ESPON TANGO –
Territorial Approaches for New Governance

Applied Research 2013/1/21

Draft Scientific Report | Version 30/06/2013

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1   The ESPON TANGO approach

The ESPON TANGO (Territorial Approaches to New Governance) project asserts that governance matters and territorial governance matters in order to achieve specific territorial development goals in the spirit of striving for territorial cohesion as stipulated in the Treaty on the Functioning of the EU. But how, why and under which circumstances territorial governance matters varies considerably across Europe. Thus the question of distinguishing generalisable and transferable lessons of "good" territorial governance is a challenging task, but one that can provide additional fuel to the Cohesion Policy debate.

To this task the ESPON TANGO project compares and synthesises conclusions from 12 in-depth qualitative case studies of territorial governance throughout Europe. Based on a theory-driven, pragmatic and consensual definition and operationalization of territorial governance, the focus of the case studies is to trace how actors and institutions at different levels formulate and implement policies, programmes and projects to achieve a certain territorial goal that is aligned to the Europe 2020 strategy. We provide conclusions and empirical illustrations on not only how spatial planning and regulatory instruments are involved in territorial governance, but also how broader policy processes including the coordination of stakeholders and institutions, the integration of policy sectors, stakeholder mobilisation, adaptive capacity, and realising territorial specificities and impacts, have contributed to "good" territorial governance.

In the end we stress that comparability and transferability of territorial governance in Europe is not aimed at searching for 'one-size-fits-all' solutions, but rather at building an evidence-based set of opportunities for innovation in territorial governance practices at different levels/in different contexts.

The TANGO project thus delves deeply into the conceptualisation and re-conceptualisation of territorial governance as a means to operationalise the term for empirical case studies. The goal is to provide evidence of territorial governance processes to support future territorial

development policies in general and Cohesion Policy in particular which improves regional competitiveness, social inclusion and sustainable and balanced growth of the European territory in particular.

1.1   Organisation of the project

The project looks at territorial governance in order to understand how related practices and institutions can provide added value to achieving territorial cohesion. The following main results are presented:

- Evidence on recent trends in organising and managing territorial development (for instance decentralisation, fusion of municipalities, etc.),
- Seeds to a typology of territorial governance in Europe,
- Insight into current 'good practices' for territorial governance in Europe and their reasons for success in achieving territorial development objectives,
- Examples of good territorial governance from a multi-level, multi-sectoral and multi-actor approach promoting territorial development and/or implementing Cohesion Policy and the main factors of success,
- Insights concerning barriers for territorial governance and ways of overcoming these barriers,
- Illustrations of the possible supporting role of spatial planning instruments and other instruments in good territorial governance,
- A handbook with good practices for territorial governance, building on 12 in-depth case studies undertaken.

Studies of governance and in particular multi-level governance abound in the research fields of social science and spatial planning (cf. the more in-depth discussion below in chapter 1.2). Yet the majority of these efforts take an inductive approach, using methods such as constructing narratives and storylines around particular cases and components of governance.

While the inductive approaches have contributed greatly to our understanding of the role that governance plays in achieving a certain outcome and confirming that governance matters, there remains a need to revisit the feedback loop by use of grounded theory, from the theoretical starting point that governance matters to generating hypotheses about how, why and under which circumstances it matters a little, a lot or not at all. This sort of reflection shall in particular help to meet the specific objectives of this project, namely to generalise current trends, to identify those governance practices which can be considered as being 'innovative' or 'good' and, finally, to discuss the extent of their transferability into other contexts.

In addition, the body of literature on 'territorial' governance is rather blurred, which can be certainly explained by the various notions that can be associated with the term 'territory' or related ones, such as space and place. Hence clear denotations are lacking, so that many contributions to the debate what territorial governance actually is (and how we can capture it) are left to develop their own notions (cf. the endeavours undertaken by Davoudi et al. 2008 drawing on experiences from the ESPON 2.3.2 project).

Another circumstance that has constituted the point of departure of our research project and influenced the chosen research approach is that our research is crouched in the policy-given questions of the ESPON 2013 programme in general and the specific targets as an 'applied research project'. Thus the project team has been given the mandate to address specific questions regarding how territorial governance matters in producing a territorial development outcome or following-up on a larger policy goal such as territorial cohesion. In this way the project team is asked to distinguish some generalisable and transferable lessons on territorial governance and thus to provide fuel to the policy debate. Hence from the beginning the project-team had not only to consider territorial governance from an analytical perspective, but also to integrate a normative one, namely in terms of what constitutes 'good' territorial governance. This tightrope walk is also displayed by the research (RQ) and policy questions (PQ) in the specification of this applied research project:

PQ1	How is multi-level and cross-sectoral territorial governance organised throughout Europe and what are the mechanisms to ensure coordination between different public sectoral policies and cooperation between different levels of public government (including neighbouring areas)?
PQ2	What role can instruments of national and regional spatial planning systems play in creating better territorial governance? And what other effective models exist to obtain this aim? What happens if such instruments and models are not present?
PQ3	What are the main lessons for future Cohesion Policy, i.e. how can Cohesion Policy encourage stronger and more efficient forms of territorial governance at the different scales?

Figure 1.1: Policy Questions to be addressed by the ESPON TANGO project

RQ1	What are recent trends in organising territorial development (for instance decentralisation, fusion of municipalities, etc.)?
RQ2	What are current good practices for territorial governance in Europe and why are they successful in achieving territorial development objectives?
RQ3	What are good examples of territorial governance to promote territorial development and and/or implement Cohesion Policy? Which are the main factors of success?
RQ4	What are barriers for territorial governance and how are they being overcome?
RQ5	What role do and/or might spatial planning instruments and other instruments play in establishing good territorial governance?

Figure 1.2: Research Questions to be addressed by the ESPON TANGO project

The evidence-base for most of these questions is derived from a dozen case studies across Europe on territorial governance at play. Consequently these case studies were carefully prepared and embedded in a larger research framework. The project-team first developed an operational working definition of territorial governance based on available approaches, findings and debates. Indeed this definition (see figure 1.3) has been revisited throughout the research process and has served to provide guidelines for the case study research; nonetheless it serves as an underlying framework from which the other research parts are unfolded too, as well as a simple heuristic for how actors and institutions can consider territorial governance. Namely closely linked with the definition of territorial governance is the 'development of a typology of territorial governance across Europe', a 'framework of principles and indicators for 'good' territorial governance, and, finally a 'framework for the

identification and transferability of good territorial governance practices and policy options'
(cf. figure 1.4).

Territorial governance is the formulation and implementation of public policies,
programmes and projects for the development* of a place/territory by

1) co-ordinating actions of actors and institutions,

2) integrating policy sectors,

3) mobilising stakeholder participation,

4) being adaptive to changing contexts,

5) realising place-based/territorial specificities and impacts.

We consider 1) to 5) as "dimensions" of territorial governance which provide added
value to achieving territorial cohesion.

* We define development as the improvement in the efficiency, equality and
environmental quality of a place/territory (in line with the Europe 2020 strategy).

Figure 1.3: TANGO dimensions of Territorial Governance

Please note that since the Interim Report we have exchanged the order of dimensions 1 and 2. This is reflected in the Main Report and the Scientific Report, although the case studies still retain the original numbering.
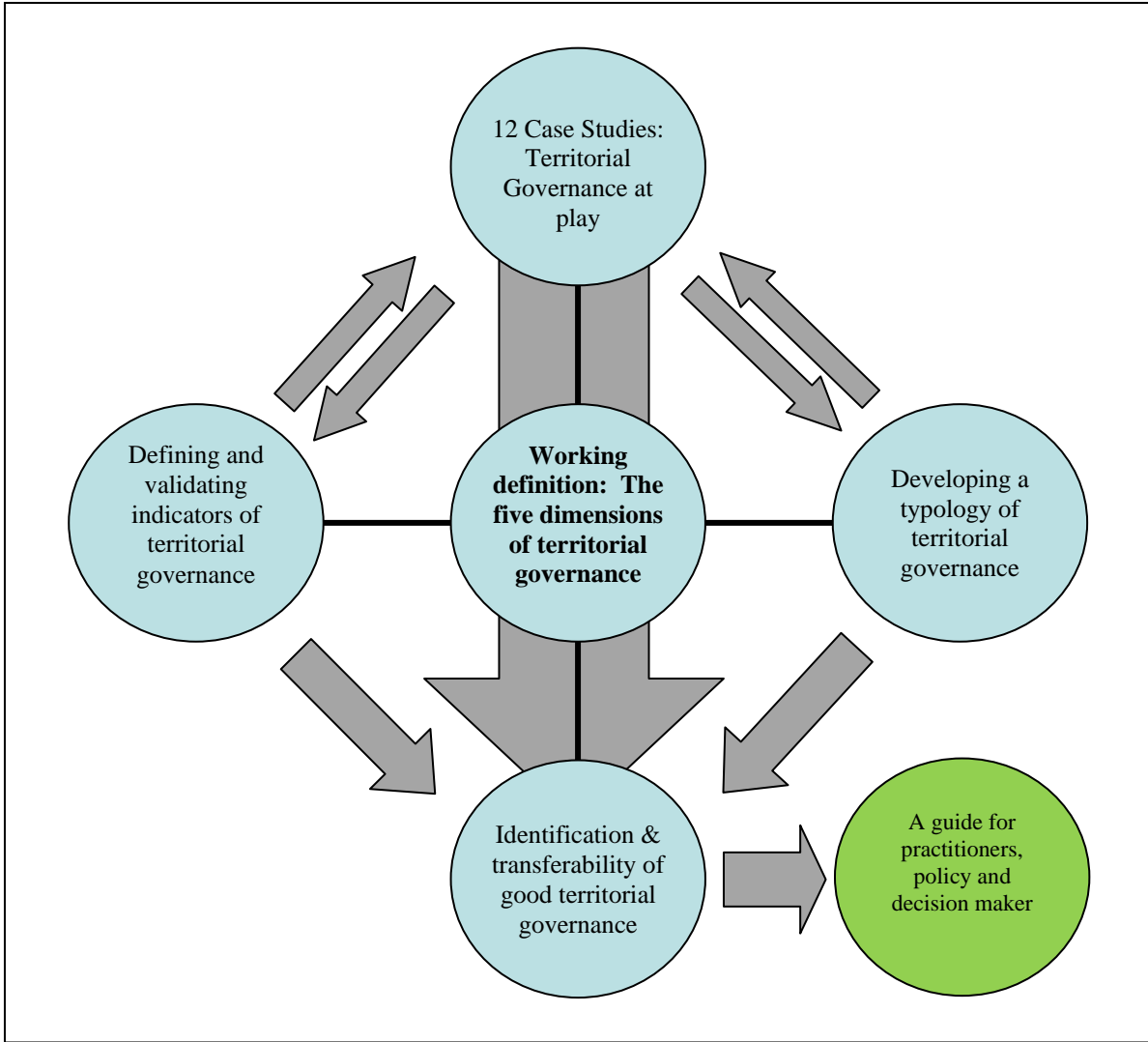
Figure 1.4: Main research components of the ESPON TANGO study

1.2   Theoretical underpinnings of Territorial Governance

Does territorial governance matter? Is the territorial governance concept really anything novel? How does territorial governance differ from the more established concept of multi-level governance? Territorial governance is anything but straightforward. Faludi (2012), for instance, has problematised the concept with three direct criticisms: 1) the specification of "territorial" is redundant, as territory is already implicit in multi-level governance, 2) multi-level and territorial governance have been more concerned with linkages and networks among

governmental levels rather than *governance*, and 3) territories within territorial governance are too often understood as "fixed", rather than softer or functional.

Based on the empirical results of our 12 case studies and the surveys on territorial governance types and the indicators of "good" territorial governance, we assert, however that territorial governance does matter for better comprehending the role of territory and its dynamics, various perceptions and the knowledge about it in view of achieving a certain territorial goal (cf. chapter 6). In this vein, we assert that territorial governance is evolving as a new breed of "animal", partly distinct from, yet owing its origins to its forefathers: the concepts of "regular" governance and multi-level governance. To this end, we have established our own conceptual and operational "TANGO definition" of territorial governance as seen in Chapter 1.

But first, in order to understand the theoretical underpinnings behind the definition and its five dimensions we take a look back into the origins of governance and multi-level governance to show how our understanding has evolved. Thus one of the initial steps in the project was unpacking the concept of territorial governance and related concepts. Our research task has not included making a conclusive state-of-the-art survey on these concepts; rather we provide some illustrations from the huge body of governance/multi-level governance research which has proved relevant for our empirical tasks.

From government to governance: an exercise in description

The concept of governance occupies a central place in social science analysis, especially in the last decades, focusing in particular on the shift from government to governance. In simple terms, government refers to the dominance of State power organised through formal and hierarchical public sector agencies and bureaucratic procedures, while governance refers to the emergence of overlapping and complex relationships, involving 'new actors' external to the political arena (Painter and Goodwin 1995).

The shift to governance has not only led to changes in (jurisdictional) government (Pierre 2000; Jessop 1997), it has also led to disruption of established channels, networks and alliances through which (particularly local) government is linked to citizens and businesses. Hence, the challenge of governance is how to create new forms of integration out of fragmentation, and new forms of coherence out of inconsistency (Davoudi et al. 2008). As Stoker (2000, 93) points out, governance is 'a concern with governing, achieving collective action in the realm of public affairs, in conditions where it is not possible to rest on recourse to the authority of the State'. It is thus also about how collective actors emerge from a diverse group of interests (Le Galès 1998).

Governance in social science and spatial planning research has always had a duel role – descriptive and normative. As a descriptive construct governance can be a conceptual tool to trace the emergence new intersectoral issues like climate change adaptation (ie Kern and Bulkeley 2009) and deliberate policy making processes (ie Healey 1997) or post-political societal issues, such as terrorism that can no longer be sufficiently addressed by traditional governmental efforts (ie Mouffe 2005). Linked to the idea of governance as a post political project is the question of why governance is useful as a normative framework for questions that involve long-term strategies that can outlast political periods (Giddens 2005).

A wide field of research delves into the general notion of 'regular' governance as a descriptive concept (e.g. Pierre and Peters 2000; Jessop 1997). This literature focuses on the governance of a type of specified territory, such as an urban setting, and underlines various 'models' of governance based on empirical observation. It shows how the shift to governance, in addition to governmental processes, are shaping decision-making and planning processes to a greater degree with the inclusion of many new types of actors, new networks and constellations. In this vein, Stoker asserts how the contribution of a governance perspective to theory is not at the level of causal analysis, but rather its "(...) value is as an organizing framework. The value of the governance perspective rests in its capacity to provide a framework for understanding processes of governance" (Stoker 1998:18).

Lidström (1999) comments that most of the comparative studies of governance are inductive and thus there is a need to complement this body of research with analytical / deductive studies emphasising the historical-institutional and socio-political context. In surveying the various ways in which governance is conceived, particularly within political sciences Van Kersbergen and van Waarden (2004:166) also conclude that a further distinction could be made between empirical-analytical governance issues, that is, what is already happening, and why it is happening, and the normative evaluations of governance – namely, what should be done.

Likewise, Jordan (2008) taking stock of the scholarly efforts dealing with the governance of sustainable development makes a similar point. He alleges, quoting Kooiman (2003), that we are still in a state of 'creative disorder' about governance; while there is a wealth of research on governance, the concept is being used in very different ways. These main categories are governance as an empirical phenomenon, governance as normative prescription and governance as theory. Jordan shows how the former two ways of studying governance (in connection with sustainable development) have been undertaken in recent years. On the one hand, empirical descriptions of governance have generally traced how sustainable development principles have been implemented. On the other hand, normative interpretations of sustainable development and governance have been concerned with elements of 'good' governance, in connection with the work of the OECD (2001a) or the EU White Paper. Still, 'governance as theory' continues to be somewhat under researched. What claims there are to building a grand theory of governance remains somewhat modest (ie. Pierre and Peters 2000, Jordan 2008).

There have nevertheless been a number of recent efforts to take the governance concept ahead by suggesting frameworks for concrete insights into a governance-related area. In pondering how the governance discourse can contribute with insights into spatial planning, Nuissl and Heinrichs (2011) propose four general governance-inspired categories for

investigating spatial planning actions – actors, their relationships, institutions frameworks and decision-making processes. Harrison (2013) moves towards understanding territory and networks by looking at spatial strategies and sociological interactions. This is done using the case of North West England and asking if the 'fit between academic conceptualization and on-the-ground developments' is really so neat (Harrison 2013, 71)? We consider these as research efforts that are moving into the direction of deductive inquiry, or to put it plainly, into the nuts and bolts of how and why (territorial) governance really matters.

From the literature on the "shift from government to governance" we draw two conclusions that have been seminal to our research:

- (Territorial) governance includes, but is no way limited to, processes of government; rather any study of governance must include analysis of the way non-governmental actors interact, in addition to or in concert with, governmental actors,
- (Territorial) governance has generally been studied as a framework for description of processes. In the TANGO project we have aimed to go beyond description and attempt to make a comparable and generalisable analysis of how and why territorial governance matters.

Multi-level Governance and its types

Multi-level governance is a concept that has been used to understand the system of nested relationships among primarily governmental levels within the EU. The initial focus of the multi-level governance concept was to depict the role that supranational EU institutions play together with the national state in policy-making. This was largely entwined in the policy and academic debate of the early 1990s on European integration and inter-governmentalism.

In terms of the European integration research, several scholars have gone deeply into problematising the different types of multi-level governance in terms of allocations of responsibilities and competencies. This type of analysis is often represented by Hooghe and

Mark's distinction between Type I governance and Type II governance whereby Type I governance systems have a limited number of non-overlapping multi-issue jurisdictions and Type II governance systems are composed of many flexible, sometimes overlapping jurisdictions that are often task-specific (Hooghe and Marks 2001, 2003 and 2010; Faludi 2012). Marks (1993: 292) first uses the multi-level governance term to describe how various layers of government are nested or "enmeshed in territorially overarching policy networks". Further there is "… a system of continuous negotiation among nested governments at several territorial tiers" (Marks 1993: 392) [in which] "supranational, national, regional and local governments are enmeshed in territorially overarching policy networks" (Marks 1993: 402-3).

Hooghe and Marks (2001) later distinguish between Type I governance systems with a limited number of non-overlapping multi-issue jurisdictions and Type II governance systems composed of many flexible, sometime overlapping jurisdictions that are often task-specific. Type I governance, which takes its cue from federalism studies (Hooghe and Marks 2001, 4), depicts various types and processes of formal decentralisation or devolution of government levels and sees territorial boundaries as fixed and non-intersecting. Type II governance is much more ad hoc in nature and informal. Because of the high transaction costs, it can be difficult for these types of governance arrangements to break into and complement constitutional established Type I governance. Both types of governance can co-exist, but Hooghe and Marks (2001, 26) call for further empirical and comparative studies to show how these forms of governance work.

Table 1.1: Characterisation of two types of multi-level governance

	Type I	Type II
Jurisdictions	General-purpose	Task-specific
Boundaries	Non-intersecting memberships	Intersecting memberships
Scales	Limited number of levels	Unlimited number of levels
Organisational structure	System-wide architecture	Flexible design

Source: Hooghe and Marks, 2003

Faludi asserts that within the European discourse, multi-level governance is most often conceived in terms of Type I where levels of government are nested "Russian doll-like" in territorial arrangements (Faludi 2012, 203). Type II governance arrangements, with their non-fixed jurisdictional boundaries may be edging closer to what we would call "territorial governance" whereby no overarching governmental sovereignty is apparent, but there is still the need to problematise the conception of "territory": "What is missing in the literature on this topic is any awareness of different notions of underlying territory" (Faludi 2012, 205).

However Hooghe and Marks (2003, 240) later do specify that Type II jurisdictions have constituencies "who share some geographical or functional space and who have a common need for collective decision making". Furthermore they assert that the flexible design of Type II governance helps to "…respond flexibly to changing citizen preferences and functional requirements" (Hooghe and Marks 2003, 238) and that the institutional design can be adapted to specific policy problems.

From the literature on the multi-level governance we draw two conclusions that have been seminal to our research:

- (Territorial) governance is more characteristic of Hooghe and Mark's Type II multi-level governance. But it concerns not only vertical relationships between actors and

institutions, which is a main focus of Hooghe and Mark's research, but also horizontal networks and inter-sectoral linkages.

- (Territorial) governance concerns more flexible territorial arrangements, but also the interplay between informal networks and formalised jurisdictionally-bounded spaces. The potential complexity involved makes it important for actors and institutions to be adaptable and to consider the territorial pre-conditions that inform a specific policy or task.

An emerging theory of "territorial" governance

The concept of territorial governance can be seen as a further elaboration of the more commonly accepted notions of 'regular' governance and multi-level governance. Spurred on by the political debate on territorial cohesion, territorial governance can be seen as a means to achieve endogenous territorial development via the organization of new 'constellations of actors, institutions and interests' (Gualini 2008, 16). It can be thus understood as the policy, politics and administration of the territory – at local, regional, national and European levels. It deals with how the borders of jurisdictions are drawn, how functions are allocated, the extent of autonomy and how units are governed. It also concerns patterns of co-operation and collaboration, both between units of government and between governmental and non-governmental actors (Lidström 2007).

Various shifts in territorial governance across Europe (and in many other parts of the world as well) bring with them some far-reaching implications for the ways in which territorial development is managed and understood. These shifts include changes in the objectives, processes, scales, responsibilities and scope of territorial governance. Lidström (2007) distinguishes four major recent shifts in territorial governance:

- redefining of the role of the nation-state;
- increasing the responsibilities of lower levels of government;
- accepting increasing diversity, variation and even asymmetry between how territories within the nation state are governed; and

- increasing marketisation of the public domain (which also includes the privatisation of services of general interest in various fields such as transport, health care, education etc.).

Similar observations are identified in the OECD's report on trends in territorial governance frameworks (OECD 2001a). The past decade has seen considerable change in systems of territorial governance in OECD countries, resulting largely from widespread decentralisation of government functions. In many countries, policy responsibilities and, in some cases, revenue-raising capacities have shifted away from the central government to regional and local governments and this decentralisation has had a dramatic effect on the way nations are governed. Not only have specific tasks been re-allocated to different agencies and the repartition of revenues, but in addition, more flexible institutional relationships have evolved.

Territorial governance is thus a more encompassing way of understanding relationships and linkages among actors within a specific territory or "nested territories", that either of the types of multi-level governance as characterized by Hooghe and Marks. Territorial governance might be said to encompass both the Type I (formal governance/government) arrangements of multi-issues within a specific territory, as well as Type II (informal governance) processes among territories and with regard to issue-specific as well as more cross-sectoral issues.

Davoudi et al characterizes territorial governance as "… the process of territorial organisation of the multiplicity of relations that characterize interactions among actors and different, but non-conflictual, interests" (Davoudi et al 2008:352). According to Davoudi et al (2008:352-353) territorial governance implies both horizontal and vertical coordination and can be described, analyzed and evaluated by looking at three broad types of factors: the structural context, the policies of the institutional realm, and the results and processes of actions, programmes and projects for territorial cohesion.

Building upon the recent debate around the concept of resilience of social systems and their adaptability to changing contexts (e.g. economic crisis, natural disasters), the project team felt that this can offer some interesting insights into the flexibility and adaptability of governance structures that is driven by social learning processes. Namely, yhe level of adaptability is inevitably dependent on the ability to self-organise and learn. In this sense, according to Gupta et al. (2010), 'adaptive institutions' can encourage learning among the actors by questioning the socially embedded ideologies, frames, assumptions, roles, rules and procedures that dominate problem-solving efforts. Maru (2010) notes in this context that while the capacity to self-organise and adapt are shared properties of social (and ecological) systems, 'learning' is an essential human (and thus individual) capability.

Another key dimension of territorial governance has been identified based on the claim that is expressed in particular in the spatial planning literature since the late 1980s (cf. exemplarily Healey 1997 for this body of literature) namely that of participation, partnership and inclusion of relevant stakeholders (and in particular here the civic society). Hence to mobilise stakeholder participation and thus activate 'their' specific knowledge and, finally, incorporate 'their' claims and concerns in the formulation and implementation of public policies, programmes and projects for the development of a place or territory is often been considered as an approach to attenuate democratic deficits that are somewhat (pre-)defined due to the given institutional environment. That's said it shall be added that we define 'development' as the improvement in the efficiency, equality and environmental quality of a place/territory in line with the Europe 2020 strategy. This shall ensure that our research is topical, aligned to future EU cohesion policies and, finally, that we share a somewhat similar idea about the 'what' in territorial development and related territorial governance practices.

By incorporating the latter two perspectives (adaptability to changing contexts and to mobilise stakeholder participation) in our working definition, we are fully aware of the fact that we are entering a kind of grey zone between a pure analytical understanding of governance and a more prescriptive-normative one as these also constitute criteria of what one could define as

good (territorial) governance. Unsurprisingly, we can trace these two in particular in programmatic policy documents such as the EU White Paper on Governance from 2001 (CEC, 2001), the White Paper on multi-level governance by the Committee of the Region (CoR, 2009) or various reports issued by the UN Habitat, e.g. in 2002 or 2009.

As discussed earlier, the lack of further specification of the notion of territory is often absent in the literature. Jordan (2008, 21) pronounces in his critical account of contemporary conceptualisations of 'governance' that "in fact, its lack of geographical specificity has allowed scholars operating at totally different spatial scales - international, national, and/or subnational - or even across many scales [...], to use it. This ability to `bridge' disciplines and distinct areas of study has undoubtedly boosted the popularity of governance (van Kersbergen and van Waarden, 2004), but has also contributed to the lack of precision noted above." These deficits and the thereby caused equivocalties need to be in particular tackled, since as indicated elsewhere within, but also increasingly outside the ESPON community, place and territory matters. Therefore our research approach is sensitive about the extent to which place-based/territorial specificities and characteristics are addressed within territorial governance practices. Additionally, it shall be emphasised that we consider territory and/or place as social constructs that are not necessarily limited by jurisdictional boundaries.

If we then assert that governance matters and territorial governance matters in order to achieve specific territorial development goals and increase territorial cohesion, we have to bear in mind that the issue is still under-researched in the emerging body of territorial governance literature. This applies in particular regarding in-depth analyses of how, why and under which circumstances territorial governance matters for a range of different types of territories.

From the literature on the emerging body of territorial governance research we draw four conclusions that have been seminal to our research:

- Territorial governance is a *process* that is influenced by structural contexts and institutions. Nevertheless the study of territorial governance must be linked to how the process contributes to the achievement of a specific territorial goal.

- Territorial governance is a way of helping to define or reify new types of "softer" or "functional" territories (more akin to Type II). Thus it can potentially help to analytically "unravel the territory" much in the same way that multi-level governance has helped to re-conceptualise and "unravel" the state.

- Territorial governance (i.e. employing a territorial approach in the development of strategies and in decision-making) should be carefully distinguished from the governance of territories. The latter is inevitably always there, in particular in regards to multi-level governance. However, the former offers, according to our initial hypotheses (that have been confirmed later on in our empirical research, see chapter 6), a high degree of sensitivity in regards to 'how' territorial dynamics and challenges as well as prevailing perceptions and knowledge may feed into various processes within (multi-level) governance for achieving a certain territorial goal.

- Hence, territorial governance as a concept and a way of framing research is enriched by the additions of dimensions concerning adaptability and territorial specificities. Contrary to Faludi's observation (2012), our research indicates that while the idea of territory may be implicit in studies of multi-level governance, it should be made very explicit and a central part of the policy making process.

2 Developing a typology of territorial governance

2.1 Introduction

The literature on comparative politics and government contains many different typologies of government and governance (Kickert, 2007). Various authors speak of 'state traditions' or 'families' of states to distinguish between groups of countries (Loughlin, 2004). In their studies of welfare regimes, Castles (1998) and Esping-Anderson (1988) for example employed the notion of 'families' of countries. More closely related to the issue of territorial governance, the European Compendium of Spatial Planning Systems and Policies refers to traditions (or ideal types) of spatial planning (European Commission, 1997). According to Kickert (2007), the vast majority of government and governance typologies are constructed around one of three criteria: (i) 'politics and society' (e.g. types of parliament, election systems, political parties, cultures, social movements, interest groups, etc.); (ii) 'state and government' (e.g. types of constitutions, governments, cabinets, parliaments, judiciary, etc.); or (iii) 'administration' (types of bureaucracies, politics-bureaucracy relations, organisation, recruitment, culture, etc.). No attempt is made here to summarise all the different typologies (reviews can be found elsewhere, such as Farinós Dasí et al, 2006; Lalenis et al, 2002; Tosics et al, 2010). Instead, a number of different starting points for these typologies (administrative traditions, welfare regimes and spatial planning systems) are illustrated in order to set the scene for the elaboration of a typology of territorial governance. Data from the World Bank's worldwide governance indicators are then used to identify national governance profiles and to create clusters of countries based on their governance profile. These clusters are then compared against some of the existing typologies of government and governance. Next, data from a survey of practitioners and academics are used to identify some key trends in territorial governance across these clusters of countries, and to test whether different approaches to tackling territorial policy issues are evident in these clusters.

Administrative traditions

There has been no shortage of typologies of local government systems over recent decades (Sellers and Lidström, 2007). Many of these classifications typically rely on historical and cultural classifications rather than on consistent analytical criteria and arrive at varying conclusions about how distinctive local government is in these countries (Table 2.1). According to authors such as Hesse and Sharpe (1991), the four Nordic countries share a 'Northern European' model of local government with countries such as Austria, Germany, the Netherlands and Switzerland. This model differs from Napoleonic systems that rely on administrative centralization but are politically decentralized. On the other hand, classifications by authors such as Lidström (2003) and Bennett (1993) see the local government systems in Nordic countries as distinct in comparison to other Northern European systems. Meanwhile, Goldsmith (1992) proposes a classification of three basic types of local government systems (the clientelistic/patronage model, the economic-development model and the welfare-state model) based on the primary objective or ethos which underlies the system of local government. Goldsmith's classification is based on Weberian ideal types, where no individual local government system fits any model exactly (i.e. all systems are a mixture of all three ideal types in differing proportions). Goldsmith argues that local government systems in Europe are closest in nature to either his clientelistic/patronage or welfare-state models, and indicates that countries closest to his economic-development model are (or at least were) generally found outside Europe (e.g. Australia, Canada and the United States).

