whose perspective on spatial planning it adopts, the NSS promotes a win-win solution where further growth in the less developed regions is to be gained without jeopardising growth in the economically buoyant areas. The Atlantic Gateways fit into the NSS as one of three types of spatial planning adopted in the NSS, namely, "urban networks between more distant cities".

While the Atlantic Gateway cities are expected to expand and develop individually, the intention is by expanding the interaction between each other they will be able to combine their complementary strengths to achieve a critical mass strong enough to balance the dominance achieved by the Greater Dublin region. As the Minister for the Department of the Environment, Heritage and Local Government

recently stated, "The gateways have the potential to do things together in a much stronger way than they can in isolation".

Cooperation between cities in different regions of the country would represent an unusual governance dimension, with participation from actors not limited to those of the city governments, but including regional bodies of various sorts and other stakeholders.

The project moves in the geographical unit of the *'regional'polycentric urban networks*, it in fact tries to establish this network as just explained above. It will most likely have its effect in the vertical and horizontal coordination. With the horizontal coordination it is expected to see the neighbouring cities and region work together **(amongs territories)** and see the different stakeholders team up **(multi-actor/multi-channel).** On the vertical part we expect to see coordination between the different political levels **(multi-level coordination).** The national plan stated the mission and it is logic that is will work together with the local actors in order to achieve the goal.

20. Romania

20.1 Development Region 8 Bucharest-Ilfov

Geographic scale: functional urban areas/metropolitan regions
Effects on governance: among territories, multi-actor/multi channel (horizontal), multi-level cooperation (vertical), participation of NGAs/openness

In the case of Romania the case study description is entwined with the categorisation in the matrix. Therefore I will follow this approach, but in the uniform way as used before. The first case is located in the geographical scale of the *functional urban areas/metropolitan* regions, because it concerns part of the city of Bucharest. We see five major effects, which is quiet a lot. First of all **among territories**, the case is in an early stage of territorial cooperation between Capital City Municipality and surrounding (contiguous) territorial – administrative units (communes with rural status and small towns) which form Development Region 8, in planning and urban management and development matters – water supply, sewage, waste management, public transport, housing development etc. Secondly there are effects of **multi-actor/multi-channel** coordination consisting of interaction in the frame of regional development activities (steered by the Government) between the Regional Development Council (which include political representatives of local public authorities), the Regional Development Agency (non-governmental, technical body), the private /business sector, NGOs, CBOs, professional organisations, academic institutions, research etc. ; interaction in in the frame of spatial plannning activities between the relevant Ministry, other governmental bodies, local authorities, national public planning and research institutions, private planning bureaus, public undertakings, private business, citizen, etc. In terms of vertical coordination we might see **multi-level cooperation** through interaction between national and local political-administrative levels according to the current legal framework. The study will try to reveal the impact of the budgeting and transfer system on territorial development. In both cases the study will explore the involvement of the European level in the planning of developmental processes according to accession requirements. Some good examples of both public **participation of NGAs/openness** and stakeholder involvement will be given.

20.2 Prahova County – Ploesti Area

Geographic scale: urban-rural
Effects on governance: among territories, multi-actor/multi-channel (horizontal), multi-level cooperation (vertical), OMC method/innovative mechanisms

The project is an *urban-rural* one because it concerns a county. There are four effects to be expected. In the field of **among territitories** relatively advanced cooperation (inaugurated by a PHARE Partnership project) between Ploesti (county capital, industrial city, 200 000 inh.) and sorrounding rural area communities in urban planning and management matters and local development issues – education, training, labour iconversion, economic development etc.In the field **of multi-actor/multi-channel** coordination we see Interaction in the frame of local planning and development activities between the local public authorities, local semi-public development agencies (non-governmental), the private /business sector, NGOs, CBOs, professional organisations, academic institutions, research etc. ; interaction in in the frame of spatial plannning activities between the relevant Ministry, other governmantal bodies, local authorities, national public planning and research institutions, private planning bureaus, public undertakings, private business, citizen, etc. The vertical coordination could be observed through **multi-level cooperation**.Interaction between national and local political-administrative levels according to the current legal framework. There is no regional political-administrative level; the study will examine the emergence of governance aspects under this particular circumstance.

In both cases the study will explore the involvement of the European level in the planning of developmental processes according to accession requirements The case will also show some developments in the **Open Method of Coordination and other innovative practices or mechanisms** by showing how the counter-current principle – although not explicitly formulated as such – operates in our territorial administration and planning system. Also, some examples of experimenting with innovative mechanisms will be given.

