



RISE

Regional Integrated Strategies in Europe

Targeted Analysis 2013/2/11

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EXECUTIVE SUMMARY

Introduction

Over recent decades, with the growth in global economic integration, it has been recognised increasingly that the skills and resources of different kinds of actors – from public, voluntary and private sectors – must be harnessed to bring about successful regional development. This change involves a shift from established institutions and instruments towards the deployment of a wider array of novel instruments including cooperative networks, clusters, and partnerships. It has also been recognised that policy-makers operate within a system of multi-level governance and that the interventions of different levels of government, and different actors, may be contradictory or conflicting.

In this report we set out the findings of the RISE project – Regional Integrated Strategies in Europe – that studied four regions in detail: the Randstad, West Midlands, Västerbotten, and Zealand. The case study regions face different challenges due to their very different physical, economic and social conditions. The regions illustrate the diversity of Europe, ranging from densely populated polycentric urban areas to “deep rural” regions with limited urban settlement. In terms of governance, Randstad contains the Netherland’s two major conurbations and encompasses a complex range of powerful governance and power. West Midlands is also complex in that the present coalition government has split responsibility for economic development from that for spatial planning and allocated the former to business led public-private partnerships – the LEPs. By contrast both Västerbotten and Zealand (the island of Zealand minus Copenhagen) have simpler governance situations. Despite these differences all the RISE regions are among the more economically developed territories of the EU.

Methodology

There were three main components to the research methodology of the RISE project.

1. *Regional profiling* involving an examination of secondary data on regional spatial strategies, and the circumstances of the four regions.
2. *Review of the literature* regarding policy integration and multi-level governance.
3. *Semi-structured interviews and focus groups* with key individuals, which explore good practice in the development and implementation of sub-national integrative strategies.

Policy Integration

Policy integration often is a consequence of ambitions towards more efficient policy processes, more concise and effective outcomes. A step towards an analytical framework can be identified from the forms of sectoral and territorial integration in the case studies.

Sectoral integration is about “joining up” different policy domains and their actors within a given territorial area. Without proper coordination or integration

individual applications may remain inefficient, with competing and contradictory objectives and duplication of effort. Two dimensions can be distinguished:

- i. cross-sectoral integration between different policy areas (at a range of different scales),
- ii. inter-agency integration between public, private and voluntary sector agencies.

In the RISE cases, territorial policies are used to co-ordinate various policy areas, be they economy and business, land use, infrastructure and transportation, employment and environmental policies. In Västerbotten EU policies relating to economic growth and cohesion are identified as key drivers for policy co-ordination, to a somewhat lesser extent in Zealand. In the Randstad the EU is one of many influences for action, whereas the supranational influence is very limited in the West Midlands based LEP (GBSLEP). National influence in cross-sectoral integration is clearly important in all case study regions. At the other end of the spatial scale municipalities are involved in strategic regional policy making in all case study regions.

The inter-agency aspect of integration also exists in all case study regions, but in somewhat different appearances. Of specific importance in all cases are the public-private sector interactions. In Denmark the public sector (regional) production of RUPs have to include strategic decisions made within the Growth Fora with strong business representation, even if e.g. labour market organisations are also present. In the UK the LEPs have strong business representation as well, together with other sectors. In the Netherlands and the Randstad region the main strategic document is a state and public sector concern. As for Sweden and Västerbotten, the inter-agency integration is formalised in strategic partnerships and through the financing of inter-agency projects.

Territorial integration, on the other hand, concerns the integration between spatial policy areas. The argument here is that current planning approaches are, to a greater or lesser extent, disjointed across territorial divisions. This situation can lead to inefficiency and ineffectiveness in dealing with policy issues and infrastructure investments that transcend administrative boundaries. The category of territorial integration also encompasses different dimensions:

- i. “vertical integration” – policy coherence across spatial scales (nations, states, regions, localities)
- ii. “horizontal integration” – policy coherence between neighbouring authorities at the same level and areas with some shared interest.

Relating to the case studies, the GBSLEP, in the West Midlands, strives towards the establishment of a new sub-regional functional economic geography, whereas Västerbotten has a strong territorial orientation towards the long established administrative level of Västerbotten county. The Randstad cannot be described along a definite delimitation since it is

continually debated and challenged, and Region Zealand is working towards institutionalisation within newly defined regions.

In the Netherlands and the Randstad region the MIRT territorial agenda focuses on vertical dimension as it relates (existing) policy from different government levels. However the horizontal dimension is limited compared to the vertical one. In Västerbotten, infrastructure investments include both vertical and horizontal integration between neighboring authorities. Within the GBSLEP Local Authorities are expected to co-operate where necessary to plan for the housing, transport and infrastructure. In Zealand the Business Development Strategy is one of three pivotal strategies, the other two being the RUS and the Agenda 21. One of the conclusions drawn from interviews is that integration is taking place *between* strategies developed in their own right by agencies belonging to the same family of overlapping strategy and policy communities.

Typology of Regional Integrative Strategies

On the evidence of the four regional case studies undertaken, there are a number of different variables that are relevant for the comparison and classification of RISs – for example, the centralisation of state power, or the rapidity of change. However, we have focussed here upon two variables – two aspects of regional governance – that seem germane to the main focus of the study. Region here is defined as the primary sub-national functional economic area:

1. **Governance consolidation:** the degree to which the governance of the region is institutionally consolidated at the regional level or devolved to the sub-regional level in various ways, or centralised to the national level. This establishes a scale – from unitary regional governance, to bifurcated, to pluralistic regional governance, to nationalised.
2. **Strategy integration:** The degree to which there are strategies or policies that attempt to integrate between policy sectors or between sub-regional territories, to produce integrated strategies at the regional-level. This establishes a scale – from small, through medium to large numbers of integrative strategies.

There may be a relationship between *regional governance consolidation* and *regional integrative strategy preparation*. It may be, for example, that regional institutional consolidation will generally simplify regional integrative strategy preparation, making this more feasible by bringing it within the scope of a single agency of governance and a single authority structure. But it is also possible to argue the converse – that the less consolidation there is at the regional level, the more sub-regional governance agencies will want to cooperate – or compete – with one another by putting forward alternative templates for regional integration.

The causal relationships here are unlikely to be straightforward, and if regional governance is to be achieved from the cooperation of sub-regional agencies, it will take time and effort to build the trust that is required. Pressure

from central government may also help to make this happen. In a complex and fluid economic environment it is also likely that multiple, overlapping geometries will be required in the formation of territorial and sectoral integration of policies. Pluralistic governance and strategy frameworks may be more attuned to the complex and fluid economic realities of contemporary regions. It may be that it is in simpler and more stable economic environments that a consolidated governance and strategy environment is most appropriate.

		REGIONAL STRATEGY INTEGRATION		
		Small	Medium	Large
REGIONAL GOVERNANCE CONSOLIDATION	Unified Regional			Västerbotten
	Bifurcated Sub-regional			Zealand
	Pluralistic Sub-regional	West Midlands	Randstad	

Figure 1: typology of RIS

Toolkit

A key objective of RISE is the elaboration of a *tool-kit* for integrated regional strategies in cooperation with the regional stakeholders. The tools illustrate how it is possible to govern and make integrated strategies in a complex governance situation with multiple regional autonomous governance actors. The use and further development of the tools we present could strengthen a strategic governance perspective. From this perspective a new role seems to be maturing in the four case regions: the role of the strategy maker and mediator. The presentation of tools is divided into tools for strategic analyses and tools for strategic conduct, and a check list of indicators is presented as a measurement tool.

In the context of the toolkit, a model for strategic analysis is conceptualised by the 'strategic circle' framework. This identifies the *key elements for consideration and learning processes* of the strategic agents as: (1) the outer world of the territory, (2) the role of the city or economic functioning area, (3) visions for the future for the city or economic functioning area and (4) the stakeholders sharing the vision. We draw a contrast between strategy driven and project driven approaches and enable policy makers to analyse their own points of departure. The strategic circle can be used as a mental map for strategy making but as the case studies show certain elements of the model are more important than others in different regional planning situations.

1.0 OUTLINE OF RISE METHODOLOGY

The RISE study methodology comprised three discrete but interdependent components and involved both quantitative and qualitative data gathering and analysis. The three main components of the research method included:

1. **Regional Profiling:** an analysis of economic and social data to present a statistical overview of the four regions; this analytical work was complemented by a review of local case literature(s) and other relevant data to construct four more detailed regional 'pictures' of governance arrangements and planning systems;
2. **Literature Review:** a review of the learning from the wider literature on the topic of policy integration; and cross-regional sharing of this learning between the RISE project teams;
3. **Case Studies:** detailed case study enquiries in each of the four regions concerned; and the verification of this learning with the practitioner community in the four regions.

The principle of **interactive learning** (between the research teams and their local practitioner communities) both within, and between, the four regions has been applied throughout the RISE project.

The Regional Profiling (Analytical Overview)

In the first phase of the project, the *analytical (regional profiling)* component involved the following:

1. An examination of secondary data sources on regional spatial strategies, and on the socio-economic circumstances of the four regions, for the subsequent development of regional profiles;
2. A review of relevant literatures on spatial strategy, regional development and local governance and planning systems; a synthesis of the learning from items 1., and 2., above then allowed for;
3. The design of a common case study methodology for the four different regions.

The Literature Review

In parallel with the regional profiling work set out above - and in terms of the organisation of the literature review - four 'groups' of policy integration concepts were identified for further exploration. The aim of the literature review was to surface important insights on the question of policy integration (and across these four groups of concepts) that could usefully inform the case study design(s). The literature review helped with defining the topics and questions to be addressed in the local case study enquiries; and helped identify the critical conceptual, strategic and operational issues that needed to be addressed by the RISE Tool Kit.

The Case Studies

On the basis of the secondary data analysis and the literature review, a case study methodology for the four stakeholder regions was designed and a set of common variables was established for the data collection methods to be used, definitions of respondent populations and sampling frames, questionnaires, sample sizes, analysis and tabulation methods, and approaches to the interpretation of results.

Across the four RISE project case regions, semi-structured face-to-face interviews were conducted with some 100 key individuals – these included stakeholders, decision-makers and others involved both directly, and/or indirectly, in the spatial planning process. The purpose of the interviews was to explore good practice in the design, development and implementation of sub-national “integrative strategies”. A common interview topic guide was developed for use across the four case regions. Interviewees were asked about: the *composition of their partnerships*; the nature of *local organizational arrangements* (vertical and horizontal relationships); the *strategic focus* of their organizations; the *implementation levers* being used; their *future aspirations* and *trajectory* and the possible constraints upon these.

Following on from the interview phase, practitioner oriented workshops were held in each of the 4 regions to discuss and debate the observations on the local spatial planning process(es) provided by interviewees. The draft RISE “Tool Kit” was also presented at these workshops for debate and verification. These local workshops were facilitated by the members of the RISE research teams. The workshops were attended by the local stakeholder organization(s) and by a wider group of practitioners who were either directly or indirectly involved in the design, development and delivery of local and regional spatial planning strategies – attendance was by invitation.

As the project has progressed since its inception in 2010, and at key ‘milestone’ points throughout the project, the 4 research teams have met to debate and share their observations and findings. Informed on a continuing basis by the learning derived across the three elements of the research methodology, the RISE Tool Kit has been developed iteratively throughout the project.

2.0 SYNTHESIS OF LITERATURE REVIEW

2.1 General introduction

In the RISE literature review four groups of concepts have been identified:

- Policy integration;
- Policy transfer and learning;
- Meta-governance and new forms of governance;
- Collaborative planning, legitimization and partnership.

The aim of the literature review was to arrive at a deeper understanding of some of the most important RISE concepts and to elaborate these concepts in such a way that the interpretation of the results of the case studies as well as the construction of the RISE toolkit would be guided.

The literature on the four groups of concepts is vast. We therefore looked at literature which was applicable to the RISE project, and thus at literature presenting building blocks for *operational definitions* of concepts which could help us to define questions to interpret case study results and select potential contributions for the RISE toolkit. The focus in the interpretation of the case study results on the basis of the literature review is on policy integration as the overarching theme. The other three groups of concepts are considered to be related to this overarching theme. We will summarize these four groups in separate sections.

2.2 Policy integration

The desire to integrate policy across different sectoral planning domains such as economic development, transport, housing, retail development is not new. Complaints that departments do not communicate, or that policy actions are contradictory are legion (Peters, 1998). Pressman and Wildavsky (1984) observe that “no suggestion for reform is more common than ‘we need more coordination’”. Thus while planning systems vary greatly across Europe (CEC, 1997), most countries employ mechanisms to seek policy integration amongst different sectors and different levels of governance. At EU level integrated spatial planning is argued as able to help secure efficiency gains through improved vertical integration of activities across spatial scales and horizontally between regions (Kidd, 2007).

At the same time an increasing emphasis on localism – and on accountability, transparency and citizen-oriented interventions at the sub-national scale – is driving the aspirations for improved policy integration across the board. Indeed, given the many horizontal and vertical complexities involved, effective integrated spatial planning may be more likely at smaller spatial scales (Vigar, 2009). Emphasis on cities and city-regions as engines of growth is also focusing attention on the need to improve degrees of policy integration to avoid management/resource inefficiencies (Buitelaar et al., 2007). Briassoulis (2004) suggests that policy integration is needed to hold the policy system together, to overcome its tendencies towards disorder, and to manage the numerous policy interconnections so that policy supply meets policy demand, supporting the effective resolution of complex problems and the transition to sustainable development.

In general, policy integration is seen as desirable and, hence, calls to integrate are many. The perceived benefits of ‘joined up’ governance and strategy are more efficient policy development, and seamless, non-contradictory, non-wasteful implementation. It is argued that a lack of strategy leads to drift and to faddism and agendas that can be ‘highjacked’ by particular interests. A number of parameters have been identified as either facilitating or inhibiting integration. These include political, economic,

organizational and behavioural factors. Similar, and overlapping, criteria can be used to judge the degree of integration.

However, the complexity of planning across different sectoral fields, and levels of governance, makes the process of integration difficult. One can argue that there is a 'trade off' between the different possible areas of integration: sectoral and territorial integration. The greater the latter the more difficult it may be to integrate across sectors, especially where policy is decided at different governance levels. Thus, since knowledge is bounded, the concept of integrated strategic planning is questionable. Too rigid frameworks leave little space for learning, adaptation and integration.