Focusing on 'state traditions', Loughlin and Peters (1997) have attempted to situate different aspects of state and political features within underlying traditions and cultures using a composite set of indicators (Table 2.2). It is apparent that each of their four state traditions (Anglo-Saxon, Germanic, French and Scandinavian) have distinct political and administrative cultures, forms of state organization, and kinds of state-society relationships. However, there is also substantial diversity within each of these traditions. In southern Europe, for example, although there is a common heritage based on the Napoleonic state (and what is sometimes

claimed to be a common Mediterranean culture), there are important differences among the different countries relating to historical development, political and administrative cultures, and the understanding of democracy itself (Loughlin, 2004). The same is true for the other traditions. Nevertheless, this table is helpful as a starting point and as a means of comparison across the EU's member states.

Welfare regimes

A variety of welfare systems can be found across Europe. Publication of Esping-Andersen's 'Worlds of Welfare' thesis (Esping-Andersen, 1990) drew attention to some of the differences in national welfare systems and provoked an extensive and ongoing debate about the classification of these systems, including the criteria that are used to differentiate them, the number of distinctive types and the grouping of countries that result (Bambra, 2007).

A variety of criteria have been used to construct different welfare state typologies. These include decommodification[1] (Esping-Andersen, 1990), basic income (Leibfried, 1992), poverty rates (Ferrera, 1996; Korpi and Palme, 1998) and social expenditure (Bonoli, 1997; Korpi and Palme, 1998). The development of these typologies is summarised in Table2.3. In general, the number of different regime types has increased over time as a consequence of more sophisticated analyses of welfare systems. Since 1990, the number of regime types in Europe has increased from Esping-Andersen's original three (summarised in Fig. 2.1) to five or six (Aiginger and Guger, 2006; Alber, 2006). Across all classifications, some countries are consistently found in clusters with one or more similar countries whereas certain other countries are found in different clusters for each classification.

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[1] The term decommodification refers to the extent to which individuals and families can maintain a normal and socially acceptable standard of living regardless of their market performance.

Table 2.1: Local government typologies (based in part on Sellers & Lidström, 2007)

Hesse & Sharpe, 1991	Northern European	Anglo-Saxon		Napoleonic
	AT, DK, FI, FR, NL, SE	IE, UK		BE, ES, FR, GR, IT, PT
Goldsmith, 1992 [1]	Welfare state			Client-patron
	AT, DE, DK, FI, NL, SE, UK			FR, IT, GR, ES
Bennett, 1993	Scandinavian	Anglo-Saxon		Napoleonic
	DK, FI, SE	IE, UK		AT, BE, DE, ES, FR, IT, NL, PT
Lidström, 2003	Northern European	British	Middle European	Napoleonic
			AT, DE, CH	
	DK, FI, SE	IE, UK		BE, ES, FR, GR, IT, NL, PT

Notes:

1. Goldsmith proposes a classification of three basic types of local government systems (the clientelistic/patronage model; the economic-development model; and the welfare-state model). Only two of these are indicated in this table since Goldsmith argues that local government systems in Europe are closest in nature to either his clientelistic/patronage or welfare-state models.

Table 2.2: Key features of administrative traditions in Europe (based on Loughlin & Peters, 1997)

	Scandinavian	Anglo-Saxon	Germanic	French
Legal basis for the 'state'?	yes	no	yes	yes
State-society relations	organicist	pluralistic	organicist	antagonistic
Form of political organization	decentralized unitary	union state/ limited federalist	integral/ organic federalist	Jacobin, 'one and indivisible'
Basis of policy style	consensual	Incrementalist 'muddling through'	legal corporatist	legal technocratic
Form of decentralization	strong local autonomy	'State power' (US); local government (UK)	cooperative federalism	regionalized unitary state
Dominant approach in public administration	public law (SE); organization theory (NO)	political science/ sociology	public law	public law
Examples (from Europe)	DK; SE, NO	UK; IE	DE; AT; NL; ES (after 1978); BE (after 1988)	FR; IT; ES (until 1978); PT; GR; BE (until 1988)

Social-democratic: Extensive high-quality services, open to all irrespective of income; generous (and income-related) transfer payments to those out of or unable or too old to work; strong public support; exemplified by Scandinavian countries.

Liberal, Anglo-Saxon: Basic services, many available only via means testing; limited transfer payments; safety net for the poor so middle-class use and support is limited; both the UK and Ireland are examples, but (compared to, say, the US) only imperfect ones.

Conservative, corporatist: Insurance-based welfare schemes, many of which are administered by unions and employers; strong bias towards support for traditional family structures; Austria, Germany, the Netherlands and other Benelux countries fit neatly into this category, though France and Italy (and rather less easily Spain, Portugal and Greece) can also be included.

Figure 2.1: Summary of Esping Anderson's three worlds of welfare (source: Bale, 2005)

It is important to note here that the various welfare regime types are Weberian ideal types (as is also the case for the administrative traditions presented in Table 2.3). The allocation of countries to specific types is not always clear-cut and the reality will inevitably lie somewhere between types. There may also be considerable variation between welfare systems of countries that appear in the same regime type. Even countries with similar sets of welfare institutions are frequently found to display widely divergent patterns of development (Alber, 2006). It is also important to note that the classification of countries into regime types is time-dependent: governments, private actors, power distributions and economic activity can all change over time and directly influence the position of a country in the classification systems.

Table 2.3: Welfare state typologies (based in part on Arts & Gelissen, 2002)

Esping-Anderson, 1990	Social-democratic	Liberal	Conservative		
	DK, FI, SE, NL	IE, UK	AT, BE, FR, DE		
Liebfried, 1992	Scandinavian	Anglo-Saxon	Bismarck	Latin Rim	
	DK, FI, SE	UK	AT, DE	FR, GR, IT, PT, ES	
Ferrara, 1996	Scandinavian	Anglo-Saxon	Bismarck	Southern	
	DK, FI, SE	IE, UK	AT, BE, FR, DE, LU, NL	GR, IT, PT, ES	
Bonoli, 1997	Nordic	British	Continental	Southern	
	DK, FI, SE	IE, UK	BE, FR, DE, LU, NL	GR, IT, PT, ES	
Korpi & Palme, 1998	Encompassing	Basic Security	Corporatist		
	FI, SE	DK, IE, NL, UK	AT, BE, FR, DE, IT		
Huber & Stephens, 2001	Social Democratic	Liberal	Christian Democratic		
	DK, FI, SE	IE, UK	AT, BE, FR, DE, IT, NL		
Sapir, 2006	Nordic	Anglo-Saxon	Continental	Mediterranean	
	DK, FI, SE, NL	IE, UK	AT, BE, FR, DE, LU	GR, IT, PT, ES	
Aiginger & Guger, 2006	Scandinavian/ Nordic	Anglo-Saxon/ Liberal	Continental/ Corporatist	Mediterranean	Catching-up
	DK, FI, SE, NL	IE, UK	AT, BE, FR, DE, LU, IT	GR, PT, ES	CZ, HU
Alber, 2006	Nordic	Anglo-Saxon	Continental	Southern	New Member States	Other
	DK, FI, SE	IE, UK	AT, BE, FR, DE	GR, IT, PT, ES	CY, CZ, EE, HU, LV, LT, MT, PL, SK, SI	LU, NL

2.1   Typologies of spatial planning

There have been fewer attempts to classify European planning systems compared with administrative traditions or welfare systems. Two main approaches are evident (see also Nadin & Stead, 2008). The first starts from classifications (or families) of the legal and administrative systems within which planning operates. The second seeks to apply a wider set of criteria and produces a set of ideal types. Four specific studies of planning systems are discussed below: two based on families of legal and administrative systems and another two based on ideal types. Table 2.4 presents a summary of the typologies of planning systems in these four studies.

Davies et al (1989) consider planning control in five northern European countries and make a broad distinction between the planning system in England and others (following Thomas et al. 1983). This is primarily based on the fundamental differences created by the legal systems within which the planning system operates. The 'legal certainty' provided by systems in continental Europe (at least in the 'ideal sense') based in Napoleonic or Scandinavian legal systems was contrasted with the high degree of administrative discretion in the English system created by the legal framework of English common law. The differences in practice that result include the absence of legally binding zoning plans at the local level in England whereas they are commonplace in continental systems. Meanwhile, Newman & Thornley (1996), drawing on Zweigert et al.'s (1987) study of legal and administrative families, classify planning systems into five legal and administrative families (Figure 2.2). The Romanistic, Germanic and Nordic legal families, based to greater or lesser degree on the Napoleonic code mixed with other influences, share similar attributes and are sometimes grouped as the western European continental family as identified by Davies et al (above).

Table 2.4: Planning system typologies (based on Nadin & Stead, 2008)

Davies et al, 1989 [1]		**Common law** England		**Napoleonic codes** DK, DE, FR, NL		
Newman & Thornley, 1996	**Nordic** DK, FI, SE	**British** IE, UK	**Germanic** AT, DE	**Napoleonic** BE, FR, IT, LU, NL, PT, ES		**East European**
CEC, 1997 [2]	**Comprehensive integrated** AT, DK, FI, DE, NL, SE	**Land use management** IE, UK (+ BE)		**Regional economic** FR, PT (+ DE)	**Urbanism** GR, IT, ES (+PT)	
Farinós Dasí, 2007 [3]	**Comprehensive integrated** AT, DK, FI, NL, SE, DE (+ BE, FR, IE LU, UK) BG, EE, HU, LV, LT PL, RO, SL, SV	**Land use regulation** BE, IE, LU, UK (+ PT, ES) CY, CZ, MT		**Regional economic** FR, DE, PT, (+ IE, SE, UK) HU, LV, LT, SK	**Urbanism** GR, IT, ES CY, MT	

Notes:

1. Davies et al. do not give a specific name to the two groups but contrast England and other systems based on their legal frameworks.
2. The EU Compendium identifies 'ideal types' of planning traditions. Each country may exhibit combinations of ideal types in different degrees. The ideal types are dominant in the countries indicated here.
3. The ESPON project took the EU Compendium traditions as a starting point and examined how countries were moving between them.
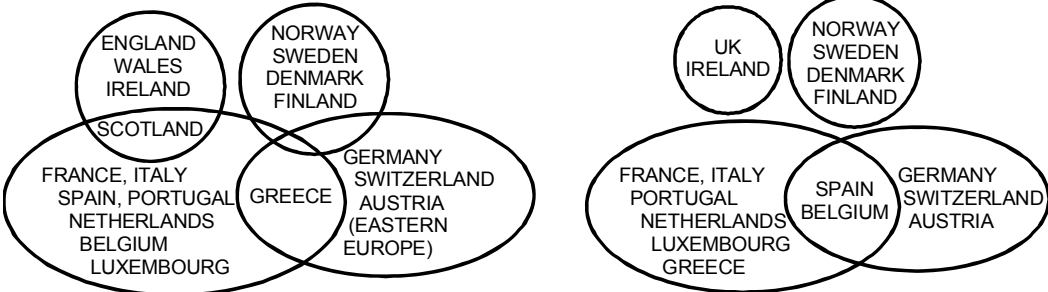
Figure 2.2: Legal and administrative 'families' of Europe (source: Newman & Thornley, 1996)

In a similar way that Loughlin & Peters (1997) devised four traditions of public administration in Europe (see above), the EU Compendium of Spatial Planning Systems and Policies (CEC, 1997) used a number of different criteria to create four Weberian ideal types or 'traditions of spatial planning'. The word 'tradition' was used to emphasise the way that forms of spatial planning are deeply embedded in the complex historical conditions of particular places. The legal family was used to help distinguish planning systems together with six other variables: (i) the scope of the system in terms of policy topics covered; (ii) the extent of national and regional planning; (iii) the locus of power or relative competences between central and local government; (iv) the relative roles of public and private sectors; (v) the maturity of the system or how well it is established in government and public life; and (vi) the apparent distance between expressed goals for spatial development and outcomes (Table 2.5). On the basis of these criteria, four major traditions of spatial planning were proposed while recognising that some states might exhibit a strong tendency to one tradition but others may exhibit a more complex combination of types.

Table 2.5: Traditions and criteria from the EU Compendium of Spatial Planning Systems and Policies (source: Stead & Nadin, 2009)

	Comprehensive integrated	Land use management	Regional economic planning	Urbanism
Legal basis	Mixed	Discretion	Mixed	Code
Scope of planning	Wide	Narrow	Wide	Narrow
Scale of planning	Multi-level planning	Local	National planning	Local
Locus of power	Mixed	Centre	Centre and local	Local
Public or private	Public	Mixed	Public	Mixed
Maturity of system	Mature	Mature	Mature	Immature
Distance between goals and outcomes	Narrow	Narrow	Mixed	Wide

Utilising the EU Compendium's traditions or ideal types of spatial planning, ESPON Project 2.3.2 on the governance of territorial and urban policies attempted to provide 'a modest update on the movements that took place since' (Farinós Dasí et al, 2006: 112). It gave more emphasis to the distribution of powers relevant to planning among levels of government with a finer analysis of 'state structures' and the decentralisation and devolution of competences, especially the varying forms of regional governance and local powers. The typology employed in ESPON Project 2.3.2 was primarily related to the

administration of spatial planning and the distribution of competences (including consideration of state structures, decentralisation processes, devolution of powers, the extent of power at the local level and inter-municipal cooperation). The analysis cross-tabulated these variables against a second set of criteria based on those used in creating a typology of state structures from ESPON Project 3.2 (Spatial scenarios in relation to the ESDP and EU Cohesion Policy). An attempt was made in ESPON Project 2.3.2 to classify each country according to the four traditions from the EU Compendium (which were renamed as styles since it argued that some post-communist countries have moved away from previous traditions). However, the EU Compendium's traditions were treated as distinct categories in which planning systems could be neatly placed, rather than as a set of ideal types which only provide a basis for positioning planning systems relative to each other. Consequently, each country was somewhat misguidedly allocated to one specific 'category' of spatial planning and then a description was presented of how countries were moving from one category to another. The EU Compendium's ideal types were simplified and redefined in ESPON Project 2.3.2, which resulted in some contestable conclusions about the changing nature of spatial planning systems across Europe.

2.2   Method

Data from the World Bank's Worldwide Governance Indicators project[2] are used below to examine governance profiles of all states in ESPON space (as well as all Balkan states). With the aid of hierarchical cluster analysis, groupings of countries are identified in which governance indicators are most similar. These groupings (or clusters) of countries are then compared against some of the existing typologies of government and governance described above. Data from an online survey (developed specifically for this project) are then used to trace some of the key trends in territorial governance across these clusters of countries, and to test whether different approaches to tackling territorial policy issues can be identified in these clusters.

Six aggregate indicators of governance are identified in the Worldwide Governance Indicators (WGI) project (Kaufman et al, 2010). These are based on the conception of

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[2] The Worldwide Governance Indicators are publicly available from www.govindicators.org.

governance as traditions and institutions by which authority in a country is exercised, including the process by which governments are selected, monitored and replaced, the capacity of the government to effectively formulate and implement sound policies, and the respect of citizens and the state for the institutions that govern economic and social interactions among them. The six indicators of governance in the WGI project comprise:

1. *voice and accountability* – the extent to which a country's citizens are able to participate in selecting their government, as well as freedom of expression, freedom of association, and a free media;
2. *political stability and absence of violence* – the likelihood that the government will be destabilized or overthrown by unconstitutional or violent means, including politically-motivated violence and terrorism;
3. *government effectiveness* – the quality of public services, the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementation, and the credibility of the government's commitment to such policies;
4. *regulatory quality* – the ability of the government to formulate and implement sound policies and regulations that permit and promote private sector development;
5. *rule of law* – the extent to which agents have confidence in and abide by the rules of society, and in particular the quality of contract enforcement, property rights, the police, and the courts, as well as the likelihood of crime and violence; and
6. *control of corruption* – the extent to which public power is exercised for private gain, including both petty and grand forms of corruption, as well as 'capture' of the state by elites and private interests.

The World Bank's six aggregate governance indicators are available for the period 1996 to 2011 and reflect the views of a large number of businesses, citizens and experts from industrial and developing countries. The indicators are based on 30 individual data sources produced by a variety of survey institutes, think tanks, non-governmental organizations, international organizations, and private sector firms. The analysis presented below is based on indicators for 2010 only. Although it is possible that the use of data for other years may potentially give rise to different clusters of countries, the indicators for all European countries do not generally experience substantial changes from year to year and it is therefore quite unlikely that substantially different clusters of countries will emerge if data for other years is analysed.

The analysis also makes use of information collected via an online survey that was developed specifically for this project. The survey questions were formulated to gather professional opinions from respondents concerning national trends in territorial

governance (with particular focus on three specific policy areas – water management, urban and regional planning and public transport provision – and with emphasis on the issues examined in the OECD's territorial reviews[3]). The survey questions were also formulated to collect information about <u>national approaches</u> to territorial governance according to the five key dimensions identified for analysis in the TANGO project (see above).[4] The survey was aimed at policy officials, professional bodies and academics with an interest in territorial development and/or governance issues in Europe (see chapter 2.7 for an overview of the survey questions). Invitations to complete the survey were sent to:

- all national spatial planning institutes that belong to the European Council of Spatial Planners / Conseil européen des urbanistes (ECTP-CEU)
- members of Eurocities (a network of European cities)
- policy officials connected to selected ESPON Priority 2 projects
- members of the International Society of City and Regional Planners (ISOCARP)
- International Federation of Housing and Planning (IFHP) council members based in Europe
- members of the Association of European Schools of Planning (AESOP)

2.3   Cluster analysis

Hierarchical cluster analysis (using Ward's minimum variance method) of the 2010 Worldwide Governance Indicators for all countries in ESPON space helped to reveal clusters of countries which have similar indicator scores. Initial analysis suggested four clusters of countries, where two of the four groupings contained a large number of countries.[5] Subsequent analysis of the two larger clusters using the same analysis techniques suggests that each of the larger clusters might be sub-divided into two smaller clusters. Consequently, six clusters of countries can been distinguished using the WGI data:

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[3] The OECD's territorial reviews examine governance frameworks in different countries on the basis of a series of key questions related to: (i) the distribution of responsibilities and powers among different tiers of government; (ii) the distribution of resources among different tiers of government; (iii) the negotiating process between central government and other government agencies and between public and private sector bodies; (iv) the use of partnerships with non-governmental organisations; (v) the effectiveness of programme management, implementation procedures and monitoring mechanisms; and (vi) the relations with community groups and the general public (OECD, 2001b :p.143-4).

[4] The five dimensions of territorial governance comprise: (i) integrating policy sectors; (ii) co-ordinating the actions of actors and institutions; (iii) mobilising stakeholder participation; (iv) being adaptive to changing contexts; and (v) promoting a 'place-based' or territorial approach to decision-making.

[5] Initial analysis suggests that clusters I and II belong to one cluster, and that clusters V and VI form another single cluster. Further statistical analysis of these two clusters separately suggests that both of these can be further subdivided.

- cluster I: Denmark, Finland, Luxembourg, Norway, Sweden, Switzerland, The Netherlands
- cluster II: Austria, Belgium, France, Germany, Iceland, Ireland, United Kingdom
- cluster III: Czech Republic, Hungary, Latvia, Lithuania, Poland, Slovakia
- cluster IV: Cyprus, Estonia, Malta, Portugal, Slovenia, Spain
- cluster V: Bulgaria, Croatia, Greece, Italy, Montenegro, Romania
- cluster VI: Albania, Bosnia, Kosovo, Macedonia, Serbia

These six clusters clearly have various similarities with macro-regional groupings of countries found in comparative politics and public administration literature (e.g. Hendriks et al, 2010) but there are also some important differences as illustrated in Figure 2.3. Cluster I for example contains all Nordic states, with the exception of Iceland, as well as a number of Rhinelandic states (i.e. Luxembourg, the Netherlands and Switzerland). Cluster II contains the other Rhinelandic states (Austria, Belgium, France and Germany) together with the two countries from the British Isles (Ireland and the United Kingdom) and also Iceland. Cluster III contains all four Visegrád states (Czech Republic, Hungary, Poland and Slovakia) and two of the three Baltic States (Latvia and Lithuania). In cluster IV, a number of southern European countries can be found (Cyprus, Malta, Portugal, Slovenia and Spain) as well as one of the Baltic States (Estonia). Cluster V contains two southern European states (Italy and Greece) together with four Balkan states (Bulgaria, Croatia, Montenegro and Romania). The other Balkan states can be found in cluster VI (Albania, Bosnia and Herzegovina, Kosovo, Macedonia and Serbia). Comparison of the average WGI scores for these clusters of countries reveals that the profiles are quite distinct from each other (Table 2.6). At the two extremes, cluster I scores very highly according to most indicators whereas cluster VI scores only moderately across all indicators. Comparison of the average WGI scores for seven socio-political macroregions in Europe (defined according to similar legal and administrative traditions by authors such as Hendriks et al, 2010) shows that these are also generally quite distinct from each other according to these indicators, although there is less difference between some of the groups (e.g. Baltic states and Visegrád states) and also more variation in WGI scores within the groups (Table 2.7).

Cluster I

Nordic states

DK FI

NO SE

IS

Rhinelandic states

CH LU NL

AT BE DE

FR*

Cluster II

British Isles

IE UK

Cluster III

Visegrád states

CZ HU

PL SK

Baltic states

LT LV

EE

Cluster IV

Southern states

CY ES MT

PT SI**

EL*** IT

Cluster V

Balkan states

BG HR

ME RO****

Cluster VI

AL BA

KV MK RS

AL	Albania
AT	Austria
BA	Bosnia
BE	Belgium
BG	Bulgaria
CH	Switzerland
CY	Cyprus
CZ	Czech Republic
DE	Germany
DK	Denmark
EE	Estonia
EL	Greece
ES	Spain
FI	Finland
FR	France
HR	Croatia
HU	Hungary
IE	Ireland
IS	Iceland
IT	Italy
LV	Latvia
KV	Kosovo
LT	Lithuania
LU	Luxembourg
ME	Montenegro
MK	Macedonia
MT	Malta
NL	The Netherlands
NO	Norway
PL	Poland
PT	Portugal
RO	Romania
RS	Serbia
SE	Sweden
SI	Slovenia
SK	Slovakia
UK	United Kingdom

Notes:

*   Some of the comparative politics literature categorises France as a Southern (or Mediterranean) state (e.g. Hendriks et al, 2010), rather than a Rhinelandic state (as indicated in the diagram)

**   Part of Slovenia belongs to the Balkan region although the country is not generally classified as a Balkan state

***   Although Greece is also located in the Balkan region it is often categorised as a member of the Southern (or Mediterranean) states in comparative politics literature

**** Only a small part of Romania belongs to the Balkan region but the country is categorised above as a member of the Balkan states since it does not belong to the other country groups

Figure 2.3: Six clusters of countries obtained from the statistical analysis of WGI data compared with typical socio-political macroregional divisions

Table 2.6: Profile of the six statistical clusters of countries according to average WGI scores (2010)

	Voice and account-ability	Political stability & absence of violence	Govern-ment effective-ness	Regulatory quality	Rule of law	Control of corruption
Cluster I (CH, DK, FI, LU, NL, NO, SE)	*Very strong*	*Strong*	*Very strong*	*Very strong*	*Very strong*	*Very strong*
Cluster II (AT, BE, DE, FR, IE, IS, UK)	*Strong*	*Strong*	*Very strong*	*Strong*	*Very strong*	*Very strong*
Cluster III (CZ, HU, LT, LV, PL, SK)	*Strong*	*Strong*	*Strong*	*Strong*	*Very strong*	*Moderate*
Cluster IV (CY, EE, ES, MT, PT, SI)	*Strong*	*Strong*	*Strong*	*Strong*	*Strong*	*Strong*
Cluster V (BG, EL, HR, IT, ME, RO)	*Strong*	*Moderate*	*Moderate*	*Strong*	*Moderate*	*Moderate*
Cluster VI (AL, BA, KV, MK, RS)	*Moderate*	*Weak*	*Moderate*	*Moderate*	*Moderate*	*Moderate*

Table 2.7: Profile of Europe's socio-political macroregions according to average WGI scores (2010)

	Voice and account-ability	Political stability & absence of violence	Govern-ment effective-ness	Regulatory quality	Rule of law	Control of corruption
Nordic states (FI, DK, IS, NO, SE)	*Very strong*	*Strong*	*Very strong*	*Very strong*	*Very strong*	*Very strong*
Rhinelandic states (AT, BE, CH, DE, FR, LU, NL)	*Strong*	*Strong*	*Very strong*	*Very strong*	*Very strong*	*Very strong*
British Isles (IE, UK)	*Strong*	*Strong*	*Strong*	*Strong*	*Very strong*	*Very strong*
Southern states (CY, EL, ES, IT, MT, PT, SI)	*Strong*	*Strong*	*Strong*	*Strong*	*Strong*	*Strong*
Baltic states (EE, LT, LV)	*Strong*	*Strong*	*Strong*	*Strong*	*Strong*	*Moderate*
Visegrád states (CZ, HU, PL, SK)	*Strong*	*Strong*	*Strong*	*Strong*	*Strong*	*Moderate*
Balkan states (AL, BA, BG, HR, KV, ME, MK, RO, RS)	*Moderate*	*Moderate*	*Moderate*	*Moderate*	*Moderate*	*Moderate*

2.4 Trends in Territorial Governance

The first part of the online survey developed for the TANGO project focussed on national trends in territorial governance in three specific policy areas: water management, urban and regional planning and public transport provision. The survey questions were designed to closely mirror the issues examined in the OECD's territorial reviews (see OECD, 2001: 143-144). Questions on trends in territorial governance were therefore formulated under three main topics: (i) the distribution of powers, responsibilities and resources between government tiers; (ii) the relations between national and sub-national governments and between public and private sector bodies; and (iii) the relations with community groups and the general public (Table 2.8). In order to generate more specific and more comparable responses, the survey asked questions about trends in territorial governance in relation to three distinct policy areas (water management, urban and regional planning and public transport provision) and two distinct time periods (1990-1999 and 2000-present). The responses are summarised below according to the three main topics set out in Table 2.8.

Table 2.8: Online survey topics and questions concerning trends in territorial governance

Main topics	Focus of survey questions
1. Distribution of powers, responsibilities and resources between government tiers	• Shifts in government powers in policy-making processes
	• Shifts in financial resources in policy-making processes
	• Shifts in fiscal responsibilities in policy-making processes
2. Relations between national and sub-national governments and between public and private sector bodies	• Shifts in the importance of collaboration between different levels of government in policy-making processes
	• Shifts in contracting out (outsourcing) of 'traditional' government functions in policy-making processes
	• Shifts in the use of public-private partnerships in policy-making
3. Relations with community groups and the general public	• Shifts in the levels of activity of citizens or citizens' groups in policy-making processes
	• Shifts in the formal inclusion of citizens or citizens' groups in the design and implementation of policy
	• Shifts in the influence of individual citizens or citizens' groups on policy decisions

Distribution of powers, responsibilities and resources between government tiers

The survey responses indicate that many European countries have experienced noticeable shifts in government powers in relation to water management, urban and regional planning and/or public transport provision (see chapter 8, Table 2.11). Trends toward greater centralisation are apparent for some countries while trends in decentralisation are

evident for others. Some policy sectors have experienced a complete 'pendulum shift' in certain countries: centralisation of government powers in the 1990s followed by decentralisation after 2000 (e.g. public transport provision in France and Latvia; water management in Hungary). More countries appear to have experienced centralisation of government powers than decentralisation. In general, urban and regional planning has experienced less decentralisation of powers when compared to policy sectors such as water management or public transport provision. The direction of these shifts in power does not seem to be related to the clusters of countries (or macro-regions) defined above.

As might be expected, shifts in financial resources and fiscal responsibilities in policy-making processes generally mirror the shifts in government powers described above (see chapter 2.8, Tables 2.12 and 2.13). However, the two do not always follow each other. In some cases, there is a time lag between shifts in government powers and the reallocation of financial resources or fiscal responsibilities. In other cases, however, shifts have taken place in one but not in the other (e.g. a decentralisation of government powers but little or no decentralisation of financial resources or fiscal responsibilities, which is reported to have occurred in the case of water management in Denmark and public transport provision in Belgium). More countries have experienced shifts towards greater centralisation of financial resources and fiscal responsibilities than decentralisation.

Relations between national and sub-national governments and between the public and private sectors

The survey responses clearly indicate that almost all countries in Europe experienced similar trends in terms of the relations between national and sub-national governments and between the public and private sectors. In the vast majority of cases, collaboration between different levels of government in policy-making processes increased in importance during the 1990s and/or the decade thereafter (2000-present). In all three policy sectors examined in the survey (water management, urban and regional planning and public transport provision), collaboration appears to have increased in importance (see chapter 2.8, Table 2.14).

Trends in the contracting out (outsourcing) of 'traditional' government functions in policy-making processes also seem to have been shifting in the same general direction: towards more contracting out, especially in the period 2000-present (see chapter 2.8, Table 2.15). Evidence for these trends across many countries in Europe and beyond can be found elsewhere (OECD, 2011). Again, the nature of these shifts and the countries in which these shifts have taken place do not seem to be related to the clusters of countries (or macro-regions) defined above: the shifts are ubiquitous. The same is also true for trends in the use of public-private partnerships in policy-making. Across practically all European member states, public-private partnerships are increasingly used in water management, urban and regional planning and/or public transport provision (see chapter 2.8, Table 2.16). There appears to have been a strong increase in these partnerships in the period 2000-present.

Relations with community groups and the general public

The survey indicates a number of key trends in terms of how community groups and the general public engage in policy-making. First, the survey results highlight that citizens have generally become more concerned and involved in policy-making processes related to water management, urban and regional planning and/or public transport provision (see chapter 2.8, Table 2.17). Not only was there a noticeable trend where citizens became more concerned and involved in policy-making processes during the 1990s, further shifts in the same direction took place in many countries from 2000-present. These trends were very widespread and not confined to specific clusters of countries or macro-regions.

Similar trends are apparent when looking at the formal inclusion of citizens in the design and implementation of policy and at the influence of citizens on policy decisions see chapter 2.8, Table 2.18 and 2.19). The survey responses indicate that citizens have generally been included more often in formal policy-making processes in the 1990s and the decade thereafter (from 2000 onwards), and that citizens have had more influence over policy decisions, especially since 2000. However, a few exceptions are reported. Respondents indicate that the influence of citizens (and citIzens' groups) may have actually declined since 2000 in a small number of cases (e.g. urban and regional planning in Hungary and The Netherlands; water management and public transport provision in Poland).