21. Slovakia

21.1 Slovak Spatial Development Perspective 2001 (Koncepcia územného rozvoja Slovenska 2001)

Geographic scale: national
Effects on governance: multi-level cooperation (vertical), (multi-actor/multi-channel (horizontal))?, integrated policies, OMC method/innovative mechanisms

The Slovak Spatial Development Perspective 2001 is the national wide territorial planning document. This document has facultative and obligatory part for the other planning systems in horizontal and vertical line. According the Slovak law this document was prepared in coherence with the other planning systems and is cyclically re-evaluated.

The Slovak Spatial Development Perspective 2001 can be interesting for the case study mainly for these reasons:

- preparation and work up of the document was in the co-operation between many participants in horizontal and vertical levels
- the document is oriented towards the domestic territorial policy as well as internationally oriented towards European development strategy (ESDP)
- the document is just in the cyclic reappraisal of the partners
- the legislative conditions are changed towards the decentralisation during the validity of the document

This case study can be classified in the *national* geographical scale and is expected to have three main effects. Firstly **multi-level ooperation** as the preparation to the document was done by (multi-actor/multi-channel) horizontal and vertical coordination. Secondly it is expected to have effects on the **integrated policies**, because national wide territorial planning document relating to the different sectors. Lastly there are effects to be expected in the field of **OMC method/innovative mechanisms**

21.2 Pilot Study of the residential area Jánošíková, Malacky (Urbanistická štúdia zóny Jánošíková, Malacky)

Geographic scale: intra-city
Effects on governance: multi-actor/multi channel (horizontal), decentral/devolut./regionalisation (vertical), OMC method/innovative mechanisms

The Pilot Study of the residential area Jánošíková is perhaps a typical example of the present conditions of the possibility to develop new residential area for the family houses in the Slovak small towns and villages. The owners' change of the immovable, scattered estates for the reasons of the inheritance law and other legal and social life circumstances are the condition factors for the new development of the residential zones.
The Pilot Study of the residential area Jánošíková can be interesting for the case study mainly for these reasons:
- the residential area in the Structure plan of Malacky town was amended on the basis of the request of the inhabitants
- the pilot study was prepared in the close cooperation with the estate owners .

This case can be put in the box of the *intra-city* scale and had three effects on government. The first effect can be found in the area of **multi-actor/multi channel**, because it involves public and private partners in the field of real estate. Secondly there should be **decentral/devolut./regionalisation** effects and lastly **OMC method/innovative mechanisms** can be studied. There is not much argumentation here, because the project description is rather limited.

22. U.K.

22.1 SWM – Strategic Waste Management in England
Geograpic scale: Functional Urban Areas, Metropolitan Regions
Effects on Governance: among territories, multi-actor and multi-channel (horizontal), decentr/devolut/regionalisation (vertical)

Since the election of the Blair Labour government in 1997, a regionalisation agenda has brought some profound changes to the institutional structure of the UK. This

lead to the introduction of a new regional layer of government/governance where none existed before. Similarly, in the case of the strategic planning for waste management in England and Wales a regional level was introduced, over the 1998-2001 period, in the form of Regional Technical Advisory Bodies for Waste (RTABs). RTABs are multi-stakeholder voluntary organisations that, in a government planning policy guidance note, were given a specific role to play assisting the regional assemblies in strategic planning for waste. They are innovative institutional arrangements for a number of reasons. For example, they bring together representatives from most of the local authorities in the region with waste planning responsibilities, in most cases for the first time, and representatives from a variety of bodies including, in most cases, voluntary environmental / community organisations. Hence, RTABs can be seen as a new form of governance for waste planning.

This case study intends to examine whether this new arrangement is capable of working effectively by making use of the concept of 'capital'. If RTABs are to work effectively as a new form of governance the development of their capacity to meet the challenge of 'collective action' will depend on the quality of their governance relations and in particular on the existence and level of four forms of capital – intellectual, social, political and material.

It can very clearly been seen that the project is located in the geographical scale of the *'Funtional Urban Areas, Metropolitan Regions'*. The introduction of a new layer of governance suggests (also confirmed in the project description) that this meant a **further decentralisation, devolution and regionalisation** of power in the vertical coordination where we expect to get a better picture by means of this case. The horizontal coordination can be found by the fact that the RTABs bring together **multiple actors from multiple channels** that cooperate **amongst territories** as well.

22.2 URC – Urban – Rural Compacts

Geograpic scale: urban-rural relations
Effects on governance: among territories (horizontal), integrated policies, OMC method, Innovative Mechanisms

The Urban Rural Compacts initiative was launched by the Local Government Association in September 1999 to provide a joined-up response to consultation on the separate Urban and Rural White Papers. Urban Rural Compacts are governance processes agreed between local authorities and other partners to address some of the important spatial management issues between urban and rural areas. However, as a flexible, voluntary and informal process the initiative for their establishment comes from the local level.