Overarching frameworks, such as the design of space, sustainable development or environment can provide a sufficiently strategic policy envelope while at the same time enabling flexibility and 'real-time learning. However, it is recognized that translation into everyday practice, is determined by local culture, informal rules and path-dependent factors (Lloyd & Peel, 2005).

Useful for assessing the kind of policy integration taking place in the selected RISE cases the following *concepts* can be proposed:

- *Sectoral* integration and its two sub-forms: cross-sectoral integration and inter-agency integration.
- *Territorial* integration, encompassing dimension such as vertical integration (policy coherence across spatial scales) and horizontal integration (policy coherence between neighbouring authorities such as nations, states, regions etc. and areas with some shared interest).
- *Organizational* integration: co-operation between parties in the form of organizational integration. Different forms are: 1) strategic integration (the alignment of linked strategies, programmes and initiatives); 2) operational integration (the alignment of related delivery mechanisms), including a coupling between (strategic) spatial visions, objectives and spatial concepts at the one hand and operational decision making (including concrete investment on the ground) at the other hand.

On the basis of these distinctions the following *operational questions* can be posed:

- Can the plan(document) or strategy be positioned in terms of sectoral, territorial and organizational integration and is it possible to specify which type within the three categories of integration are appropriate?
- Are there other plans, strategies and/or processes directed towards policy integration and for what reasons does the selected plan or strategy stand out?
- Is the plan or strategy meant to bridge the gap between strategic choices and operational choices and in what way?

2.3 Policy transfer and learning

One of the key assumptions of the RISE project is that policy integration in our case study areas will show high level of situated practice or contextuality. This

means that each case is unique to a certain extent because the level and kind of integration depend on a number of regional contextual factors. In such a case, the validity of comparative studies between different regional contexts will be restricted. We want to face this problem by looking into the literature of policy transfer. We want to identify the kind of problems that arise in the practice of learning by comparing policies embedded in different localities. We thus shall try to answer the following questions:

1. Which are those important contextual factors (e.g. planning cultures; planning systems)?
2. What are important barriers for cross-national and cross-regional learning?
3. Which factors determine the transferability of policies, tools, instruments, etc.?

Policy transfer studies have shown a lack of instrumentality, i.e. if 'you want to transfer policy A from B to C, do so and so'. There are three problems with policy transfer. First, policies organised in one national context are difficult to transfer to another national context. This is the problem of the context. Adding to this is the problem of precision. The more accurate transfer, the more it depends upon the context, and the more difficult it is to transfer. And finally, there is the problem of origin. Does the transfer originate from a supra national body trying to implement general policies in different countries – or does the transfer originate from below, from one country just inspired by policies in another country?

In literature these problems are often summarised in conceptual continua between extremes, combining the continuum between transplantation and inspiration and the continuum between coercive and voluntary transfer. At the bottom left extreme – coercive transplantation – transfer is at its extreme of accuracy and at its extreme of contextual barriers to cross. At the opposite upper right end – voluntary inspiration – transfer is taking place as a learning process during which contextual borders are eliminated as part of the learning process. Thus, the diversity of the extremes makes it reasonable to suggest that problems of policy transfer are nested in the very idea of transfer: i.e. only if you wish to transfer something, transfer problems occur.

An important question is whether we do have concepts, tools and policies so important that they have to be transplanted – as they are – from one to another context. The literature tends to favour operation at the other extreme, inspiration. This position we want to rephrase as *implantation* rather than *transplantation*, in order to emphasize that concepts, tools and policies are going to be transferred only if they are suited for tailoring to the circumstances in the local context. This way of thinking is in line with the following quotation by De Jong and Edelenbos (2007, p. 688): "Domestic systems persist and incorporate European themes following their own institutional logics."

RISE is ultimately about the (possibilities for) cross-national policy transfer. This section points out that there are two interlinked issues when it comes to such policy transfer:

1. What could be the object of policy transfer or – phrased differently – what are potential candidate tools for the toolkit?
2. What are critical contextual elements influencing the nature of these tools?

Both questions are difficult to answer because they presume an awareness of the level of uniqueness in relation to the tools as well as the policy context which produced these tools: what makes a particular type of tool interesting for others and will it fit another planning context? Helpful to detect contextual elements which (might) explain the characteristics of a case is to make use of the literature on families of planning cultures and planning systems. Several examples have been discussed although we must also conclude that the level of abstractness is in most cases quite high due to the fact that the makers of the distinctions between families had to incorporate all countries and were seeking to avoid a large number of families. So a lot of detail is necessarily lost in the exercise. The contextual denominators as identified by De Jong (2004) could be used to add to our case studies: what are basic characteristics of the context in which our cases have been developed?

2.4 Meta-governance and new forms of governance

Policy integration on the regional level takes place in a political and administrative environment which is becoming ever more complex. What comes out of the literature is that there are different ways to respond to this. A first response is that administrative arrangements are reorganized. Another response is that new forms of governance and meta-governance are developed which are often ad-hoc, have fuzzy boundaries and address and seek to integrate a limited set of policy subjects. Many non-statutory planning strategies are the result of such new forms of governance and meta-governance. In order to analyse case studies and to contribute to the RISE toolbox we broke down the concepts of governance and meta-governance into more concrete and identifiable concepts addressed in separate subsections.

To assess different dimensions of (good) governance several dimensions can be investigated. We have identified five dimensions and imaged these as matrices, as continua ranging from 'low' to 'high'. The dimensions refer to the degree of 1) participation, 2) openness, 3) accountability, 4) effectiveness and 5) coherence. This can be used to analyse and assess the findings in the four RISE case study regions. Based on literature the *concepts* of resp. 1) *government* and 2) *governance* can be defined as 1) the exercise of political authority over the actions, affairs, etc. of a political unit, people, etc., as well as the performance of certain functions for this unit or body; the action of governing; political rule and administration and 2) a complex governing process in which a multitude of public and private actors interact to govern society (Sørensen, 2006, p. 99).

Operational questions to be asked are:

- Is decision making power dispersed over several stakeholders? Does this lead to interdependence, the formulation and agreement between participants of rules on how to act?

- Does the quality of the decision making process on regional integrative strategies meet the principles of good governance?

For the RISE project a first step in analysing cases is to determine whether regional integrative strategy making applies to a hard jurisdictional space or, in contrast, a soft space? From there a second step, in particular in the case of soft spaces, is to establish what the main reasons (functional, institutional, market driven or other) have been to actually start the strategy making project and which stakeholders have asked for it. A *hard space* is rigidly demarcated administrative territories or jurisdictions legally controlled by a government body. A *soft space* relates to spatiotemporal fixes (places) of associational (governance) networks that break away from the rigidities associated with the formal scales and have fuzzy boundaries (Allmendinger & Haughton, 2009).

Main operational questions for the case study analysis:

- Is the space concerned by the regional integrative strategy a hard or a soft space?
- In the case of a hard space: is it a matter of government or governmental bodies, or are also non-governmental, private and/or societal bodies involved in strategy making?
- What are the main functional, institutional, policy, market driven or other reasons that underlie the strategy making project, and which stakeholder(s) put it on the agenda?

In the RISE project the distinction between Type I and Type II multi-level governance is relevant in order to analyse and characterise the actor and stakeholder setting around regional integrative strategy making processes. It enables researchers to characterise the composition of governance networks. Multi-level governance Type I is mainly an affair between different layers of government. Type I characterisations are thus reserved for those cases which are driven exclusively by government bodies, without further coordination between government bodies at the same level. Considered in this strict sense it is hardly conceivable that cases can be solely characterised as Type I or Type II. Rather, each case will carry elements of both. What matters is to point out which multi-level governance relation or relations are dominant.

Operational questions:

- How can the case be characterised or ranked in terms of multi-level governance Type I and Type II? Is the project solely run by governmental bodies? Are bodies of different levels of government involved? Are different sector departments involved? Are non-governmental, societal and/or private actors involved? And at which level of government?

Meta-governance “is a way of enhancing coordinated governance in a fragmented political system based on a high degree of autonomy for a plurality of self-governing networks and institutions.” “[M]eta-governance is an indirect form of governing that is exercised by influencing various processes of self-governance.” (Sørensen, 2006, p. 100). “Meta-governance is therefore an indirect means of performing ‘regulation of selfregulation’, both at the

macro level (Jessop, 2002) of societal governance and at the micro level of network management (Klijn & Edelenbos, 2007)". (Sehested, 2009, p. 248).

Operational questions:

- Is it possible to identify influences on regional integrative strategy making of higher tier government bodies without them being present or part of the governance network? Or in other words, does strategy making takes place under a shadow of hierarchy?
- Is the process of regional integrative strategy making embedded in a wider organizational setting which imposes, for example, deadlines, procedures, guidance or other influencing conditions on the network governance process?
- Are these hierarchical conditions perceived as positive or negative for the outcome of the regional integrative strategy making process?
- Are instruments such as contracts, result management, management by (political) objectives, and financial frameworks (Sehested, 2009) used during the strategy making process?

2.5 Collaborative planning, legitimization and partnership

Literature chosen for this review suggests two levels of conceptualising. One level relates to collaboration and communication as an overall 'turn', a change from general and established discourses into other (or perhaps complementary) on the same level. As for the conventional view of planning, Innes (1998, p. 53), focusing on information in planning, concludes: "experts develop information in response to questions from decision makers or to solve problems that decision makers have identified". In this view an instrumental rationality guides the production and use of scientifically grounded information, which is provided by professionals and experts. The information in this traditional view is used to produce spatial plans, which are ideally 'blueprinted'/transformed into built form on the ground (Healey, 2003). This conventional view has been challenged widely; here mainly through reference to Habermas theories on communicative rationality (Healey, 2003). The proponents of a *communicative turn* in planning not only focus on the role of communication in planning, rather they argue that communication and collaboration are at the very heart of planning. As a consequence, planning needs to be re-thought and re-organised, and a new communicative ethic ought to be more clearly elaborated (Innes, 1998, p. 60).

Shared understandings are developed through a variety of communicative processes where multiple kinds of information is shared and negotiated. Even though many commentators relate these insights to Habermas, Booher and Innes (2002) and Healey (2010) find inspiration for this *collaborative planning* rooted in Giddens' theory on structuration. As a consequence then, planning can no longer be considered an instrumental exercise for those holding the political and economic (hegemonic) power only (Arnstein, 1969; Booher & Innes, 2002; Healey, 2003). Researchers stress various aspects of this conclusion and its consequences for planning practices. A common strand is to argue for enhanced communication and a contextualisation of conventional planning. Once context is allowed to influence planning other actors, interests

and structures need to be taken into account more comprehensively. They need to be included in communicative processes through collaborative planning.

The RISE project focuses on territorially relevant policies, plans and strategies in the public domain, so policies, plans and strategies drawn up under the supervision of governments and governmental agencies. Under various banners we have discussed what literature says about the involvement of actors outside government. For most authors power sharing is the most central concern. We have come across various distinctions to assess the level of power sharing. The most well-known typology has been developed by Sherry Arnstein in the late 1960s, an era of public turmoil about decision making, content as well as processes and procedures. As spatial planning, policies and decision making in many cases often directly influence the daily living environment this domain was leading in the general discussion about participation (the dominant term in the 1960s and 1970s) and collaborative planning (the dominant term during the last two decades).

In this part on collaborative planning, legitimization and partnership we have also discussed literature which is not primarily focused on the legitimate nature of governmental plans, strategies and actions but also literature questioning the effectiveness of these plans, strategies and actions. The actor-relational approach as proposed by Boelens (2010) is partly based upon novel ideas about democracy but is for another part based on a recognition that decisions taken by societal actors, whether an individual, a company or all sorts of developers and investors have a territorial impact far larger than any government action or plan. To ignore that will make any public strategy blunt.

The literature discussed makes it necessary to pose the following *operational questions* when analysing and assessing the RISE cases:

- Which level of public participation characterizes the RISE strategies?
- Which stakeholder networks (members, relationships, configuration) were involved in the making and implementation of the RISE strategies?

3.0 SUMMARY OF REGIONAL PROFILES

The main purpose for this overview is to compare the four *RISE* case study regions into a broader European context and is primarily seen from an outside-in perspective where regional dynamics and recent trends for the four case study regions are presented through the lenses of European indexes. The outside-in perspective shall complement the four case studies that present the perspective of the regional actors and where these case regions are perceived in relation to the surrounding territories from an inside-out perspective.

The overview is based on the most recent information available on the RISE case study regions utilising a limited number of indicators. The RISE case

study regions are also compared and viewed through the European Cohesion Policy and European Regional Development Fund (ERDF), highlighting the different conditions for implementing the Lisbon and Gothenburg agenda. The data that is used to compare the case regions originate from what is available at European level from Eurostat/GISCO and other ESPON projects (i.e. FOCI, TEDI, DEMIFER and RERISK). Data that cover lower levels than NUTS 3 is limited and not always updated annually. In cases where data do not exist on NUTS 3 level, NUTS 2 level was used as a basis for the analysis. The diversity of scales used in the four case studies has made it difficult to analyse and compare the regions within a single framework. It has also been challenging to create comparative analysis due to national differences in classifications, terminology, timeliness and comprehensiveness of data accounts. The delimitation of RISE regions used in this European comparison is presented in Map 1.

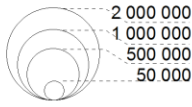
First of all it is obviously that the four case study regions are different and face different challenges due to their very different physical, economic and social conditions. Despite these differences all the RISE regions fall under the so called objective 2 according to the EU Cohesion Policy 2007 – 2013 where employment, innovation and regional sustainable economic growth are prioritized. This indicates that the four case regions are among the most economically developed regions in the EU. In specific regarding the geographical and physical structures, the RISE regions illustrate the diversity of European regions well; ranging from densely populated polycentric urban regions to “deep rural” regions with less urban settlement structures. The Västerbotten region is among the European regions with the lowest population density, with only small and medium sized cities and a low level of accessibility in a European perspective. In contrast, on the other end of the scale we have one of the densest and most accessible regions in Europe; the Randstad which includes four large polycentric metropolises.