2.5   National approaches to territorial governance

The second part of the online survey developed for the TANGO project focussed on opinions about national approaches to territorial governance and the typical levels of importance attached to the five key dimensions of territorial governance (integrating relevant policy sectors; coordinating the actions of relevant actors and institutions; mobilising stakeholder participation; being adaptive to changing contexts; and addressing place-based/territorial specificities) in different parts of Europe. The number of survey responses (n=123) and their uneven distribution across Europe (few or partial responses were received for some countries) precluded a separate cluster analysis of survey results. These opinions were therefore compared across the clusters of countries identified above using hierarchical cluster analysis of the WGI data.

Considering the responses firstly as a whole, the levels of importance attached to the five key dimensions of territorial governance do not widely differ from each other. Nevertheless, some differences can be seen. Overall, dimension 5 (addressing place-based/territorial specificities) is generally considered more important than the other dimensions while dimension 4 (being adaptive to changing contexts) is often considered to be the least important. The rank order of these dimensions varies to some degree in different policy situations and scales of intervention (Table 2.9). The overall rankings of dimensions is generally similar across different clusters of countries (and socio-political macro-regions) although the scores given to each dimension does show some variation across clusters. In general, higher scores are given by respondents in country clusters I and II, while lower scores are given in country clusters III and V.[6] Expressing this in terms of socio-political macroregions, higher scores on each of the dimensions are often given by respondents in the Nordic and Rhinelandic states and the British Isles, while lower scores are generally given by respondents in the Southern European, Visegrád and Balkan states (and scores in the Baltic states were close to the overall average). It is also noticeable that dimensions 1 and 2 (integrating relevant policy sectors; coordinating the actions of relevant actors and institutions) are given especially high scores in Cluster I.

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[6] Very little can be reported about the scores for Cluster VI due to low levels of response from the countries contained in this grouping.

The typical levels of importance attached to five key dimensions of territorial governance obtained from the survey are briefly compared here against the findings of ESPON project 2.3.2 (Governance of Territorial and Urban Policies), particularly the assessment of the importance of different governance objectives (openness, transparency, participation, effectiveness, horizontal coordination, accountability, vertical coordination, decentralization, and coherence) across Europe's member states (Table 2.10). This provides a useful means of triangulating the data since various governance objectives examined in ESPON project 2.3.2 have clear links with the key dimensions of territorial governance identified in the ESPON TANGO project. For example, the objectives of participation, horizontal coordination, vertical coordination and coherence from ESPON project 2.3.2 are closely related to Dimensions 1, 2 and 3.[7] Analysis of the contents of Table 2.10 according to the statistical clusters of countries identified above indicates that participation is considered important in Clusters I, II, III and IV, horizontal coordination primarily in Cluster V countries, vertical coordination in Clusters I, II, IV and V, and coherence in Clusters I, II and V. It can therefore be concluded that the importance of objectives identified in ESPON project 2.3.2 does not closely correspond to the survey results presented above.

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[7] Dimension 1 (integrating relevant policy sectors) and Dimension 2 (coordinating the actions of relevant actors and institutions) are closely related to the objectives of horizontal coordination, vertical coordination and coherence in ESPON project 2.3.2. Dimension 3 (mobilising stakeholder participation) is a very close approximation to the objective of participation discussed in ESPON project 2.3.2.

Table 2.9: Ranking of the five dimensions of territorial governance for different types of policy situations

	Example 1: the development of a joint environmental strategy in a cross-border region	Example 2: the development of a regeneration strategy in an city experiencing industrial decline	Example 3: the development of a regional public transport strategy in a sparsely populated / rural area
Ranking of dimensions of territorial governance	1. addressing place-based/ territorial specificities (Dimension 5) 2. coordinating the actions of relevant actors and institutions (Dimension 2) 3. integrating relevant policy sectors (Dimension 1) 4. mobilising stakeholder participation (Dimension 3) 5. being adaptive to changing contexts (Dimension 4)	1. addressing place-based/ territorial specificities (Dimension 5) 2. mobilising stakeholder participation (Dimension 3) 3. integrating relevant policy sectors (Dimension 1) 4. coordinating the actions of relevant actors and institutions (Dimension 2) 5. being adaptive to changing contexts (Dimension 4)	1. addressing place-based/ territorial specificities (Dimension 5) 2. coordinating the actions of relevant actors and institutions (Dimension 2) 3. integrating relevant policy sectors (Dimension 1) 4. being adaptive to changing contexts (Dimension 4) 5. mobilising stakeholder participation (Dimension 3)

2.6 Conclusions

While different typologies of administrative traditions, welfare regimes and spatial planning systems place some states in different positions, a number of common patterns and state clusters emerge. In other words, there are some similarities within each of the typology comparison tables. A few countries occupy quite different places across different typologies. Partly due to the time when many of the typologies were constructed, few of them include many (or any) central and eastern European countries. There is thus a knowledge gap about where these countries fit within many of the existing typologies.

Some state clusters are evident across the typologies of administrative traditions, welfare regimes and spatial planning. In other words, there are some similarities across all the typology comparison tables. Nadin and Stead (2008) have for example noted a close relation between typologies of welfare regimes and spatial planning systems, and Sellers and Lidström (2007) have identified a close relation between welfare regimes and local

government typologies. Most of the typologies reviewed above are based on formal governmental arrangements, rather than governance arrangements where the power and influence of non-governmental actors are also considered. Clearly, administrative traditions, welfare and spatial planning approaches are not uniform within all states – there is sometimes substantial sub-national variation, especially in larger and/or more decentralised states. However, there is generally less sub-national variation in administrative traditions, welfare and spatial planning approaches than intra-state variation (variation between states).

Table 2 10: Emphasis on governance objectives in EU member states (source: ESPON project 2.3.2, Annex B)

	openness	transparency	participation	effectiveness	horizontal coordination	accountability	vertical coordination	decentralization	coherence
Austria			*	*		*	*		*
Belgium	*	*	*						
Bulgaria	*	*			*	*		*	
Cyprus	*		*						
Czech Republic	*	*	*	*					
Denmark			*	*	*		*	*	
Estonia		*	*	*			*		
Finland			*	*				*	
France	*		*	*		*	*	*	*
Germany	*	*	*	*	*	*	*	*	
Greece	*	*				*	*	*	*
Hungary			*	*				*	
Ireland	*	*	*	*		*			*
Italy			*	*				*	*
Latvia	*		*	*		*			*
Lithuania	*		*			*	*	*	
Luxembourg	*	*	*				*		*
Malta		*	*	*		*			*
Netherlands	*	*	*	*	*	*	*	*	*
Norway			*	*		*	*	*	
Poland	*	*	*	*	*		*		
Portugal	*		*			*	*		
Romania		*		*	*	*	*	*	
Slovakia	*	*	*					*	
Slovenia	*	*	*	*				*	
Spain			*		*		*	*	
Sweden			*	*			*		*
Switzerland		*	*	*		*	*	*	*
UK	*	*	*	*		*		*	*

Using aggregate indicators of governance from the Worldwide Governance Indicators (WGI) project, six distinct clusters of countries in Europe have been identified by means of hierarchical cluster analysis. These statisticslly-derived clusters have been used as a framework for assessing trends in territorial governance and typical approaches to territorial governance at the national level. While these statistical clusters have some similarities with macro-regional groupings of countries found in comparative politics and public administration literature (e.g. Hendriks et al, 2010) there are also some important differences. Many of the statistically derived clusters contain countries from more than one macro-regional grouping (as illustrated in Figure 2.3). Comparison of average WGI scores for each of the clusters shows that these are quite distinct from each other (as shown in Table 6). A comparison of average WGI scores for each of the socio-political macro-regional groups also indicates that these groups are quite distinct, although there is less difference between some of the groups and more variation in WGI scores within groups. It is evident that putting all central and eastern European countries into one country grouping does not have much logic from a governance perspective. The governance characteristics of the Baltic, Balkan and Visegrád states are quite distinct (and there are also some differences within these groups). Similarly, the governance characteristics of Southern European states are quite variable and a more detailed grouping is necessary. Analysis of WGI data suggests that the overall governance characteristics of Malta, Portugal and Spain for example differ quite substantially to countries such as Greece and Italy.

Turning to trends in territorial governance, both centralisation and decentralisation of government powers have occurred across Europe. More countries appear to have experienced centralisation of government powers than decentralisation. In general, urban and regional planning has experienced less decentralisation of powers when compared to policy sectors such as water management or public transport provision. The direction of these shifts in power does not seem to be related to the clusters of countries (or macroregions). Shifts in financial resources and fiscal responsibilities in policy-making processes generally mirror the shifts in government powers, as might be expected. In most countries, irrespective of country cluster, collaboration between different levels of government in policy-making processes increased in importance during the 1990s and/or

the decade thereafter (2000-present). Collaboration has increased in importance In all three policy sectors examined in the survey (water management, urban and regional planning and public transport provision). Trends in the contracting out (outsourcing) of 'traditional' government functions in policy-making processes have shifted in the same general direction: towards more contracting out, especially in the period 2000-present. The same is also true for trends in the use of public-private partnerships in policy-making. Citizens have generally become more concerned and involved in policy-making processes related to water management, urban and regional planning and/or public transport provision. Some shifts took place during the 1990s but more occurred after 2000. These trends were very widespread and not confined to specific clusters of countries or macro-regions. Similar trends are apparent when looking at the formal inclusion of citizens in the design and implementation of policy and at the influence of citizens on policy decisions.

In terms of national approaches to territorial governance, the levels of importance attached to the five key dimensions of territorial governance do not widely differ from each other. Overall, dimension 5 (addressing place-based/territorial specificities) is generally considered more important than the other dimensions while dimension 4 (being adaptive to changing contexts) is often considered to be the least important. The rank order of these dimensions varies to some degree in different policy situations and scales of intervention. In general, higher scores are given by respondents in country clusters I and II, while lower scores are given in clusters III and V.

2.7 Presentation of the online questionnaire survey

1. Introduction to the survey

This survey is directed to policy officials, professional bodies and academics from across Europe who have an interest in territorial development and/or governance issues. The questions aim to gather <u>professional opinions</u> from respondents (rather than those of their employer or professional affiliation). It is not expected that you will need to do any research in order to complete the questionnaire. The final deadline for completing the questionnaire is 30 November 2012.

This short survey has been developed as part of an applied research project, entitled *Territorial Approaches for New Governance* (TANGO), and is funded under the ESPON 2013 Programme. The project is coordinated by Nordregio, the Nordic Centre for Spatial Development and involves researchers from Delft University of Technology, Politecnico di Torino, the University of Newcastle upon Tyne, the Hungarian Academy of Sciences, and the University of Ljubljana.

Two key activities in the TANGO research project concern the identification of <u>recent trends in territorial governance</u> across Europe and the development of a <u>typology of territorial governance</u>. This questionnaire has been specifically developed in order to gather information related to these two issues. The questionnaire focuses on these two issues in turn.

Territorial governance is a relatively recent notion and various definitions exist. Some definitions coincide but others do not. The TANGO research project has chosen to examine the notion of territorial governance in terms of five key dimensions: (i) integrating policy sectors; (ii) co-ordinating the actions of actors and institutions; (iii) mobilising stakeholder participation; (iv) being adaptive to changing contexts; and (v) promoting a 'place-based' or territorial approach to decision-making.

The questions have been designed to be as simple and straightforward as possible to answer. The whole survey should not take a long time for each respondent to complete. If you do not feel able to answer any of the questions, please leave it unanswered and proceed to the following question. If a question is unclear, please feel free to contact Dominic Stead at Delft University of Technology for clarification, preferably by email (d.stead@tudelft.nl) or by telephone (+31 15 278 30 05).

All survey responses will be treated completely confidentially and none of the responses will be made available to any individual or organisation outside the research team. No survey responses will be attributed to individual respondents in any of the project's outputs.

2. About the respondent

Please could you begin by providing a few details about your position and the organisation in which you work.

2.1 Your name or initials*

2.2 Your position/function*

2.3 Your organisation*

2.4 City*

2.5 Country*

2.6 Your contact details

* response required

3. Trends in territorial governance

The questions listed below are concerned with your own opinions about national trends in territorial governance. Clearly, trends in territorial governance can differ from one region to another, even within the same country (sometimes substantially). However, you are asked to try to identify the general national trends for the country in which you work.

3.1 Distribution of powers, responsibilities and resources between government tiers

3.1.1 In your opinion, have government powers shifted for the following policy issues?

Policy issue	Between 1990 and 1999, government powers have:	Between 2000 and 2012, government powers have:	Comments (optional)
Water management	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	
Urban and regional planning	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	
Public transport planning and operation	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	

3.1.2 In your view, have financial resources been redistributed for the following policy issues?

Policy issue	Between 1990 and 1999, resources have:	Between 2000 and 2012, resources have:	Comments (optional)
Water management	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	
Urban and regional planning	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	
Public transport planning and operation	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	

3.1.3 In your opinion, have <u>fiscal responsibilities</u> been redistributed for the following policy issues?

Policy issue	Between 1990 and 1999, fiscal responsibilities have:	Between 2000 and 2012, fiscal responsibilities have:	Comments (optional)
Water management	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	
Urban and regional planning	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	
Public transport planning and operation	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	☐ become more decentralised ☐ stayed about the same ☐ become more centralised	

3.2 Relations between national and sub-national governments and between public and private sector bodies

3.2.1 In your opinion, has the importance of <u>collaboration between different levels of government</u> shifted for the following policy issues?

Policy issue	*Between 1990 and 1999, the importance of collaboration has:*	*Between 2000 and 2012, the importance of collaboration has:*	*Comments (optional)*
Water management	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Urban and regional planning	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Public transport planning and operation	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	

3.2.2 In your view, have 'traditional' government functions experienced <u>contracting out (outsourcing)</u> for the following policy issues?

Policy issue	*Between 1990 and 1999, contracting out of functions has:*	*Between 2000 and 2012, contracting out of functions has:*	*Comments (optional)*
Water management	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Urban and regional planning	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Public transport planning and operation	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	

3.2.3 In your opinion, have <u>public-private partnerships</u> been employed in delivering the following policy issues?

Policy issue	*Between 1990 and 1999, public-private partnerships have:*	*Between 2000 and 2012, contracting out of functions:*	*Comments (optional)*
Water management	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Urban and regional planning	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Public transport planning and operation	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	

3.3 Relations with community groups and the general public

3.3.1 In your opinion, have <u>individual citizens or citizens' groups become more active and/or more concerned</u> about the following policy issues?

Policy issue	*Between 1990 and 1999, citizens' concerns have:*	*Between 2000 and 2012, citizens' concerns have:*	*Comments (optional)*
Water management	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Urban and regional planning	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Public transport planning and operation	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	

3.3.2 In your view, have <u>individual citizens or citizens' groups become more formally included</u> in the design and implementation of the following policy issues?

Policy issue	*Between 1990 and 1999, the inclusion of citizens has:*	*Between 2000 and 2012, the inclusion of citizens has:*	*Comments (optional)*
Water management	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Urban and regional planning	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Public transport planning and operation	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	

3.3.3 In your view, have <u>individual citizens or citizens' groups had more influence on policy decisions</u> made in relation to the following policy issues?

Policy issue	*Between 1990 and 1999, the influence of citizens has:*	*Between 2000 and 2012, the influence of citizens has:*	*Comments (optional)*
Water management	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Urban and regional planning	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	
Public transport planning and operation	☐ decreased ☐ stayed about the same ☐ increased	☐ decreased ☐ stayed about the same ☐ increased	

4. *National approaches to territorial governance*

The questions in this section of the survey seek to understand <u>your opinions</u> about national approaches to territorial governance. For each of the three cases presented below, you are asked to indicate the <u>typical</u> level of importance attached to different dimensions of territorial governance <u>in the country in which you work</u>.

4.1 The development of a <u>joint environmental strategy</u> in a <u>cross-border region</u>

A joint environmental strategy might concern (but is not limited to) issues such as air quality, biodiversity or water management. Please could you indicate the degree to which the following considerations are <u>typically</u> part of the process of developing a <u>joint environmental strategy</u> in this type of situation:

— *Integrating policy sectors* – different government departments (not just those responsible for environment but also agriculture, energy, transport, etc.) are involved from both sides of the border; the strategy considers how each of these departments can contribute to the achievement of the overall goals of the strategy and seeks to identify synergies between them

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
low   high

— *Coordinating actors and institutions* – national, regional and local actors and institutions from both sides of the border are involved in the strategy-making process; the different objectives of these actors and institutions are taken into account; the strategy considers how the different actors and institutions can contribute to the overall goals of the strategy

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
low   high

— *Mobilising stakeholder participation* – a wide range of stakeholders (e.g. government, NGOs, industry, citizens) are actively encouraged and involved in the strategy-making process; their participation has a real influence on decisions reached

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
low   high

— *Being adaptive to changing contexts* – the strategy is able to respond quickly to new environmental policy concerns

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
low   high

— *Promoting a place-based/territorial approach* – knowledge about local and/or regional territorial characteristics and impacts are closely integrated in strategy-making (rather than merely reflecting national considerations)

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
low   high

Are you aware of an example of joint environmental strategy that has been developed in a cross-border region in your country? YES/NO
If yes, can you name a specific example? ☐

4.2 The development of a <u>regeneration strategy</u> in an <u>city experiencing industrial decline</u>

A regeneration strategy might concern (but is not limited to) issues such as housing renovation, industrial development and local environmental improvement. Please could you indicate the degree to which the following considerations are <u>typically</u> part of the process of developing an <u>urban regeneration strategy</u> in this type of situation:

‒ *Integrating policy sectors* – different local government departments and actors from the private sector (e.g. property developers, transport operators) and civil society are involved in the process of developing an urban regeneration strategy; the strategy considers how the various government departments and other actors can contribute to the overall goals of the strategy and seeks to identify synergies between them

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

‒ *Coordinating actors and institutions* – national, regional and local actors and institutions are involved in the strategy-making process; the different objectives of these actors and institutions are taken into account to achieve the overall goals of the strategy; the strategy considers how the different actors and institutions can contribute to the overall goals of the strategy

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

‒ *Mobilising stakeholder participation* – a wide range of stakeholders (e.g. government, NGOs, property developers, chambers of commerce, citizens) are actively encouraged and involved in the strategy-making process; their participation has real influence on the decisions reached

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

‒ *Being adaptive to changing contexts* – the urban regeneration strategy takes account of a range of possible social or economic changes that could occur in the future (e.g. substantial changes in the urban population or property prices)

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

‒ *Promoting a place-based/territorial approach* – knowledge about local and/or regional territorial characteristics and impacts are closely integrated in strategy-making; the strategy is primarily developed to address local concerns about the urban area rather than merely reflecting national priorities on economic development

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

Are you aware of an example of a regeneration strategy that has been developed in a city experiencing industrial decline in your country? YES/NO
If yes, can you name a specific example? ⌐‾‾‾

4.3 The development and implementation of a _regional public transport strategy_ in a _sparsely populated / rural area_

A regional public transport strategy might concern (but is not limited to) issues such as public transport provision and timetabling, transport interchange, and travel information provision. Please could you indicate the degree to which the following considerations are <u>typically</u> part of the process of developing a <u>regional public transport strategy</u> in this type of situation:

— _Integrating policy sectors_ – different government departments, transport regulators and transport operators and civil society are involved in the in the process of developing a regional public transport strategy; the strategy considers how different government departments and other actors can contribute to the goals of the strategy and seeks to identify synergies between them

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

— _Coordinating actors and institutions_ – national, regional and local actors and institutions are involved in the strategy-making process; the different objectives of these actors and institutions are taken into account; the strategy considers how these different actors and institutions can contribute to the goals of the strategy

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

— _Mobilising stakeholder participation_ – a wide range of stakeholders (e.g. government, NGOs, transport user groups, citizens) are actively encouraged and involved in the process; their participation has real influence on strategy decisions

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

— _Being adaptive to changing contexts_ – the strategy takes account of a range of possible social or economic changes that could occur in the future (e.g. substantial fuel price increases or a sharp decline in rural shops and other services)

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

— _Promoting a place-based/territorial approach_ – the strategy responds to distinctive local or regional characteristics, such as a strong seasonal variation in transport demand; the potential impacts of the strategy are evaluated spatially (e.g. in terms of accessibility to work, education and healthcare) as part of the strategy-making process

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5   ☐ 6   ☐ 7   ☐ 8   ☐ 9   ☐ 10
low   high

Are you aware of an example of a regional public transport strategy that has been developed in a rural area in your country? YES/NO
If yes, can you name a specific example? ⌐▭▭▭▭▭▭▭▭▭▭▭▭▭▭▭▭▭

5. Final page

Thank you very much for taking part in this survey!

If you would like to make any further comments, please do so below.

If you would like to be kept informed about the results of this survey please indicate here

☐

Link to the ESPON TANGO project.

2.8 Detailed results on the analysis of key trends in territorial governance

Table 2.11: Shifts in government powers, 1990-present

		Government powers became more centralised:		Government powers became more decentralised:	
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK		Urban/region planning		Water management
	FI				
	LU				
	NL		Urban/region planning Public transport		
	NO				
	SE	Water management Urban/region planning	Urban/region planning		
Cluster II	AT				
	BE			Public transport	
	DE				
	FR	Urban/region planning Public transport			Public transport
	IE				
	IS				Water management
	UK		Urban/region planning		
Cluster III	CZ	Urban/region planning			
	HU	Water management Urban/region planning			Water management
	LT				
	LV	Urban/region planning Public transport			Public transport
	PL	Urban/region planning	Urban/region planning Public transport		
	SK				
Cluster IV	CY				
	EE			Public transport	Water management Urban/region planning
	ES	Water management Public transport	Water management Public transport		
	MT				
	PT	Water management			
	SI		Urban/region planning	Water management	
Cluster V	BG				
	EL				
	IT				
	RO	Urban/region planning			

Table 2.12: Shifts in financial resources, 1990-present

		Financial resources became more centralised:		Financial resources became more decentralised:	
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK		Urban/region planning		
	FI				
	LU				
	NL		Public transport		
	NO	Urban/region planning			
	SE		Urban/region planning Public transport		
Cluster II	AT	Public transport			
	BE		Public transport		
	DE				
	FR				
	IE				
	IS				
	UK				Urban/region planning Public transport
Cluster III	CZ	Water management Urban/region planning			
	HU	Water management Urban/region planning Public transport			Water management Urban/region planning Public transport
	LT				
	LV	Urban/region planning Public transport	Water management		
	PL	Urban/region planning Public transport	Urban/region planning Public transport		
	SK				
Cluster IV	CY				
	EE				Water management
	ES				
	MT				
	PT				
	SI			Water management	Water management
Cluster V	BG				
	EL				
	IT	Urban/region planning			
	RO				

Table 2.13: Shifts in fiscal responsibilities, 1990-present

		Fiscal responsibilities became more centralised:		Fiscal responsibilities became more decentralised:	
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK		Urban/region planning		
	FI				
	LU				
	NL		Water management Urban/region planning Public transport		
	NO		Urban/region planning Public transport		
	SE		Urban/reg. planning Public transport		
Cluster II	AT	Public transport			
	BE		Public transport	Water management Public transport	
	DE				
	FR	Water management			Water management Public transport
	IE				
	IS				
	UK				Urban/region planning
Cluster III	CZ	Urban/region planning			
	HU	Urban/region planning Public transport			Urban/region planning Public transport
	LT				
	LV	Water management Urban/region planning Public transport			Water management
	PL	Public transport	Water management Public transport		
	SK				
Cluster IV	CY				
	EE			Water management	Public transport
	ES	Water management	Water management		
	MT				Public transport
	PT				
	SI	Urban/region planning	Urban/region planning	Water management	Water management
Cluster V	BG				
	EL				
	IT	Urban/region planning			
	RO		Water management Urban/region planning Public transport		

Table 2.14: Shifts in vertical collaboration, 1990-present

		Importance of vertical collaboration decreased:		Importance of vertical collaboration increased:	
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK			Public transport	Public transport
	FI				
	LU				
	NL			Public transport	
	NO			Public transport	Public transport
	SE			Public transport	Public transport
Cluster II	AT				
	BE				
	DE				Urban/region planning Public transport
	FR			Urban/region planning Public transport	Water management Urban/region planning Public transport
	IE				
	IS				
	UK			Water management	
Cluster III	CZ			Water management Urban/region planning Public transport	Urban/region planning
	HU		Water management	Water management Public transport	Urban/region planning Public transport
	LT				
	LV			Water management Urban/region planning	Urban/region planning
	PL			Urban/region planning Public transport	Public transport
	SK				
Cluster IV	CY				
	EE				
	ES			Water management Public transport	Water management Urban/region planning Public transport
	MT				Public transport
	PT			Urban/region planning	Water management Urban/region planning Public transport
	SI			Public transport	
Cluster V	BG				
	EL			Urban/region planning Public transport	
	IT			Water management Public transport	Water management Public transport
	RO				

Table 2.15: Shifts in government functions, 1990-present

		Fewer government functions were contracted out:		More government functions were contracted out:	
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK				
	FI				
	LU				
	NL			Urban/region planning	Urban/region planning
	NO			Urban/region planning	Water management Urban/region planning Public transport
	SE			Public transport	Urban/region planning Public transport
Cluster II	AT				
	BE			Urban/region planning	Urban/region planning
	DE			Public transport	Water management Urban/region planning Public transport
	FR				
	IE				
	IS				
	UK				
Cluster III	CZ				
	HU		Urban/region planning		Public transport
	LT				
	LV				Urban/region planning
	PL				Public transport
	SK				
Cluster IV	CY				
	EE				
	ES				Water management Urban/region planning Public transport
	MT				
	PT			Urban/region planning	Urban/region planning
	SI				Urban/region planning
Cluster V	BG				
	EL				
	IT			Water management Urban/region planning	Urban/region planning Public transport
	RO				

Table 2.16: Shifts in the use of public-private partnerships, 1990-present

		Public-private partnerships declined in use:		Public-private partnerships increased in use:	
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK				
	FI				
	LU				
	NL			Urban/region planning	Water management Public transport
	NO				Urban/region planning Public transport
	SE				
Cluster II	AT				Urban/region planning Public transport
	BE			Urban/region planning	Water management Urban/region planning
	DE				Urban/region planning Public transport
	FR			Urban/region planning Public transport	Water management Urban/region planning Public transport
	IE				
	IS				Urban/region planning
	UK				Water management Public transport
Cluster III	CZ			Urban/region planning	Water management Urban/region planning Public transport
	HU				Urban/region planning Public transport
	LT				
	LV			Water management Urban/region planning	Water management Urban/region planning Public transport
	PL			Urban/region planning Public transport	
	SK			Water management Urban/region planning Public transport	Water management Public transport
Cluster IV	CY				
	EE			Urban/region planning Public transport	Water management Urban/region planning Public transport
	ES			Urban/region planning Public transport	Water management Public transport
	MT			Urban/region planning	Water management Urban/region planning Public transport
	PT			Urban/region planning	Water management Public transport
	SI			Urban/region planning Public transport	Water management Urban/region planning Public transport
Cluster V	BG				
	EL				Water management
	IT				
	RO				

Table 2.17: Shifts in citizens' concerns and/or involvement in policy issues, 1990-present

		Citizens became less concerned and/or less involved:		Citizens became more concerned and/or more involved:	
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK				
	FI				
	LU				
	NL			Urban/region planning	Water management Public transport
	NO			Urban/region planning	Urban/region planning Public transport
	SE				
Cluster II	AT				Public transport
	BE			Urban/region planning	Water management Public transport
	DE				Urban/region planning Public transport
	FR			Urban/region planning Public transport	Water management Public transport
	IE				
	IS				Urban/region planning
	UK				Water management
Cluster III	CZ			Urban/region planning	Water management Urban/region planning Public transport
	HU				Urban/region planning Public transport
	LT				
	LV			Water management Urban/region planning	Water management Urban/region planning
	PL		Public transport	Urban/region planning Public transport	
	SK			Water management Urban/region planning Public transport	Water management
Cluster IV	CY				
	EE			Water management Urban/region planning Public transport	Urban/region planning Public transport
	ES			Urban/region planning Public transport	Water management Urban/region planning Public transport
	MT			Urban/region planning	Water management Urban/region planning Public transport
	PT			Urban/region planning	Water management Urban/region planning Public transport
	SI			Water management Urban/region planning Public transport	Water management Urban/region planning Public transport
Cluster V	BG				
	EL			Public transport	Urban/region planning Public transport
	IT	Urban/region planning			
	RO				

Table 2.18: Shifts in inclusion of citizens in policy-making processes, 1990-present

| | | Citizens became more excluded from policy-making processes: | | Citizens became more included in policy-making processes: | |
		1990-1999	2000-present	1990-1999	2000-present
Cluster I	CH				
	DK				
	FI				
	LU				
	NL			Urban/region planning	
	NO				Water management Urban/region planning Public transport
	SE				
Cluster II	AT			Urban/region planning Public transport	Urban/region planning Public transport
	BE				
	DE				
	FR			Urban/region planning	
	IE				
	IS				
	UK				
Cluster III	CZ				Urban/region planning Public transport
	HU				Water management Urban/region planning Public transport
	LT				
	LV			Water management Urban/region planning	Water management Urban/region planning
	PL		Public transport		Urban/region planning
	SK				Urban/region planning Public transport
Cluster IV	CY				
	EE			Water management Urban/region planning Public transport	Urban/region planning Public transport
	ES			Urban/region planning Public transport	Water management Urban/region planning Public transport
	MT				Public transport
	PT			Urban/region planning	Urban/region planning
	SI			Public transport	Urban/region planning
Cluster V	BG				
	EL				
	IT				
	RO				

Table 2.19: Shifts in citizens' influence on policy decisions, 1990-present

		Citizens' influence on policy decisions decreased: 1990-1999	2000-present	Citizens' influence on policy decisions increased: 1990-1999	2000-present
Cluster I	CH				
	DK				
	FI				
	LU				
	NL		Urban/region planning		Urban/region planning
	NO				Urban/region planning Public transport
	SE				
Cluster II	AT			Urban/region planning Public transport	Urban/region planning Public transport
	BE				Urban/region planning Public transport
	DE				Urban/region planning
	FR				
	IE				
	IS				
	UK				
Cluster III	CZ			Urban/region planning	Urban/region planning
	HU		Urban/region planning		
	LT				
	LV			Urban/region planning	Water management Urban/region planning
	PL		Water management Public transport		Urban/region planning
	SK				
Cluster IV	CY				
	EE				Urban/region planning Public transport
	ES			Urban/region planning Public transport	Public transport
	MT				Water management Public transport
	PT				Urban/region planning Public transport
	SI			Urban/region planning Public transport	Urban/region planning Public transport
Cluster V	BG				
	EL				Urban/region planning
	IT				
	RO				

3 The ESPON TANGO framework for exploring territorial governance

3.1 On the search of indicators of territorial governance

As mentioned in chapter 1.1, the working definition of territorial governance has served as the central theoretical framework from which we have studied territorial governance processes at work. Hence the point of departure has been to bring together various notions and keystones from the literature with regard to what is perceived as being (most) essential and inherent in the concept of territorial governance. In a second step of extensive literature review, we have further explored principles and indicators of territorial governance. To that end, we have dived into the question what constitutes good territorial governance and how can it be distinguished from bad governance. Hence, not only pureley academic literature, but also a number of policy documents and further relevant studies (including ESPON projects) have been consulted to distil a list of indicators, which allows to assess the a number of specific characteristics of territorial governance that are related to the five dimensions as defined in our working definition.