Specifically, they are designed to;

- Aid spatial management
- Improve relationships and links between neighbouring authorities and partners
- Bring the urban and rural interdependency dimension into policy-making and other strategies
- To open up thinking, policy development and practice across what are often artificial administrative divides between urban and rural communities

Compacts represent a public commitment to work together for the mutual benefit of both urban and rural communities, and are supported by the belief that the connections between urban and rural areas are far greater than their differences. Urban Rural Compacts, then, represent a good example of governance exhibiting horizontal cooperation among territories, usually with the intention of advancing integrated policy packages.

The case study is clearly dealing with the *urban-rural* geographical scale. The URC´s only have an effect on the horizontal coordinationg though the field of **among territories** by improving relationships and links between neighbouring authorities and partners. The main effects however are to be expected in the other fields of governance like: **integrated policies, OMC method and innovative mechanisms**.

23. Luxembourg

23.1 La grande Région

Geographic scale: trans-national/cross-border
Effects on governance: multi-channel/multi-actor (horizontal), multi-level cooperation (vertical), participation of NGAs/openness, integrated policies

Because the project description is not so elaborate the summary of the effects and project descriptions are integrated in the Luxembourg case. La grande Région concerns a _trans-national cooperation/cross-border_. The focus is in box vertical relation of **multi-level cooperation**, as different level of public power are involved (European Union, national state, infranational entities such as provinces, region, ….), in box horizontal relations (**multi-channel/multi-actor**), as it involves different types of actors (even if public authorities are dominant), inside each territorial level, but also across territorial level, in box policy package, **integrated policies**, as this is a specific aim of this wide cooperation, and in box **participation of NGAs/openness**, where we will try to understand the role of private actors and civil society in a more detailed way than horizontal cooperation, mainly to measure to which point a cooperation on such a wide territory can use, or not, participation of non governmental actors.

23.2 The "Pôle européen de développement"

Geographic scale: trans-national/cross-border
Effects on governance: multi-level cooperation (vertical), participation of NGAs/openness, integrated policies, OMC method/innovative mechanisms

The "PED" is a *crossborder project*. We will focus in box vertical relation through **multi-level cooperation**, as different level of public power are involved (European Union, national state, infranational entities (region, municipalities, …), box **participation of NGAs/openness**, as it was a project to revitalize an area with important economic crisis, and growing unemployment, so people (private sector and civil society were directly concerned by it, box **OMC method/innovative mechanisms**, as it seems some inventive solutions were used (successful or not, this has to be investigated) and box **integrated policies**, as outcome are a main point in those project who want to change rapidly a difficult situation.

24. Cyprus

24. The "Greater Nicosia Development Plan"

Geographic scale: functional urban areas/metropolitan regions
Effects on governance: multi-channel/multi-actor (horizontal), multi-level cooperation (vertical), participation of NGAs/openness, integrated policies

The case study "The Greater Nicosia Development Plan" is of particular interest, for it refers to a divided city (through military force) which is striving for re-unification (although still divided) through a planning process adopted by both partners. This process involves vertical co-operation among various levels of Government as well as co-operation in horizontal terms among the two sides. The stronger source of co-operation is focused on the Mayors of the two parts (municipalities) of the Nicosia Municipality (Northern and Southern), followed by the other municipalities involved in the development process of the wider urban area. This process necessitates and promotes involvement and participation of all actors, government and non-government and openness in the procedures introduced. Although the principles of comprehensive planning are widely introduced, the Plan is implemented separately by each side. Therefore the planning process although common, based on a commonly accepted legal basis, is implemented independently for the northern and southern parts of the city. The expected result is that as soon as a solution is agreed on the political front, then the two parts of the plan can function as a comprehensive system for development of the total (Metropolitan) urban system

This case concerns an urban area which puts it in the geographical scale of the *functional urban areas/metropolitan regions*. The effects can firstly be found in the multi-channel/multi actor coordination through the cooperation of the two sides of the divided city. The **multi-level cooperation** takes place amongst the different government levels in the two countries. A great amount of **participation of NGAs/openness** is necessary in order to be successful. In the end the **integrated policy** box can be checked due to the fact that it comprises a integral urban development plan.