Additionally, we also notice that Region Zeeland hosts a different type of rural morphological pattern where the northern part is characterized by small and medium sized cities in close interaction with the metropolitan region of Copenhagen while the southern part is more rural and less accessible. When it comes to Birmingham-West Midlands, the region demonstrates all levels in the rural-urban scale, ranging from metropolitan polycentric structures to more rural areas with more dispersed settlement structures. The land use pattern in the RISE regions is shown in Map 2, based Corine Land Cover 2006. As exemplified in the discussion concerning urban sprawl and peri-urbanised areas, the problems with urban extension take place in central Europe’s highly urbanized areas. West Midlands-Birmingham and The Randstad Regions can be mentioned here as illustrative cases. On the other hand, it is also important to address the urban extension and related problems in less urbanized areas, such as Region Västerbotten and Zeeland. In terms of accessibility the overall pattern shows that highest accessibility values can be seen in the core of Europe. In this case, The Randstad region is among the top ranked in Multimodal accessibility while Region Västerbotten is on the other end of the scale with low accessibility values, while West Midland and Region Zeeland perform around the European average in multimodal accessibility.

RISE - Case Study regions

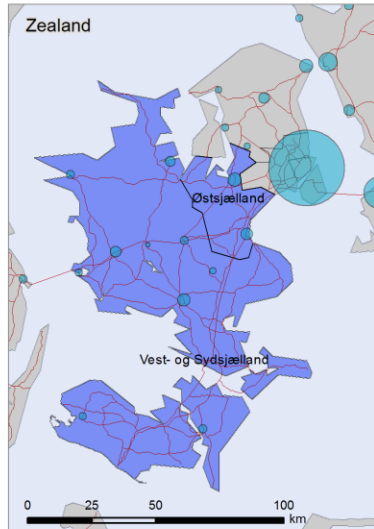
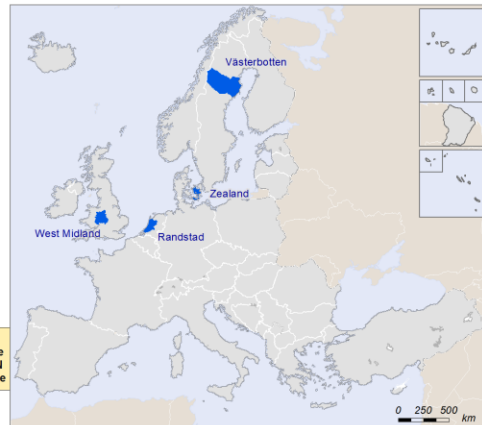
Main cities

Population in main city areas

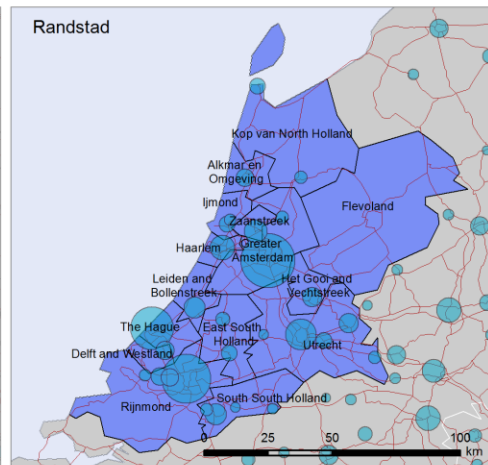
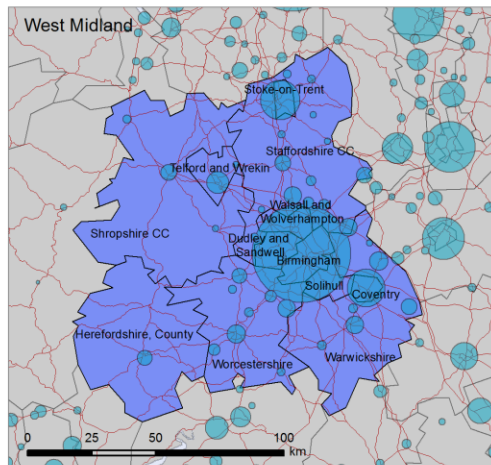
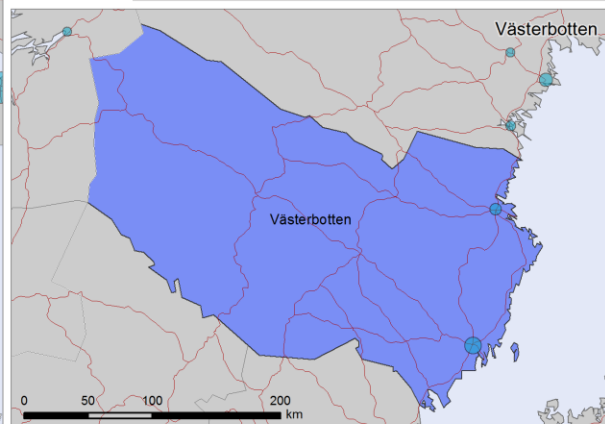


Main roads
NUTS3 region (with name)

Case study region	Administrative delimitation
West Midland	West Midland NUTS1
Randstad	Western Netherlands NUTS1; Flevoland NUTS2
Region Zeeland	Zealand NUTS2
Västerbotten County	Västerbotten NUTS3



This map does not necessarily reflect the opinion of the ESPON Monitoring Committee



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Regional level: NUTS2/NUTS3
Source: ESPON Database 2013
Origin of data: GISCO, NISs
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Map 1. RISE Case Study Region, including administrative delimitation and main cities and roads.

Demographic trends show common characteristics across the EU, but individual regions are affected in different ways. For instance, ageing and migration flows have stronger effects in some parts as in the case of Västerbotten and Region Zeeland than others. Both regions are affected by an array of negative demographic phenomena: very low fertility rates, massive

outward migration of young people (especially in Västerbotten), and the marked ageing of the remaining population. This trend will eventually increase the dependency ratio and thus health care will underpin economic pressure in Västerbotten and also other Northern regions in sparsely populated areas. On the other hand, the Netherlands and UK is experiencing a constant population growth due to natural population increase and high figures of immigration this is also the case for the Randstad region situated above the national average whereas West Midlands is experiencing a growth only due to natural population increase with a negative migration rate.

When comparing economic dynamics of RISE regions we have to be aware of the limited number of indicators (e.g. GDP per Capita and Unemployment). However, based on the data available, The Randstad region is the strongest performing region among the RISE regions. It has one of the highest GDP-PPS per Capita and as well as one of Europe's lowest unemployment rates. Meanwhile, Zealand is performing at lowest level and is under the EU27 average, and far below the national average. Concerning West Midlands it is on European average, but has seen some problems of high rates in unemployment during the latest years. Similar unemployment patterns have been seen in Västerbotten as well where unemployment rates have increased. However, Västerbotten performs relatively well when it comes to economic performance and is slightly over the EU27 average.

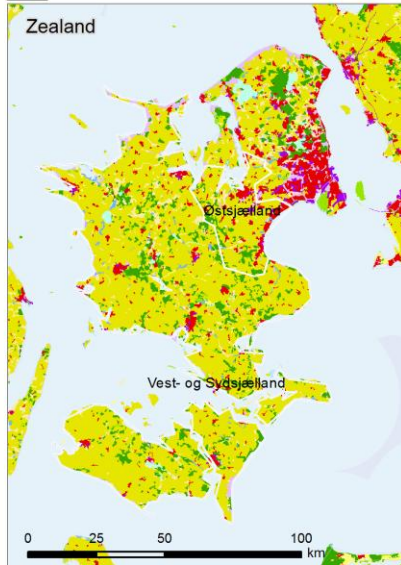
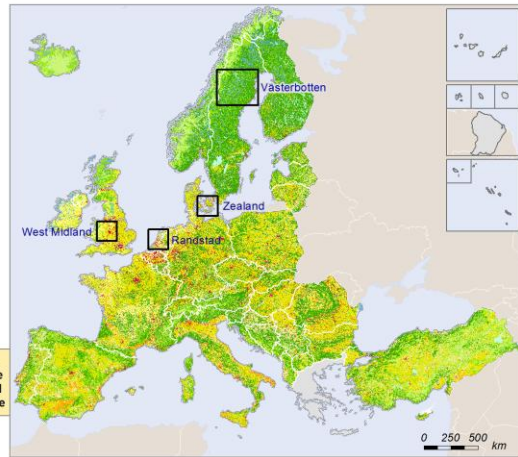
In the last decade, innovation has been pinpointed as a prioritised policy agenda within the European Union and the "Innovative Union" has been outlined as a "flagship initiative".¹ This is widely addressed in the 5th cohesion report as well as the Europe 2020 strategy where it is highly prioritised to develop an economy based on knowledge and innovation in order to create a competitive EU. One of the targets in Europe 2020 strategy is that every region should invest 3 % of GDP in research and development and increase the employment rate among the population aged 20-65. All the RISE regions are among the high performing innovative regions in Europe. Regions of West Midlands, The Randstad and Västerbotten all score in line with their countries innovations performance. Regarding Zealand, the region is situated in one of the high performing countries in Europe, but when downscaled to NUTS 3 level, it is noticed that region faces a number of challenges concerning its innovation capacity. None of the regions are among the very high performing regions, such as London, Stockholm or Copenhagen.

¹ Europe 2020 Flagship Initiative Innovative Union (2010), Communication from the Commission to the European Parliament, The Council, The European Economic and Social Committee, and Committee of the Regions, European Commission

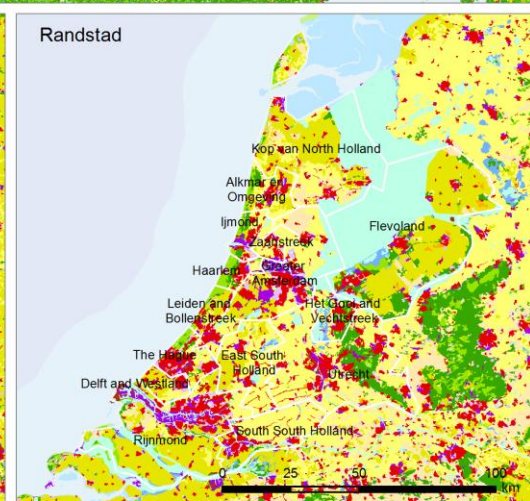
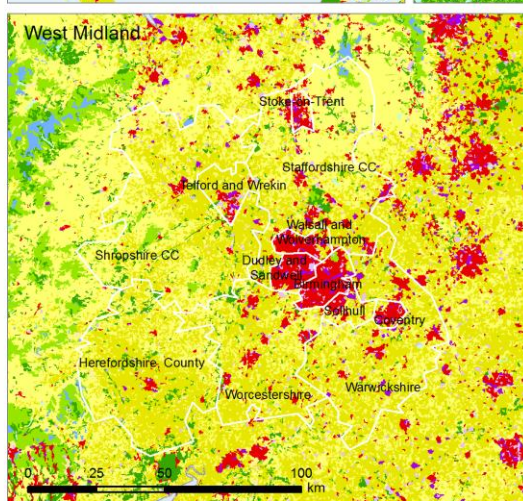
Land Use in the RISE Case Study Regions

Land Use after CORINE Land Cover

- Urban fabric
- Industrial, commercial and transport
- Mine, dump and construction
- Artificial, non-agricultural vegetated areas
- Arable land
- Permanent crops
- Pastures
- Heterogenous agricultural areas
- Forests
- Scrub and/or herbaceous
- Open spaces with little/no vegetation
- Inland wetland
- Maritime wetland
- Inland waters
- Maritime waters



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Map 2. Corine Land Cover in case-study regions in 2006 .

Seen from the typologies developed in ESPON KIT, the RISE regions show an interesting and relatively coherent pattern. The only region that is classified

as technology-advanced region is the West Midlands (excluding the Nuts3 Shropshire & Staffordshire). Meanwhile the other three regions are defined as advanced service regions. West Midlands, The Randstad and Västerbotten are all strong in the field of research and scientific activities. Zealand on the other hand does not have that solid research infrastructure, which is especially evident in the most southern parts of the region. However, we cannot neglect Northern Zealand's proximity to the Capital Region of Copenhagen which is among top ranked region in terms of research activities. It could as well be highlighted that most of research activity in Region Västerbotten is spatially concentrated in the coastal city Umeå, and to some extent, also to Skellefteå. All RISE regions are seen as "Knowledge Networking", which means that they all have high level of spatial interlinkages, in form of external R&D, external patent applications and external framework programme budgets.²

4.0 CASE STUDY SYNTHESIS AND RIS TYPOLOGY

Each regional case study is summarised in this chapter. It should be noted though that the summary of each case is very brief and reading the full case studies (annexed) is recommended. Perhaps the most complex case is the Randstad region in the Netherlands. To provide a thorough account in only a few pages is destined to fail. Some added insights can be gained from the other cases which are somewhat less complex, and in this context can be read as complementary cases providing (somewhat) more elaborated examples of integrating processes.

West Midlands, UK

The situation with regard to economic development, the national spatial planning system and the role of the region in the UK has changed since the election of a Coalition Government in May 2010. Regional institutions, including the Regional Development Agencies, and all regional scale strategies have been abolished, with spatial planning powers in particular being handed over to local authorities. The stated reason for decentralisation to the local level is that the government sees regions as being arbitrary. It also wants to shift control to the local level, to empower people and to engender civic responsibility. Thus there are now two levels of government in the UK, the national and the local.

Following the abolition of regional tier, the Coalition Government has set up Local Economic Partnerships (LEPs), "joint local authority-business bodies brought forward by local authorities themselves to promote local economic development" (HMG, 2010: p10). They have been given the role of overseeing planning, housing, transport and infrastructure, employment, and enterprise and business start-ups although in practice LEPs will not take on all these roles. At the same time, responsibility for inward investment, sector leadership, innovation, access to finance and business support is being

² KIT – Interim Report, applied research 2013/1/13 Version 24/02/2011 p. 27-28

shifted to central government. Day-to-day organizational support for the GBSLEP is provided by local authority sector partners. Delivery is through the myriad of national and local Governmental and other institutions.

In addition, the Coalition Government has introduced a National Planning Policy Framework (NPPF) and Local Development Orders. However, the NPPF assigns responsibility for plan-making to Local Authorities and not LEPs. Local Authorities are expected to co-operate, especially where it is important for councils and other public bodies to work together across boundaries, to plan for the housing, transport and infrastructure that local people need. This suggests that planning might be done jointly and that the local authorities in a LEP area might produce a joint planning strategy. However, Local Authorities are expected to produce a plan before a joint plan can be produced. The national agenda is to stimulate economic growth by simplifying a spatial planning system that is considered still to be too restrictive of development and to enable LEPs to get done what is necessary to secure private sector led growth.