Hence our aim has not been to suggest that one definition of 'good' territorial governance would be suitable for different contexts and circumstances. Rather, it is to provide a set of principles which can provide guidelines for analysing the quality of territorial governance in different contexts.

The main point of departure for identifying key determinants to investigate territorial governance has been the principles of good governance identified by the United Nations and by the European Union. The former defines good governance as "an efficient and effective response to urban problems by accountable local governments working in partnership with civil society" (UN-Habitat 2009:74). In its Global Campaign on Urban Good Governance launched in 2002, it considered the seven main characteristics of good governance as follows (UN-Habitat 2002):

- *Sustainability:* balancing the social, economic and environmental needs of present and future generations
- *Subsidiarity:* assigning responsibilities and resources to the closest appropriate level
- *Equity* of access to decision-making processes and the basic necessities of urban life
- *Efficiency* in delivery of public services and in promoting local economic development
- *Transparency and accountability* of decision-makers and all stakeholders
- *Civic engagement and citizenship:* recognising that people are the principal wealth of cities, and both the object and the means of sustainable human development
- *Security* of individuals and their living environment

Similar principles are advocated by the EU White Paper on European Governance, which identifies five principles that underpin good governance (CEC 2001: 10-11). These are:

- *Openness*: better communication and accessible language
- *Participation*: wide participation throughout the policy chain – from conception to implementation, inclusive approach
- *Accountability*: greater clarity and responsibility
- *Effectiveness*: delivering what is needed on the basis of clear objectives, an evaluation of future impact and past experience
- *Coherence*: consistent approach between various policies and political leadership

The application of these five principles reinforces two other EU principles of:

- *Proportionality:* checking whether public intervention and regulation is really necessary and the measures chosen are proportionate to those objectives.
- *Subsidiarity:* Checking whether the level of governance in which action is to be taken is the most appropriate one.

Most of this characteristics and principles of what (territorial) governance is supposed to achieve or to deliver in order to label it as being 'good' are linked to dimensions 1 to 3 of our working definition (see figure 1.3), namely co-ordinating actions of actors and institutions, integrating policy sectors and mobilising stakeholder participation. Recent literature in the context of rising territorial, socioeconomic and climate uncertainties, addresses other principles that are related to what we have defined as dimension 4 (being adaptive to changing contexts). For instance Gupta et al (2010, 461-462) have defined the significance of resilience and *adaptive capacity*, as related to institutions as: "*The inherent characteristics of institutions that empower social actors to respond to short and long-term impacts either through planned measures or through allowing and encouraging creative responses from society both ex-ante and ex-post*".

From this work one can conclude that in view of developing and implementing flexible territorial strategies requires governance institutions which are capable of enhancing the adaptive capacity of societies by supporting social actors to enable them to respond proactively.

In the context of hazard mitigation, for example, Godschalk (2002:5) argues that, in order to create resilient cities, the following principles should be taken into account for the design and management of cities:

- Redundancy: systems designed with multiple nodes to ensure that failure of one component does not cause the entire system to fail
- Diversity: multiple components or nodes versus a central node, to protect against a site-specific threat
- Efficiency: positive ratio of energy supplied to energy delivered by a dynamic system
- Autonomy: capability to operate independent of outside control
- Strength: power to resist a hazard force or attack
- Interdependence: integrated system components to support each other;
- Adaptability: capacity to learn from experience and the flexibility to change;
- Collaboration: multiple opportunities and incentives for broad stakeholder participation.

In the context of climate change, Birkmann et al (2010: 185) stress the significance of governance in effective implementation of adaptation strategies and call for "new forms of adaptive urban governance that goes beyond the conventional notions of urban (adaptation) planning [...] and move from the dominant focus on the adjustment of physical structures towards the improvement of planning tools and governance processes and structures themselves". They identify the following key elements for 'adaptive urban governance' (p.203):

- Integration of strategies and tools at *multiple scales*
- Consideration of multiple *timeframes*
- New methodological *tools* that go beyond cost-benefit analysis
- More flexible and inclusive governance structures, moving from management of administrative units to applying flexible units for specific problems'

When reflecting those and other related elements or principles in relation to dimension 4 (being adaptive to changing contexts) it is obvious that most of them challenge the

learning capacity of the actors and institutions involved. Hence, in a normative perspective, one can argue that actors should be aware of securing room for e.g. feedback loops, experimentation, individual learning as well as the building up of an institutional memory system.

One key conclusion of discussing potential indicators of territorial governance as related to dimension one to four is that there seems to be a degree of confusion between the 'characteristics' or 'elements' of good governance and the 'values' of good governance. Examples of the former are principles such as efficiency, learning capacity, effectiveness and transparency while examples of the later include sustainability, fairness, and equity. The former is about *how* to do governance (process and tools) while the latter is about governance for *what* (outcome). While in practice they are clearly interrelated, for analytical purposes we need to treat them separately. This had clear implications for the research methodology. We need to assess the quality of territorial governance not only in terms of its characteristics but also in terms of its values. As far as values are concerned we have considered using the EU 2020 goals as overarching values to which European territories should aspire. As far as the characteristics are concerned, our starting point has been the principles derived from our literature review, as summarised in Table 3.1 below. However, Table 3.1, indicates as well that none of the sources reviewed consider explicitly the significance of territory (or a territorial perspective) in achieving good governance, which constitutes the second key conclusion from the preliminary review of literature.

Table 3.1: Principles of 'good' governance as identified in the reviewed literature

Principles of 'good' governance	UN-Habitat	EU White Paper	Gupta et al	Birkmann et al
Sustainability	X			
Subsidiarity/ autonomous change	X	X	X	
Efficiency	X			
Effectiveness		X		
Equity	X		X	
Transparency / openness	X	X	X	
Accountability / legitimacy	X	X	X	
Civic engagement and citizenship / participation	X	X		
Security	X			
Proportionality		X		
Coherence		X		
Variety			X	X
Learning capacity			X	X
Leadership			X	
Resources			X	
Coordination across scales and timeframes				X

As discussed already in chapter 1.2, (multi-level) governance is often studied without due attention to its territorial dimension. In fact, the fluidity of relations and the fuzziness of boundaries would make it difficult to show the spatiality of any particular process. On the other hand any act of governance, at any level, takes place within, and be directed towards, a place or territory, making it an integral part of any social process (Lefebvre 1991). By emphasizing the role a territorial perspective might play in terms of e.g. awareness of territorial diversity and understanding of the territorial impacts of concrete interventions on the side of the actors and institutions involved it is expected to shed new light on governance processes, bringing into sharper focus some of the underlying causes for forms of decision making and the implementation of projects, policies and programmes that may otherwise remain unnoticed.

3.2   Refining the initial set of indicators of territorial governance

In the Interim Report a set of 10 indicators was suggested based on an extensive review of the relevant literature. Following a further literature review, work on the typologies (see chapter 2), the TPG finally agreed to add two additional indicators and revised a number of the other indicators (see below). As mentioned in the Interim Report the aim was not to produce a rigid framework to evaluate territorial governance processes against a normative 'ideal type' but to develop a flexible toolkit to allow policy practitioner and other actors engaged in territorial governance to better understand the process of territorial governance and how it could move towards good practice. The indicators of territorial governance are therefore designed to sit alongside other elements of the ESPON TANGO project. As such they are, at least theoretically, to a high degree related to the various dimensions as table 3.2 suggests. In chapter 6 it is discussed to what extent the all-in-all 12 indicators do link together the five dimensions based on the empirical evidence from our 12 case studies.

The main changes to the indicators between the publication of the ESPON TANGO Interim Report and the fieldwork which sought to validate the indicators using the Delphi Method (see chapter 3.3) was the addition of two new indicators. The first one was included in the second dimension (integrating policy sectors). The new indicator 'cross-sector synergy', helped distinguish between the vertical and horizontal integration of policies. The original single indicator was meant to capture implicitly both of these elements but the replacement indictors which separated these two elements were felt to be more robust.

The second change was to switch subsidiarity from dimension 5 (realising place-based/territorial specificities and impacts) to dimension 1 (coordinating the actions of actors and institutions). In its place a new indicator was added to dimension 5, namely 'territorial knowledgeability and impacts'.

Furthermore, as suggested by stakeholders taking part in the ESPON TANGO Stakeholder Workshop: Towards Better territorial Governance (Brussels, 20 March 2013), we have also considered the set of six criteria which have been developed for the 'Scoreboard for

monitoring Multi-level Governance at the EU level' (EIPA 2011). The EIPA report confirms our approach and suggests that indicators that help to assess the quality of governance in terms of 'how' outcomes are achieved are of a qualitative nature (p.19). The report uses the six practices that were developed in the First Edition of the report (2011) of which three are related to procedures and three are related to content of EU policies. It is the former that is of relevance to the indicators of territorial governance. The EIPA report suggests three criteria for procedure including: information & consultation; stakeholders involvement; and responsiveness. These closely correspond with our suggested dimension 3 (mobilising stakeholder participation), which incorporates the following indicators: legitimacy, accountability and transparency. Thus, we did not find it necessary to make further adjustments in this respect.

The final set of 12 indicators then formed the basis of a Delphi Survey which tested their validity with an expert panel from policy and academic communities (see chapter 3.3 and 3.4).

Table 3.2: Overview of the five dimensions and 12 indicators of territorial governance

Dimensions of territorial governance	Indicators for assessing performance of territorial governance
Co-ordinating actions of actors and institutions	Governing Capacity
	Leadership
Integrating policy sectors	Subsidiarity
	Public Policy Packaging
	Cross-Sector Synergy
Mobilising stakeholder participation	Democratic Legitimacy
	Public Accountability
	Transparency
Being adaptive to changing contexts	Reflexivity
	Adaptability
Realising place-based/ territorial specificities and impacts	Territorial relationality
	Territorial knowledgeability

The following text boxes (here labelled as figure 3.1) provide a short definition of both the dimensions and the respective indicators of territorial governance.

Dimension 1: Coordinating actions of actors and institutions
This dimension reflects how coordination of actions is managed and how competencies are distributed at various territorial levels.

Indicator 1.1: Governing Capacity
Governing capacity is a key pre-requisite for effective coordination of the actions of multiple and diverse actors in particular places/territories. It is about the ability to: a) organise, deliver and accomplish; b) review, audit, check and balance; and c) integrate additional platforms/forums. It therefore requires access to human, financial and intellectual resources.

Indicator 1.2: Leadership
Leadership is about oversight, vision and the ability to secure stakeholders' participation and ownership of the place-specific goals. It is about the ability to drive change, show direction and motivate others to follow. Leadership may be performed by individual actors or institutions. It can be concentrated or diffused among the actors collectively.

Indicator 1.3: Subsidiarity
Subsidiarity is about ensuring decisions are made at the territorial level which is as close to citizens as strategically and practically possible, while taking into account the multi-level nature of territorial governance.

Dimension 2: Integrating policy sectors
Integrating policy sectors means how linkages are made among different policy sectors (such as land use and transport) and how potential synergies are developed among public, private and civil society sectors.

Indicator 2.1: Public Policy Packaging
Policy packaging is about bringing together public policies that are generated at different government levels (international, national, regional and local) and that benefit places/territories. It is about collaboration to avoid conflicting and competing public policies where for example planning policies are promoting compact city while taxation policies are promoting sprawl and transport policies are focusing on road building.

Indicator 2.2: Cross-Sector Synergy
Cross-Sector Synergy is about seeking horizontal cross-fertilisation between public, private and civil society sectors, so that they work in favour of a particular place/territory.

Dimension 3: Mobilising Stakeholder participation
Mobilising stakeholder participation includes how stakeholders are given insight into the design of territorial governance processes and/or opportunity for shaping them.

Indicator 3.1: Democratic Legitimacy
Democratic legitimacy is about ensuring that relevant interests are represented and given voice in place-based / territorial governance processes. Legitimacy can be secured through representative democracy (as in government) and through participative democracy (as in governance). The latter is not replacing the former but is complementing it.

Indicator 3.2: Public Accountability
Public accountability is about ensuring that those being responsible are accountable to the public for making place-based decisions that affect their lives.

Indicator 3.3: Transparency
Transparency is about ensuring that the composition, procedures, and tasks of territorial governance are open and visible to the public. It is about opening the "black box" of territorial governance to make its substance and procedures informative, accessible and comprehensive to the public.

Dimension 4: Being adaptive to changing contexts
This dimension takes into account how the responsiveness of territorial governance to changing contexts is implemented by various learning and feedback mechanisms.

Indicator 4.1: Reflexivity
Reflexivity is about social learning. It is about the ability to reflect on, review and revise the territorially specific ideas, routines, instruments, inputs, outcomes and processes in the face of new information, opportunities, and threats arising from both endogenous and exogenous factors. It refers both to individuals acting as reflective practitioners and to territorial governance as a whole.

Indicator 4.2: Adaptability
Adaptability is about flexibility and resilience in the face of territorial change / crisis and seeking opportunities for transformation through the use of feedback and reviews in territorial governance routines.

Dimension 5: Realising place-based/territorial specificities and impacts
Place/territory is a social construct and is not necessarily limited by jurisdictional boundaries, thus this dimension considers the various overlapping notions of place/territory and the management of knowledge about place-related/territorial characteristics and impacts.
Indicator 11: Territorial Relationality
Territorial relationality is about acknowledging that place/territory is a social construct. Actors should be able to address the territorial scale of governance in relation to the issues at hand. An example is using a network approach to governance for matching the purpose and objective of the intervention and the interests of those who have a stake in the decision(s).
Indicator 12: Territorial Knowledgeability
Place-related/territorial knowledge and impacts is about utilizing multiple sources of knowledge, including local knowledge about the place/territory. It is about dealing with the territorial impacts of policies, programmes and projects on place/territory.

Figure 3.1: Short description of the five dimensions and the 12 indicators of territorial governance.

3.3 The Delphi Method

3.3.1 An outline of the Delphi Method

The Delphi Method (sometimes termed the Delphi Technique) was originally developed in the 1950's by the Rand Corporation for use as a decision making tool to develop military strategy. Due to its use as part of the military programme the method was kept secret until 1963, when the first academic article was published by Dalkey and Helmer (1963). The Delphi Method was designed to avoid the problems associated with group thinking, group bias and pressure to conform to the majority views of the group. It was also designed as a forecasting and decision-making tool (Gupta & Clarke, 1996). The main benefit of the Delphi Technique was its ability to obtain a consensus of opinion among the experts involved in the method.

There are a number of characteristics of the Delphi Method that are common to all types of Delphi method:

- There is anonymity on the part of the participants

- The participants are chosen because of their specialist knowledge of the subject matter
- There are at least three rounds of communication between the researcher and the participants
- The final set of responses are collated and interpreted to give an overall and hopefully complete understanding of the policy arguments and underlying basis for the positions taken by the experts.

Linstone and Turoff (1975) highlight the differing philosophical basis for the various Delphi Methods. They argue that the Delphi Method as it was originally proposed was a pure example of Lockean Inquiring System. That is there are no prior underlying theoretical considerations. The 'truth' must be based on empirical enquiry. The foundation for truth within the model is the consensus between the experts. It is argued by Linstone and Turoff (1975) that this model was appropriate given the original application of the Delphi Method was for predicting future trend in technological development.

As the Delphi methods was promulgated into other research fields is was adapted to fit a more Kantian Inquiry System. In the Kantian Inquiry System the empirical observations and underlying theoretical foundations work hand in hand. The Delphi Method is therefore used to seek alternate models to explain the truth and understand the differences and tensions between the underlying theoretical assumptions.

3.4.2   *The Policy Delphi*

Policy Delphi is seen as a method to improve decision by committee (Turoff, 1975). It seeks to overcome some of the problems encountered when seeking to reach a policy decision within a large and varied committee of policy experts. Turoff highlights the potential problems facing policy committees:

- "The domineering personality, or outspoken individual that takes over the committee process;
- The unwillingness of individuals to take a position on an issue before all the facts are in the or before it is known which way the majority is headed;
- The difficulty of publicly contradicting individuals in higher positions;
- The unwillingness to abandon a position once it is publically taken;

- The fear of bringing up an uncertain idea that might turn out to be idiotic or result in a loss of face." (1975, p86)

The objective of the Policy Delphi is not necessarily to achieve a consensus of views. Whilst it may be desirable to gain a consensus view a final results which shows persistent differences in views across the expert panel can also be extremely useful. Indeed many of the problems associated with face-to-face expert panels tend to lead to a false consensus view.

3.4.3 Problems and pitfalls

As outlined above the Delphi method is specifically designed to overcome some of the problems and pitfalls encountered in other group based research methods. However there is still criticism from some of the Delphi Method on the basis that it fails to completely do this. Bolger and Wright (2011) for example argue that to be of real value the method should not merely be reduced to the mean or median of the total views expressed. For the process to have real meaning the process must have meaningful dialogue between the experts and individuals. They should shift their stance (or decide not to) for genuine reasons rather than as a result of social strictures. They highlight 'egocentric discounting' as a potential barrier to this process. With egocentric discounting a participant fails to shift their position away from their original stance, even though there is good reason. This can be a result of information asymmetry, the participant holds their view on the basis that they feel others do not understand the problem as completely as they do; they do not appreciate the spectrum of views and relate everything back their point of view; or they just prefer their own view. These problems can be ameliorated through for example highlighting the communal nature of the process and the overall benefit of keeping an open mind. Studies have found that the difficulty of the task can also affect egocentric discounting; the simpler the task the less chance there is of egocentric discounting.

The role of the feedback is also critical to obtaining changes in opinion that lead to a better overall prediction or policy decision. The aim is to obtain an informed and justified policy recommendation which is more than just the average of the views expressed. Bolger & Wright (2011) highlight studies which show the feedback should also include causal

reasons, as oppose to teleological reasons, for the opinion as well as the attitudinal response.

3.4.4 The ESPON TANGO Delphi Survey Methodology

As with a traditional Delphi Method, the TANGO Delphi survey was structured over three rounds of development. However there was a slight change to the normal procedure in that the first round of the Delphi method involved the TANGO Partners only with rounds two and three being undertaken by the panel of experts.

The first round was the development of the 12 indicators of territorial governance. As outlined in section 3.2 these along with their associated position with the five dimensions of territorial governance were agreed by the TANGO Partners. A short definition for each indicator was then given together with detailed instructions on how the Delphi Questionnaire is undertaken.

The questionnaire sets out each of the indicators and the proposition that a particular indicator is a relevant and practical indicator for assessing territorial governance. To illustrate the structure and design of Delphi survey for round two and three, a copy of the round two questionnaire is to be found in chapter 3.7. The questions in round three were identical to the main body of round two and therefore have not been attached here.

For each dimension a "10 point Likert Scale" is used (a neutral response is not allowed). The scores ranged between 1 which indicated the expert strongly disagreed with the proposal to 10 which indicated that the expert strongly agreed with the proposal. Where participants disagree with the propositions they were also invited to explain the reasons and rationale for their disagreement. Finally members of the expert panel were asked to draw on their own experiences and give their views on possible everyday measures which could be used to measure territorial governance.

The questionnaires were conducted using publically available online survey software, Survey Monkey.

The first round of questionnaire produced both quantitative and qualitative data. The responses to the series of propositions for each of the indicators can be analysed using quantitative methods. The first round also produced a qualitative set of responses in the form of the expert's comments on each of the indicators.

The attitudinal responses to the propositions were analysed using descriptive statistics only. This was mainly due to the small sample size and geographical spread of the experts. Two statistical measures were used, the mean and median values. The combination of these two statistics gives a better overall picture of variation within the responses. For example a median value significantly above or below the mean value indicates two extreme values.

The expert's comments on each of the indicators were also collected and common themes between the comments extracted. For the round two questionnaire short summaries outlining the key points raised by the experts in round one were included for each indicator.

3.5   The results from the Delphi Questionnaire Method

3.5.1   The sampling methodology

The panel of experts were selected from the ESPON Coordination Unit and Monitoring Committee. This gave a total sample of 90 individuals which were sent the round 1 questionnaire. The choice of experts has been highlighted as one of the areas of particular importance in the success or failure of the Delphi Method (Landeta, 2006). The choice therefore of the ESPON Coordination Unit and Monitoring Committee was intended to reach a sample of experts with both practical and academic knowledge and understanding of the issues being examined. The online survey was available for three weeks with a reminder being sent to the panel of experts one week before the closing date.

In total 22 individuals completed the survey by the deadline with a balance of individuals from across the EU member countries. Following the analysis and synthesis of the results of the first round the second round questionnaire was drafted and submitted to the 22 experts who participated and completed the questionnaire in the first round. 9 of the 22 experts fully completed the second round survey. This gave a second round response rate of 41% which was slightly below the second round response rate found in other similar Delphi Surveys. For example Frewer et al. (2011) reported second round response rates of 59% and 76% in the two Delphi Surveys outlined in their paper.

The low response rate for the ESPON TANGO survey may have been due to the timing of the second round and the method of data collection. The deadline for the second round was quite close to Christmas which is always a more busy time for people. The fact that the survey was only conducted online may also have put people off completing the survey. Both the Delphi surveys reported in the Frewer et al. (2011) paper were undertaken with the option of a non-web based method of completing the survey. Unfortunately due to the time constraints of the ESPON TANGO project it was not possible to offer the non-web based alternative for this survey.

3.5.2   Results from Round 1

Once the results of the first round were analysed it was clear that overall there was strong agreement that the indicators were relevant for analysing territorial governance. The picture was a little less clear as to whether they offered a practical method of measuring territorial governance. For the relevance of the indicators, as can be seen from the table below, both the mean and median values were above 7 in all but one case. In all but one case the median value was higher than 8 showing that more than half the experts strongly agreed that the indicator was relevant in assessing territorial governance. This shows a high level of agreement with the proposition that each indicator is a relevant indicator of the performance of territorial governance in relation to its relevant dimension. There was less support for the proposition that the indicators are practical means of assessing territorial governance. Three indicators: Public Policy Packaging, Governing Capacity and Leadership, had very low scores indicating a high level of disagreement with the

proposition that they were practical indicators of the performance of territorial governance. Two indicators: Democratic Legitimacy and Transparency, showed the strongest agreement for the proposition. For the remaining indicators there was no strong feeling either way.

Table 3.3: Scores for each indicator from round 1 only

Indicator	Relevance score		Practical Score	
	Mean	Median	Mean	Median
1) Governing Capacity	8.1	8.5	4.7	3.5
2) Leadership	7.9	8.5	4.7	4
3) Subsidiarity	7.1	8	5.8	6
4) Public Policy Packaging	7.8	8	5	4
5) Cross-Sector Synergy	7.6	8	5.8	6
6) Democratic Legitimacy	7.5	8	6.1	7
7) Public Accountability	8.4	8	6.1	5
8) Transparency	7.9	9	7.2	8
9) Reflexivity	7.8	8	5.6	4
10) Adaptability	6.8	8	5.2	5
11) Territorial Relationality	7.3	7	5.7	5.5
12) Territorial Knowledgeability	8.5	8.5	6.6	6.5

3.5.3   Summary results from Round 2

As outlined above, the second round questionnaire contained both the statistical information about the relevance and practicality of each of the indicators. The second round survey also included a synthesis of the comments and a note about the meaning of practicality. It was clear from the comments that many of the experts had equated practicality with quantifiability. In the notes for the second round survey it was made clear that practicality could include qualitative assessment of a particular indicator. This aspect of the analysis is discussed in more detail in section 3.4.4 where the individual indicators or discussed in more detail.

As can be seen from table 3.3 the scores for practicality either increased or stayed the same. Overall it was only 'governing capacity' and 'leadership' that had median scores below 5 indicating that more than half of the participants disagree or strongly disagree that these are practical indicators of territorial governance. Looking at the comments, the main concerns are with the ability of the indicators to be practical indicators of territorial governance given the subjectivity of the indicators and any methods of evaluation. Leadership and governing capacity were felt to be very context specific and culturally based.

In terms of the scores for relevance, only 3 of the median scores changed with only Leadership having a lower score than round 1. In terms of the mean scores, these only changed by less than 1 whole point in all cases. For all indicators there was still very strong support for the proposition that they are relevant indicators of territorial governance.

Table 3.4: Scores for each indicator from the two rounds

Indicator	Relevance score				Practical Score			
	R1	R2	R1	R2	R1	R2	R1	R2
1) Governing Capacity	8.1	8.0	8.5	9	4.7	5.0	3.5	4
2) Leadership	7.9	8.0	8.5	8	4.7	4.7	4	4
3) Subsidiarity	7.1	7.1	8	8	5.8	6.4	6	7
4) Public Policy Packaging	7.8	7.7	8	8	5	5.1	4	5
5) Cross-Sector Synergy	7.6	8.0	8	8	5.8	6.0	6	6
6) Democratic Legitimacy	7.5	7.4	8	8	6.1	6.6	7	7
7) Public Accountability	8.4	8.0	8	8	6.1	6.1	5	6
8) Transparency	7.9	8.3	9	9	7.2	7.6	8	8
9) Reflexivity	7.8	7.6	8	8	5.6	5.7	4	6
10) Adaptability	6.8	7.7	8	8	5.2	6.3	5	6
11) Territorial Relationality	7.3	7.0	7	7	5.7	6.1	5.5	6
12) Territorial Knowledgeability	8.5	8.3	8.5	9	6.6	6.9	6.5	7

Measure increased	
Measure stayed the same	
Measure decreased	

Sample size round 1: n= 22
Sample size round 2: n= 9

3.5.4   The Indicators in detail

Indicator 1: Governing Capacity

This indicator had the highest score of any indicator as a relevant indicator of territorial governance. However it had the joint lowest score of any indicator when the experts considered it as a practical indicator for assessing territorial governance. As with public policy packaging, a number of the experts questioned whether the indicator would seek to analyse the process of territorial governance or the outcomes. It may be the case that a territory has all the governing capacity it needs but fails to deliver the outcomes required by the territory in terms of growth and territorial cohesion. The counter argument to this is that governing capacity is a pre-condition to territorial governance, without it any decision (good or bad) is more difficult. It may also be worth reflecting at this point, that the indicators are designed to work together. For example governing capacity, leadership and democratic legitimacy work together to deliver the necessary checks and balances to ensure poor territorial governance is uncovered and steps are taken by the stakeholders to correct matters and return to a state of 'good' territorial governance. At times, responses provided by the experts seem to suggest each individual indicator was considered in isolation and not as part of the totality of the indicators. As a number of experts pointed out, governing capacity is about having the 'institutional thickness' available within a territory to allow flexibility and adaptability with territorial governance processes.

In terms of the practicality of this indicator the balance of expert opinion was that it was not a practical one. There were a number of concerns raised which could be divided into two types. The first set of concerns centred on the lack of any simple and straight forward method of further analysing the indicator. A number of the experts pointed out the difficulty of finding any quantitative measures of governing capacity. As was pointed out by one expert, attempts to find a quantitative measure may place a higher weighting on spurious factors such as the speed of decision making. This may not be the same as 'good' decision making. Secondly there would be difficulty in finding any measures which could be used across the wide variety of governance structures, both at the national and regional

level across the EU. To balance these somewhat negative views of the practicality of governing capacity, there were some experts who thought measures would be available. These tended to be more qualitative measures, such as attitudinal surveys which considered stability and confidence in decision making.

Indicator 2: Leadership

Leadership had very similar scores to indicator three (Governing Capacity). There was strong agreement between the experts that Leadership is a relevant indicator of territorial governance but disagreement about it being a practical indicator of territorial governance. The experts highlighted how leadership features again and again in qualitative research as a factor in 'good' territorial governance. They also highlighted the need to distinguish the process of leadership and the outcomes associated with leadership. In this case however it was recognised that the process was as important as the outcome. The connections between this indicator and other indicators were again highlighted with leadership having an important role to play in developing clear public policy packaging and cross-sector synergy.

The experts' main concerns were with the subjectivity of the concept of leadership. One expert highlighted the individual nature of leadership and the extent to which it could be replicated even if it was identified as exhibiting traits of 'good' territorial governance. For other experts the timeliness of the indicator could present a problem. It is said that history is the one that judges leadership and there may be some difficulty in the extent to which there has been good or bad leadership in the short term. Others considered leadership to be less of an individualistic trait and more of a shared endeavour. Leadership is about more than just a charismatic individual imposing their will on the territory. It is about leadership being shared between the various stakeholders and devolved to the appropriate level. This difference of views between the experts on the panel also highlights the problems with such subjective indicators. In some cultures, leadership may be typified by the dominant individual whereas in other cultures leadership is to be found within institutions and can be shared between various stakeholders. This last issue of subjectivity was cited as the main reason many of the experts disagreed with the proposal that leadership was a practical indicator of good territorial governance.

Indicator 3: Subsidiarity

As an indicator, subsidiarity scored highly both in terms of its relevance as an indicator of good territorial governance as well as a practical indicator. The score for subsidiarity as a relevant indicator of good territorial governance was 8 with its score as a practical indicator not far behind at 7. This shows strong agreement amongst the panel of experts for subsidiarity as an indicator.