25. Bulgaria

25. Master Plan for the Metropolitan Area of Sofia.

Geographic scale: a. functional urban areas/metropolitan regions, b. ´regional´ polycentric urban networks
Effects on governance: a. among territories (horizontal), multi-level cooperation, decentral/devolut./regionalisation (vertical), b. among territories (horizontal)

The major objective of the Sofia Master Plan is to create the conditions for the integration of Sofia in the unified European space and the development of the city as a regional centre in the tissue of the polycentric structure of European cities. The proposals of the Development Strategy of the city of Sofia, worked out by a team of the World Bank, were taken into account in the development of the Master Plan.
A Draft Law on Implementation of the General Spatial Development Plan (Master Plan) of the City of Sofia was specifically produced for this purpose. In the course of the elaboration of this plan, which covers the area of the City of Sofia and of Sofia

Municipality, and area with district status, a sub-national administrative division, a Joint Strategy for Spatial Development of the Sofia Metropolitan Region (comprising 10 more municipalities) has been formulated. It was initiated originally in the course of the work on the Sofia Master Plan, but in the process of design those involved came to the conclusion that it was necessary to work out a joint spatial development strategy for the entire area, the so-called zone of active impact of the City of Sofia, which in the already prepared draft law of approval and implementation of the Sofia Master Plan has been defined as the Sofia Metropolitan Region.

The Network of the Sofia Metropolitan Region was then created, i.e. a partnership initiated with the approval of the Preliminary Draft of the Strategy for Spatial Development of the Sofia Metropolitan Region and the Sofia Master Plan.
An Economic and Social Council of the Sofia Metropolitan Region was also established, to make proposals for the mobilization of resources and funding through decisions by the respective Municipal Councils for more effective and accelerated development of the metropolitan area, with respect to the use of local resources. The Economic and Social Council of the Sofia Metropolitan Region will also make proposals for utilization of resources and funding allocated from the state budget and from other sources directly or through the respective ministries for more efficient and accelerated development of the metropolitan area in the field of infrastructure and public works. In addition, the Council will make recommendations for terms and conditions forbidding or restricting certain urban planning or building activities in the area of the member municipalities, to be ratified by the competent central ministries or by municipal councils.

The case study moves in two geographical scales; *functional urban areas/metropolitan regions* and *'regional' polycentric urban networks*. In the first it has three effects; the first is among territories integrating Sofia in European and regional network. Secondly multi-**level cooperation** that is needed in order to establish this integration and thirdly **decentral./devolut./regionalisation** that is necessary in order to tackle the problems on the proper level. On the second scale we could expect effects **among territories** due to the same reasons as mentioned before.

26. Greece

26.1 Devolution of powers, regionalization and spatial planning at the national and regional level

Geographic scale: a. national, b. ´regional´ polycentric urban networks
Effects on governance: a. among territories (horizontal), multi-level cooperation, decentral/devolut./regionalisation (vertical), integrated policies, b. decentral/devolut./regionalisation (vertical)

The focus of this case study will the process of production of national and regional spatial plans, with emphasis on vertical co-operation between national, non-elected regional and elected prefectural authorities and horizontal co-operation at the national and regional level. Inevitably, this focus carries with it the issues of decentralization and devolution of powers, which has encountered complex legal and constitutional problems. This opens the whole question of the clash between institutionalized competencies of the central state and governance objectives. The

process of production and adoption of General, Regional and Special Frameworks for Spatial Planning and Sustainable Development will be presented and commented upon, with special emphasis on effectiveness, participation and on the handling of issues of protection of sensitive areas, especially those designated as NATURA zones. The issue of devolution of powers to regional authorities and 2nd tier local authorities (prefectures), which is of great importance for the achievement of coherence, will be contrasted to the actual processes of planning. The case study will highlight the difficulties experienced in a particular region, as a result of these complications.

In 1999, the law on "Spatial Planning and Sustainable Development" (L.2742/1999) introduced a land-use planning framework at the national and regional level. A national plan, known as the General Framework for Spatial Planning and Sustainable Development was based on this law setting specific goals concerning conflicting issues in land use management, which aim at the sustainable use of land and the minimization of negative environmental impacts. The "general framework" (effectively a national spatial plan) is still awaiting parliamentary approval. Its formulation followed closely the objectives of the European Spatial Development Perspective. The same law requires the production of Regional and of Special (sectoral) Frameworks for Spatial Planning and Sustainable Development. 12 Regional Frameworks have been approved already. The exception is Attiki (Attica), the region of Athens, which is covered by the Athens Master Plan. L.2742/1999 has established an advisory Council, the opinion of which is required for the approval of the General Framework for Spatial Planning and Sustainable Development as well as for the nationwide strategic Special Frameworks (e.g. for coastal, mountain or rural areas). This Council consists of representatives from major stakeholders of the public and private sector.

Spatial planning policy is predominantly seen in Greece as a public sector activity at all levels of the state hierarchy. Spatial planning is very centralised but recent reforms tend to ameliorate the situation, particularly through the creation of second tier local authorities in 1994, between local municipalities and regions, the amalgamation of small communities into larger municipal units and the transfer of powers to regional authorities.