The GBSLEP main board comprises 17 members from various societal sectors, with the Chair of the Board from the private sector. The Board membership provides a good geographical spread, although the performance of the 'core' Birmingham economy was the key driver for the extended GBSLEP territory. Two possible 'problematics' have been raised: to what extent might tensions arise between the different public and private sector interests where joint working is concerned; and whether Local Authority representatives would be able to pool their 'sovereignty' on a non-prejudicial basis over an extended timescale.

Whilst the Board membership has been established, there are on-going discussions concerning the range and type of sub-committees/technical working groups that will work to the Board as well as their precise membership and remit. The GBSLEP area maps quite well with the travel to work patterns around Birmingham, thereby constituting a "functioning economic geography". However, inter-company trading relationships means that the geography of production extends beyond the boundaries of the GBSLEP area. Within the ESPONS RISE framework, the Greater Birmingham and Solihull LEP (GBSLEP) was chosen for further investigation. Much has happened in GBSLEP but in a short time towards the end of the project. Hitherto it has been too early to measure the extent of intra-regional/cross-boundary working between West Midlands' LEPs. The situation is evolving in GBSLEP and national policy but nonetheless some observations can be made.

There is no law to ensure co-operation among LEPs and other agencies it works with; LEPs have no statutory powers, or resources of their own to secure the spatial and economic development of their locality. Nonetheless, organisational strategic integration appears to be taking place through on-going discussions around planning and economic development matters in the LEP and as evidenced also by a 'Visioning Event'. This brought together a wider group of stakeholders to discuss aligning economic development and

spatial planning strategies, this possibly leading to a coupling of strategies with delivery on the ground. However, it might be that policy integration will be achieved at best at an operational level, on particular development projects.

At the same time, the Localism Act 2011 affords local authorities the duty to cooperate in relation to spatial planning. Cooperation however is only possible after local authorities have produced their local plan. This would seem to possibly mitigate the opportunity to integrate strategic land use plans of local authority both within and across LEP boundaries. Territorial integration is being achieved horizontally however in relation to economic development matters in the LEP. There is a general willingness to work with other neighbouring LEPs with informal talks having taken place.

The GBSLEP priorities are being organised around three strategic 'pillars' of Place, People and Business in the yet to be published strategy. This augurs well for cross sectoral policy integration. However, the domains over which policy integration is beginning to take place is limited: Housing, environmental sustainability, urban regeneration, social exclusion, however, are not among the policy domains of the LEP. Secondly, interagency integration is in evidence in so far as the LEP has identified policy implementation agencies that would help meet priority objectives, this to ensure integration between public, private and voluntary sector agencies.

A major issue is the difficulties the LEP will have in achieving policy coherence across spatial scales. The national government has been announcing a number of funding schemes which it alone has control over. Among these is the Regional Growth Fund which is disbursed directly to companies with at best LEPs having an advisory role. Enterprise Zones, where simplified planning regulations and incentives for development apply, are designated by national government. The Growing Places Fund is being allocated for infrastructure projects but to Local Authorities. Whilst in not setting out a statutory role for LEPs government appears as an *enabler*, these funding schemes can cut across LEP priorities and hinder the achievement of territorial integrative strategic planning.

The main GBSLEP 'lever' is *influence* rather than the disbursement of *direct new investment* per se. Given the current fiscal climate the GBSLEP will not have significant public resources to disburse itself, notwithstanding any income derived from the tax returns secured (and shared) from the Enterprise Zone in central Birmingham. LEPs also have no direct paid staff and they have no direct funding to do anything. The policies and funding streams which can be used by LEPs are administered at national level. Within this framework, the LEPs are expected to co-ordinate planning, economic development, housing and transport in their areas, but within a fragmented institutional structure at the sub-regional level that is to rely on a duty to co-operate among local authorities. Difficulties in achieving strategic influence over the multitude of other actors without its own public funding can be anticipated. Personal networks and general local goodwill are so far essential in promoting action. This makes it all the more important that, as the duty to co-operate requires, local authorities within and between LEPs work together

in taking an integrated strategic approach to spatial and economic planning on issues that transcend their geographical boundaries.

The Randstad, Netherlands

The Dutch government structure is a three-tiered, decentralised unitary state, based on self-government of provinces and municipalities. Co-government is the underlying principle: central government involves the provinces, the municipalities, or both in the formulation and execution of its policies. Unity cannot be imposed on the country from above, but must come from a plurality of forces hashing out their differences within an agreed-upon framework. Unity is brought about by consensus building. As for planning, there is no clear-cut hierarchy defined by a binding national plan. Planning at lower levels includes (re)interpreting plans and policies of higher levels of government. The formal government at the level between the state and the municipality is the province. But there is a long-lasting search for a governance structure which fills the 'regional gap' between provinces and the state – especially on the level of the Randstad – and between province and municipalities. This 'regional gap' – to be addressed by processes of policy integration – has been discussed for almost half a century. Specifically for the Randstad, the Dutch case in the RISE study³, there has been a search for regional governance.

In the late 1950s the planning concept of the Randstad was introduced to deal with an active planning approach for the densely urbanised western part of the country and the Green Heart which at stage was witnessing high levels of immigration from peripheral parts of the country. The Randstad approach which aimed for urban containment has never been supported by a level of government of about equal size, although there have been calls for the creation of such a governance structure, mainly inspired by issues of economic competitiveness. Instead cooperation between provinces and municipalities has been used. In terms of scale the largest cooperation bodies can be found currently on what traditionally are called the wings of the Randstad (see map in full case study). Within the wings there are numerous cooperations across and between provinces, municipalities, WGRs (cooperative municipal bodies, more below) and urban regions. Each wing has its own founding rationale and scope of responsibilities and activities.

The highest level of the entire The Randstad is without any doubt the most unsuccessful level of cooperation. In September 2002 the four Randstad provinces, the four main urban regions plus their core municipalities established Regio Randstad as a political negotiation and cooperation platform. Its formal base was statutory: the law on administrative cooperation (WGR, below). An advice to improve the competitive position of the Randstad by an administrative reform to put an end to the 'administrative crowdedness' was set aside by national government stating that the administrative structure of the Randstad was not worse compared to other urban regions in Europe. Partly as the result of this the support for a Randstad approach has evaporated, and Regio Randstad was dissolved in January 2008. The present

³ The Randstad is covered by four provinces: South-Holland, North-Holland, Utrecht and Flevoland (see map in full case study). Only parts of these provinces are located in the Randstad, therefore – depending on policy document or administrative platform the spatial configuration of Randstad changes.

coalition government (in office since September 2010) sees the reorganisation and simplification of the administrative structure of the Randstad as a priority. There will be no changes at the provincial level – like amalgamation – so if there will be changes these will occur at lower levels of scale.

In 2007, a new law (WGR: *Wet Gemeenschappelijke Regelingen*) came into force which created eight regions where cooperation was enforced between municipalities in the field of spatial planning, housing, traffic and transport, economic affairs and environment. These WGR-plus areas have a number of explicitly defined competences which 'normal' WGR bodies cannot have. Boards are formed by administrators from municipalities who have to give account of their decision in their municipal council.

Dutch provinces have always been heavily involved in strategic spatial planning for which the legal instrument of the structure vision is the main integrative territorial strategy document. The province usually involves a wide array of public and civic stakeholders in the formulation of provincial structure visions and other territorial integrative strategies. While the provincial level is the formal government level to address regional integrative strategies, other formal and informal government levels also formulate these, i.e. national, wing and WGR-plus level. The wing level is not a formal government level, however integrative territorial policy documents are considered as crucial by the participants: they form the umbrella for the structure visions of the individual government tiers. Each WGR-plus region provides a regional structure plan, addressing housing, working, mobility, landscape and green spaces. The plan includes concrete policy decisions about projects or amenities of regional importance.

In the Randstad case study one specific integrative territorial strategy – among the plenitude – was chosen for detailed analysis – the MIRT territorial agenda. Since 1999 infrastructure projects financed by central government were included in the MIT project book (*Meerjarenprogramma Infrastructuur en Transport*, long-term programme for infrastructure and transportation) as an annex to the Infrastructure Fund in the central government budget. Projects above a certain threshold sum are financed via the MIT. Through consultation between regional and central government decisions are made on which projects to be financed through the MIT. After 2007 this programme was broadened to MIRT in which the R stands for Territory (*Ruimte*) to bring more coherence in investments in territory, economy, accessibility and quality of life. The MIRT is an implementation instrument; it links budgets with projects. Ministers, State Secretaries and lower tier administrators meet twice a year (from 2012 once a year) in so-called multi-level government meetings, in which the MIRT project book is one of the items on the agenda.

In order to provide a strategic framework to assess which programmes and projects should be taken up, the central government asked eight regions – together covering the entire country – to develop a so called territorial agenda. These agendas are drawn up cooperatively by central and lower tier government in each region and are based on existing policy documents. They constitute the underpinning with respect to potential new programmes and

projects. The agendas are agreed upon in the multi-level government meeting and form the basis for the agenda of these meetings. In the first part of the agendas the ambitions for the territorial development for the medium range are formulated and the corresponding objectives are laid down. The result is a shared vision. There is a clear distinction between the vision part which has an integrative ambition and the list of projects which has a more limited ambition. In the second part the territorial issues are concretised, forming a breeding ground for possible programmes and projects. Three of the in total eight territorial agendas are located in the Randstad. The MIRT agenda approach basically means that territory forms a framework for multi-sectoral and multi-level policy integration and the prioritization of investments. The content is negotiated between different governmental levels and on the whole derived from statutory (spatial) planning documents. Participation and involvement from stakeholders is indirect i.e. via statutory planning documents and related processes.

Zealand, Denmark

The role of the regional tier in Denmark was drastically changed in 2007 as a result of administrative reform. The former 275 municipalities were merged into 98, and the 14 counties abolished and five new regions were formed. The former counties could claim taxes, while the new regions are restricted to operate within national government budgets. The case study territory Region Zealand is governed by a regional council, directly elected and the central body responsible for the regional integrated strategies.

The core responsibility of the regions is hospitals. Next to this, the regional councils have to prepare regional development plans (Danish acronym: *RUP*). The RUP has no legal or administrative authority towards municipal plans, but the municipal plans should be in accordance with the RUP. Present RUPs have moved from land-use planning to strategic and communicative instrument, in order to facilitate dialogue between public and private, local and regional stakeholders. The RUP shall by law be prepared in cooperation with the municipalities. A mediating body called KKU: the Contact committee (*Kontaktudvalget*) was setup in the structural reform to coordinate the work between regions and municipalities. Members of the KKU are the mayors of each of the municipalities in the region plus the chairman of the regional council. Besides the KKU, the region and the municipalities meet in the Growth Forum, the Health Coordination Committee and several other joint consulting committees. Further, after the reform the municipalities formed their own non-statutory regional councils; KKR – Local Government contact council (*Kommunernes kontaktråd*). The KKR's discuss regional matters and prepare themselves for the KKU meeting with the regions.

The Growth Forum is a legal body formed by the Business Development Act. The forum consists of 20 members from the regional council, municipalities, regional business organisations, regional knowledge and education institutions and local trade unions and industry organisation. The two most important tasks of the growth forum are preparation of a Regional Business Development Strategy, and reviewing and submitting recommendations on co-financing for business development projects linked to the Business

Development Strategy and EU Structural Funds. The secretariat is hosted and financed by the region. Besides the key strategy stakeholders a number of other sectoral agencies and councils are part of the regional stakeholder milieu in Zealand. Trans-regional issues are dealt with in at least four important co-operations – the Oeresund Committee, IBU Oeresund, Fehmarn belt Forum, and Ministry of Environment on spatial visioning.

The regions have to prepare a RUP every fourth year and it has to include the Regional Business Development Strategy prepared by the Growth Forum. It has no legal authority but should advise and coordinate strategies, visions and frames for the region. The municipalities are not obliged to follow the strategy, but they cannot plan in opposition to the RUP. Whereas the RUP has a wide regional development perspective, the Business Development Strategy prioritises activities for improvements of the framework conditions for business. On basis of the business development strategy, the growth fora submit recommendations on co-funding concrete project applications. As for the ESPON RISE case study region, Zealand, two regional strategies prescribed by the Danish planning act are analysed further. They are the RUSs 2008 and 2011 (the latter in public hearing), and the Business Development Strategy 2011-2014 with its Action Plan 2011-2012.

The first task for the new Danish Regions was to produce the first version of a new Regional Development Plan (RUP). Only very few directions were provided by the planning law, granting some level of freedom in developing their new regional planning instrument. Since Region Zealand came into being through the amalgamation of three very different counties, the first years of the regions' life were influenced by the problems that usually occur in newly merged institutions. Everything had to be invented for the first time and the three cultures should develop into a common new culture. At the same time the Growth Forum had to be established and produce their first Business Development Strategy, and the 98 new and amalgamated municipalities also had to establish themselves procedures. Several tasks from the municipalities were transferred from the old counties to the municipalities.

The new regions had to move from the regulatory and hierarchical role to a visioning, facilitating and mobilising function. However, it was the same people, which for some was very difficult. Conflicts arose for example when the municipalities tried to restrict the region's influence in of regional development, and instead to concentrate on only hospitals and health. Therefore, the first RUP (2008) in region Zealand became a battlefield between the region and the municipalities about the control of regional development. The second version of the RUP (2011) was made in a quite different situation. The region and the municipalities (through KKR) decided to stop fighting and start working together. A new chairman of the region was elected, the new roles were accepted, competences developed, and organisational and personal changes in the administration was made. All actors had 4 years of experience in the new context, which made it much easier to create a collaborative RUP process. The RUP presents an agenda for a desirable development within and across a number of policy areas. Interregional relationships are addressed as well as international

relationships. Only some cross-cutting issues/agendas are dealt with in the document. Areas for action have open time frames. Together with the RUS five other strategic documents were also developed by the regional administration to supplement the RUS. In the Action Plan 2012-13 attempts to work with measurable targets in the RUS process are addressed for the first time.