There were a number of caveats to the use of subsidiarity as a relevant indicator of good territorial governance outlined in the comments made by the expert panel. The first was that subsidiarity should not be a dogma. The devolution of decision making should be to the appropriate level rather than the lowest possible level. There were also comments which related to the relationship between subsidiarity and cross-sector synergy and public policy packaging, and highlights the need to consider the territorial nature of governance and distribute the decision making process between the various stakeholders and to the appropriate spatial scale.

One interesting question addressed by the experts in relation to subsidiarity was who should determine at what level governance should be devolved? Is it for the centre to decide which competencies should be bestowed on the relevant territory? Alternatively, is it for the territory to determine whether they have the governing capacity to manage? The consensus of opinion from the expert panel was that it should be for the territory to determine what it is competent to manage and which powers it needs to be able to effectively manage the territory.

As a practical indicator of good territorial governance, subsidiarity was felt to benefit from being a well understood concept within EU policy development. The experts agreed that an analysis of decision making structures in individual countries would provide a means of evaluating how well a particular territorial governance process had managed the question of subsidiarity. There were some concerns expressed as the ability to compare subsidiarity across a range of countries with different cultural, social and historic differences. However this concern may partly be addressed by another suggestion which seeks to make the indicator subjective and assessed within the context of the particular territory being

investigated. A practical measure of subsidiarity would take account of the subjective views of those affected as well as more quantitative metrics, for example the number of planning decisions made at each level.

Indicator 4 Public Policy Packaging

This indicator scored highly in terms of its relevance as an indicator of territorial governance with both the mean and median scores for both rounds, around 8 respondents indicating strong agreement with the proposal that public policy packaging is an indicator of territorial governance. The scores were much lower when experts were asked to agree with the proposal that public policy packaging is a practical indicator for assessing territorial governance.

The comments in relation to the indicator's practicality fell into two themes. The first related to difference between process and outcome. A number of the experts pointed out it was possible to have public policy packaging as a process however the outcome of the public policy packaging resulted in poor territorial governance. This was a key theme which came out in relation to nearly all the indicators. Is the indicator seeking to measure the process or the outcome?

The second theme in relation to the practicality of public policy packaging as an indicator of territorial governance was the ability to create an indicator which could be adopted across all countries within the EU and at the various territorial scales at which policy development takes place.

Indicator 5: Cross-sector Synergy

This indicator received a good deal of support for the proposition that it was both a relevant and practical indicator of territorial governance. The mean scores increased over the two round with the median scores saying the same. More than half of the expert panel agreed or agreed strongly with the proposals. The comments by the experts shed some further light on which aspect of cross-sector synergy were considered important. One issue considered in some detail was the meaning of 'sector'. For some of the panel, sector related to both the nature of the institution involved in the territorial governance, for

example public/private partnerships. It was also pointed out that sector could also refer to particular policy sectors, i.e. agriculture, manufacturing or transport. The general feeling within the expert panel was that for assessing territorial governance both types of sectoral differentiation should be encompassed by the indicator. Where possible cross-sector synergy should be sought both between the different institutional actors and between policy sectors. This would make the indicator, cross-sector synergy a very relevant indicator of territorial governance.

In terms of its role as a practical indicator of territorial governance, cross-sector synergy was felt to offer opportunities for both quantitative and qualitative analysis. Some experts felt some analysis of policy formation and the nature of the stakeholders participating in such policy formation could offer an assessment of cross-sector synergy. Other options suggested were to carry out an analysis of sub-regions' strategic planning documents or use of structural funds by regions to establish the extent of cross-sector synergy. This would be carried out on a post-hoc basis as a form of evaluation.

Indicator 6: Democratic Legitimacy.

The scores relating to the practicality and relevance for Democratic Legitimacy were the same as for subsidiarity. It was 8 and 7 respectively. This again shows strong agreement that democratic legitimacy is both a relevant and practical indicator of territorial governance.

One issue raised by the expert panel in relation to democratic legitimacy and its relevance as an indicator of good territorial governance was whether legitimacy is only derived through democratic participation. A number of experts on the panel pointed out that legitimacy in relation to territorial governance could be achieved by direct participation of those affected by the governance decisions. This can be undertaken through partnerships between governance institutions and other civic institutions. Other experts highlighted the fundamental need for democratic processes to underpin other aspects of territorial governance. For example public accountability and transparency are both enhanced by the presence of strong democratic legitimacy as is another indicator, leadership.

As with subsidiarity, democratic legitimacy benefited from being a widely understood concept. The expert panel therefore saw little problem in using democratic legitimacy as a practical indicator of territorial governance. There were similar concerns around the cultural, social and historical context within which democratic legitimacy may be viewed across the EU. This however, was not felt to be an insurmountable problem which prevented democratic legitimacy being an indicator.

A number of practical measures were proposed for the indicator. These ranged from an assessment of the legal framework for democratic legitimacy, the presence of a free press and vibrant civic society to quantitative measures around voter turnout in elections and participation rates in public consultations.

Indicator 7: Public Accountability

The scores for public accountability, whilst slightly below the other indicators in the mobilising stakeholder participation dimension, are nevertheless still fairly high showing overall agreement with the proposal that public accountability is a relevant and practical indicator of territorial governance. Public accountability was felt by a number of experts to be a self-evident truth. For 'good' territorial governance there has to be a certain degree of public accountability within the governance process. The differences of opinion arose when the question of how this public accountability could be provided. For some of the experts, public accountability was very closely associated with democratic legitimacy and related to having governance institutions controlled by elected representatives. For other experts it was more associated with transparency and the ability of civic society to scrutinise the governance processes and hold those making the decisions to account. This would relate to issues of corruption and lobbying and the extent to which territorial governance processes could be influenced by non-transparent methods.

The practicality of using public accountability as an indicator for assessing territorial governance was called into question by a number of the expert panel who felt the indicator was too subjective to allow it to be used to compare the diverse range of territorial governance forms across the EU. It was pointed out that in some countries there is a lack of 'citizenship culture' and therefore there would be only formal, legal,

mechanisms for producing public accountability. However this is perhaps missing the point in relation to these indicators of territorial governance. They are intended to provide both an evaluation and benchmarking tool for current territorial governance structures and a normative guide to what good or bad territorial governance should include and involve. If a territory is lacking a citizenship culture then this may result in poor territorial governance and therefore what is required are steps to support and foster a citizenship culture to lead to a better form of territorial governance.

There were a number of proposals made for practical measures of public accountability. These often related to the extent to which poor or corrupt decision making was punished. For example the presence of some form of regulator or ombudsman in a territory where territorial governance decisions could be challenged would indicate public accountability. Other proposals for practical measures to indicate good territorial governance were more qualitative and evaluative in nature. The suggestions included an attitudinal survey to ascertain the level of awareness of territorial governance decisions.

Indicator 8: Transparency

Transparency was the highest scoring indicator both in relation to its relevance and its practicality. This suggests it was seen by the expert panel as the key indicator for assessing territorial governance. The ability of stakeholders and those affected by the decision making process to view and understand all aspects of the territorial governance process was seen as critical.

In addition to its ability to be an indicator of territorial governance, transparency was also held up as an appropriate indicator for examing territorial stability and cohesion. This was partly due to its role in promoting public accountability and subsidiarity. For citizens and stakeholders to be able to effectively engage in the process of territorial governance they must first be able to understand the process and the basis on which decisions are being made. To do this they must be able to have access to information and 'see' what is going on.

One issue raised in relation to transparency was the need to balance transparency with the cost of being transparent. An argument can be made that cost of being transparent must be proportionate to the impact of the overall cost of governing. Some decisions may be too technical to be truly transparent and will require a great deal of resources devoted to the dissemination and explanation of the decision or framework in which the decision is taken. This could be detrimental to the overall aims of 'good' territorial governance if a great proportion of funds are seen to be used in administration. Transparency must therefore be balanced with other aspects of territorial governance, such as public accountability and democratic legitimacy so that stakeholders have confidence that if they are unable to follow the decision making process they can rely on others, their elected representatives and other forms of scrutiny, to ensure territorial governances is, indirectly at least, transparent.

Indicator 9: Reflexivity.

Indicators 9 & 10 had identical scores for their relevance and practicality as indicators of territorial governance. Of the two, reflexivity showed the largest increase in its score for practicality between the first and second rounds of the Delphi survey. Most of the experts agreed reflexivity is a highly desirable trait when considering governance in general. The ability to learn from past experience and, as one expert put it "not constantly reinvent the wheel", is both efficient and effective. When considering the relevance of reflexivity as an indicator of territorial governance, the experts considered two aspects of the process. The first was to be reflexive regarding the governance process itself. The need for reflexivity in territorial governance was related, by a number of experts, to a number of other dimensions of territorial governance. The need to learn from previous examples of integrating policy sectors or developing on previous attempts to coordinate the actions of actors were two of the ways reflexivity is integral in all aspects of territorial governance. This interrelated facet of reflexivity leads to one expert to suggest that it should be a cross-cutting indicator, sitting outside the five dimensions of territorial governance.

When consideration was given to reflexivity as a practical indicator of territorial governance a minority of the expert panel expressed doubts as to whether it could be. Interestingly these views did shift after the first round. Reflexivity showed the biggest

increase in the median practicality score between the first and second round, moving from 4 to 6. The average score increased only slightly meaning the small number of very low scores in round one had dragged down the overall score and resulting in more than half of the expert panel disagreeing with the proposal that reflexivity was a practical indicator of territorial governance. In round two this switched, with more than half now agreeing with the proposal that reflexivity was a practical indicator of territorial governance. This low confidence in reflexivity being a practical indicator seems to stem from the initial understanding that indicators need to be quantitative in nature. When the possibility of using qualitative or mixed methods to measure the indicator was outlined in the round one summary, the responses of the experts changed. A number of qualitative methods were suggested by the experts, for example a tracking survey of policymakers and citizens to see how attitudes and governance processes change over time. An alternative practical measure suggested was around the nature of institutional memory, do the territorial governance institutions have mechanisms for ensuring continuity.

Indicator 10: Adaptability

As mentioned in the previous section, in the end the scores for adaptability were the same as for reflexivity. As with reflexivity, an indicator seeking to assess adaptability was seen as a cross-cutting indicator which affects all aspects of territorial governance. The ability of governance processes to be adaptable was seen, by the experts, as being very important and closely related to reflexivity. As one expert commented, "adaptability is complementary to reflexivity….. the capacity to adapt to change without creating instability in the system and procedures." It was felt particularly important given the current uncertain circumstances the EU and indeed world economy finds itself in. One aspect of territorial governance which was felt to be particularly relevant to adaptability was the legislative system. Adaptability should be built into the legislative system to ensure territorial governance is capable of adapting in a measured and timely fashion.

As a practical indicator, adaptability faces the same difficulty as reflexivity. To be able to determine whether a system of territorial governance is adaptable requires analysis over time. Therefore any indicator of adaptability within territorial governance must examine change over a period of time. This can prove difficult and costly to manage on a large

territorial scale. There was a suggestion from one expert that existing data sets could be used for this indicator. Some which were suggested related to employment in key sectors or reliance on public sector employment. It may also be possible to use forecasting techniques to map possible future trajectories for a territory and map actual progress against these future scenarios. The external changes actually encountered could then be compared with the forecast data to see how change has affected the territorial governance process. This tends towards an indicator which measures outcomes rather than process (as is the case with the other indicators) but could be adapted to focus on process.

Indicator 11: Territorial Relationality

Territorial relationality had moderately high scores for both relevance and practicality, although it had the lowest score for its relevance as an indicator for assessing territorial governance of any of the indicators. The low relevance score seems to be related to a concern about the theoretical nature of the indicator. The expert panel expressed concerns over what they perceived to be the technical terminology and theoretical nature of the indicator. As an academic concept it was accepted but as a tool for developing territorial governance processes it was felt to be too remote from everyday practice. Further work may therefore be needed to rephrase and reconceptualise the indicator.

Somewhat paradoxically, the majority of the expert panel agreed with the proposal that territorial relationality is a practical indicator for analysing territorial governance. The score of 6 for practicality was the most common score for the indicators. This may have been due to the expert panel agreeing that for territorial governance the fundamental issue is how the governance process is related to the territory and the community within the territory. It is axiomatic therefore that understanding and achieving territorial relationality is fundamental to 'good' territorial governance. Similar concerns over its theoretical and technical nature were expressed by the expert panel when consideration was given to practical means of measuring territorial relationality.

Indicator 12: Territorial Knowledgeability

Territorial knowledgeability was the second highest scoring indicator with the joint highest score for its practicality as an indicator of territorial governance and joint second highest

score for its practicality. As a relevant indicator of territorial governance the experts agreed that local knowledge and territorially based governance was fundamental. This should then inform the process through with policy programmes and projects are developed and delivered. This closely relates to issues of subsidiarity and cross-sector synergy. The point was also made that territorial knowledge and impact was also a good indicator for EU 2020 goals such as social cohesion. Put bluntly one expert commented, "if you don't have a clue about the kinds of impacts your decisions are having on the ground, you probably shouldn't be making those decisions in the first place." This highlights the need for territorial governance to be relevant both at the point of development and at the point of delivery.

There was general agreement among the panel of experts that territorial knowledgeability would be a practical indicator for assessing territorial governance. There were a number of suggestions as to how this could be measured in practice. A number of experts suggested a form of Territorial Impact Assessment as has been developed by the ESPON ARTS (2013) and ESPON EATIA (2012) research programmes. This could be developed further through the greater inclusion of local stakeholders in the assessment process as well as through the normal top-down consultation process.

As with many of the other indicators there was some concern as to the transferability of the indicator across all territories within the EU. A number of experts felt the only way to investigate territorial knowledgeability would be through subjective qualitative means which would be culturally specific to the particular territory in question. This issue of subjectivity within the indicators will be addressed in more detail in the final concluding section.

3.6   Conclusions

Overall the results of the Delphi questionnaire have given support for both the relevance of the 12 indicators for assessing territorial governance developed by the ESPON TANGO project and perhaps to a lesser extent, their practicality. In the final round of the expert survey all 12 indicators had mean and median scores above 7 indicating strong agreement with the proposal that the indicators were relevant indicators of territorial governance. The results for the proposal that the 12 indicators were practical indicators of territorial governance were less conclusive. A number of the indicators had mean and median scores at around the mid-point indicating there was some uncertainty on the part of the expert panel as to whether the indicators offered a practical solution to the issue of measuring territorial governance.

This concern was also expressed in the comments made by the expert panel. The main source of the concern in relation to both the relevance and practicality of the indicators was their perceived subjectivity. A number of times the experts expressed doubts as to whether the indicators could offer a comprehensive and universal measure of territorial governance which could be used in a range of social, cultural and administrative situations. This concern was partly routed in a general misapprehension of the nature of the indicators. Most of the expert panel seemed to equate practical with quantitative. It was not the intention of the ESPON TANGO project partners to create a set of quantitative indicators as would normally be associated with a ex-post evaluation of territorial governance. As part of the feedback from the first round, the expert panel was given more details as to the nature of the indicators. In particular they were given further information about the need for both quantitative and qualitative measures to be used. This did have an effect in the second round with the scores for practicality either increasing or staying the same. However for a number of indicators: Public Policy Packaging, Governing Capacity and Leadership the mean and median scores were still at or below 5 indicating more than half of the expert panel did not agree with the proposal that these indicators were practical indicators for assessing territorial governance.

The indicators were indented to encompass both a qualitative and quantitative methods in the way they seek to understand good or bad territorial governance. The indicators themselves are a conceptual framework which will need to be developed and adapted to suit a particular context and culture. This in part could be done through the adaptation of current methods for assessing the success of territorial governance in other situations. As outlined in the previous section tools such as the Territorial Impact Assessment developed by the ESPON ARTS project and the "Scorecard for monitoring Multi-level Governance" as developed by EIPA and the Committee of the Regions could form part of a comprehensive system of indicators for analysing territorial governance.

The second significant finding from the Delphi survey was the interrelatedness of the indicators. In many of the comments from the expert panel mention was made of other indicators. This again highlights the difference of the approach taken in the ESPON TANGO project. Each of the indicators is not intended, and indeed will not work, as a stand-alone indicator. The development of the indicators stands alongside the other elements of the ESPON TANGO project to produce a holistic approach to developing and assessing new approaches to territorial governance. Whilst the indicators were developed to fit within the 5 dimensions of territorial governance, as was pointed out by a number of experts, the indicators could be taken as cross-cutting indicators relating to all 5 dimensions. Taking an indicator as a cross-cutting indicator and removing its relationship from the 5 dimensions of territorial governance risks overlooking the source of that element of governance. As the aim of the indicators is to focus on the process of governance rather than its outcomes, the source of territorial governance is important. This may be the situation of all indicators are disconnected from the aspect of territorial governance which generated them. It may be the case that some of the indicators have a relationship to a second dimension. This may need to be reflected in future iterations of the indicators. It was already the case that the indicator subsidiarity shifted from being an indicator for dimension 5: 'Realising place-based/territorial specificities and impacts' to Dimension 2: 'Coordinating actions of multiple actors', during the course of the project.

3.7   Example: Questionaire of Delphi Survey (round two)

**Welcome and thank you for taking part in the Delphi Survey
within the ESPON TANGO-project
(Territorial Approaches for New Governance)
More info at:
http://www.espon.eu/main/Menu_Projects/Menu_AppliedResearch/tango.html**

You are invited to take part because of your specialist knowledge of and experience in territorial governance. This survey is directed to the ESPON Monitoring Committee Members, ESPON Contact Point Members and selected members of the Association of European Schools of Planning (AESOP). The questions aim to get personal opinions from the respondents (rather than those of their employer or professional affiliation). It is not expected that completing the questionnaire will require research by the respondent or consultation with colleagues. We therefore want to know your views on the extent to which our chosen indicators of "good" territorial governance are relevant and practical for our further work.

Your responses will remain fully anonymous.

Please complete the short survey by 11th November 2012. Responses received after date will not be considered in the analysis due to the project's delivery dates.

About the ESPON TANGO Project
The ESPON TANGO project aims to conceptualize and operationalize the notion of 'territorial governance'. It aims to develop a deeper understanding of how 'good' territorial governance can add value to achieving territorial cohesion and enhancing place-based economic competitiveness, social inclusion and environmental sustainability. As part of the project, we have developed a working definition of 'territorial governance' (presented below) which underpins and informs the design of this Delphi survey.

Territorial Governance: A working definition

Territorial governance is the formulation and implementation of public policies, programmes and projects for the development* of a place/territory by

1. integrating policy sectors,
2. co-ordinating the actions of actors and institutions, ,
3. mobilising stakeholder participation,
4. being adaptive to changing contexts,
5. realising place-based/territorial specificities and impacts.

* We define development as the improvement in the efficiency, equality and environmental quality of a place/territory (in line with the Europe 2020 strategy).

We consider the 1 to 5 above as the **dimensions** of territorial governance. For each dimension we have developed a number of **indicators** for assessing the performance of territorial governance arrangements. The 12 indicators and the 5 dimensions to which they relate are outlined below. A more detailed description of each indicator is provided in Section 2.

Dimensions of territorial governance	Indicators for assessing performance of territorial governance
1. Integrating policy sectors	1.2) Public Policy Packaging
	1.2) Cross-Sector Synergy
2. Coordinating actions of multiple actors	2.1) Governing Capacity
	2.2) Leadership
	2.3) Subsidiarity
3. Mobilising stakeholder participation	3.1) Democratic Legitimacy
	3.2) Public Accountability
	3.3) Transparency
4. Being adaptive to changing contexts	4-1) Reflexivity
	4.2) Adaptability
5. Realising place-based/territorial specificities and impacts	5.1) Territorial Relationality
	5.2) Territorial Knowledge and Impacts

About the Delphi Survey

The aim of this Delphi survey is to seek your expert and informed opinion regarding a) the **relevance** and b) the **practicality** of the indicators for the dimension to which they relate. We also welcome your suggestions for additional indicators which are not already covered by our indicators and their descriptions.

This Delphi survey will be conducted in **two Rounds.**
Round one (this round) seeks to obtain a spectrum of opinions regarding the **relevance** and **practicality** of each indicator with regard to the dimension to which it relates.

In Round Two a statistical summary of the result of Round One will be sent to you so that you can see how your answers relate to the responses by other participants and whether you would wish to revisit your original responses.

How to complete the survey?
The questionnaire has three sections: Section One relates to personal data (your affiliation), Section two relates to indicators and a specific dimension of territorial governance.
There are 12 indicators related to the 5 dimensions of territorial governance.
Please read the short description of each indicator to ensure that your response is based on a common understanding of what is meant by that indicator.

In relation to each indicator please use the 10 point Likert Scale to confirm:

1) The extent to which you agree that the indicator is a **relevant** indicator of good territorial governance. By **relevant** we mean how well the indicator is suitable for assessing a particular dimension of good territorial governance across Europe. For example, does the indicator provide clear information as to whether good territorial governance is happening in practice?

2) The extent to which you agree that the indicator is a **practical** indicator of good territorial governance. By **practical** we mean the extent to which the indicator can be used in day to day practice. For example an indicator may be extremely relevant to a particular dimension of good territorial governance but the cost of collecting the data needed for the indicator, both financially and in time, is out of proportion to its benefit.

The responses are given anonymously and will not be shared with the other participants in a way that will identify the individual respondent.

What happens next?
On 19th November 2012, you will be invited to take part in Round Two of the Delphi survey. The questions will remain the same but you will be able to see a summary of the statistics for all respondents' answers given in round 1. The statistics given will be the mode and median answers and the inter-quartile range.

The Round 2 questionnaire will also include a synthesis of the statements given in the 'rationale and reasons' section for each indicator will also be provided.

You will then be asked to complete the questionnaire again taking into consideration the response of the group as a whole.

This final stage is critical to the success of the Policy Delphi Method. Participants are asked to maintain an open mind to each of the propositions not withstanding their previous response.

The responses of all the participants will be analysed and key themes and propositions generated to form the basis for the second round of the process.

Questionnaire Section 1: Background Information

Please state which of the following you represent:

National Government	☐	Non-Governmental Organisation	☐	Academic Institution	☐	Other civil society institution	☐

Please confirm the country that you are representing in the ESPON or AESOP context:

Country [_____]

Please state your current job title (outside ESPON or AESOP)and employing institution

[_____]

 Please state your role in ESPON

Monitoring Committee Member	[_____]	ESPON Contact Point	[_____]

Please state your role in AESOP (if any)

[_____]

Questionnaire Section 2: Indicators of good territorial governance

Dimension 1   Integrating policy sectors

Integrating policy sectors means how linkages are made among different policy sectors (such as land use and transport) and how potential synergies are developed among public, private and civil society sectors.

Indicator 1.1   Public Policy Packaging

Policy packaging is about bringing together public policies that are generated at different government levels (international, national, regional and local) and that benefit places/territories. It is about collaboration to avoid conflicting and competing public policies where for example planning policies are promoting compact city while taxation policies are promoting sprawl and transport policies are focusing on road building.

Public Policy Packaging is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 1: Integrating policy sectors Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Policy Packaging is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 1: Integrating policy sectors Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how Public Policy Packaging could be assessed / measured in evaluation of territorial governance?

Indicator 1.2: Cross-Sector Synergy

Cross-Sector Synergy is about seeking horizontal linkages between public, private and civil society sectors, so that they work in favour of a particular place/territory.

Cross-Sector Synergy is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 1: Integrating policy sectors									
Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Cross-Sector Synergy is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 1: Integrating policy sectors									
Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how Cross-Sector Synergy could be assessed / measured in evaluation of territorial governance?

Dimension 2:   Coordinating actions of actors and institutions

This dimension reflects how coordination of actions is managed and how competencies are distributed at various territorial levels.

Indicator 2.1: Governing Capacity

Governing capacity is a key pre-requisite for effective coordination of the actions of multiple and diverse actors in particular places/territories. It is about the ability to: a) organise, deliver and accomplish; b) review, audit, check and balance; and c) integrate additional platforms/forums. It therefore requires access to human, financial and intellectual resources.

Governing capacity is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 2: Coordinating actions of actors and institutions Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Governing capacity is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 2: Coordinating actions of actors and institutions Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how governing capacity could be assessed / measured in evaluation of territorial governance?

Indicator 2.2: Leadership

Leadership is about oversight, vision and the ability to secure stakeholders' participation and ownership of the place-specific goals. It is about the ability to drive change, show direction and motivate others to follow. Leadership may be performed by individual actors or institutions. It can be concentrated or diffused among the actors.

Leadership is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 2: Coordinating actions of actors and institutions Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Leadership is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 2: Coordinating actions of actors and institutions Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how Leadership could be assessed / measured in evaluation of territorial governance?

Indicator 2.3: Subsidiarity

Subsidiarity is about ensuring decisions are made at the territorial level which is as close to citizens as strategically and practically possible, while taking into account the multi-level nature of territorial governance .

Subsidiarity is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 2: Coordinating actions of relevant actors and institutions Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Subsidiarity is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 2: Coordinating actions of relevant actors and institutions Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how subsidiarity could be assessed / measured in evaluation of territorial governance?

Dimension 3:   Mobilising Stakeholders

Mobilising stakeholder participation includes how stakeholders are given insight into the design of territorial governance processes and/or opportunity for shaping them.

Indicator 3.1:   Democratic Legitimacy

Democratic legitimacy is about ensuring that relevant interests are represented and given voice in place-based / territorial governance processes. Legitimacy can be secured through representative democracy (as in government) and/or through participative democracy (as in governance).

Democratic legitimacy is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 3: **Mobilising Stakeholders** Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Democratic legitimacy is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 3: **Mobilising Stakeholders** Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how Democratic legitimacy could be assessed / measured in evaluation of territorial governance?

Indicator 3.2: Public Accountability

Public accountability is about ensuring that those being responsible are accountable to the public for making place-based decisions that affect their lives.

Public accountability is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 3: **Mobilising Stakeholders** Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Public accountability is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 3: **Mobilising Stakeholders** Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how public accountability could be assessed / measured in evaluation of territorial governance?

Indicator 3. 3: Transparency

Transparency is about ensuring that the composition, procedures, and tasks of territorial governance are open and visible to the public. It is about opening the "black box" of territorial governance to make its substance and procedures informative, accessible and comprehensive to the public.

Transparency is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 3: **Mobilising Stakeholders** Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Transparency is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 3: **Mobilising Stakeholders** Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how transparency could be assessed / measured in evaluation of territorial governance?

Dimension 4: Being adaptive to the changing context

This dimension takes into account how the responsiveness of territorial governance to changing contexts is implemented by various learning and feedback mechanisms.

Indicator 4.1: Reflexivity

Reflexivity is about social learning. It is about the ability to reflect on, review and revise the territorially specific ideas, routines, instruments, inputs, outcomes and processes in the face of new information, opportunities, and threats.

Reflexivity is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 4: Being adaptive to the changing context Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Reflexivity is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 4: Being adaptive to the changing context Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how reflexivity could be assessed / measured in evaluation of territorial governance?

Indicator 4.2:   Adaptability

Adaptability is about flexibility and resilience in the face of territorial change / crisis and seeking opportunities for transformation through the use of feedback and reviews in territorial governance routines.

Adaptability is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 4: Being adaptive to the changing context										
Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)										
1	2	3	4	5	6	7	8	9	10
Adaptability is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 4: Being adaptive to the changing context										
Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)										
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.
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Drawing your expert knowledge and experience, can you suggest a few bullet points about how adaptability could be assessed / measured in evaluation of territorial governance?

Dimension 5: Realising place-based/territorial specificities and impacts

Place/territory is a social construct and is not necessarily limited by jurisdictional boundaries, thus this dimension considers the various overlapping notions of place/territory and the management of knowledge about territorial characteristics and impacts.

Indicator 5.1:Territorial Relationality

Territorial relationality is about acknowledging that territory is a social construct. Actors should be able to address the territorial scale of governance in relation to the issue at hand. An example is using a network-approach to governance for matching the purpose and objective of the intervention and the interests of those who have a stake in the decision(s).

Relationality is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 5: Realising territorial and place-based specificities and impacts Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Relationality is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 5: Realising territorial and place-based specificities and impacts Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how relationality could be assessed / measured in evaluation of territorial governance?

Indicator 5.2:Territorial Knowledgability and Impacts

Territorial knowledge and impacts is about utilizing multiple sources of knowledge, including local knowledge about the place/territory. It is about dealing with the territorial impacts of policies, programmes and projects on place/territory.

Territorial Knowledge and Impacts is a **relevant** indicator for assessing the performance of territorial governance in relation to dimension 5: Realising territorial and place-based specificities and impacts Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10
Territorial Knowledge and Impacts is a **practical** indicator for assessing the performance of territorial governance in relation to dimension 5: Realising territorial and place-based specificities and impacts Please indicate the extent to which you agree or disagree with this statement (1 =strongly disagree : 10 =strongly agree)									
1	2	3	4	5	6	7	8	9	10

Please state your rationale and reasons for the answer given above on the relevance of the indicator.

Please state your rationale and reasons for the answer given above on the practicality of the indicator.

Drawing your expert knowledge and experience, can you suggest a few bullet points about how relationality could be assessed / measured in evaluation of territorial governance?

Finally, using your experience and expert understanding of territorial governance can you suggest any additional indicators that could be used to assess "good" territorial governance? Please give a short description of the suggested indicator.

Thank you for taking time to complete this Delphi Survey.
We will contact you again on 19th November 2012.

4 Territorial Governance at play

4.1 Background and context of the selection of case studies

The TANGO TPG was carefully chosen in order to be able to perform case studies in the different geographical areas of Europe and cover the different modes of governance (ie. Howlett 2009). The all-in-all 12 case studies were designed according to a multi-case study method whereby all cases "serve a specific purpose within the overall scope of inquiry" (Yin 2003: 47). The multiple-case study design also facilitates exploration of the differences and similarities in territorial governance processes within and between cases. While we will not use a strict comparative case study method, the chosen cases do allow a comparison of 'good' and 'bad' territorial governance processes, mechanisms or outcomes.

Operational criteria for identifying cases have included picking cases where:

- Partners have already been involved in research, to build upon the existing knowledge base;

- Partners have contacts with a critical mass of key informants for interviews;

- Partners have intimate knowledge of the government/governance context.