When 2nd tier prefectural authorities were created, substantial powers were devolved to them by the central government. The ruling of the Council of State that both 1st and 2nd tier local authorities are not part of the State and hence the latter's planning powers cannot be transferred to local government forced the central government to introduce legislation (L.2831/2000) shifting powers from the prefectures to the regional secretariats. The new law did not solve the problem and new legal entanglements emerged. Further legislation was then promoted (L.3044/2002), but it was once again challenged with an appeal to the Council of State, the final ruling of which is still expected in early 2005. The whole question of devolution of planning powers to local authorities is still unresolved. From the perspective of governance this is a problematic state of affairs.

The project is located in two geographical scales; *national* and *'regional' polycentric urban networks*, because it concerns the production of national and regional plans. On the national level we expect to see effects among territories (relating to the whole country), **multi-level cooperation** (the relations between the different levels will be studied) and **decentral./devolut./regionalisation** (the previous leading to a decentralisation). On the other scale a **decentral/devolut./regionalisation** is also expected giving the regions more powers.

26.2 Prefectural development companies: An instrument for horizontal networking and bottom up planning

Geographic scale: urban-rural
Effects on governance: among territories, multi-channel/multi-actor (horizontal), OMC method/innovative mechanisms

A constellation of Development Companies (mainly at the Prefectural and Inter-municipal level) has started operation since the 1980s when the relevant legislation offered the opportunity. Initially the rationale supporting their institution was to operate as consultative agencies for 1st and 2nd tier local authorities (LAs) since the latter lacked the skills, resources, staff, infrastructure and knowledge to fulfill their institutional mission. Hence, initially, Development Companies were destined to support LAs by carrying out technical studies, realizing projects, offering services and generating income for mother LAs. Gradually, the objectives embedded in their statutes were expanded to include other issues and missions. These included encouraging co-operation and partnership between LAs and universities, local chambers, trades unions, agricultural co-operatives and associations of professionals; introducing new forms of organization; negotiating agreements between LAs and central government; ensuring the participation of LAs in regional, national, EU or international networks; informing, sensitizing and mobilizing local citizens on a variety of issues and strategies; adjusting policies to local particularities through procedures "from below"; achieving vertical co-ordination in the field of territorial development; and reinforcing the role and political status of LAs. In order to attain the above objectives the Development Companies moved on to the incorporation of additional agencies as shareholders. EU Programmes and Initiatives (LEADER etc.) necessitating the involvement of local agencies in the management of funds have been a catalytic factor towards empowerment of Development Companies and the partnerships built around them. While the objectives of development companies were being widened, their actual tasks changed too. Gradually, they assumed full responsibility of planning interventions from conception and study to implementation, subject of course to permissions required by planning legislation.

From the late 1990s onwards the older development companies started employing *ad hoc* governance and partnership practices, especially when these became necessary to achieve success, to accommodate co-ordination across jurisdictional boundaries, that cut across the territories of regions, and to secure compatibility and coherence between multiple plans. This new trend is further boosted by the EU stimulating actions and provisions, by the growing competition between regions, as well as by local authority efforts towards emancipation from central state patronage.

Predominantly in the rural regions of the country Development Companies have been active in both fields of public informatization / mobilization to effectuate decisions on local development that are made "from below" and horizontal networking in geographical and sectoral terms. An indicative product of this horizontal networking is the network "Leader Hellas" that has been established to facilitate exchange of experiences among the Groups of Local Action (OTDs) and other agencies responsible for the implementation of LEADER and for rural development in general. While the network had been a spontaneous action at the stage of LEADER I, it grew into a formal

structure under LEADER+ in response to specific measures included in the latter. The network's basic objective was effective connection and communication between the Ministry of Agriculture (now Rural Development), the Local Action Groups of the agencies for rural development, the EU and the European Observatory of Innovation and Rural Development. The network is structured in a flexible way, does not constitute a separate legal entity and is open to future partnerships and memberships. It is worth-mentioning that the Network LEADER Hellas has been a determining factor for the successful course in Greece of the LEADER Initiative since its initiation.

On the other hand a most prominent example of the activity of Development Companies in the field of "bottom up" planning is the case of the so-called "quality agreements" in the tourism sector and broadly the policies for sustainable territorial development. The idea emerged first in the Lake Plastiras area where ANKA (the development company of the respective Prefecture of Karditsa) took the initiative to inaugurate a new approach to policy-making. These quality agreements have now been popularized by the Network "LEADER Hellas" and applied to a whole range of rural regions across the country, constituting a consensual policy platform that supports the operation of LEADER. These agreements have been an important step not only towards improving local living standards and the protection of the environment, but also towards encouraging citizens' involvement, accumulating knowledge in a collective and holistic social process, and ultimately local autonomy and self-management. The study will focus on a specific Development Company, a case exhibiting preponderance over others in terms of successful accomplishments. The study will cover both themes of horizontal partnership and public mobilization for the purpose of a dialogue and negotiations for local development matters.