The region has own but limited development funds and only possible to use to a limited extent. The region is therefore dependant on others to finance and implement the RUS. The Growth Forum administers the EU structural funds in the sense that they discuss and agree on how to use the funds whereas the regional council makes the final decision. Growth Forum decisions are not opposed by the regional council. When producing the RUP regional socio-economic data was analysed and used to inform and convince politicians and municipalities about the challenges in the region. This analytical work has formed the background for a common understanding of regional problems and identity. The regional administration is the only regional actor delivering this overview and analytical knowledge and they intend to keep on using this instrument to influence the regional agenda. Further, the regional administration is also developing its skills as facilitators of regional processes.

The region has moved from broad visioning in all regional areas to selecting a few areas and to increase the operational capacity. The regional administration still searches for a closer cohesion within and between a few strategies, where the RUS is suggested as the higher order strategy integrating all other regional strategies. The regional politicians do not mind different strategies being made, and they do not see the need for strategy cohesion. The making of a strategy is rather seen as a productive process joining people and interests in engaged discussions and decisions about important political issues in the region.

In each of the five Danish regions Growth Forums are responsible for regional business development strategies. The Growth Fora are situated between the regional council and the government. They are appointed by the regional council in cooperation with regional business companies, institutions and labour market actors. The Regional Growth Forum is responsible for

- The preparation of a regional business development strategy
- Monitoring regional and local framework conditions for growth
- The preparation of recommendations for co-financing of regional business development activities

The regional business development strategy should form an input to the RUP. The strategy is a product of the national growth strategy, but it is carried out through the cooperation with other stakeholders – not least their co-funding of development projects. Issues of monitoring and evaluation of effects from the changes in the regional administration are now being raised, in Zealand and the other four Danish regions.

Västerbotten, Sweden

The fundamental cornerstone of policies for economic growth in Sweden is the assumption that national growth depends on regional and local growth processes. These processes are then assumed to be best governed and nurtured through regional expertise and action. In order to support these processes the Ministry of Enterprise, Energy and Communications has developed a “National strategy for Regional Competitiveness, Entrepreneurship and Employment 2007-2013”. The contents in the regional growth approach relates to other policy areas, also mentioned in the strategy such as, national employment policies and the EU cohesion policy.

Within this framework four thematic priorities are outlined in the strategy. Any activity undertaken within the Swedish regional development policy, on any level, by any actor, is to follow these four priorities. Further, the strategy specifies guidelines for implementing EU Structural Fund Programmes, Regional Development Programmes, Regional Growth Programmes, , and Territorial co-operation programmes. The European Regional Development Fund (ERDF) and the European Social Fund (ESF) are the most important external funds. Structural Fund resources are mainly directed towards innovation and renewal and accessibility. Two *laws on co-operative municipal bodies* set the legal foundation for Region Västerbotten (the regional body) to produce and implement regional strategies. Further, a strategic plan should be established for the region, and it should be implemented through third party involvement. Region Västerbotten is also made responsible for the resourcing of development activities through co-ordination of EU and national funds. The law is fairly open in terms of how those tasks should be implemented, and leaves it to Region Västerbotten’s discretion.

The *Regional Development Programme* (RUP) 2007-2013 is owned by Region Västerbotten, the co-operative municipal body, and defines the visions, prioritised strategy areas and measurable goals for future development of the region. During 2010 a revision of the RUP was initiated, which resulted in a *Regional Development Strategy* (RUS). As with the revision of the national strategy, the new RUS is motivated by findings from the OECD Territorial Review of Sweden, the adoption of the EU Baltic Sea Strategy and global events and challenges. However, the RUS is somewhat newer also including the EU2020 strategy, thereby noting the smart, sustainable and inclusive growth ambitions. Therefore six focus areas (same as RDP plus one new focus area) and 19 priorities are identified for the region of Västerbotten.

The national strategy stress co-operation and networking along vertical and horizontal lines. The same approach is valid for the RUP even though there are few explicit formulations with reference to cross-cutting issues. In the RUS the Regional Development Forum is mentioned and supposed to involve the regional partnership in an on-going dialogue. Smaller operative groups along RUS focus areas with representatives from the partnership will also be setup. The aim is to promote insights on development preconditions in the region.

The Regional Growth Programme (RTP, regionalt tillväxtprogram) is the operational programme for implementing visions and strategies presented in the RUP/RUS above. The RTP co-ordinates strategic targets in RUS with funding from other operational programmes, mainly EU funding. The RTP guides funding decisions, where projects shall contribute to the fulfilment of RUS priorities. Measures in the RTP are the same as for the national strategy presented above, which in turn is valid also for the RUS. The RTP is revised annually. Regional development activities in Västerbotten are to a large extent funded from external sources, of which the EU and its various programmes and national funding are absolutely essential. Important funding sources from the EU level are for instance: ERDF, ESF, Rural Development Programme, Interreg (several), FP7, etc. But there is also funding from the local level through municipal membership fees to Region Västerbotten financing and providing for administrative infrastructure.

The RTP shall co-ordinate priorities and ambitions in RUS with existing sources of funding. Each strategic end is divided into means and measures that on a detailed level are presented in the programme. Funding sources are identified and their relations to programme measures are described. The RTP thus connects ambitions, objectives and measures in the RUS – which in turn connects to national and EU level policies – with funding from a number of sources. Since a large share of resources come from the state and external agencies the majority of public sector development initiatives are promoted through projects, rather than e.g. permanent administrative structures.

The RUS and the RTP are embedded in co-operative structures and partnerships. Each actor in Västerbotten opting for project funding makes their own funding decisions, however to be eligible for RTP funding applications should connect to RUS priorities, as well as be in coherence with certain selection criteria (mainly related to sustainable growth and networking). Actions undertaken within the RTP framework emanates from (mainly) business needs.

Once ideas are transformed into funding applications, there are a number of groups with responsibilities for the promotion of development. Here the actual integration for regional development takes place, be it among politicians, wider partnerships or among hired staff with specific competencies. As for the regional integration and co-operation there are also other activities, such as regional seminars on regional development factors. The Development Partnership decides contents, the Regional Office manages them. Experts are invited on a needs basis, any of the Västerbotten actors can call them in. Working groups are appointed and dissolved, also on a needs basis. There are other networks and partnerships related to other kinds of funding, but those mentioned here are the politically more important in relation to the RGP.

As for the administrative processes, they also involve various constellations and procedures for co-ordination and integration. One example is where Region Västerbotten, the County Administrative Board in Norrbotten (neighbouring county), the Growth Agency (responsible for ERDF) and the ESF Council meet and prepare for Structural Fund Partnership meetings.

Conclusions from case studies concerning policy integration

As has been stated elsewhere in this report, policy integration often is a consequence of ambitions towards more efficient policy processes, more concise and effective outcomes and overall a more seamless, non-contradictory, non-wasteful policy implementation (see e.g. Briassoulis 2004, Kidd 2007, Stead and Meijers 2009, Vigar 2009). In each of the regional cases in this study various strategic approaches and assemblies of actions are undertaken to improve, mainly, the overall economic development.

Policy production and strategic conduct can be analysed along a continuum ranging from top-down planning to more discrete and incremental learning (Mintzberg 1994). Real circumstances are positioned somewhere in between. They could perhaps also better be understood as a variety of actions (undertaken along the continuum above) within a wider framework (Steurer and Martinuzzi 2005). It would then be possible to use a broad theme to combine hierarchical strategy, vision and steering with collaboration in networks that enable learning and adaptation and the deployment of different modes of governance. One step towards such an analytical framework is an initial reflection on forms of integration identified in the case studies.

Sectoral integration

Sectoral integration is about the “joining up” of different public policy domains and their associated actors within a given territorial area (De Boe et al., 1999, p. 15). Spatial planning is to a large extent legitimised by the drive to sectoral integration taking on board criteria and rationales related to territory and place. Without proper coordination or integration approaches sectoral domains remain “inefficient, in that they can result in competing and contradictory objectives and duplication of effort, and ineffective, in that they ignore the complexity of interactions between different areas of public policy interest” (Kidd, 2007). Within sectoral integration two dimensions can be distinguished – cross-sectoral integration between different policy areas (at a range of different scales), and inter-agency integration between public, private and voluntary sector agencies.

In all the cases territorial policies are put into action in order to co-ordinate various policy areas, be it economy and business, land use, infrastructure and transportation, employment and environmental policies. In Västerbotten EU policies relating to economic growth and cohesion are identified as key drivers for policy co-ordination, to a somewhat lesser extent in Zealand. In The Randstad the EU is one of many influences for action, whereas the supranational influence is very limited in the GBSLEP. National influence in cross-sectoral integration is clearly stated in all case study regions, even if the economic development focus is most pronounced in the GBSLEP case. At the other end of the spatial scale municipalities are involved in strategic regional policy making in all case study regions.

The inter-agency aspect of integration also exists in all case study regions, but in somewhat different appearances. Of specific importance in all cases are the public-private sector interaction. In Denmark the public sector (regions) production of RUPs have to include strategic decisions made within

the Growth Fora with strong business representation, even if e.g. labour market organisations are also present. In UK the LEPs have strong business representation as well, together with other sectors. In the Netherlands and the Randstad region the main strategic document analysed is mainly a state and public sector concern. However, in the complex policy web private interests are of great importance. As for Sweden and Västerbotten, the inter-agency integration is formalised in strategic partnerships and through the financing of inter-agency projects.

Territorial integration

Territorial integration concerns the integration of public policy domains between territories (De Boe et al. 1999, p. 15). “The argument here is that current planning approaches are, to a greater or lesser extent, disjointed across territorial divisions. This situation can [again] lead to inefficiency and ineffectiveness in dealing with important policy issues and infrastructure investments that transcend administrative boundaries” (Kidd 2007). Territorial integration is often advocated in the case of positive or negative externalities of certain developments or in the case of what is often called ‘intrinsic spatial relations’: spatial structures or system which cross administrative boundaries but to their nature cannot be easily split up in different parts. As Kidd (2007) and De Boe et alia (1999) emphasize the category of territorial integration also encompasses different dimensions: both “vertical integration”—policy coherence across spatial scales, and “horizontal integration”—policy coherence between neighbouring authorities (nations, states, regions etc.) and areas with some shared interest.

The GBSLEP strives towards adjustment and organising along a functional economic geography, whereas Region Västerbotten has a strong territorial orientation towards the since long established administrative level, the county of Västerbotten. The Randstad region cannot be described along a definite delimitation since it is continually debated and challenged, and Region Zealand is working towards institutionalisation within newly defined regions. All four regions are actively striving towards horizontal integration.

In the Netherlands and the Randstad region the MIRT territorial agenda the focus is on the vertical dimension as it relates (existing) policy from different government levels. However the horizontal dimension is not absent but limited compared to the vertical one. In Västerbotten, infrastructure investments are examples that include both vertical (across national, regional and local scales) and horizontal integration between neighboring authorities. Infrastructure and transportation are among the top three development issues mentioned by the interviewees which indicate its importance also in relation to development potentials. Within the GBSLEP Local Authorities are expected to co-operate, especially where it is important for councils and other public bodies to work together across boundaries, to plan for the housing, transport and infrastructure that local people need. This suggests that planning might be done jointly and that the local authorities in a LEP area might produce a joint planning strategy along the vertical dimension. In Zealand the Business Development Strategy is one of three pivotal strategies, the other two being the RUS and the Agenda 21. One of the conclusions drawn from interviews is

that integration is taking place *between* strategies developed in their own right by agencies belonging to the same family of overlapping strategy and policy communities (the government, the Regional Council, the Growth Forum and regional institutions and business sectors). Integration is thus about keeping agencies on the same pit playing with familiar strategies rather than e.g. merging strategies of different players into one single strategy.

Towards a Typology of Regional Integrative Strategies

On the evidence of the four regional case studies undertaken through RISE, there are a number of different variables that are relevant for the comparison and classification of RISs – the rate of change, the centralisation of government, the complexity of the urban structures. In the development of a typology of RISs, however, we have focussed here upon two variables – two aspects of regional governance – that seem germane to the main focus of the study. Region here is defined as the primary sub-national functional economic area:

- 1. Governance consolidation:** the degree to which the governance of the region is institutionally consolidated at the regional level (as defined in the regional profiles), or devolved to the sub-regional level in various ways, or centralised to the national level. This establishes a scale – from unitary regional governance, to bifurcated, to pluralistic regional governance, to nationalised.
- 2. Strategy integration:** The degree to which there are strategies or policies that attempt to integrate between policy sectors or between sub-regional territories, to produce integrated strategies at the regional-level. Some regions have a several integrative strategy processes and strategies concerning the regional level, others have a smaller number. This establishes a scale from low to high integration.

Each of these dimensions are discussed, and some illustrations are provided, before a general typology is proposed (see Figure 1, page 6). This must necessarily be seen as tentative and hypothetical, given the limited sample of cases examined by the project.

Regional Governance Consolidation

The regions differ from one another in the degrees to which regional governance, in its territorial institutional framework, is unified and consolidated at the regional level. Some regions have this consolidated structure, whilst others have a divided arrangement between a small number of sub-regions, or are divided – pluralistic and fragmentary – between a large number of sub-regions. In England there has to some extent been the transfer of regional governance to the national level.

In Randstad and in the West Midlands we have fluid and pluralistic situations in which there are relatively defined functional economic regions, but the

traditional regional context has been unable to build or retain its regional tier of government, and central government has accommodated a local redefinition of politically or economically functional areas. Here the traditional or recognisable regions are to some degree 'governed', in regional development terms, from the sub-regional level. This regional governance is however much more developed in Randstad than it is in the West Midlands, and it remains to be seen how far the LEPs will between them be able to take on the governance of the development of the West Midlands region. For example, it is not entirely clear to what extent the LEPs will between them be able to develop the regional strategies required for the disbursement of European Structural Funds, or to administer these funds. At present this governance is undertaken nationally. In Västerbotten and Zealand, on the other hand, we have recognisable economic regions in which government is located either at the regional level, or in the hands of two sub-regions (in the case of Zealand and the Capital Region, which are clearly interdependent). Furthermore, this governance system – although relatively new in Zealand and traditional in Västerbotten, is relatively consolidated and non-fragmentary.

Regional Strategy Integration

Another respect in which the regions differ from one another is in the degree to which regional governance, in its strategy framework and strategy formulation, is unified and integrated at the regional level. In some regions there are one or more strategies and strategy processes pitched at the regional level, whether or not these are held and formulated by regional or sub-regional agencies. In other regions there are fewer efforts towards regionally strategy-making, and towards the preparation of regional strategies that draw different policy sectors together.