The selection of the cases has been further facilitated by the design of a Case Study Matrix to ensure that cases cover a wide spectrum of territorial governance practices and territorial scope. The parameters of the matrix for choosing the case studies included:

1) Geographic Scope: As mentioned earlier, the composition of the TPG has been carefully designed in order to be able to cover a wide geographical scope.

2) Anticipated mode(s) of governance: The matrix gave a preliminary idea of the anticipated mode(s) or governance addressed, following the work of Howlett (2009). This has helped to distinguish between the territory and the modes of governance in terms of governance traditions. The Howlett typology includes the legal, corporatist, market and network modes of governance. Categorizing our cases into this anticipated governance mode has only been a preliminary exercise to help in choosing and justifying the case studies. This does not mean that the typology that we have developed in the ESPON TANGO project has followed the Howlett typology (see chapter 2).

3) Further, the ESPON community suggested that each case study should address some aspect of the Europe 2020 strategy (CEC, 2010), the European Union's ten-year growth strategy, which can be also seen as the central roadmap of the EU cohesion policy for the next programme period (2014-2020). This has implied that the case study selection ensures a well-balance of territorial governance aspects in regards to the strategy's Flagship Initiatives (such as 'Innovation Union', 'Resource efficient Europe', 'An industrial policy for the globalisation era', 'An agenda for new skills and jobs, European platform against poverty').

4) The cases were expected to explore different levels of territorial governance among various sectors, as well as governance practices that bridge at least two political/administrative levels (EU, transnational or cross-border/macro-regional/national/regional/local).

5) Territorial scope: The cases address a broad spectrum in terms of territorial scope, from the macro-regional level (Baltic Sea Region) to the neighbourhood scale (NUTS5 and even below)

6) Territorial policy areas addressed: The cases concern a number of policy areas with an impact on the territory and the goal to ensure that several different policy areas are addressed, such as climate change, mobility culture or spatial planning.

7) Territorial governance challenges to be overcome: Each of the cases represents an inter-sectoral 'problem' in that they each address a specific territorial challenge that has been overcome or is in the process of being addressed. This is to ensure that cases are territorially-based rather than purely sectoral.

8) Hypothesized 'good' or innovative governance features: As one of the main outcomes of the project has been to extract innovative practices for territorial governance for dissemination in the 'Guide for practitioners, policy and decision maker', it has been essential to elaborate case studies that constitute different types of 'good' territorial governance or innovative territorial governance mechanisms. Some of the case studies have documented territorial governance processes that have been more or less successful from the onset, but other cases have analysed territorial governance processes where important barriers to governance have been successfully overcome. Hence it has been important for this part of the empirical research in the ESPON Tango project to make some preliminary assumptions or hypothesis of 'good' or 'innovative' territorial governance features that have been validated, refined, expanded or even falsified later on.

The objects of the 12 case studies have been all relatively recent (from around 2000 until the present). This has ensured the topicality of studying the territorial governance processes at play within the cases. On the other hand, all cases were chosen on the grounds that territorial governance processes have progressed sufficiently far that it is

possible to inform the various indicators and dimensions of territorial governance (see chapter 1.2 and 3.2).

Also nearly all of the cases address some aspect of 'bottom-up' territorial governance, where the impetus of territorial development is taking place and evaluated at local and/or regional level. This is particularly evident in the case studies such as those looking at resource efficiency in urban planning in Stockholm, the coordination of land-use and transport planning in the Randstad as well as city-regional and neighbourhood governance in the UK. Finally, the analysed territorial governance challenges included developing territorial strategies involving multiple governance levels and involving multiple sectors; horizontal governance, with a focus on cooperation and competition; promoting engagement among a range of actors, particularly in promoting bottom-up initiatives; coordinating activities between multiple jurisdictions on issues such as transportation and water management; and vertical and horizontal policy integration.

In the end the selection of case studies has included several cases from Southern Europe that have a focus on the Western Mediterranean and the Southern Alps. In Eastern Europe, studies focusing on Pecs (Hungary) and Ljubljana (Slovenia) in addition to a wider study on the Management of Structural Funds in Central-Eastern European focussing on XXX , but also involving territorial governance practices in Hungary, Poland, Slovakia and Romania. Further, the Baltic Sea Region (BSR) case dealing with climate change adaptation in the BSR covers parts of Eastern, Central and Northern Europe. Another case study from Northern Europe features resource efficiency in Stockholm. North-Western Europe is covered through two cases from England, one at the city-regional and one at the neighbourhood level as well as two cases involving the Netherlands, one about the Southern Randstad and the other one including the catchment area of the Rhine basin. The latter case also includes parts of Germany, namely the Federal State of North Rhine-Westphalia.

In table 4.1 below the titles of the case studies are listed, which give some indications about the various territorial policy areas that have been addressed. These included transportation infrastructure and mobility, climate change, economic and urban development, water management, land use and strategic planning, cultural development

and nature conversation. The findings from all 12 case studies are to be found in Annex 1 to 12.

Table 4.1: Titles of ESPON TANGO case studies

1	A Climate Change Adaptation Strategy for the Baltic Sea Region
2	Territorial Governance to achieve resource efficient urban development in Stockholm: good practices without consistency?
3	Integration between public transport and urban development in the metropolitan region of Rotterdam-The Hague
4	Cross-border Cooperation in the River Rhine Basin
5	Target-based Tripartite Agreement among European Commission, Italian government and Lombardy Region
6	The territorial governance process within the South Loire Schéma de Cohérence Territoriale (SCOT)
7	Reinventing regional territorial governance - Greater Manchester Combined Authority
8	Is small really beautiful? Neighbourhood Planning in the UK, North Shields Fish Quay
9	Building Structural Fund Management systems. Learning by doing or imitating?
10	The ECC Pécs Project and the challenges of territorial governance
11	Public transport strategies in Ljubljana Urban Region (LUR)
12	Governance of natural areas in the Alpine Adriatic area: Trilateral Nature Park Goričko-Raab-Örség

Thus the territorial scope of the case studies has ranged from the sub-municipal level, in North Shields, England through the municipal, intra-municipal and metropolitan levels, including Pecs, Hungary and Saint Etienne, France, in addition to those territories mentioned above. Cross border processes are also explored through the case on cross-border river management: Rhine River Basin and the case dealing with the Governance of Natural Spaces in the Alpine-Adriatic Area. The national level has been explored in almost all cases, at least to some extent. Finally, the Baltic Sea Region offers an example of macro regional efforts at territorial governance in Europe. The case studies thus represent all of the established statistical clusters (with the exception of cluster VI) based on the average WGI scores as shown in chapter 2.3 (here table 2.6).
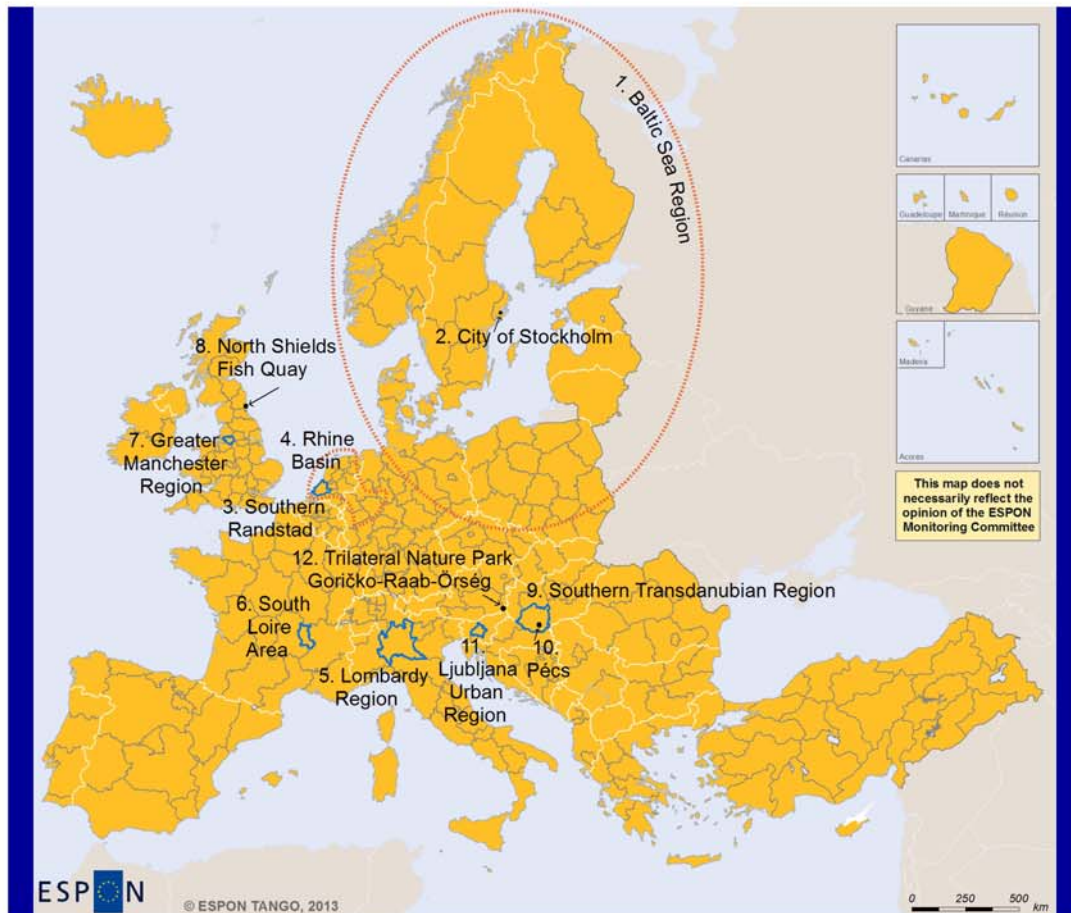
ESPON TANGO CASE STUDY AREAS
MAIN TERRITORIAL FOCUS

Map 1: ESPON Tango case study areas main territorial focus

That said, most of the cases address as well the tension between hard and soft territories. The former relates to jurisdictional boundaries, which is normally represented by some sort of government. Soft territories are often loosely defined. In some cases functional criteria (river catchment area, extension of nature park) or the inherent territorial logic of a specific project, policy or programme that address some specific territorial goal or challenge to be overcome such as developing a climate change adaptation strategy for the Baltic Sea Region. In Map 1 above the (more or less) dominating territorial logic is highlighted for each case study. As mentioned before, in most of the cases, due to the interplay between different levels of government as well as other actors and institutions that follow not necessarily the logic of jurisdictional boundaries only more loosely defined (or a territorial goal) both types of territories (soft and hard) are represented. This causes often lots of tensions as regards the question of democratic legitimacy or accountability for instance, which have been further discussed in the case studies (see annex 1 to 12).

4.2   Case study methodology

The 12 case studies in the ESPON TANGO project have been designed to provide an understanding how actors and institutions at different levels formulate and implement policies, programmes and projects to achieve a certain territorial goal. They have been conducted by the all six partners of the project (two cases each). The main intention has been to identify some of the barriers to 'good' territorial governance processes, routines, structures or mechanisms and to determine how these barriers might be overcome. Hence the case studies were expected to provide insights into how territorial governance 'works' in a number of different contexts.

These multiple case studies throughout Europe are the main empirical output of ESPON TANGO, since the project goal has been to draw some generalisations across the set of cases, and construct some cautious comparisons, based on theory. The case studies thus helped us to peer closely into the 'black box' of territorial governance practices and thereby understand some of the causal mechanisms at play. These thickly described cases are therefore 'very conducive for drawing conclusions for the broader theoretical discourse´ (Blatter and Blume 2008), which has been undertaken in chapter 6.

As mentioned before, our working definition of Territorial Governance, the five dimensions, as well as the selected 12 indicators of Territorial Governance have defined the main framework of our investigations. In the case studies we have identified in a sense both 'good' and 'bad' practices (i.e. promoters and inhibitors of territorial governance, see chapter 7) in order to stimulate both positive and negative lessons. In addition, the idea has been to leave some room to explore characteristics of territorial governance, which go beyond our framework. That said, the case studies were expected to identify various 'features' and 'components' of territorial governance and to assess their relevance/non-relevance in the context of the case study itself.

The case studies were built on a two-stage approach. The first can be called a more explorative 'process tracing phase' which was basically based on desk research (between February and June 2012). Process tracing is a method by which decision processes can be analysed and intervening variables can be identified. According to Blatter and Blume (2008:29) *"process tracing involves stressing the temporal unfolding of causality, and it is based on a holistic ontology in which the basic unit of analysis is not an individual variable, but a multi-level model or configuration of densely linked causal factors"*. This method has often been used in social science as a way to discover the "*links between possible causes and observed outcomes*" (George and Bennett 2005:6). In this way, the method, unlike statistical methods, is able to test not only hypotheses, but also generate them (George and McKeown 1985, Falleti 2006), as it has been used in our approach. Process tracing uses various types of data, based on desk-research and interviews, to help "*see whether the causal processes a theory hypothesizes or implies in a case is in fact evident in the sequence and values of the intervening variables in that case*" (George and Bennett 2005:6). It can also aid in generating new variables or hypotheses that may have been previously overlooked.

The case studies are based on desk research, as well as in-depth interviews with key stakeholders and policymakers (via telephone as well as face-to-face interviews and/or focus groups). The first stage has been an explorative process tracing phase (the results of this phase have been presented in the Interim report). The second and more in-depth stage has involved testing the hypotheses about 'good' territorial governance that were

generated in the first phase. The second phase has been connected with the project's work on the development and weighting of indicators (see chapter 3).

4.2.1 *Stage one: Tracing our initial hypotheses along the five dimension of territorial governance*

The central goal of the first stage, which took place between January and May 2012) has been to not only build up an initial narrative of the processes, but more importantly, to 'trace' our initial hypotheses about the five dimensions of territorial governance (see chapter 4.1). To what extent do they work as a reasonable framework to capture territorial governance? How distinctive are the pre-defined dimensions in each case? To what extent are they intertwined with each other? As a result each of the 12 cases has provided a preliminary description/analysis of the five dimensions of territorial governance that was grounded in the background and context of the cases.

This discussion was grounded in the background and context of the cases, including how the relevant policies, programmes and projects address the territorial development objectives of each case. In understanding the inter-sectoral dimension of governance, we looked at how relevant and significant actors work at integrating relevant policy sectors to achieve balanced economic, social and environmental development of a territory and how cross-sectoral integration takes place. To trace processes of multi-level interplay among various types of territories, we attempted to unearth which actors and institutions are involved in working towards a territorial objective. Going beyond that, the formal and informal distribution of power and responsibilities that frame the 'room for manoeuvre' in which the actors and institutions operate have been then explored in the second stage of the case study work. All case study processes were traced by looking in particular at the territorial or place-based specificities and characteristics that matter for the issue and analyse how they are considered in various stages of the processes.

Another goal of the first phase has been to not only build up an initial narrative of the processes, but more importantly, to make tentative assumptions about the features of territorial governance. Those have included innovative practices, successful ways of achieving novel results, or how certain barriers have been overcome. In part, they have

tentatively even shown (already) how synergies or trade-offs among the dimensions of governance are made – with advantageous or disadvantageous results. To some extent partners have also briefly made hypotheses about which features could be transferred to other contexts. Nonetheless, we need to stress here that partners have tackled the case studies from different starting points. Some could base their observations on earlier research, while others had to start their work with only rudimentary knowledge. This explains, at least to some extent, the differences of in-depth analysis and the extent to which the hypotheses of territorial governance features have been developed. It should be also added here, that in contrast to the recommendations by Blatter and Blume, we have deliberately not conducted any interviews during this phase. Rather, desk research was involved and the interviews were conducted in the next phase.

After the process tracing phase the 'thick descriptions' provided by each case study team have been further analysed in view of how to further design stage two. In addition, the information from the process-tracing phase has been used to revisit our definition and conceptualisation of territorial governance. It has been reported that for instance dimension 1 and 2 are highly intertwined, which makes a distinct analysis sometimes a bit challenging. Also in particular dimension 4, but partly also dimension 5, are difficult to capture by desk review. Here the specific insights from key informants are required to give a more substantial account to what extent these two factor into the functioning of territorial governance in the case at hand.

4.2.2 Stage two: assessing the practices of territorial governance along the 12 indicators

The second and more in-depth phase included 8 to 12 interviews in each case study with key informants (via telephone as well as face-to-face interviews and/or focus groups) and took place between November 2012 and April 2013). Here the five dimensions as well as the twelve indicators of territorial governance have been further explored to 'trace' our initial hypotheses for each case by carving out in particular the various practices, routines or even critical views within each case study's specific territorial and institutional context. In so doing, the five dimensions and twelve indicators were de-constructed into a total of

42 core questions (see chapter 4.3). These questions thus formed the general guideline and structure for the interviews. Naturally, there was some room for amendments or specific focus depending on the specific role, function and/or knowledge of the interviewee at hand. The questions were partly designed to also investigate to what extent the various dimensions and indicators are intertwined. In addition, a specific focus has been laid on exploring what kind of other territorial governance practices, routines or even mechanisms and structures are important that are outside our research framework.

After discussing the preliminary findings of our case studies on a TPG meeting in February 2013, it was agreed upon to use the remaining weeks to do some complementary work (e.g. to interview further key informants) or to reflect further to what extent the empirical material inform the indicators in the case at hand. Also the TPG agreed on to reflect and the identification of the features (i.e. promoters and inhibitors) of territorial governance (see chapter 7.3). This resulted in a third version of each case study in which the various researchers working on the case studies have made efforts to integrate each of the phase 1 and the phase 2 case study reports. This refers to the case study reports submitted to the Interim report (based on stage 1) and the more empirical ones of stage 2 (see chapter 4.3).

In other words, each case study report has been contextualised as a "stand alone" report. Hence, each case as such and the empirically-informed findings have been edited in a way that they are (hopefully) understandable for the reader without reading other parts of the Draft final or the Draft Scientific Report (see Annex 1 to 12).

4.2.3 Analysing and synthesising the case studies: the 20 components of territorial governance

As mentioned above, based on our analysis a number of 'features' of territorial governance were extracted from each case study to consider to what extent they are either promoters or inhibitors in regards to achieving a certain territorial development goal (as defined in the policy, programme or project at hand). These might include innovative practices of achieving novel results, or how certain barriers have (or have not) been overcome. The features identified in each case study have been further compared and explored regarding their transferability (cf. chapter 7). Whereas the 'features' do have a more 'normative' function indicating some lessons for designing territorial governance, the 'components of

territorial governance' (see Figure 4.1 below) that have been also distilled from the case studies are more of objective character, since they are derived from our theoretical and conceptual framework. They link together most of the central components of the five dimensions and the 12 indicators. As such, they are related in particular to the observed practices, routines, but also mechanisms and partly structures of territorial governance. In total 20 components were thus expected to help us to analyse and synthesise the outcomes of the case study research and to critically re-visit the five dimensions of territorial governance.

Dimension 1: Coordinating actions of actors and institutions

1) Distributing power across levels
2) Distinguishing modes of leadership
3) Structures of coordination
4) Dealing with constraints to coordination

Dimension 2: Integrating policy sectors

5) Structural context for sectoral integration
6) Achieving synergies across sectors
7) Acknowledging sectoral conflicts
8) Dealing with sectoral conflicts

Dimension 3: Mobilising Stakeholder participation

9) Identification of stakeholders
10) Securing of democratic legitimacy and accountability
11) Integration of interests/viewpoints
12) Insights into territorial governance processes

Dimension 4: Being adaptive to changing contexts

13) Institutional learning.
14) Individual learning and reflection
15) Evidence of forward-looking actions
16) Scope of flexibility/experimentation

Dimension 5: Realising place-based/territorial specificities and impacts

17) Criteria/logic of defining intervention area
18) Coping with hard and soft/functional spaces
19) Utilisation of territorial (expert) knowledge
20) Integration of territorial analysis

Figure 4.1: The 20 components of territorial governance as a framework for synthesising the 12 case studies

The 20 components are inevitably intertwined with our five dimensions in general and the 12 indicators of territorial governance in particular. They have helped us to focus on the *who*, *what* and *how* aspects of territorial governance. In other words, the final reports from the 12 case studies have been carefully analysed for extracting the essence in regard to the below listed 20 components. After that the results for each component have been synthesized in order to provide a concise, but evidence-informed summary of the 12 case studies.

This ESPON TANGO research framework, as summarised below (see Figure 4.2), is thus the result of in depth analysis, reflection and discussion. It aims to guarantee both, high scientific quality as well as a high degree of comparability. Nonetheless, the ESPON TANGO TPG suggests that the five dimensions and the 12 indicators, and particularly (some) of the 42 core questions and 20 components can be helpful for practitioners, policy- and decision makers at various levels too. They can be used as control questions or check points in particular for those who organise, manage or want to initiate territorial governance processes or basically to review current territorial governance situations.
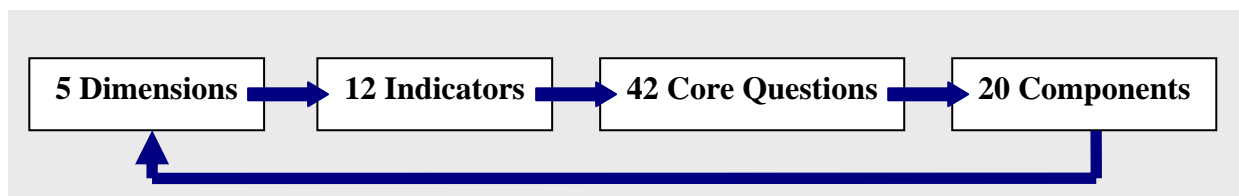
| 5 Dimensions | → | 12 Indicators | → | 42 Core Questions | → | 20 Components |

Figure 4.2: The ESPON TANGO research framework in a nutshell

4.3   An excerpt of the case study guidelines for stage one and two

Case Study Guidelines - <u>stage one</u>: January 2012 – May 2012

Excerpt of the guidelines how to explore the five dimensions of territorial governance within case studies:

1. **How do actors and institutions (both formal and informal such as rules or contingent praxes) work at integrating relevant policy sectors to achieve balanced development of the territory?**

- Who are the significant actors/institutions (formal and informal) in each relevant sector?

- Why are these sectors relevant for the development goal(s) at hand?

2. **How are the actions of relevant actors and institutions (formal and informal) co-ordinated by considering in particular the multi-level interplay?**

- Which actors and institutions at various levels are involved?

- What is the formal distribution of power and responsibilities which frames the "room for manoeuver" in which relevant actors/institutions operate?

3. **How do actors and institutions (formal and informal) mobilise stakeholder participation?**

- Who are the involved stakeholders?

- Why (if at all) is stakeholder participation considered important in the case?

4. **How is territorial governance adaptive to changing contexts?**

- To which changing context(s) have the actors /institutions had to adapt (such as the financial crisis, administrative reforms, major changes in planning systems, impacts of climate change…)?

5. **How are place-based/territorial specificities and characteristics factored into territorial governance?**

- What are the territorial or place-based specificities and characteristics that matter for the case (such as type of territory, i.e. urban, mountainous, or peripheral and specific place-based challenges such as shrinking regions, poor accessibility or vulnerability to climate change…)?

- Please motivate why (or to what extent) these specificities and characteristics matter.

Making <u>tentative</u> assumptions about features of "good" and/or "bad" territorial governance

- In connection with the preliminary analysis of the five dimensions of territorial governance above, list and describe the features of "good" and "bad" territorial governance (e.g. innovative practices, successful ways of doing something, how certain barriers have been overcome or successful integration of a combination of dimensions…)?

- What hypotheses can you make for identifying the features of "good" and/or "bad" territorial governance? Can these be tested in the later in-depth phase of the case studies (starting in October 2012)?

- What are the "components of exchange" that <u>could</u> be transferable to other cases?

Case Study Guidelines - <u>stage two</u>: November 2012 – April 2013

The focus of the case studies is to understand <u>how</u> actors and institutions at different levels formulate and implement policies, programmes and projects to achieve a certain territorial goal that is aligned to the Europe 2020 strategy. We look not only at how spatial planning and regulatory instruments are involved in territorial governance, but also at the use of broader policy tools such as negotiations, consensus-building and stakeholder involvement.

Our working definition of Territorial Governance, the five dimensions, as well as the selected 12 indicators for good Territorial Governance will define the main framework of our investigations. However, in the case studies we will try to identify both "good" and "bad" practices in order to stimulate both positive and negative lessons. In addition, the idea is to leave some room to explore dimensions, indicators and characteristics of Territorial Governance, which go beyond our framework. Another intention is to identify some of the barriers to territorial governance processes and mechanisms and to determine (eventually) how these barriers are being overcome. That said, the case studies are expected to identify 'features of good and bad territorial governance'[8] and to assess their relevance/non relevance to the success/failure of the case study itself. The features identified in each case study will then be compared and further explored regarding their transferability.

The case studies are based on desk research, as well as in-depth interviews with 8-12 key stakeholders and policy-makers (via telephone as well as face-to-face interviews and/or focus groups) and are built on a two-stage approach. The first stage has been finalised in the first half of 2012, which was focused on describing the case as such and to depict the context of the case at hand in regards to the five dimensions of Territorial Governance.

The second phase now shall involve a more in-depth investigation of the five dimensions of territorial governance as well as of the twelve indicators for good territorial governance by interviews and further desk research. Also we want to 'trace' our initial hypotheses about the five dimensions of territorial governance stemming from the first stage of case study work.

The results of the Delphi-exercise may result in one or two additional questions, which we may work on when we revisit the case studies between February and April 2013.

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[8] In this way, the project aims to take the step from those territorial governance principles defined by the fields of the indicators to territorial governance features. The latter include practical characteristics of the principles in real cases and thus help to define what features are 'good' territorial governance (*and what are not*).

The TANGO case studies are the central part of our work. The Case Study Guidelines as presented here are a framework and guidance for each individual case study. They are the questions that we will address in our analysis of the cases, **but they do not form as such a list of interview questions**. Given the broad scope of the cases, each case study researcher will have to tailor their interview questions to their specific cases and pose questions in a way that is understandable for the interviewees at hand.

In very simple terms the questions we want to know are listed prior to the guiding questions ("As main question to be analysed here") and paraphrased below:

1) How do actors and institutions coordinate their actions?
2) How does cross-sectoral integration take place?
3) To what extent are stakeholders involved in TG processes and how are they mobilized?
4) How are the processes adaptive to change contexts/circumstances?
5) How are place-based/territorial characteristics realised in TG practices?

While we do not require a standardized documentation of the interviews, researchers need

In-depth analysis of Territorial Governance at play:

Please note that the following questions are for your guidance in performing the case studies. These are the key questions stemming from our common framework that shall allow comparisons between and the contextualization of the twelve cases. You may need to adapt them a bit regarding your particular case, but, please make efforts to find empirically-informed robust answers to all of them.

We have also added questions that shall help us to explore reasonable aspects beyond our framework (the five dimensions and the twelve indicators).

We have formulated the guidelines by using 'present tense', although we understand that you may be looking back to certain processes that have happened a few years ago. In any case, please be sensitive to the time dimension throughout your case studies in order to literally 'trace the processes'.

Please be aware of that all questions are formulated in a neutral way. Therefore, please be critical and try to figure out 'what' is good or bad about it and 'why' something is working/functioning well (or not)!

Please report on your findings on those questions as proposed above in a fluent text. You are free to use sub-headlines to further structure the text. In any case, at the end of this chapter, please use the following sub-headline:

Please make efforts to list any relevant feature of good/bad territorial governance that emerges from your analysis in relation to this dimension by using bullet points. For each feature you should:

- Please explain for each identified territorial governance feature, why it is an example of a promoter or inhibitor of good territorial governance.

- Please discuss how and to what extent each identified territorial governance feature has been relevant or non relevant for the success or failure of the case. In doing so, please, make also efforts to reflect the correlation or mismatch between the degree of relevance or non relevance of a specific feature and the success or failure of the TG case as such (see also fig. 4.1 on page 61 of the Interim report).

General structure of the case study report:

Chapter 1: Introduction to the case

Chapter 2: Coordinating the actions of actors and institutions

Chapter 3: Integrating policy sectors

Chapter 4: Mobilising stakeholder participation

Chapter 5: Being adaptive to changing contexts

Chapter 6: Realising place-based/territorial specificities and impacts

Chapter 7: Other elements and aspects of Territorial governance

Chapter 8: Conclusions

References:

- Literature and other sources

- List of interviews (Date and Place, name of person and affiliation)

Detailed guidance for each chapter/dimension of territorial governance:

Chapter 1: Introduction to the case

- Please synthesise the context and scope of your case study.

- It should become clear '<u>what</u>' territorial development goal is addressed here in relation to the Europe 2020 strategy and 'what' kind public policies, programmes of projects you will relate to your investigations of territorial governance practices. In this light, the text of this chapter is a kind of condensed revision of most of the text you have written for stage 1 of your case study work.

- Please note: Later on (February to April, 2013) Nordregio will (with your advices) produce some ESPON maps that illustrate the geographic scope of your case study. In addition, we might add some general statistics (such as ESPON types of territories addressed, levels of government involved, population density – this can be discussed on our next TPG meeting).

Chapter 2: Coordinating actions of actors and institutions

<u>**Main question to be analysed here:**</u>

How do the various actors and institutions coordinate their actions among different governance levels?

<u>**Guiding questions to be addressed regarding indicators 3, 4 and 5:**</u>

- What mechanisms are used to coordinate between actors and institutions? What works, what not?

- How do actors organize, deliver and accomplish the territorial goal at stake?

- What types of forums or platforms for coordination are available, used or created to facilitate coordination? And how do they function?

- What types of human, financial or intellectual resources do actors have?

- What types of mechanisms are available and used for review, audit and feedback into the governance cycle?

- Are there gaps or constraints in coordination, and if so, how are these being overcome?

- How is leadership exercised?

- Is there strong formal or informal leadership in the case? Is leadership centralized or diffused?

- Is the leadership recognized by all actors or is it contested?

- Does the leadership explicitly recognize territorial goals, or is it more sectoral? Why or why not?

- At which level(s) are the formal decisions of the case taken? Is this justified territorially?

- What is the formal distribution of power or room for manoeuvre among the actors (institutions) in the case?

Chapter 3: Integrating policy sectors

Main question to be analysed here:

How does cross-sectoral integration take place within the case study?

Guiding questions to be addressed regarding indicators 1 and 2:

- How do actors within sectors and across governance levels work together *formally* and/or *informally* to achieve the aims of the case?