The explanation is already quiet elaborate so here we will keep the summary very brief. The project is in the scale of *urban-rural* relations considered that this is the main work field of the LAs. There are four effects on governance; **among territories** (concerning the rural and urban areas) and multi-actor/multi-channel (LAs) coordination. These LAs also lead to the fulfilment of **the participation of NGAs/openness** and to **OMC methods/innovating mechanisms** (the LAs being one itself).

27. Poland

27.1 Nysa (Neisse)

Geographic scale: trans-national/cross-border
Effects on governance: among territories (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGAs/openness

Euroregion Nysa (Neisse) is located within the borderland of Poland, Germany and Czech Republic. For this region the "Concept for economic development of the Euroregion Nysa" was elaborated in 1993-1994 by the German company Dornie GmbH, with participation, from the Polish side, of the Jelenia Góra Bureau of Planning and Programming. This is the oldest Euroregion on the Polish borders, established in 1991, with the amplest experience, and the best documented one in the literature. Besides, there is the Small Triangle Association of Towns – Bogatynia, Radek on Nysa,

Zittau – within the region. One of the objectives of the association is to elaborate a common spatial development plan, with, in particular, the use of the European funds – from INTERREG. Formally Euroregion Neisse-Nisa-Nysa is composed by three communal associations of municipalities and districts that are tied together by a framework agreement of mutual co-operation. Its top bodies are the Council and the Presidency. They are personally filled by elected representatives from individual associations which comprise also of elected representatives. Euroregion Neisse-Nisa-Nysa has offices (as its executive bodies) in Zittau, Liberec and Jelenia Góra. Their work is directly governed by Presidency. The offices are central output points and they accompany project activities in organizational matter. Project priorities are centered on priorities formulated by politicians of the Euroregion Neisse-Nisa-Nysa. Functioning of all bodies is governed by basic principles: parity, rotation and concensus. Academic Coordination Center of the ERN (ACC/ERN) has been established with its headquarter in Liberec. In 2002 Energy research Centre of the Netherlands (ECN) prepared Regional Action plan for promotion of combined heat and power production in the Neisse-Nisa-Nysa Euroregion.

Because the case study is a Euregio it is automatically a *trans-national/cross border* project. It has four major effects. The first is **among territories** involving three major urban areas. Then we also see **multi-level cooperation** in terms of the national level working with the regional level and the municipal level. They try to fulfil the box of the **integrated policies** through their cross-sectoral approach. Lastly in the field of **participation of NGAs/openness** there will also be effects.

27.2 Transport Policy in a metropolitan area. The case of Warsaw

Geographic scale: functional urban regions/metropolitan areas
Effects on governance: among territories (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGAs/openness

Transport (both urban and external) is one of the main barriers of Warsaw economic development. There are some differences in transport development conceptions between Polish State (among others Governmental Motorway Construction Agency), Warsaw Authorities, particular communes and local societies. Development of Warsaw Subway is hardly dependent of the parliamentary decisions (frequently blocked by non Warsaw deputies). Level of co-operation between Warsaw and surrounding communes is relatively low. Communes are independent and try to introduce their own transport solutions. Integrated transport system is still not operating, mainly because of the lack of co-operation with Polish State Railways. Almost all projects are blocked for couple of months by para-ecological NGO-s. Crucial element is to introduce the Metropolitan Area rules. It is under implementation, but the delimitation is not finished. The Warsaw Transport Development Strategy is under elaboration

The project is located in the *functional urban region/metropolitan area* whilst it deals with the urban area of Warsaw. Again we will seefour major effects. The horizontal coordination will take place through **among territories** involving multiple neighbouring municipalities (the roads obviously do not stop when they reach the municipal borders). There are also effects to be expected in the **multi-level cooperation** with the different levels of government involved. The box of **integrated policies** can

also be filled as the transport policy will be imbedded in other relevant sectors such as economy. The **participation of NGAs/openness** will also see some effects.

28. The Netherlands

28.1 Knooppunt Arnhem Nijmegen (KAN-region)

Geographic scale: 'regional' polycentric urban network
Effects on governance: among territories, multi-actor/multi channel (horizontal), multi-level cooperation, decentral./devolut./regionalisation(vertical), participation of NGAs/openness

'Most things do not stop to exist beyond city-borders. Therefore, a set of 20 municipalities are cooperating on regional policy issues, institutionalized in the Knooppunt (intersection) Arnhem-Nijmegen" (KAN-website 2005).