In the West Midlands the recent abolition of the regional tier of government agency has left a gap in the formulation of regionally integrative strategies – aside from some residual regional processes – that has yet to be filled from cooperation at the sub-regional level. Indeed it is likely that inter-agency cooperation will be more difficult to achieve at the regional level. In the Randstad, on the other hand, there is a long established tradition of sub-regional cooperation (and conflict) around regional strategies for the Randstad region taken as a whole. Here there is a relative proliferation of integrative regional strategy formulating, all done from agencies located at other sub-regional levels of the multi-level governance system. In Västerbotten and Zealand, on the other hand, where we have relatively consolidated regional governance at the regional level, there are also integrative regional strategies, representing different sectors of policy, for land-use, for the economy, for business. These are formulated at the regional level itself. When these different dimensions are combined then we arrive at the typology and chart set out above.

It appears that where there is greater stability and institutional consolidation – in Zealand and Västerbotten – then greater cross-sectoral alignment of policy has been possible at the regional level, and possibly greater cross-territory alignment within sectors. In Randstad the complexity of sub-regional coordination arrangements, and multi-level coordination arrangements, make

cross-sectoral integration, and inter-regional integration, more complex and difficult, although definite progress has been made. In the West Midlands, the novel and pluralistic sub-regional structure means that inter-sectoral policy integration, and inter-territorial policy integration, are as yet relatively undeveloped. Regional-level governance of the region has radically reduced with the abolition of the RDAs, and much of this has been centralised at the national level. Sub-regional governance of the region may be emerging – in the context of the new LEPs – but is not as yet very extensive.

So next we can ask how this typology relates to the production of integrated regional strategies? There may be a relationship between *regional governance consolidation* and *regional integrative strategy preparation*. It may be, for example, that regional institutional consolidation will generally simplify regional integrative strategy preparation, making this more feasible by bringing it within the scope of a single agency of governance and a single authority structure. But it is also possible to argue the converse – that the less consolidation there is at the regional level, the more sub-regional governance agencies will want to cooperate – or compete – with one another by putting forward alternative templates for regional integration.

The causal relationships here are unlikely to be straightforward, and if regional governance is to be achieved from the cooperation of sub-regional agencies, it will take time and effort to build the trust that is required. Pressure from central government may also help to make this happen. In a complex and fluid economic environment it is also likely that multiple, overlapping geometries will be required in the formation of territorial and sectoral integration of policies. Pluralistic governance and strategy frameworks may be more attuned to the complex and fluid economic realities of contemporary regions. It may be that it is in simpler and more stable economic environments that a consolidated governance and strategy environment is most appropriate.

5.0 FRAMEWORK OF DEGREES OF INTEGRATION

It is useful to draw a distinction between two aspects to policy integration when considering the conditions for the enhancement of this:

- a. there is the level and type of the *interaction* which exists between separate policies, with these ranging in type from contradiction on the one hand to consistency on the other;
- b. and there are the efforts that are being made by policy-makers to manage this interaction, to improve the *integration* between policies in order to maximise their impacts.

The former aspect will be referred to here as *policy interaction*, and concerns the level of consistency or contradiction between policies. Contradictions occur when policies impede or undo each other's work, in either their implementation (inputs and outputs) or in their consequences (outcomes and

impacts). Consistencies occur where policies enhance and re-enforce each other's work in their implementation or consequences. The second aspect above will be referred to here as *policy integration*, and concerns the degree to which consistencies are actively being harnessed and contradictions actively removed by policy-makers. Consensus occurs between policy-makers when they want to achieve integration around shared objectives and priorities. Conflicts between policy-makers occur when those involved in implementing (delivering or receiving) policies are in disagreement with one another over objectives and priorities. For our purposes, policy integration is therefore not the same as policy interaction, and is taken here to be the deliberate result of co-ordinational efforts by policy-makers to minimise inconsistency between policies, to maximise consistency and synergy.

In this context of relative fragmentation of governance a particular aspect of this which is therefore receiving increased attention concerns policy integration – the horizontal and vertical interdependence between various policies and interventions, an inter-dependence that brings with it the possibility of both positive policy interactions. There has at the same time been an understandable emphasis upon the formation of policy networks, partnerships, and other arrangements for 'joined-up working', and with ways of using these to reduce policy incoherence and to achieve policy alignment and integration. Regional Integrated Strategies can be regarded as an important aspect of this drive, which aim to achieve coherence between the interventions of a variety of actors from different sectors and territorial levels. In order to work effectively, however, these integrated strategies need to answer a number of fundamental questions and resolve certain important issues. It is necessary to address these questions in order to begin to understand the pre-conditions for the achievement of policy integration.

1. The performance of any specific regional policy intervention (perhaps a sectoral or thematic policy) depends:
 - a) upon its own ***intrinsic*** qualities in relation to its target domain (e.g. enterprise development schemes may succeed or fail depending on the skills of business advisors and the selection of enterprises for assistance); and
 - b) upon its ***extrinsic*** qualities, upon its consistency with other policies that are being pursued at the same time in the same area, and that may interact with – harmonise and reinforce, or contradict and undermine – this policy (e.g. the drive to increase economic growth within a region may be impeded by restrictions on housing development or population movement).

The research outlined here, in its focus upon the integration of different policies within particular regions, is concerned primarily with the second, extrinsic, dimension of effectiveness – the effectiveness of a set of policies taken in aggregate, and the degree to which the effectiveness of each individual policy enhances or diminishes the effectiveness of other policies

taken together. That is to say, it considers not merely the coexistence of policies, or their mutual acknowledgement, or the involvement of a range of stakeholders, but also the degrees of their consistency – the absence of ‘allergy’, the achievement of ‘synergy’. The intrinsic qualities and effectiveness of a policy cannot be separated from its extrinsic qualities, because the way in which contradictions or consistencies between different policies will operate is through the performance of each policy considered by itself. Although these are analytically distinct, the extrinsic dimension of performance therefore impinges directly upon, and is reflected within, the intrinsic.

2. It is recognised that integration is difficult to achieve, and that it will in all likelihood take time to establish. Questions that arise in reference to the integration of the different strategies within regions concern the following dimensions of integration:

a) How well do policy-makers in different agencies and at different level understand the *intrinsic performance* of any specific policy measure? This concerns the methodologies that policy-makers have put in place to *measure* and *feed-back* the intrinsic performance of policies (e.g. in terms of inputs, outputs and outcomes from the different strands of policy in different thematic areas considered separately). The complexity of this issue should not be underestimated. There is, for example, a difference between the money spent, service delivered, outcome achieved, and the impact that results for a policy. These differences depend upon the impact of factors that may reduce the net additionality achieved by the policy conduct. Such factors include *leakage* effects (when the intervention benefits other areas or groups than those that were targeted); *deadweight* (when the same things would have happened without the intervention and its expenditure); *displacement or substitution* (when the things that happen are simply moved from somewhere else, producing churn with no net gain). On the positive side of the performance equation, however, would be *multiplier* effects (where the benefits from the policy intervention increase as expenditure flows through a series of transactions within the economy) (source: HM Treasury 2011). In the present context, it should be stressed, however, that one set of factors which affect the net additionality of each policy is the degree of consistency between coexisting policies.

b) The next question concerns how well policy-makers consider, and understand the degree to which different policy strands (e.g. those concerning *economic growth, environment and climate change, transportation, business needs, social and health*) interact with one another, enhance or diminish and the nature of this interaction? This concerns the methodologies that are in place to identify and measure overlapping policies, measure mutual *consistency* and *synergy* – in their inputs, outputs and outcomes – between different policy strands in different thematic areas. The establishment of such methodologies is however likely to be constrained by the institutional and territorial

environment, and by frequency of change in structures or personnel, as described above.

- c) This leads on to the next question – to what degree have the main interacting policy strands been brought together within the same strategic framework, and have any crucially interacting strands been separated out? In the absence of a common institutional and territorial framework, it will be difficult or even impossible to bring all the relevant policies into practical consideration. By strategic framework here we mean principally the strategy-making, implementing and reviewing cycle, but this relates to the organisational framework such as committees, alliances or partnerships. Where there are several RISs within a region (as will often be the case) this concerns the leadership within each RIS and the extent of coordination between RISs. Once again this will be constrained by the establishment of procedures, territorial identities, and the trust upon which these are based.
- d) How committed are policy-makers to strengthening integration? How well are they building towards – planning for and addressing – the enhancement of policy integration over time? This concerns identifying cross-cutting policies, establishing *communications* between the managers of the different thematic policies within and between RISs around the achievement of their mutual consistency and synergy. It also concerns the managerial and political procedures and cycles that are in place to enhance integration, the attentiveness of the strategic coordination process to the need to build towards greater integration over the course of several policy/management/budget cycles.
- e) How much progress have policy-makers made in strengthening horizontal integration? This concerns the *responsiveness* and *mutual adjustment* of the proponents of different policy themes in the light of feed-back, the efforts made to overcome obstacles, over time. It may also concern the degree of institutional and territorial alignment, and the level of trust that has been established. Again this concerns internal and external integration within/between RISs, and it involves researching the time-lines for the development of this integration in each region. For vertical integration, the degree of progress will concern the willingness of government at different levels to reach agreement.
- f) The ability to achieve policy integration is affected by the degree of territorial and institutional alignment which exists between the agencies involved. Where agencies share **common territorial boundaries** then it will be easier to aggregate the data they collect (on problems and on interventions) in a comparable form, and it will be easier to allocate resources in a concerted manner. Where they share a **common point of binding authority**, then it will be easier to resolve disagreements over the ‘diagnosis’ and ‘treatment’ of overlapping problems. But of course there are degrees of territorial and institutional alignment. There may be territorial boundaries held in common without agencies being fully coterminous, and the absence of shared boundaries may be

overcome by skilful data-manipulation or political coalition-building. Where there is a plurality of overlapping and territorial units involved in the delivery of different policies or services, however, then it will be more difficult to establish and implement measures to improve consistency. But if a network or partnership meets regularly and has clear leadership then this meeting can provide a common point of authority, although perhaps less binding than a shared political or managerial lead.

- g) The degree to which the network or partnership can act as a binding point of authority will depend upon the establishment of shared procedures, and upon the establishment of trust between participants, both of which take time. It may also depend upon the degree to which the territories concerned have been able to establish – between agencies and amongst the wider public – a recognised identity as a place. Where there is frequent structural, organisational and personnel changes, it will be difficult to build up the level of mutual understanding and trust, the administrative systems required and the sense of place identity, to achieve a shared approach to integration. On the other hand, where there is **structural continuity**, and territorially-based agencies have been cooperating over several years, on a consistent territorial basis, they may have created the relationships, procedures and place-identities to enable coordination of policies to occur smoothly.

Taken together these represent the main operational dimension of policy-integration as this phrase is used in the present proposal, and they form part of the focus for the data collection and analysis outlined elsewhere.

The Ladder of Policy Integration

The level of policy integration in a region can be measured by using a scale or ladder of integration, of the following sort, with 1) being the absence of policy-integration, and 5) the most policy-integration. It is likely that there will be high integration between some areas of policy, and the absence of this between other areas:

- 1) **Ignorance.** The lowest level of integration here is *not* the absence of interaction, but the ignorance of this interaction – whether consistency or contradiction – and the absence of efforts to manage this interactions, on the part of policy-makers. The invisibility of consistencies or contradictions may reflect the absence of a wider policy-review process – policy-scanning – including the absence of contact and discussion between policy-makers in different but adjacent fields. This represents the base-line of zero policy integration.
- 2) **Policy-scanning.** The first positive level of policy integration is the concern to identify possible policy interactions through policy-scanning and exchange of information between policy-makers. Through this review process an initial list of candidate policy interventions can be identified that may interact with one another, although the nature (positive or negative) and degree of these interactions will remain to be determined. Policy-

scanning can of course be more or less thorough and intensive, and information can be exchanged at different levels and different intervals.

- 3) **Evaluation of interactions.** Building upon the awareness of possible policy-interactions, and contact between the policy-makers, the next step in the movement towards greater policy integration is to evaluate these interactions amongst candidate policies. The measurement of interactions can be pursued through a combination of research and performance review, and should estimate their size and direction. This may be a complex process, will probably need to be on-going (given the frequency of policy and contextual change), and should narrow the field of interesting interactions down to a manageable number, and probably enable the focus to narrow down upon policy contradictions.
- 4) **Negotiated redesign.** Having identified certain policy-contradictions as significant targets for policy-integration, the next step is to work to minimise contradictions and to improve the consistency of policies with one another. This consistency may be achieved through various aspects of policy-redesign, in the nature and scope and delivery of the policy as an instrument. These design or redesign decisions will need to be negotiated between policy-makers, and may be expressed in a shared strategic framework, which will reflect agreements reached over objectives and priorities.
- 5) **Embedding.** Maximum integration can only be achieved gradually, when the efforts towards integration have been pursued over a period of time, have shown up areas of contradiction and conflict, measured and addressed these, and built up trust between participants. The interaction of policies is a perennial issue, and where achievements have been made in bringing greater consistency through policy-integration, then the mechanisms listed above should be built into institutional practices and procedures as ongoing practices.
- 6) **Institutional and territorial alignment.** There may however be recurrent difficulties and sticking points in the identification and removal of policy-contradictions, and the mutual alignment of interacting policies. In these circumstances, the realignment of institutional and territorial frameworks may be necessary, producing a common point of binding authority, greater territorial coterminosity, and arbitration procedures for building trust and resolving differences.

6.0 THE RISE TOOLKIT

One of the key purposes of the RISE project is the elaboration of a so called *tool-kit* for integrated regional strategies in cooperation with the regional stakeholders. Two efforts are at stake at the regional level: the making and integration of strategies. A diversity of strategies is conducted in the regions, e.g. by municipalities, national agencies and public and private institutions

and organisations. Regions are, so to speak, *arenas* for actions, whereas the municipalities are *loci* of action. In what follows, we examine and suggest tools for strategic thinking – *the strategic* – and integration and coordination – *the conduct*. To understand what kind of tools we need for strategic conduct, it is worthwhile emphasising that strategies cope with uncertainties, structural change, redefinition of the role of cities and hinterland relations and the emergence of urban competition and needs for new development tools.