- What are the mechanisms by which public policies of the case are packaged together (or not)?

- Which policy sectors appear to be dominating and why? Those with economic rationales? Environmental rationales? Social rationales? Territorial rationales?

- How are potential or real conflicts among sectors dealt with?

- Are synergies among sectors sought? By whom and how?

- What are the barriers to cross-sectoral integration and how are these being overcome?

Chapter 4: Mobilising stakeholder participation

Main question to be analysed here:

To what extent are stakeholders being integrated into territorial governance processes and how are they mobilized to this task?

Guiding questions to be addressed regarding indicators 6,7 and 8:

- How and by whom are stakeholders identified?

- How is democratic legitimacy secured in the case (or not)?

- Is the legitimacy gained through representative democracy or through participative democracy?

- How is the question of accountability dealt with? Is this clearly stated throughout the process to all stakeholders concerned?

- Do most of the stakeholders seem to be satisfied with the arrangement?

- Are stakeholder interests and ideas actually taken into account by public authorities? How and to what extent are stakeholders' opinions integrated into decisions? And to what extent do they have a real impact on the decisions taken?

- What participatory mechanisms are put in place and how do these function?

- Are certain groups of stakeholders excluded from the processes? Why?

- How (by which mechanisms) are stakeholders given insight into the territorial governance processes of the case? Are all stakeholders granted the same type of insight?

- Why are stakeholders considered important in the case and why are their opinions being sought (or not)?

Chapter 5: Being adaptive to changing contexts

Main question to be analysed here:

To what extent and how is territorial governance adaptive to changing contexts (from both external and internal stimuli)?

Guiding questions to be addressed regarding indicators 9 and 10:
- Is there evidence of institutional learning and developing institutional memory? If yes, how is this organised?
- Is there evidence of individual learning (and reflection) that have an impact on other (future) actions? If yes, how is this organised?
- Does the case show reflection and integration of feedback routines?
- Is there scope for experimentation and risk taking?
- How is new information being absorbed and eventually implemented in new routines, processes, instruments etc.?
- Is there evidence of forward-looking decision-making and learning from mistakes in the past? What could be done differently in the future? If yes, how is this organised?
- What is the scope of flexibility that is integrated in actions and institutions?
- Is there evidence of considering contingencies (the Plan B)?

Chapter 6: Realising place-based/territorial specificities

Main question to be analysed here:

How are place-based/territorial specificities and characteristics factored into territorial governance?

Guiding questions to be addressed regarding indicators 11 and 12:
- How has the case study intervention area been defined? According to what criteria? By whom?

- To what extent can jurisdictional boundaries being considered as a barrier for Territorial Governance? How (or to what extent) is this barrier being overcome?

- How (and to what extent) is a 'soft' and/or 'functional' understanding of place/territory being considered in this case? If not, what are the reasons for the territorial governance within 'hard' spaces (i.e. defining the territorial scope of the intervention primarily within jurisdictional boundaries)? *This question is eventually dispensable for very local case studies (however, even here the existence of 'parishes'/electoral districts etc. might have an impact on the definition of the geography of the case).*

- How (and to what extent) is territorial knowledge (expert, tacit etc.) recognised and utilised within the territorial governance process of the case at hand? How (and to what extent) does it affect the perception of the specificities of the place/territory? How (and to what

extent) does it shape the adopted mechanisms of territorial governance here? How (and to what extent) is this territorial knowledge translated into objectives?

- How (and to what extent) are the territorial impacts of policies, programmes and projects evaluated? How and to what extent do these evaluations affect the development of the case?

Chapter 7: Other elements and aspects of Territorial governance

Here you are asked to report on any other elements and aspects of Territorial Governance (bad/good or just neutral) you came across, which are not covered by our research framework (see chapter 2 to 6). You are also encouraged to ask (eventually a couple of times during your interviews) the following **main question**:

- What other 'things' are important for the success/failure of the case? Why and to what extent are they important?

So this question should give us indications about any other territorial governance principles, characteristics or elements that are relevant beyond our framework as defined by the five dimensions and the twelve indicators.

Chapter 8: Conclusions

- Please try to synthesise the major findings of chapter 2 to 7.

Please reflect here in particular the extent to which the different dimensions of Territorial Governance and the indicators of 'good' Territorial Governance are intertwined. Please try also to reflect the possible relations between a particular 'indicator' and one or more 'other' dimensions of territorial governance (e.g. to what extent is indicator 1.1 related to dimension 2). This can be discussed by motivating the selection of features of territorial governance, which will assumedly link aspects of the various dimensions and indicators of (good) territorial governance.

- Please evaluate and compare the importance of the various selected features of good or bad Territorial Governance, by especially focusing on how and to what extent each of the features has been relevant to the success or failure of the case, also in comparison to the other features.

- Anything else you want to add to further contextualise and explain your findings? Here you can also add your reflections on specific styles and cultures of territorial governance in relation to your case, on specific paradoxes or other issues that are important for your case.

References:
- Literature and other sources
- List of interviews (Date and Place, name of person and affiliation)

5 Evidence-based synthesis from the case studies

As the case studies were finalised, it was possible to draw some generalisations in the analysis of the results. Although a goal of the ESPON TANGO project is to illuminate particular 'good practices' of territorial governance, this have been be primarily done in the "Guide for practitioners, policy and decision makers". In the analysis here we conversely try to find the commonalities in an evidence-informed synthesis of the dimensions of territorial governance. To do this we briefly stepped away from the chosen indicators and, as mentioned in section 4.2, focused rather on the more integrated set of 20 components that are representative of the structural and process-oriented facets of territorial governance.

5.1 Dimension 1: Coordinating actions of actors and institutions

1)   Distributing power across levels

Power relationships are seldom symmetrical in any territorial governance situation, particularly those involving several administrative levels of government or governance. Within the case studies we see a distinction between **distribution of formal power** (governmental rights and responsibilities) and **informal power** (structures and processes for influencing the decision-making process outside of statutory mandates). In the cases involving transnational or cross-border actors much of the power exercised was of a normative character, rather than regulatory. But also in the local and intra-regional cases, a distinction could be made between **normative** and **regulatory** power, with most cases of territorial governance involving a mixture of both. The territorial components of the case may also dictate power relations; for instance in questions of water or river governance, an 'upstream' territory may have more muscle to influence governance processes than a 'downstream' territory. In an intra-regional or intra-municipal setting, the largest city or region generally has a greater chance of dictating the agenda than does a smaller settlement in the area.

2)   Distinguishing modes of leadership

The modes of leadership varied across case study areas. **Clear leadership** was a characteristic of the more successful cases of territorial governance, regardless of whether the leadership was formal, informal or even shifting. In the same vein, clear leadership appeared to be a contributing factor to the success of other dimensions of territorial governance, in particular cross-sectoral integration. In the 'softer' spaces, **consensus among actors** characterised the main mode of decision-making, facilitated by transparent leadership. Several of the 'unsuccessful' cases were marked by leadership which was unclear, opaque or contested. In a few cases, especially those in more centralised countries, national authorities claimed more top-down power in the issue at the cost to the formal leaders at local or regional level.

3)   Structures of coordination

All of the cases involved a wide array of actors and institutions on various levels, which indeed justifies the need for some type of territorial governance. The main way of coordinating actors and institutions, at the local, regional, national or supra-national levels, was by **organising forums, conferences and workshops** where actors on all levels and sectors could meet and discuss the actions that they are currently taking for the territorial goal at hand. These workshops could be institutionalised as part of a project or administrative structure or organised on an ad hoc basis. However the various forums were not organised solely to coordinate actors and institutions, but generally had the goal to scope out the current knowledge base, identify technical solutions or explore various courses of action. In fact, we see that in the less successful cases, while the structures for coordinating actors and institutions were put in place, they had no real 'bite' in the end as the **territorial goal or outcome** was not sufficiently specified. In a few cases, the coordination of actors and institutions occurred behind closed doors and was not an explicit process. Most cases showed that there is always a risk in forums organised to gather all relevant actors and interests that important stakeholders are neglected or forgotten, or that it is only those with sufficient financial and capacity resources to attend such a forum.

4)   Dealing with constraints to coordination

The constraints to coordination among administrative levels tend to be both built into certain governance systems and/or unintentional. These constraints largely centre on the lack of tools and methods to achieve governance on multi-levels. While many actors have the will to **work up and down tiers or levels**, they may not have any idea about how to do this. There are several different types of constraints to coordination, but the policies, programmes and projects that comprise the case studies tend to be the structural solutions proposed to deal with coordinating actors and institutions. The case studies illuminated few real tools for coordination, an exception being, for instance, one case where a professional facilitator was brought in to deal with coordination. However the cases pointed out several characteristics as enabling factors in the coordination of actors. These include previous cooperation among actors, specific inter-municipal arrangements, but also the existence of various **principles such as solidarity with neighbours or subsidiarity** or the desire to create and maintain a certain 'image' to be presented to the outside world, and which demanded coordination. Several case studies also noted that **unified political landscape**, whereby the same political party dominated multiple governance levels, was an important facilitation factor.

5.2   Dimension 2: Integrating policy sectors

5)   Structural context for sectoral integration

The structural context for sectoral integration is a common component of the 'horizontal' dimension of multi-level governance and features prominently as a dimension of territorial governance. The policies, programmes and projects as objects of study themselves largely set the main informal structural framework for a type of 'policy packaging'. That is the policy, programme or project was designed, at least partly, to enable integration of different policy sectors. This is especially evident with regard to those case studies that cover 'softer' more functional territories whereby a transnational or cross-border strategy or agreement forms the basis for cooperation among sectors. In cases at the national or sub-national level, cross-sectoral integration is generally nested within the governmental/administrative level that is responsible for planning processes. In general,

the **softer functional territories address cross-sectoral integration more explicitly than do the administrative spaces**, since the softer spaces have an often non-binding character with allows them to be more experimental in their approaches to integrate policy sectors (cf. component 16).

6)   Achieving synergies across sectors

While all of the case studies had specific structures set up to promote cross-sectoral integration, the procedures for doing this were much less obvious. Thus the processes for achieving synergies across sectors are more difficult to draw conclusions from than are the structures for integration. These processes varied, but were mainly conducted through established channels and regulations, such as statutory planning processes. That said, working 'concretely' for synergies often occurred through **dialogue among networks or partnerships** associated with the drafting of programmes or strategies among trans-regional, transnational or cross-border actors. In the cases featuring municipal or local governance, synergies were often facilitated by formal or informal structures to promote public-private partnerships. In some of the cases, especially the transnational or cross-border cases, initial attempts to address synergies across sectors occurred within various units or secretariats, which gave the impetus for further exploration of issue areas and sectoral interaction.

7)   Acknowledging sectoral conflicts

Acknowledging the conflicts among sectors and the actors representing them is the first step in potentially dealing with the conflicts. The nature of the sectoral conflicts was obviously related to the case at hand. However as all the cases had a prominent territorial dimension, implicit or explicit conflicts among economic, social and environment sectors coloured each of the cases. The types of conflicts within the cases spanned economic-environmental, transport and spatial planning, water management and spatial planning, planning and culture, as well as mobility and housing. In general the dominating sectors were often those with a **harder economic profile**, such as construction development or tourism at the expense of 'softer' goals such as culture or environment. But the cases also reflected the tensions between **short-term political goals and longer-term territorial or**

sectoral goals. Tensions also became apparent with regard to the sectors that appeared to be 'sidelined' by other more dominant sectors.

8)   Dealing with sectoral conflicts

There were several ways that cases dealt with sectoral conflicts, even if some of the conflicts were not necessarily 'solvable'. One way was in **gathering information or knowledge** about the sectors at hand, particularly those sectors that were not the dominating ones within the case. This was addressed through forums where actors with sectoral interests could participate and in requests for reporting of interests and positions. A second way was in the **established traditions of cooperation and relational dialogue** to overcome differences, especially among transnational or cross-border actors and in informal discussions among local actors to create a win-win situation. Actors from various sectors often come from disparate professional cultures and sometimes speak very different 'languages', which can give rise to misunderstandings or conflicts. Engaging in structured discussion was a method used to understand one another. Thirdly, **boosting institutional capacity** of administrative units was seen as a way to deal more effectively and equitably with conflicting sectoral interests. In those cases dealing primarily at the local/municipal level, greater decentralization of powers to lower levels was seen as a way to increase the capacity of the localities to mobilise resources for addressing sectoral conflicts.

5.3   Dimension 3: Mobilising Stakeholder participation

9)   Identification of stakeholders

The practices of identifying who is relevant and who should be integrated and thus be allowed to actively participate in territorial governance processes vary enormously among the twelve case studies. In some case we can observe that 'routines' have been established which also show some degree of transparency. Others have reported that there is hardly any consistency in how this identification process is performed. Very often public

institutions and actors are designated to select these stakeholders or specific institutional arrangements (e.g. 'platforms') have been formed that already represent the intended range of stakeholders, so that it is felt that no further selection process is required. This can lead to somewhat **nested networks**, since the selection process is based on personal relations or unknown criteria for 'appropriateness' (e.g. being supportive for the specific territorial development goal at hand). Another issue that has been brought up in the cases is that due to **limited resources** not all stakeholders that were identified as being relevant are able to participate in the end.

10) Securing of democratic legitimacy and accountability

This component includes in particular the issue of to what extent the specific territorial governance arrangement at hand reflects democratic principles. Also it integrates the clarification of ownership in the event that public or civic institutions and actors want to appeal the project, policy or programme under consideration. Since almost all cases show some evidence of multi-level governance, some specific **structures and mechanisms are in place at the municipal level** (e.g. the planning and building code). Nonetheless it was felt that these structures and mechanisms are indeed appreciated, but beyond the prevailing routines within local authorities there are hardly any additional forms of representative and/or participative democracy integrated (e.g. at the regional level), which could further strengthen and secure democratic legitimacy and accountability. This is in particular being addressed in those cases where territorial governance arrangements have been created that are not congruent with jurisdictional boundaries and/or are not (yet) represented by any governmental layer.

11) Integration of interests/viewpoints

How and to what extent interests and viewpoints are integrated into territorial governance work differs a lot in the cases. Certainly this is dependent on the degree of formality of the institutional 'level' at hand (e.g. transnational multi-level cooperation structure or urban planning at the neighbourhood level). What is more noteworthy is the fact that even within those institutions leading territorial governance processes, there is little consistency in how this component is being dealt with. Here the question is to what extent the

intervention at hand is considered to be **strategic or of high or low political importance** (or contested) rather determines how various interests and viewpoints are taken into account. Also it appears that in many cases the practices are not set in stone, meaning that we can observe some dynamics in terms of widening the range of viewpoints or trying out **social media** as a rather untraditional tool.

12)   Insights into territorial governance processes

According to the findings from the case studies, the key issue here seems not only to be the question of transparency, but **how the articulated viewpoints are being dealt with**. It has also been noted that it is important to understand the whole territorial governance process as such in order to assess where and when viewpoints might feed into it and what is their relative power to re-shape the policy, programme or project at hand. A number of deficits have been reported, as the design of such processes can be undefined or unclear, which hamper any further mobilisation of stakeholders. It was also reported that such processes might be very transparent for those who actively take part (or are allowed to do so) from the beginning, but as 'outsiders' or as 'stakeholders' joining such processes at a later stage it is rather difficult. Various **media channels (online, radio, newspaper)** seem to be powerful tools to make territorial governance more visible, but not necessarily more transparent, due to the prevailing high level of complexity.

5.4   Dimension 4: Being adaptive to changing contexts

13)   Institutional learning

Here the basic question has been to what extent structures and routines have been installed to maintain institutional learning. This is important, since all cases not only deal with an increasingly complex territorial governance structure, but also the territorial development goal demands that various sorts of knowledge be addressed. How this knowledge is managed within institutions is certainly a question of **resources, scope for (individual) capacity-building and mechanisms** to secure this for future purposes. What is apparently required is stability of institutional arrangements, various means to store and

develop knowledge (monitoring system, annual reports) and mechanisms to safeguard personalised knowledge due to the fluctuation of individual actors. However, besides such rather structural aspects, leadership styles and the level of collaborative culture can either promote or inhibit the opportunity for institutional learning.

14)   Individual learning and reflection

This component is to a high degree linked to component no. 13, if not being to a large extent the prerequisite for it. As a general note it has been voiced in almost all cases that individual learning and reflection was felt as being important, in particular in those territorial governance arrangements, which can be called as being very informal or soft. **Inter-personnel networking and trust** as well as the degree of motivation and also passion of individual actors seem to be central drivers. Otherwise it was noted in many cases that individual learning was given too little room in daily work or that a high amount of information is constantly absorbed, but hardly transformed into knowledge, since routines and time for reflection are sometimes missing. Also specific examples have been reported in which other forms of knowledge acquisition have been used (e.g. the installation of 'arenas for discussion', 'household surveys'), which have contributed to understand specific sectoral interests.

15)   Evidence of forward-looking actions

To anticipate future developments and thus changing contexts and include this knowledge into territorial governance work is another component within this dimension. However, indicative practices or even routines to consider future actions have been only noted sporadically in the case studies. To some extent, future developments are **intrinsically built-in in the policy, programme or project** under consideration (e.g. in the case of climate change, flood risks) or are part of scenario and/or monitoring work. Others noted that at least opportunities for forward-looking actions are given or possibly being considered in the future. In one case it has been reported that the strong belief in continuous urban growth seems to make the consideration of other alternatives meaningless.

16)   Scope of flexibility/experimentation

As a general rule one can say the less the territorial governance arrangement at hand is formalised, the more is the scope of flexibility or even experimentation (cf. component 5). Other factors promoting this scope are the possibility to **integrate ad hoc debates, to create new partnerships, soft leadership** that allows corrective actions or to search for new solutions in light of overwhelming economic crisis. Limiting factors are scarce resources (budget) and business-as-usual attitudes. Another item that has been observed in this respect is the positive effect of robust institutional structures that are at the same time flexible enough to absorb the impacts of political changes or crisis.

5.5 Dimension 5: Realising place-based/territorial specificities and impacts

17) Criteria/logic of defining intervention area

Unsurprisingly the studied cases represent two different types of intervention logics: a) the territorial scope being pre-defined by the **jurisdictional boundaries** of the lead institution (e.g. municipality) and b), the territorial scope based on **functional/issue-based criteria** (e.g. catchment area of river, nature conservation, labour market region). Also in some cases both options are integrated, which enormously complicates a number of previously discussed components of territorial governance (in particular under dimensions 1 and 3). As regards functional/issue-based criteria one needs to add that they are often contested or unclear depending on the issue area or sector that is being covered.

18) Coping with hard and soft/functional spaces

As touched upon in the synthesis for component no. 17, we can construe a clear tension between the approach to integrate soft or functionally defined spaces to view the issue at hand in more issue-based (and often wider) context, and, as is often the case in the end, concrete interventions are dealt with within hard spaces (i.e. often municipal boundaries). Nonetheless, it seems that a soft or functional approach can challenge prevailing perceptions and routines of actors and institutions being locked in 'hard' spaces, which can contribute to a more relational territorial understanding. The key question is then to what extent a more relational understanding gets integrated into policies programmes or

projects or even formally institutionalised in the long run. As regards the latter, in one case a slight 'hardening' of an initial soft space has been reported at the neighbourhood level. In at least half of the case studies, it seems that a **soft or functional-based understanding** in particular at the regional level is (at least) influencing the design of policies, programmes and projects.

19) Utilisation of territorial (expert) knowledge

Regarding this component we can see strong coherence among the case studies, since the utilisation of territorial (expert) knowledge has been largely characterised as being sufficient or even high. In other words, it appears that today's territorial governance practices are provided by an enormous body of territorial expert knowledge. An issue which has been mentioned in many cases is the question who collects and owns this knowledge (and becomes knowledgeable) and to what extent the various actors and institutions involved in the territorial governance work at hand are able (and willing) to share it.

20) Integration of territorial analysis

Although the utilisation of territorial (expert) knowledge is high across the case studies, we see rather strong variations when investigating to what extent this knowledge is being integrated in the policy design. These differences apply to issues such as that the integration is varying within cases. Examples are that territorial analysis is being considered at the local, but not at the macro-regional level or that a number of ex-ante studies have shaped the policy, programme or project at hand, but not necessarily the lessons taken from ex-post analysis. Also it has been reported in two case studies that although comprehensive analysis has been undertaken, the decision-making process was rather shaped by other rationales. Other issues that can be carved out from the cases is the question of **continuity** (since during the plan-making phase the integration of territorial analysis can be high, but rather low once the plan is adopted) or of **setting priorities due to limited resources**. Examples for the latter are the selection of certain areas for territorial monitoring or the integration of territorial impact assessments for only strategic' projects (those who get high political attention).

6   Re-conceptualising territorial governance

Based on the synthesised results from our 12 case studies across Europe presented in chapter 4 as well as the results of the typology exercise in chapter 2 in the following we will revisit our initial working definition of territorial governance as presented in chapter 1.

Unsurprisingly dimensions 1 (Coordinating actions of actors and institutions) and 2 (Integrating policy sectors) can be considered as being at the heart of (regular) governance or even multi-level governance. As most of the case studies have indicated, they are also (more or less) entangled within the actions of *government*. Both dimensions include different ways to integrate various actors and institutions and their interests. For this, horizontal as well as vertical structures and mechanisms have been developed (or are about to be developed) for coordination and 'delivery'. Hence, central for the strong interplay between dimensions 1 and 2 is the distribution of various sorts of power (formal/informal as well as regulatory/normative) and ways to overcome the barriers, constraints or even gaps within the prevailing institutional structures. Dimension 2 accentuates in particular the integration of various interests within governance, which demand different forms of negotiation, moderation or even mediation. It appears important to acknowledge what is called 'sectoral conflicts' and the active engagement of stakeholders to deal with and overcome those.

Dimension 3 (Mobilising stakeholders) expands on the two aforementioned dimensions, as it accentuates to a greater extent the integration of various kinds of stakeholders. The cases argue that certain types of stakeholders have to be mobilized in order to make them aware or at least interested in the issue at hand. Our empirical research was very much directed towards questioning the degree of democratic legitimacy in the various cases, but the case studies show that this was not entirely secured within Dimensions 1 and 2. Thus, the thorny question is how to mobilize in particular civil society and smaller private actors and how this can (or will) feed into Dimensions 1 and 2. As a result, we can argue that Dimensions 1, 2 and 3 can be considered as forming a triangle that is characterised by **coordination as the overarching mechanism** as well as strong or at least moderate relations between them (see figure 6.1).

What is also striking is that 'territorial elements' are only implicitly integrated in Dimensions 1 and 2. They might play a strong role if the composition of actors and institutions at hand as well as the represented policy sectors show a high sensitivity for a 'territorial' perspective. This might be expressed by discussing various territorial impacts for instance. This potential lack of territorial sensitivity or 'grounding' can be compensated to some extent within those practices and routines for integrating the interests and ideas of stakeholders that have been identified and discussed within Dimension 3. In this vein, mobilising stakeholders can be also understood as investigating the responsiveness for a place-based approach.

The analysis of the 12 cases also shows that Dimension 3 (Mobilising Stakeholder Participation) is a lynchpin for achieving both coordination among actors and sectoral integration. However the linkage between dimension 3 and dimensions 4 (Being adaptive to changing contexts) and 5 (Realising place-based /territorial specificities and impacts) are somewhat disconnected. This is perhaps because there is a different overarching mechanism at play. Dimensions 1 and 2 set the structural pre-conditions of multi-level governance, which demands coordinative capacities, while dimensions 4 and 5, as argued below have **knowledge as the overarching mechanism** (see figure 6.1).

Dimension 4 (Being adaptive to changing contexts) and Dimension 5 (Realising place-based /territorial specificities and impacts) are also closely related. The uniting feature is that both dimensions have knowledge aspects at the core of their conceptualisation. The case studies show that in order to be adaptive to changing contexts (dimension 4) it is necessary to have certain institutional structures in place in order to safeguard knowledge and ensure that individual learning is eventually transposed into institutional learning. In addition, taking an experimental or forward-looking approach in governance procedures demands that the knowledge produced within both hierarchical administrative relations and looser network relations has a way of being dispersed within the groupings.

Knowledge obviously underpins the components of Dimension 5 as well. Territorial knowledge sets the framework for the logic of defining an area of intervention and for further 'coping' with 'softer' or more functional boundaries. Particularly the cross-border and transnational cases, but also even softer 'local' cases indicate that the process of

choosing which sectors are represented in an intervention is important in defining the territorial scope of the intervention.

Hence, the analysis of dimension 4 and 5 reveals that different formations of territory-related 'knowledge' are central components for the design of policies, programmes and projects. In other words, the inclusion of Dimensions 4 and 5 sheds light on the question whether 'relevant' knowledge is created, maintained and applied to understand, assess or even envision the impacts and consequences that (optional) interventions (may) have.

The cases also show that utilization of territorial knowledge was widespread, but how the knowledge is collected and 'stored' in the long-term can be more problematic, especially when dealing with knowledge accrued through short-term projects and programmes. Thus the question of 'ownership' and 'stewardship' of knowledge comes into play. The production and use of particularly territorial knowledge also has a temporal dimension. The cases report that often very comprehensive territorial knowledge is produced in the initial stages of a programme or project and evaluated through ex-ante procedures. But perhaps due to the prevalence of working towards territorial goals in project or programme form, it is not unusual that ex-post analyses receive less focus and thus territorial knowledge is also fed back into the policy process to a lesser extent.
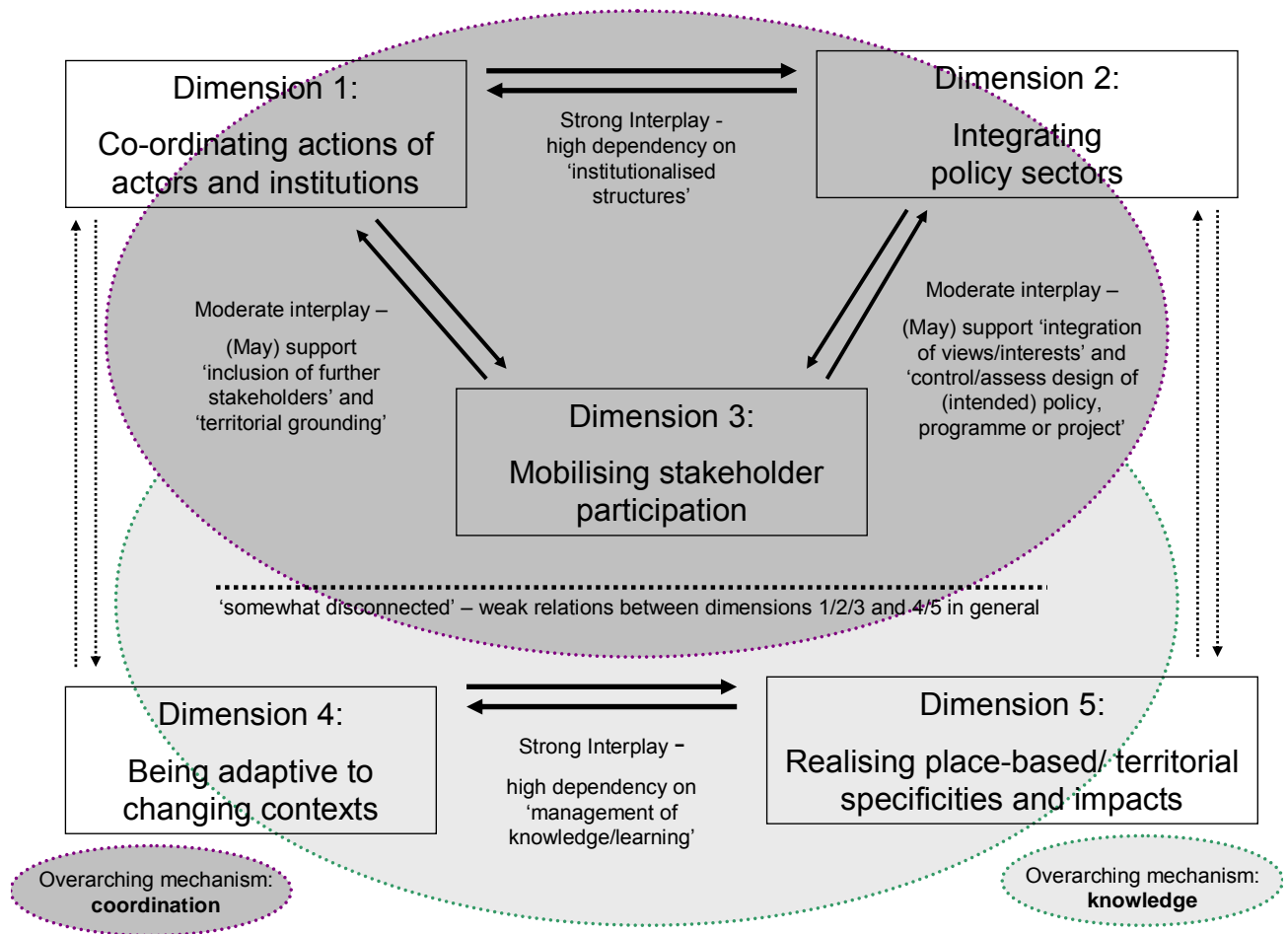
Figure 6.1: Inter-relations between the five dimensions of territorial governance

The figure contains the following labelled elements:

Dimension 1: Co-ordinating actions of actors and institutions

Dimension 2: Integrating policy sectors

Dimension 3: Mobilising stakeholder participation

Dimension 4: Being adaptive to changing contexts

Dimension 5: Realising place-based/ territorial specificities and impacts

Strong Interplay - high dependency on 'institutionalised structures'

Moderate interplay – (May) support 'inclusion of further stakeholders' and 'territorial grounding'

Moderate interplay – (May) support 'integration of views/interests' and 'control/assess design of (intended) policy, programme or project'

'somewhat disconnected' – weak relations between dimensions 1/2/3 and 4/5 in general

Strong Interplay - high dependency on 'management of knowledge/learning'