With over 700.000 inhabitants, the KAN-region can be considered one of the largest regions of the eastern part of the Netherlands. To bind (and attract new) its inhabitants as well its businesses to the region, the cities that are part of the KAN cooperate on various fields and policy-terrains. Its main focus, however, lies within the policy fields of traffic and transportation, economic development, living qualities, spatial development and the environment. The KAN region aims to achieve a balanced development of the region and tries to find accurate and coordinated ways to deal with urban problems within the region. An important part of this objective is related to creating and strengthening high-quality living conditions within the region, but also to strengthening and safeguarding the rural and environmental diversity within its (rural/urban) landscape Because of the constant pressure of increasing urbanization, growing mobility and the need to steer regional economic development, a regional cooperative policy had to be developed to fulfil this objective. Structuring planning thoughts and ideas on a regionally cooperative level, the KAN-region can be seen as a strategic tool for the 20 municipalities to achieve economic, socio-economic and spatial development within their cooperative region. The KAN-region is first and foremost an initiative of cities and their surrounding territories, and is therefore controlled on a primarily governmental level. The governing board is derived from the 20 municipality councils as is the Regional council, which consist of 37 members. Incrementally, the KAN-region is also interacting with private actors within the region. In 2003 the KAN governance project, started a Multi-Actor program called *Samen Werken Aan De Toekomst* (SWADT) [Working together for the future], in which governmental and private actors are working together on projects concerning urban development, infrastructure and rural landscapes.

The KAN-region has gained a certain amount of political autonomy that other geographic governmental levels (such as the individual departments and cities) do not have. It can therefore been seen that the KAN-region interacts on a Multi-governmental level, as well as it has created a shift in competences and political powers in relation to its member municipalities.

This case can clearly be located in the geographical scale of the *'regional' polycentric urban network* containing two major cities and multiple municipalities. The effects on governance can be found horizontally, both **among territories,** (neighbouring

municipalities) and **multi-actor/multi-channel** (public and private actors cooperating). Furthermore there is vertical coordination as in **decentral./devolut./regionalisation** as the KAN region gained a certain level of political autonomy and created a shift in political powers in relation to member municipalities. Lastly it is very obvious that the **participation of NGAs/openness** also is an issue as they are trying to bring all private and public actors to work together in achieving a common goal.

28.2 "*Het Drielandenpark*" (Park of three countries)

Geographic scale: transnational/cross-border
Effects on governance: among territories, multi-actor/multi channel (horizontal), multi-level cooperation (vertical), integrated policies, participation of NGAs/openness

The Mergelland, the Voerstreek, the landscape of Herve, the Duchy of Limbourg and the Eifel, are illuster names of regions that are famous beyond their borders, because of their beautiful city sights, farms, castles, landscapes and particular environmental surroundings. Besides that, the region can be associated with well-known cities as Maastricht, Aachen and Liege that complete the picture and form an attractive area to live, recreate and to do business in (Drielandenpark website 2005). The southernmost part of the Netherlands, the eastern part of Belgium and the German area of Aachen and Eschweiler already have a long history of cross-border contacts. In the late 1990s policy makers decided to expand and deepen these contacts by cooperating in the field of spatial policy. While, in the eyes of the policy-makers of the three countries, the border-lines of the countries often created obstacles in terms of adequate problem solving and the utilization of trans-border opportunities, in 2001 the *Drielandenpark* project was created in order to coordinate and cooperate spatial policy in the transnational region. Initiated by the Dutch province of Limburg, a steering group was created which consists of members of the 4 countries (including Flanders and Wallonia) stemming from both governmental organizations as non-governmental organizations. This steering group created the policy outlines which aimed at coordinating transnational spatial policy, serving as a framework for Euregional cooperation in initiating, stimulating, facilitating and evaluating of a coexisting sustainable development within the region, based on interrelated ecological, economical, environmental and cultural values [primary objective *Drielandenpark*]. The main focus of the region currently lies within the field of the (recreational and ecological) open landscape features. Besides the ecological and environmental goals, cultural diversity and socio-economic development also play important roles. Remarkably, the borders of the Drielandenpark-region have not been explicitly defined, this to underline the importance of the openness of the transnational project itself. "*There are no fences around the park. The title "Park" may suggest that the region is a sort of closed/ bordered nature park, but it definitely is not. The Drielandenpark is an open space, where people can live, work and recreate*" (Drielandenpark Nota, 2001). The Drielandenpark-project as a policy-outline can be seen as open as well. The policy outlines are certainly not coercive and should definitely not be looked upon as principle and mandatory changes in policy, rather more as deepening and improving the already existing policies within the different national regions themselves. The region therefore interacts within various levels of governance: on a provincial/ departmental, on a local/ city based level, on a Euregion level and on a national level as well.