The tools are not generic tools. The tools are developed to a governance context where regional authorities have lost their hierarchical authority role in regional planning as is the situation in our case studies. The tools illustrate how it is possible to govern and make integrated strategies in a complex governance situation with multiple regional autonomous governance actors. The use and further development of the tools we present could strengthen a strategic governance perspective. From this perspective a new role seems to be maturing in the four case regions: the role of the strategy maker and mediator. The presentation of tools is divided into tools for strategic analyses, tools for strategic conduct and as a conclusion is made a check list of indicators as a measurement tool.

TOOLS FOR STRATEGIC ANALYSIS

Two major paradigms of strategy making have developed from the 1960's until today, the analytic and the learning paradigm, each pointing at different kinds of tools to be used in a strategic regional planning process. The purpose of the analytic paradigm is to synthesize and install hierarchical orders in spatial structures and development patterns. There is a clear separation of strategy making and implementation. Planners are to be *strategy inventors* (Bryson 1995, 2003, Mintzberg 1994). The *learning paradigm* was developed as a critic to the analytic paradigm (Sartorio 2005). It states that dynamic and ever changing conditions undermines the possibility for long term strategies and that formalized and rational analyses often preserve or re-arrange well known perceptions and categories in planning: prolonging of the past into the future or copying strategies from other context. Planners in this perspective are to be *strategy finders* (Sager 1994, Allmendinger 2002, Hall 2000).

The learning perspective interpret strategic regional planning as a creative learning process synthesizing and transforming experiences and engagement from all over the region to new strategies and mental frames in a process of creating common meaning (Healey 2008, Albrechts 2004). Strategies are not detailed, but they do create a common mental frame of reference perceived as meaningful for many actors in the region and thereby indirectly governing their actions (Healey 2008). Strategic planning in this perspective is about processes, institutional design and mobilising. In the tool-kit we try to combine the two perspectives as both of them present important tools for strategy making and because we in the case studies find elements of both in the concrete strategy making in the regions. The purpose of strategy making is very different in the case studies, e.g. a new strategy is needed due to new problems, the strategy is mandatory by law, a coordination of strategies in a territory is needed or a vertical link between strategies has to be made in

order to get external finance. The purpose of and goal of strategy making is of course the starting point for making choices about tools. Different purposes require different perspectives on strategy making and different tools.

The strategic circle

A model for strategic analysis is conceptualised by the 'strategic circle', cf. figure 1. It shows the *key elements for consideration and learning processes* of the strategic agents in, e.g. a city or region are: (1) the outer world of the territory, (2) the role of the city or economic functioning area, (3) visions for the future for the city or economic functioning area and (4) the stakeholders sharing the vision. The four elements are located in circular order to avoid linear reasoning. They are related to each other under four headings, we shall explain further below: functional position, potentials, joint visioning and spatial positioning. The strategic circle could be used as a mental map for strategy making but as the case studies show certain elements of the model turns out to be more important than others in different regional planning situations. This will be illustrated below.

Functional position – role and outside world

In the strategic analysis, the role of a city or a region is seen as changing in an external world, when new divisions of labour between territories develops caused by e.g. regional enlargement or globalisation of economic and functional relations. Re-imagine a city, urban region or wider territory is important for the translation into priorities for area investment, conservation measures, strategic infrastructure investments and principles of land use regulation (Healy, 2004 p. 46). In the Västerbotten region, links and interdependencies with policies outside Västerbotten and Sweden are considered, e.g. the Baltic Sea Strategy, climate change and climate strategies, including the search for bio-energy. Chinas demand for ore and steel could affect the mining industry, and the role of the business sector is considered to develop new positions in the global value chain of production.

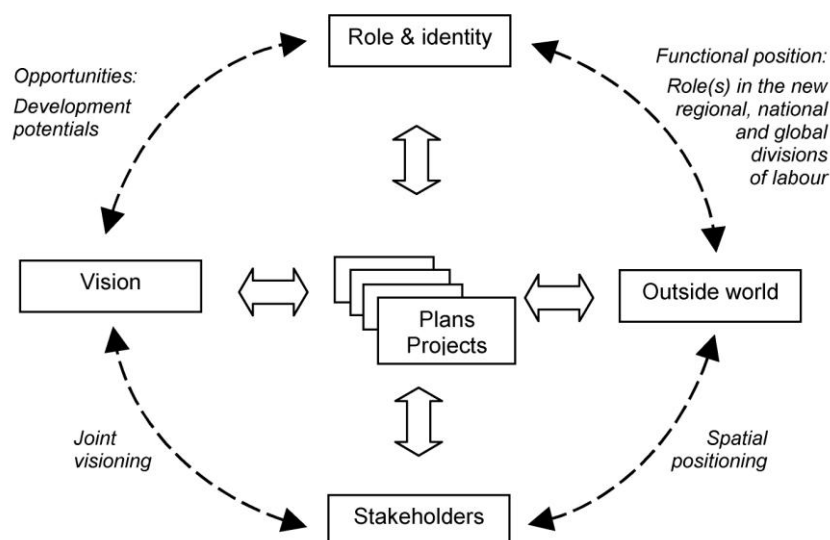


Figure 2: The strategic circle elaborated from (Groth 2001)

Zealand Region turns its focus to the prospects of the forthcoming Fehmarnbelt connection, including a revitalisation of the neighbourhoods of Berlin and Hamburg. Thus, it became a goal of the regional development strategy to develop the region as an international hub in the new meso-regional geography and to become a 'bridge builder' between Berlin, Hamburg, Copenhagen the Oresund region.

Search for potentials

In the last decade or two the search for unique local potentials and comparative advantages has come into the fore along with a shift of focus from problem-solving to searching for new roles and visions. "Strategic plans have proven to be altogether powerful instruments, for the rediscovery and redefinition of local potential and new synergies" (Sartorio, 2005 p. 35). At the national and EU levels, plans have been substituted by development perspectives building upon 'growth corridors', 'development zones', 'clusters', 'cooperation areas' and other concepts exposing territorial potentials rather than territorial problems.

The case-study of Västerbotten region includes considerations on potentials within the local economic sectors, forestry, mining, renewable energy industries, creative industries and ICT business. The potentials relate to the development outside the region, e.g. the aforementioned Chinese need for ore and global needs for renewable energy resources. In Region Zealand, there is a focus on overcoming the problems of a divided region. Instead of talking about of spatial and social diversities as problems of unevenness, the region speaks about potentials of cooperation across diversities. In the business development strategy, the Region Zealand Growth Forum emphasises regional potentials within Pharma/ medico, cleantech/energy/environment, food production and processing and tourism.

Search for visions

Territorial strategies depend crucially upon collaboration between stakeholders sharing or developing joint visions for the future. Visions and images for the future produce new frameworks for action and redefine social and economic limits and political and administrative boundaries as suggested by Sartorio (2005). Therefore story telling and vision campaigns are important instruments for mobilising and forming working consensus among stakeholders. The use of visioning in the four case-study regions is, however, not outspoken. However, in Zealand Region the first years of the regional authority was used to forming a common identity and vision generally focusing upon the bridge-building role taking it a step further into a vision of improving people's competencies by cooperation between all kinds of regional knowledge institutions and private companies. We will elaborate on that below.

Spatial positioning

In the process between stakeholders and the outside world spatial positioning is a most important tool for "identifying opportunities, comparative advantages and possibilities on the basis of which new links and relationships could be

developed and strategic policies formulated.” (Williams 1996). Spatial positioning reveals new geographical settings of optional stakeholder formation in relation with shared policy interests. In figure 2 six different and overlapping policy territories of Region Zealand is shown (Region Sjælland, 2008). The figure illustrates that mobilising stakeholders is not restricted by administrative boundaries. On the contrary, mobilising stakeholders is an act of forming territories. A most prime example is stated by the case study of Västerbotten. At the entry of the EU, the region organised a partnership with the northern-most regions of Norway and Finland for the forming of a strategy for widening the structural funds criteria to include the special situation of - not necessarily poor - but sparsely populated regions. From this new geographical positioning of the ‘Northern Sparsely Populated Areas’ (NSPA), the regions successfully managed to persuade the EU commission to set up a new ‘Northern dimension’ of the EU regional policy programme. Other regional settings emphasised by Västerbotten region are The Barents Region, Europe Forum Northern Sweden, the E12 Corridor, the coastal region and the LEADER areas. Spatial positioning doesn’t imply the erosion of administrative borders. Rather crossing administrative borders are at stake by cooperation agreements and strategic partnerships.

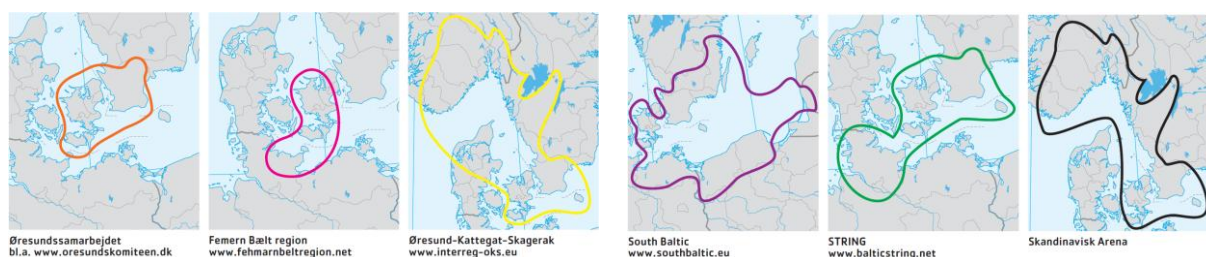


Figure 3: Examples of the variety and overlapping policy territories of Region Zealand

Linking strategies and projects

The case studies reveal a great attention on making a link between regional strategies and concrete actions and projects in the territory. In fact strategy-making include an ongoing process of project making and strategic thinking constantly changing according to changing circumstances. A Healey states, *strategies can accumulate sufficient power to change discourses and to transfer these discourses into the arenas for investment and regulatory practices*” (emphasis added) (Healy, 2003) – quoted from (Sartorio, 2005).

Strategy-driven projects and actions

In the case studies the regional governing actors are occupied by making a relation between projects, actions and strategies. In the Dutch Spatial Planning Act of 2008 spatial strategies must include a chapter on implementation. But also, local politicians show a vivid interest in the outcome of strategies. Thus, Zealand Growth Forum, developed a system of output and input indicators for keeping a focus on outcomes. The aforementioned NSPA should be seen as an outcome of the strategic cooperation between the SCPA regions. The Greater Birmingham and Solihull LEP is still too young to report outcomes. The key concern at this early moment of the LEP is how to find ‘implementation levers’ strong enough to facilitate a growth oriented strategy in the area. The LEPs are established without any economic

instruments. They thus have to rely upon 'influence' of the participating individuals, enterprises and organisations. Some respondents voiced anxiety "that the private sector partners would lose interest in the project, if business and investment wins were not forth coming over the short to medium term." Worth noticing is that networking with strategic partners in it self are seen as an outcome, as voiced by members of the Zealand Growth Forum.

Project-driven strategies

When concrete projects are tabled by an investor or project programmes by national or EU policy programmes episodes ripe for strategy-making occurs. Thus, it was noticed by one of the respondents of the Västerbotten case-study that "There have always existed various shifting co-operations in Västerbotten, but the EU Structural funds have been an essential injection into a more formalised co-operation process". A most important example of a project driven strategy is the MIRT strategy examined by the Randstad Case Study. MIRT is an acronym for a national investment Programme for Infrastructure, Spatial Development and Transportation developed and executed jointly by the government and the eight Dutch regions covering the entire country. The idea of the regional MIRT programmes is to adjust investments in infrastructure and transport within a common vision for the regional development.

The case study reports a general acknowledgement that in combining existing policies, MIRT programmes contribute by adding value over existing policies. Since the point of departure is existing policies, this type of strategy making is restricted to a limited amount of stakeholders, i.e. professionals from the government and regions dealing with spatial development and traffic and transport investments. In turn, the predefined policy-focus also "makes it easier to reach consensus with regard to the overall vision, objectives and ambition of the document." Referring to the strategic circle, the coordination of plans and projects by the stakeholders in the light of a vision for regional future are in focus. This is illustrated the Randstadt casestudy in figure 3.

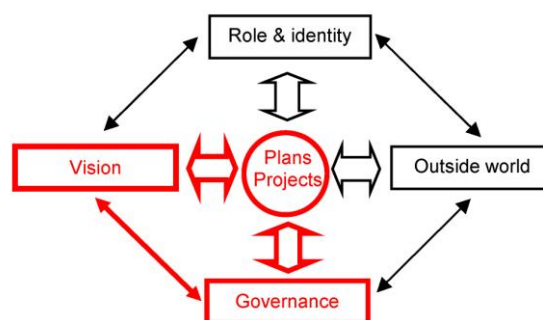


Figure 4 The MIRT Territorial Agenda

Flexible use of the strategic circle

The case studies illustrate several examples of only partial use of the strategic circle, i.e. elements most relevant in context. The Randstadt case-study reveals a few, and figure 4 show two examples revealing the maturing of the strategy making in Zealand Region.

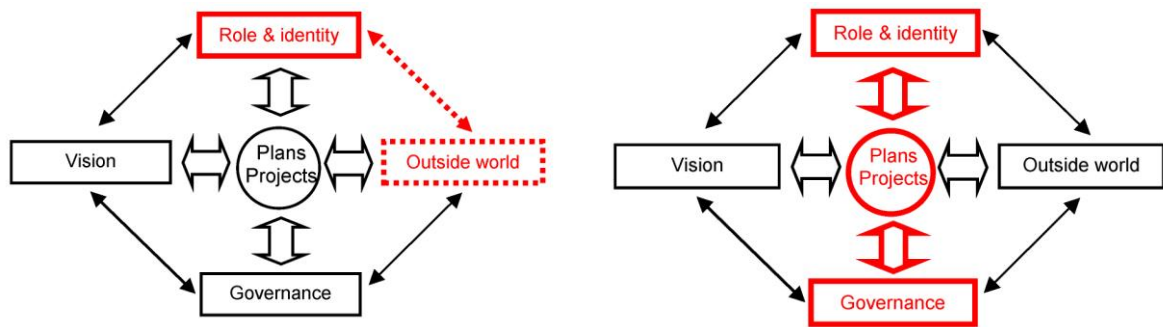


Figure 5 flexible uses of the strategic circle;
Left: Identity driven strategy (Zealand Region’s first regional development strategy);
Right: Cooperation driven strategy (Zealand Region’s second regional development strategy jointly with the growth forum’s business development strategy)

The box below presents in its own order, principles discussed during the project.

Clarifying the purpose of the strategy making.

The RIS should review the region’s image to determine whether this is valid, appropriate, and as positive and it could be. A false image needs to be overcome by appealing to the area’s real strengths.

RISs need to identify a unifying vision and mission that can guide strategy formulation across a range of policies.

Clarifying how do we relate to the elements of the strategic circle? Which are most relevant in our case? Like a business, the RIS must set out its strategic objectives clearly and concisely.

The relation between strategies, local conditions and projects has to be strengthen

It is important that RISs formulate local policies and related actions on the basis of a thorough understanding of local conditions. Surveillance of development trends in the territory and presentation of scientific and professional knowledge about regional development is needed. Integration of multiple sources and forms of knowledge about regional issues are equally important. A capability to discover and understand emergent patterns, new insights and new events has to be developed. The RIS must identify strong sectors as well as under-performing sectors. There may be considerable diversity amongst the people who live or work in the region. The RIS needs to understand, recognise and value this diversity.

To garner the most support the strategy must be realistic and credible, balanced without avoiding tough choices.

The RIS must review the supportive institutional environment to decide where this environment needs to be strengthened, and to shape its own contribution.

There need to be procedures established to check the performance of the RIS over time against its stated policies and objectives.

TOOLS FOR STRATEGIC CONDUCT

The following tools for strategic conduct concerns the issues of making strategic links and connections between actors and strategies and the building of common understandings of strategies in order to create ownership. First we present a certain perspective on relational integration (instead of comprehensive integration) and secondly we present tools to link-making and framing in strategic planning as integration tools.

The plethora of strategies

The case studies show a plethora of plans and strategies at the regional level. The need for an integrative approach to these plans and strategies are twofold. On the one hand, needs may arise for adjusting plans and strategies from the territorial point of view to avoid contradictory strategies, strategies that undermine one another, strategies dealing with the same issues, a proper use of resources etc. On the other hand there is a need for integrating strategies in order to be able to act in some form of common direction – not in the sense of making a comprehensive and overall strategy, but in the sense of *making partial and contemporary direction for the development of specific regional issues (e.g. education, climate)*.

In order to make room for rapid changing conditions and to keep doors open for new ideas and projects, efforts should not be on merging the diversity of strategies by one overarching regional strategy. Rather, the solution is rather to collaborate with various actors, to stress the familiarities and to make the strategies play in concert.

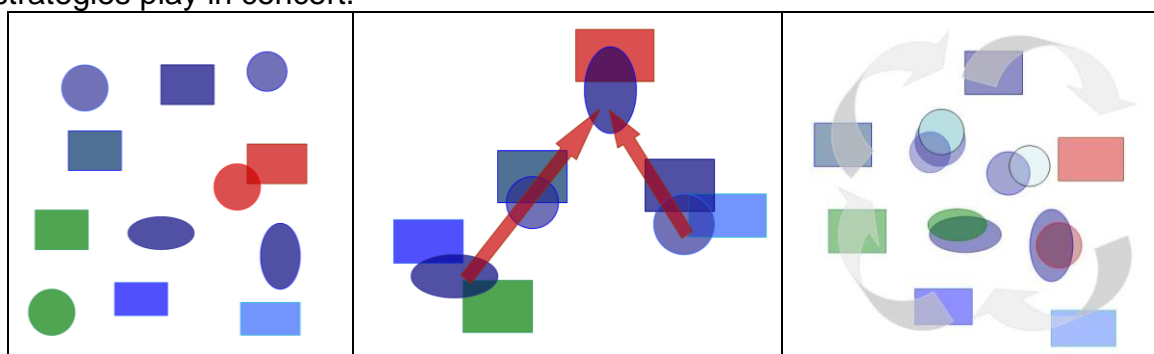


Figure 6 From left to right. The plethora of individual strategies and agents. Hierarchical coordination. Making agents and strategies work in concert – based upon mutual interest and familiarity with regional concern ('Family-zising').

Make diverse strategies play in concert

The background for developing a new form of strategic planning is first and foremost the ability to act and react in a rapid changing world. It could also be formulated as a capability to sustain the interplay with projects, strategies and sudden unforeseen events.

A regional integrative strategy is not a final plan but a dynamic document – unfinished business - illustrating a contemporary “resting” between competing concepts, understandings and interest in regional development. A strategy gets its power from the networking, communication and negotiation between important regional and local actors as part and result of the strategic work.

Link making work and power balancing

In all cases, one of the main issues has been to make relations and connections between different regional actors. Coordination is made through link-making not only between strategies but also between actors. In some cases former collaborations are used as in the Swedish case and in other cases like the Danish new relations have to be established. From the case studies we learnt that in order to coordinate through networking, it is important to make strategic choices about who to collaborate with and coordinate with in the formal and informal decisions arena. Another lesson is that power conflicts always occur in these collaborations and especially in new forms of institutions and collaborations as illustrated clearly in the Danish case where local authorities and the region got into a severe power conflict. We find the following principles important for link making work for regional actors trying to make integrated regional strategies:

- Participate in numerous collaboration and networks of importance for strategic development in the area
- Mobilise and facilitate relations and collaboration between important actors and institutions in the regional territory in relation to strategy making and implementation
- Perform strategic network design and management, professional process governing
- Create relations and linkages between different regional issues and problems: e.g. climate, business, health – stress the multidimensional aspect of regional space
- Make networks and collaboration legitimate by balancing power relations and connecting to formal political institutions

Framing and consensus-making work

In the case studies, the common understanding of the necessity of a regional strategy and the ownership to the strategy among diverse regional actors is found essential to realise integrated strategies. If the actors do not see the necessity of collaboration and of following a strategy there might not be any result of the strategy. Most actors enter collaboration out of self-interest and they have to go through a process where they develop a common idea of where “we” are going and where they get some benefit out of participating. In the UK case we saw some speculation of whether private business would stay in the LED cooperation if they had no influence and could not see the purpose. In the Danish case of the Growth Forum the private sector could not see the purpose in the first period of strategy making but by changing the focus on meetings from “bureaucratic management of administrative cases” to discussions of growth related issues relevant to all parties and by introducing networking between the actors also in a broader sense the private sector found the Forum interesting and new ideas and collaborations occurred between e.g. the education sector and private business. It takes special competences to make processes of common meaning and consensus. Important lessons from the study about framing and consensus making is:

- Making a strategy is about focusing attention and making choices for specific strategic issues
- Make explicit the different interests, values and perspectives in the area in order to make it possible to handle conflicts and find ways for consensus
- Develop some form of common meaning and mental frames about certain issues in the region, its problems and solutions, e.g. through story-telling and discursive framing
- Strengthen the creative and innovative potentials in collaborative and integrative processes
- Create “contemporary restings” (Healey 2008) of strategies: “we agree on this for now, but are open to new ideas and sudden change”

MEASURING STRATEGIES

Measuring outcomes of strategies is highly requested by politicians and senior officials in the regions, and at EU level, the use of indicators has become an integral part of programme evaluation. The EU indicators are focusing upon the outcome of programmes. They are based upon the assumption of a causal connection between programme activities (‘outputs’ formed by the spending of programme resources) and concrete foreseen results leading in turn to positive impacts at a higher aggregate level. As stated by the Danish Enterprise and Construction Authority (2011) such causal connections between the project activities and global impacts are difficult to prove.

Strategic analysis – checklist indicators

Below, a checklist for running a strategic analysis is presented. It should not be restricted to application on a single strategy, since much strategy making is performed by the concerted interplay of several strategies.

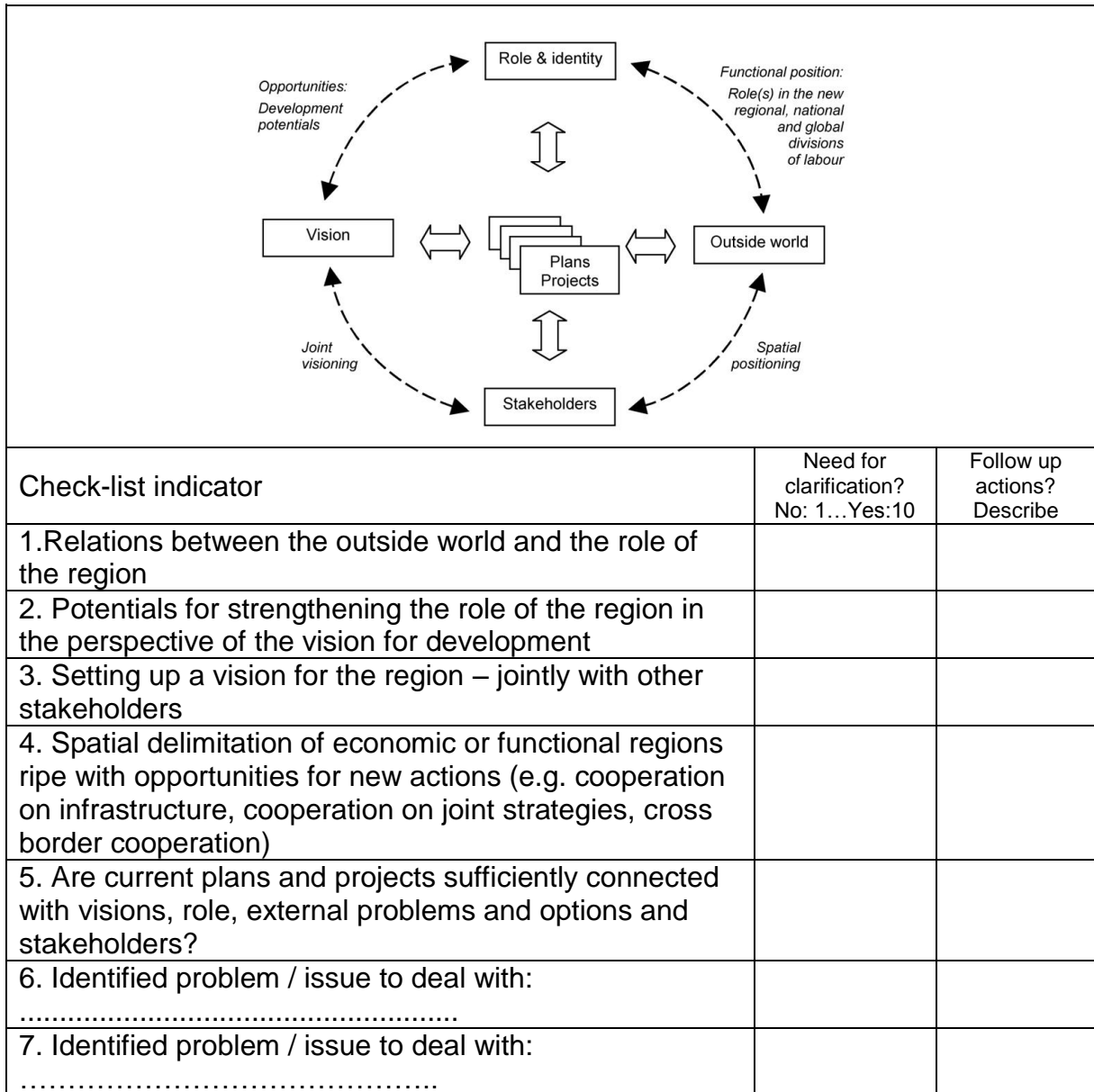
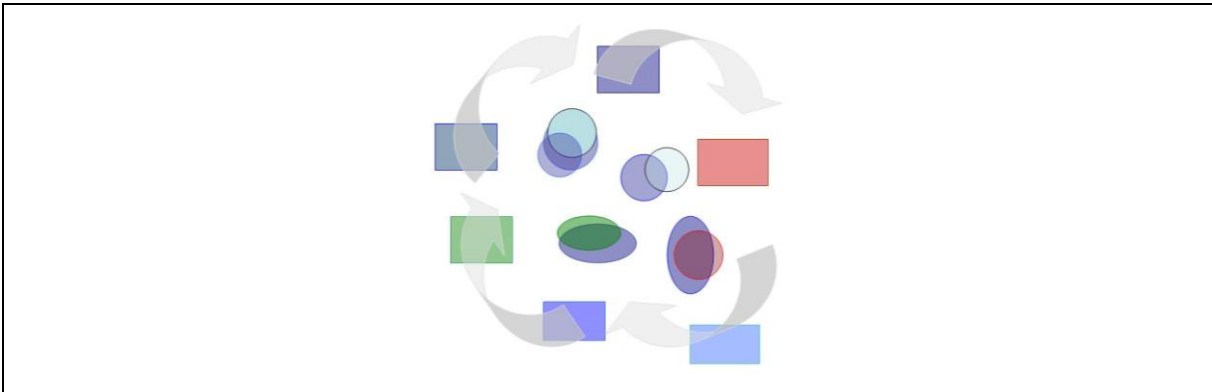


Figure 7 Check-list indicators on strategic analysis

Strategic conduct- checklist indicators

In focus of strategic conduct are the working relationships between strategies and actors. The aim is to establish some degree of a regional community of agents familiar with overall strategic ideas for the development of the region. Rather than strict coordination of strategies the idea is to ‘family-zise’ strategies through networking, meetings, cooperation and transparency of actions. It should be noticed that focus is on the horizontal regional level including relevant central and local agents. Vertical integration of regional strategies with national and EU regional policies seems to be greatly facilitated by the EU and national governments.



Check-list indicators	Need for improvement? No: 1. Yes: 10	Follow-up actions: describe
1. Focusing strategies: Reduce the number of strategies, especially when developed by the same agent		
2. Networking with relevant projects: Are there relevant strategies with regional spatial impact running in isolation or contradictory to the RIS?		
3. Adjusting projects to strategies: Are projects funded or reviewed by the regional council or other regional agents sufficiently focused on strategic priorities?		
4. Instrumentalizing strategies: Are sufficient and transparent milestones set up?		
5. Are all relevant agents and stakeholders involved?		
6. How strong are strategies integrated – use the ladder step 1 - 6		

Figure 8 Check-list indicators on strategic conduct

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