The project can without doubt be categorized as a *transnational/cross-border* project, due to the fact there are three countries involved. It has a wide range of effects starting from **among territories**, neighbouring countries, etc. and **multi-actor/multi-channel** coordination related to the big amount of public and private actors involved. Then there is also an expected effect in the field of **integrated policy**, relating ecological, economical, environmental and cultural values. The **participation of NGAs/openness** is also a field that should be filled, due to the mix of actors that comes together in the steering group. Furthermore this is also a clear case of vertical coordination through **multi-level cooperation** with the various levels of governance that interact.

29. Malta

29.1 The Regeneration of Cottonera:

Geographic scale: Functional Urban areas and Metropolitan Regions
Effects on governance: among policies

Cottonera is one of the urban region in Malta. It is a generic name used to refer to three cities (Vittoriosa, Senglea and Cospicua). The region is situated in the inner harbour area of the Maltese Islands.

Up to the Second World War this region was the hub of economic and social activity, with the main dockyards concentrated in the area. However, the Second World War brought devastation to the area, causing some of its historical quarters to be destroyed. In addition, there was a mass exodus of population. The post-war restructuring brought about a change in the social set up of the area. For a number of years this area was labelled as a socially deprived area. This was due to the occurrence of high unemployment rates and hoses being occupied by social cases attracted to the area due to the cheap prices of housing in the area.

Despite these factors, the area still has a very rich heritage, in particular its maritime landscape, historical buildings some of which pre-date those of Valletta, Malta's capital city and a rich intangible heritage.

In 1996, part of the Marina was given on 99-year lease to developers to develop a Yacht Marina. This was the beginning of a new interest in the area by developers, politicians and investors as well as the general population. In addition, the nature of the project was hotly debated on a national scale, leading the Labour Party, then in government to call snap elections, after 22 months in government.

Today this area has become the center of a number of regeneration projects, that involve the Local Councils of the Three Cities (a form of local government), NGOs, Governmental entities (Tourism, Urban Development) and private developers.

The case study will look closely at the relationships and dynamics of the whole regeneration process as an integral part of spatial planning and development of urban areas. It will focus on debates raised, in particular the arguments raised in favour of development of the area, the relationships between the various stakeholders (such as the cities between themselves and their relationship to the other entities), NGOS, developers and governmental entities. Moreover, it will analyse the policies adopted by

Government in its attempts to regenerate the area (these include, integrated development, re-use of urban heritage for tourism purposes, schemes for development). Finally it will also address the role of local communities in the process of development.

The case of Cottonera can be catogarised under the heading of *functional urban areas/metropolitan regions* as it deals with an urban area. Only one effect concerning will be studied, **integrated policies** (among policies). Cottonera situated in the inner harbour area is considered to be a socially deprived area. Currently there are a number of projects which are expected to regenerate the area. The case will focus on the dynamics of these projects, how they integrate with one another an analysis of the stakeholders' views and the role of the local community in all this

29.2 **Garigue: A wasted land or a fertile land?**

Geographic scale: Urban-Rural
Effects on governance: *Participation of NGAs*

This case study looks at the rural parts of Malta and focuses on the issue currently pending of a group of farmers vs. a developer on a piece of garigue land in the Western region of Malta. Garigue is natural landscape formation prevalent in high elevation-exposed non-built areas. It supports low shrub vegetation and to the non-expert appears to be 'wasted' land however; it is an important agricultural asset as it supports much of the endemic flora of the Maltese Islands. One important plant that thrives in this vegetation is thyme on which bees feed to produce Maltese honey. Thus, this land is important for bee owners who live in the area. A developer has recently got the lease of land from the original owner and is threatening the farmers so they give up their land. The farmers are arguing that if this occurs, part of their livelihood will be lost.

Although outside the strict definition of urban context - this land is located in an area which has recently been taken up by other developers to build houses and so it is within an area on which there are no clear indications. The area has in recent years increased in population, attracting mostly young couples who are not originally from the area. Thus the whole landscape of the locality has changed from one which is predominantly rural to one which is increasingly becoming an 'urban' area.

The case is clearly located in the geograpical scale of the *urban-rural* relations. It studies also only one effect on governance, the **participation of NGAs/openness**. This case study illustrates the conflict that is prevalent in development. It will illustrate the land use problems, the conflict between users and the dilemmas presented when one considers development in traditional settings. Moreover, it will analyse the mechanisms used by farmers to raise public awareness, their way of resolving the issue and the developer's use of policies and legal back-up to go on with the planned development. This case will also highlight the ways in which development zones are negotiated and changed as a result of 'political' pressures. The overall role of planning and environmental law will also be studied in relationship to this case.