Overarching mechanism: coordination

Overarching mechanism: knowledge

In general we can argue that the interplay within the triangle composed of dimension 1, 2 and 3 has been (largely) captured, although using a different starting point, by other authors using the concept of multi-level governance (e.g. Hooghe and Marks, 2003, 2010). Following Faludi's (2012) discussion of multi-level governance one can certainly (also) assign the various cases to either the 'Type I' or 'Type II' of multi-level governance as suggested by Hooghe and Marks (2003), when looking at how place and territory are dealt with based on the various indicators and components that are being integrated here within dimension 1, 2 and 3. Nonetheless, we argue that the territorial elements and the shift from 'multi-level-governance' as discussed by Faludi (2012) to what we define as 'territorial governance' (see chapter 1.2) become most explicit when incorporating dimension 4 and 5. Here the focus on the knowledge-related components within the case studies give evidence that helped us to move the analysis from 'Multi-level governance' to 'Territorial governance', echoing as Harrison (2013) postulates towards understanding

territory and networks via processes of interaction that are specifically about the ways in which a territory develops. Only in this way, (relational) space as a social construct, as well as categories such as 'place' and 'territory' factor into multi-level governance (see figure 6.2).
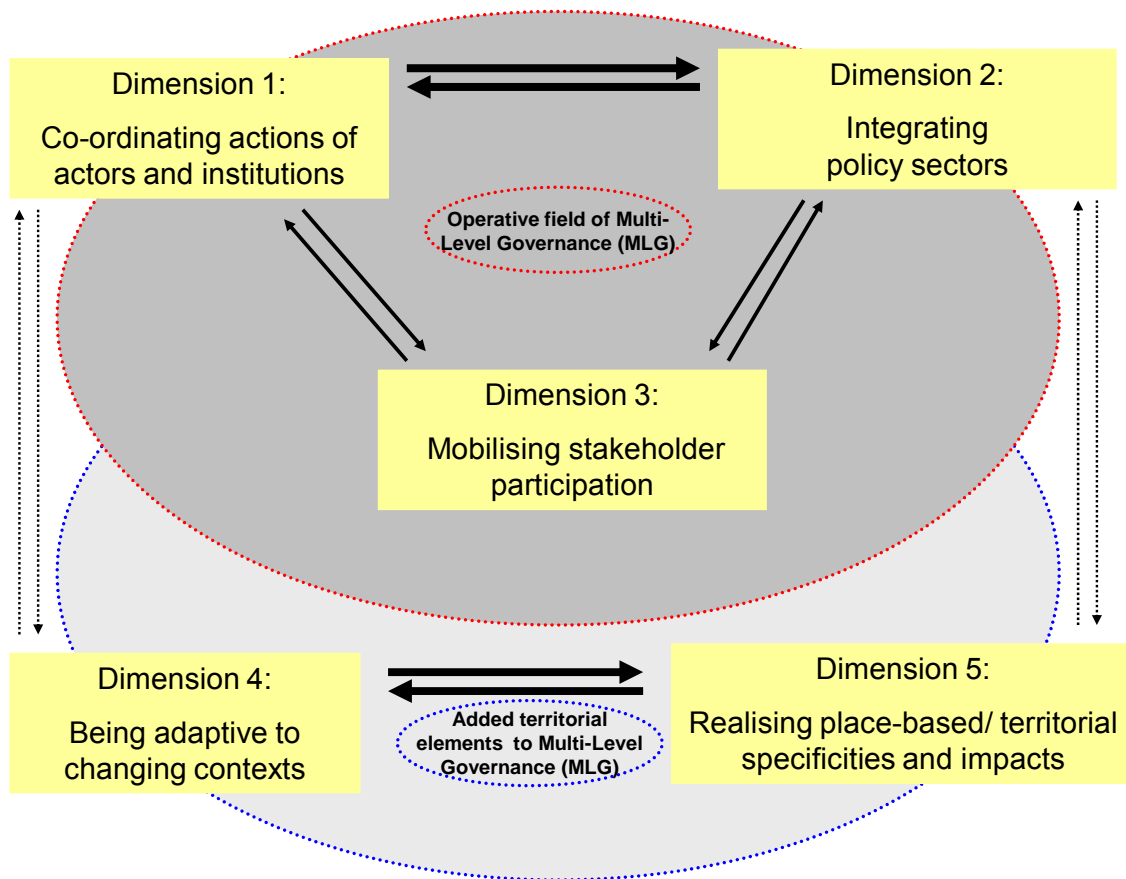

Figure 6.2: The operative field of Multi-Level Governance and the 'Added territorial elements to Multi-Level Governance'

We would argue that the five dimensions as such constitute a robust framework to analyse territorial governance. The 12 indicators, the 42 core questions and 20 components (see figure 4.2) have been helpful to trace even further our study of territorial governance at play, instead of solely focussing on describing the institutional structures. Certainly, one can adapt them depending on the specific focus of any follow-up investigations. Overall, they offer a solid ground to make distinctions within the complex and nested field of territorial governance. In particular they offer room to assess the extent to which the territorial dimension matters within regular (multi-level) governance and thus offers a holistic approach towards territorial governance.

7 Identifying, transferring and disseminating good Territorial Governance

7.1 Introduction

According to Bulkeley (2006: 1030), the assumption that dissemination practices can lead to policy change '*has become an accepted wisdom within national policies and programmes, as well as in international arenas and networks*'. This is evident when looking at recent EU policy documents highlighting how the identification and dissemination of good/best practices is pivotal to many areas of European policy (e.g. CEC, 2006). Similarly, various global policies, programmes and initiatives all illustrate that the development and dissemination of practices is widely considered to be an effective means for promoting policy transfer and learning (World Bank, 2000; OECD, 2001a; CEC, 2006; UN-Habitat, 2009).

The ESPON TANGO research project also aims at developing practical advice for territorial governance based on evidence from current practices. To do so requires a preliminary understanding, on the one hand, of which factors lead to successful territorial governance outcomes as well as which factors constitute potential barriers and counteracting conditions and, on the other hand, of the possible modes for their transferability.

As territorial governance processes are intrinsically complex and made up of a lot of key dimensions (e.g. the multi-level or multi-actor dimensions; the participatory processes or the enhancement of the specific territorial matters), it is highly questionable that any territorial governance practice can be assumed as entirely 'good' or 'bad'. Rather, each territorial governance practice can be supposed to be a mix of successful (from which something can be learned) and unsuccessful (in which the lesson comes from the recognition of the causes of failure) features. In this light, there appears to be a need to focus on the possibility to transfer the specific features of territorial governance that, under certain conditions, have shown 'good' effects, rather than a whole experience of supposed good territorial governance.

Furthermore, the literature on policy transfer clearly highlights how the transfer of good practices cannot be merely a matter of copying or emulation. In order to consider what can be learned from individual cases that is relevant for others, successful transfer also involves processes of learning and adaptation, and the transferability of good practices is a process of exchange that does not proceed in one direction, but needs interaction between contexts and actors involved.

If so, the problem of identification and transferability of good territorial governance practices can be profitably defined in terms of *identification* and *transferability* of their specific and virtuous features. In this light, the main research questions that are addressed in this chapter are (i) which are the main features of territorial governance emerging from the case studies and (ii) under which conditions each single feature may constitute a trigger for learning in other contexts and how could it be possibly transferred. By answering these questions, this chapter aims at constituting the analytical bridge between the case study results and the policy relevant dissemination output of the project, i.e. the guide for practitioners, policy and decision makers.

First, it presents the conceptual framework the research activity has been based upon (cf. chapter 7.2). Building on the very nature of territorial governance, it reflects on how to successfully identify relevant elements of the latter that could constitute appropriate 'triggers' for virtuous territorial governance in a given context as well as potential barriers for this to occur (cf. chapter 7.2.1). Furthermore, on the basis of the existing literature on policy transfer, it develops a conceptual framework allowing for a better understanding of policy transfer in the context of the EU, upon which the analysis of the transferability of the identified territorial governance features and of the related component of exchange has been pivoted (see chapter 7.2.2). Then, it presents the activities undertaken during the Stakeholders Workshop "Towards Better Territorial Governance", organised in the framework of the project, which provided interesting insights both in relation to the identification of 'good' territorial governance features as well as to their modes of transferability (see chapter 7.2.3).

Once the framework for the analysis has been sketched, the chapter goes on discussing the making of and the results of the analysis (see chapter 7.3). It first presents a list of general territorial governance *promoters* and *inhibitors* identified from the case study analysis and consolidated and further refined during the Stakeholders workshop (cf. chapter 7.3.1). Then, it discusses the potential for transferability of the identified territorial governance promoters, referring each of them to a specific *mode of transfer*, and therefore addressing them to a specific target audience (see chapter 7.3.2).

Finally, the rationale for the guide for practitioners, policy and decision makers is presented in detail, together with its structure as well as some considerations concerning its potential effectiveness (see chapter 7.4).

7.2 Transferring good territorial governance in the EU: Towards a conceptual framework

7.2.1 Territorial governance: what can be transferred?

In order to understand what relevant elements of territorial governance could constitute potential 'triggers' (as well as potential barriers) for virtuous territorial governance in a given context, the literature on best/good practices constitutes a useful starting point. Different concepts of best/good practices can be identified within the international debate. In general terms, a 'best practice' indicates a superior method or action that contributes to the improved performance of an organisation, and as such should be usually recognised as 'best' by other peer organisations. Hence, best practice documents usually include guidelines, codes of practice, procedures manuals and regulations. On the other hand, a 'good practice' is related rather to the accumulation and application of knowledge about what is working and not working in different situations and contexts, including lessons learned and the continuing process of learning, feedback, reflection and analysis (what works, how and why).

Moreover, there is a general agreement on the problematic meaning of the term 'best practice' (see, for instance: Andrews, 2010; Grindle, 2011). It presupposes indeed that a practice has been actually benchmarked against similar practices, assuming therefore that there is one best way to do something. Also in this respect, to refer to 'good' rather than 'best' practices seems to fit more appropriate regarding the aims of the ESPON TANGO project for at least two reasons. At first, territorial governance is an extremely complex policy field due to the many differences among institutional frameworks and territorial contexts. Secondly, the present research is mainly expected to derive its findings from case studies rather than from a comprehensive comparative analyis or from 'testing' transferability options.

A further important aspect, which has been clarified in the framework of this applied research project, is that territorial governance is not an objective *per se*, but it is a multi-level and multi-actor process aimed at achieving specific territorial development goals. In the general framework of EU policies, for instance, good territorial governance practices are supposed to be those proving to be effective for the implementation of territorial cohesion policy aims. Similarly, in the light of more recent EU policy agenda, one should consider good territorial governance practices of those contributing to achieve the priorities identified in the Europe 2020 strategy: smart growth, sustainable growth and inclusive growth.

The literature also acknowledges that best/good practices have often a limited role in policy-making processes, because other specific contextual characteristics are more influential (e.g. administrative organisations or cultural traditions). Nonetheless, the possibility to transfer best/good practices between contexts with dissimilar social or economic characteristics, institutional frameworks or actor constellations is a controversial issue, as it has been clearly highlighted in the OECD (2001a) report 'Best Practices in Local Development'. In particular, the report indicates that the development and use of best/good practices is not without difficulties and challenges because there is '*no single model of how to implement local development or of what strategies or actions to adopt*' (*ibid.*: 29). Furthermore, there are limitations of best/good practices transferability in terms of the capability to transfer sufficiently detailed knowledge and information. This

appears to be especially true for territorial governance in Europe, where exchange of best/good practices is particularly limited by wide and multiple differences in institutional, operational, technological, economic, political, territorial, social and cultural contexts, particularly at national and regional levels (Faludi, 2007). In other words, whereas best/good practices are expected to be more easily transposable concerning technical innovation, the large number and diversity of EU countries, regions and cities, with substantial differences in institutional approaches, administrative cultures, professional capacities etc., make transferability of territorial governance practices a much more complicated issue.

Bearing this in mind, the transferability of good territorial governance practices in Europe appears to be influenced overall by two related issues, which were taken into account in the case studies analysis. Namely to identify a list of *promoters* and *inhibitors* of good territorial governance (see chapter 5.3.1 for more details):

- The first issue is that processes of territorial governance are intrinsically complex and made up of a lot of key features, and each of them features a peculiar arrangement, which may result in the success or failure of the application of any specific feature. In some cases, for example, participatory processes or public/private partnerships are particularly effective; in others, the multi-level procedures or the promotion of sustainability can be more successful; and so on and so forth. In this light, it is highly questionable that any territorial governance practice can be assumed as entirely 'good' or 'bad'. Rather, *each territorial governance practice can be supposed to be a mix of successful (from which something can be learned) and unsuccessful (in which the lesson comes from the recognition of the causes of failure) features*.

- The *second issue* concerns the necessity to overcome more traditional approaches to good practices transferability, as based on general or universal guidelines to be used. This aspect, which is strongly related to the 'guide for practitioners, policy and decision makers', suggests that it might be more profitable to explore the possibility *to transfer the specific features of territorial governance wich, under certain conditions, have indicated 'good' effects, rather than a whole episode of anticipated good territorial governance*.

7.2.1 Territorial governance: How to transfer it?

The 'transferability of good territorial governance practices' is an issue characterised by a high degree of complexity, difficulty and risk of failure. Reasons, in brief, may be summarised as follows:

- questionability of 'reproductive' assumptions behind the rhetoric of 'best practices transferability', specially whereas this concerns diversified institutional contexts (James & Lodge, 2003; Vettoretto, 2009; Stead, 2012);
- lack of universal models for policy transfer, verified and tested, because of the high degree of variables at stake (see table 7.1);
- the nature of territorial governance, which is not a 'policy' *per se*, rather the result of a complex processes integrating several policies (see chapter 7.2.1);
- the infinite variety of practices, as outcomes of unpredictable combinations of joint rationalities (March & Olsen, 1979; Schön, 1983), whereas especially these concern the use or transformation of a 'place', which "is always a site of negotiated meaning" (Hillier, 2005: 272).

Table 7.1: A policy transfer framework (Dolowitz & Marsh, 2000)

Why Transfer? Continuum Want To.............Have To			Who Is Involved in Transfer?	What Is Transferred?		From Where			Degrees of Transfer	Constraints on Transfer	How To Demonstrate Policy Transfer	How Transfer leads to Policy Failure
Voluntary	Mixtures	Coercive			Past		Within-a Nation	Cross-National				
Lesson Drawing (Perfect Rationality)	Lesson Drawing (Bounded Rationality)	Direct Imposition	Elected Officials	Policies (Goals) (content) (instruments)	Internal	State Governments	International Organizations	Copying	Policy Complexity (Newspaper) (Magazine) (TV) (Radio)	Media	Uniformed Transfer
	International Pressures		Bureaucrats Civil Servants	Programs	Global	City Governments	Regional State Local Governments	Emulation	Past Policies	Reports	Incomplete Transfer
	(Image) (Consensus) (Perceptions)									(Commissioned) (uncommissioned)	
	Externalities	Pressure Groups	Institutions			Local Authorities		Mixtures	Structural Institutional	Conferences	Inappropriate Transfer
	Conditionality	Political Parties		Ideologies				Inspiration	Feasibility	Meetings/ Visits	
	(Loans) (Conditions Attached to Business Activity)								(Ideology) (cultural proximity) (technology) (economic) (bureaucratic)		
	Obligations	Policy Entrepreneurs/ Experts	Attitudes/ Cultural Values						Language	Statements (written) (verbal)	
			Consultants Think Tanks Transnational Corporations Supranational Institutions	Negative Lessons			Past Relations				

In order to shed some light on this matter, and to profitably address the issue of territorial governance transferability, the institutional context for policy transfer has been framed in the domain of territorial governance in Europe with the purpose of reducing conceptual complexity as far as possible. This led in the light of our literature analysis to the identification of four possible modes for transferring 'features of good territorial

governance' in the EU – namely *discursive*, *practical*, *technical* and *institutional* modes – which are presented and characterised below in accordance with current theoretical findings about policy transfer.

Types and typologies of territorial governance, as well as the complexity of factors concurring to their definitions (see chapter 1.2 and 2), constitute as many evidence of the 'institutional nature' of the subject[9]. Building on a proficient debate regarding (the design of) institutions in/for spatial planning (Bolan, 1991; Alexander, 1995; Healey, 1999, 2006; Gualini, 2001; Cars et al., 2002; Beauregard, 2005; Moulaert, 2005; Hohn & Neuer, 2006; Verma, 2007), territorial governance as an institutional phenomenon can be therefore described as the end-product of a creative selection process of trial and error based on "(i) the generation of variety (in particular, a variety of practices); (ii) the reduction of this variety via competition and selection (the discourse); (iii) the propagation and persistence of the selected solution (the system of rules)" (Moroni, 2010: 279). Practices, in particular, constitute the permanent source and outcome of this continuous cyclical process, because "the raw material on which institutional evolution acts is supplied by human trial and error, by intentional agents trying to deal with problems" (*ibid.*: 280).

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[9] Avoiding any misleading 'structuralism' (Boudon, 1984), this simply means that territorial governance belongs to the domain of social constructs by which communities of individuals jointly organise their life, with the spontaneity that historical conditions allow, through structures and mechanisms of social order and cooperation governing their behaviours (North, 1990; Kasper & Streit, 1998).
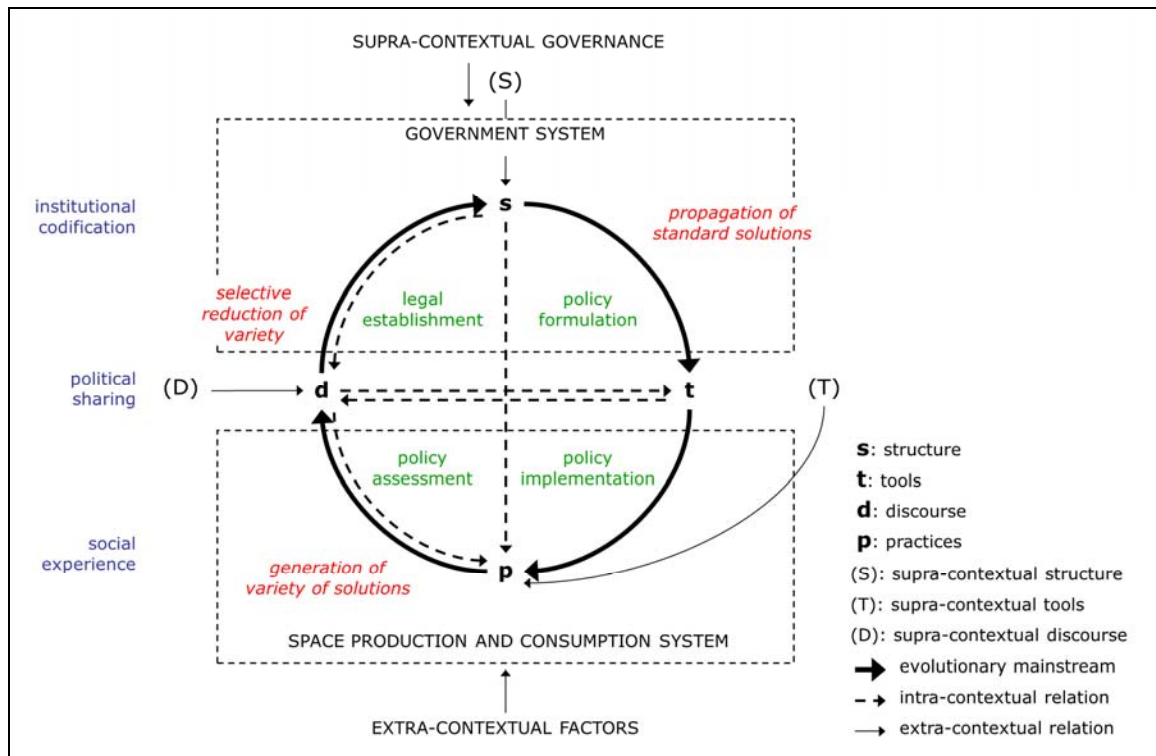
Figure 7.1: Simplified territorial governance process of change (adaptation on: Janin Rivolin, 2012)

These inputs have been recently applied for purpose of conceptualisation in comparative analyses, leading to a diagrammatic representation that describes the evolutionary operation of territorial governance in any institutional context as occurring through cyclical processes connecting the 'government system' with the 'space production and consumption system' through stages of social experience, political sharing and institutional codification, in which four analytical dimensions – *practices*, *discourse*, *structure* and *tools* – are variously interrelated (see figure 7.1). The 'evolutionary mainstream' of territorial governance, based on cyclic phases of policy formulation, policy implementation, policy assessment and possible legal achievement, is complemented by further intra- and extra-'contextual relations', the influence of which is equally determinant. Apart from the crucial role of *practices* (p), as the primary source and outcome of the process, *discourse* (d) refers to the complex activity of territorial knowledge communities (Adams et al., 2011) in reducing the variety of solutions by the prevalence of certain 'hegemonic concepts' (Servillo, 2010). Their possible codification is normally necessary to achieve the propagation and persistence of the solution (the system of rules), modifying the *structure* (s) which constitutes the overall set of constitutional and legal provisions allowing for and determining the operation of territorial governance. A sort of 'descending phase' in the

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cycle continues from here, as systematic application of established *tools* (t) – various types of spatial plans and programmes, but also control devices, monitoring and evaluation procedures, forms of economic incentive etc. – becomes the (new) operational driver for practices.[10]
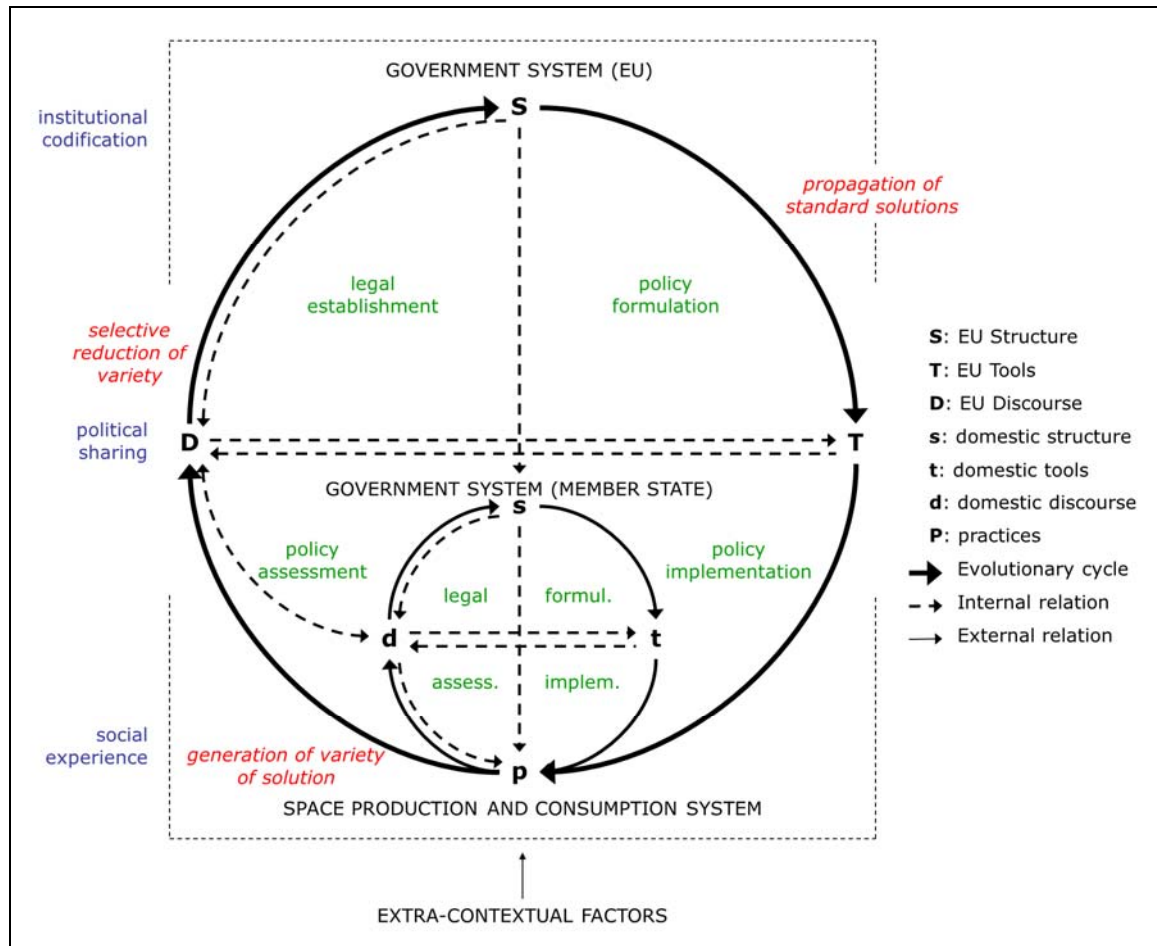

Figure 7.2: Simplified EU territorial governance process of change (adaptation on: Cotella & Janin Rivolin, 2010, 2012)

A tentative application of this analytical model to the wider context of EU territorial governance (Figure 5.2) has led to further interesting findings, in particular, in relation to the process of 'Europeanization' (Knill & Lehmkuhl, 1999; Olsen, 2002; Radaelli, 2004; Lenschow, 2006) of territorial governance (Dühr et al., 2007; Böhme & Waterhout, 2008). Whereas the mechanisms and channels of influence that trigger episodes of 'Europeanization' of territorial governance do not lay at the heart of the ESPON TANGO

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[10] Needless to say, the diagram does not aim to address in detail territorial governance outcomes as the result of an infinite variety of factors, circumstances and individual behaviours. More simply, it proposes an analytical approach to frame and discuss territorial governance as an institutional phenomenon, which is therefore intrinsically subject to permanent social evolution.

project, several authors already pointed out the connection of the latter with processes of policy transfer in Europe (Radaelli, 2000; Wishlade et al., 2003; Conde Martínez, 2005; Holzinger & Knill, 2005). Namely, they are both framed by two interrelated and shared activities: one based on a selective (and thus voluntarily) recognition of common problems and possible solutions, which is usually known as 'lesson drawing' (Rose, 1991, 1993); and another one based on more or less coercive transfer of rules, methods, ideas from one place or institutional context to others (Dolowitz & Marsh, 1996, 2000).

The proposed analytical framework is assumed to be of some value in order to frame conceptually the main opportunities for transferring 'good practices' in the domain of EU territorial governance, on the basis of the hypothesis that the EU territorial governance context may supply a wider range of opportunities for policy transfer with respect to 'multi-national' contexts in a general sense. In more explicit words, problems of policy transfer in the case of EU territorial governance concern an institutional context in which *"the apparatus of policy diffusion and development has transnationalised in such a profound and irreversible way as to render anachronistic the notion of independent, 'domestic' decision-making"* (Peck, 2011: 774). If so, the EU territorial governance process of change may be used as a background for conceptualising the possible paths that policy transfer can be expected to take from a 'good practice' (p1, in a certain domestic context) to supposed receiving contexts (p2n, in different domestic contexts). In so doing, it also indicates which modes of policy transfer should be addressed for operational purposes. The identification of these modes is based on the assumption that the ESPON TANGO project plays an active role in the discourse about the formation of EU Territorial Governance ('D' in figure 7.2). Namely our research is engaged in a critical study of managing place-based/territorial policies, projects and programmes and as such focused on a number of original *practices* (p1, i.e. the case studies) in order to identify their 'good' features and profitable ways to favour their transfer in other practices in different domestic contexts (p2/n).

This view is also coherent with a critique often raised in relation to the transferability of good territorial governance and already mentioned above (see chapter 7.2.1), i.e. that it is not possible to transfer good territorial governance as a whole. More in details, following

the argument of Wolman and Page (2002) who define policies as made of different components that can be exchanged, the transfer of each feature of good territorial governance may be seen as depending on different *components of exchange* that, in turn, may be more relevant for specific categories of stakeholders active in territorial development activities. In other words, the hypothesis here is that the transfer of peculiar elements of territorial governance may be successfully explored through the definition of diverse *modes of transferability* that address, primarily but not exclusively, specific categories of stakeholders to be reached through various components of exchange (see table 7.2):

- Firstly, a **discursive mode** to transfer good territorial governance in the EU context addresses various domestic discourses (p1 → D → d2n) as the target dimension, where the word 'discourse' refers to the complex activity of territorial knowledge communities in determining the diffusion of certain concepts and ideas in a given context. This concerns the opportunity to transfer features of good territorial governance, retrieved from the case studies, in 'general' components (e.g. ideas, principles, philosophy) that are suitable to match the potential interest of any domestic actors operating in diverse institutional contexts in the field of territorial development. The influence over potential borrowers depends, in this case, on the actual level of integration of domestic discourses (d) with the EU discourse (D)[11]. The transfer is more likely to occur especially whereas the match between voluntary motivations for change and potential solutions available triggers policy transfer, based on logics of social learning, which may be accompanied and contribute to a wider evolution of the whole domestic context.

- Then, a **practical mode** of transferring good territorial governance from one context to another relates to the dimension of practices (p1 → D → d2n → p2n) and is mainly addressed to practitioners[12] directly involved in territorial development activities. It concerns the possibility to transfer features of good territorial governance (the promoters retrieved from the case studies), through specific kind of components (e.g. practices, joint projects, interaction) that may stimulate the potential interest of practitioners operating in diverse institutional contexts.[13]

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[11] See Böhme, 2002 on the concept of discursive integration.

[12] Practitioners of territorial governance are the private or public professionals engaged in various roles concerning activities with a territorial dimension at different scales and cohesion policy programmes or projects in Europe. Practices are the specific resource they 'can manage', since they are protagonists of the creation of interactive knowledge, which is generated from the social experience of territorial governance processes.

[13] The plethora of specific exchanges and mutual learning processes that have emerged from bilateral or multilateral projects in the context of European territorial cooperation programmes (cross-border, transnational, interregional) constitute a good example of practical transfer.

- Thirdly, a **technical mode** of transferring good territorial governance concerns the dimension of tools (p1 $\rightarrow$ D $\rightarrow$ d2n $\rightarrow$ t2n) and is addressed directly to policy makers[14], concerning the opportunity to translate the features of good territorial governance, retrieved from the case studies, through specific kinds of components (e.g. methods, techniques and know-how), which may be borrowed by stakeholders operating in other context in their policy-making activity. Furthermore, it may address directly the EU policymakers in the making of EU tools (p1 $\rightarrow$ D $\rightarrow$ T $\rightarrow$ p2n). In this case, multiple borrowers in all domestic contexts would be reached through a rather 'direct' process of policy transfer, triggered by processes of conditionality based on the provision of financial incentives immediately addressed to potential borrowers[15].

- Finally, an **institutional mode** to transfer good territorial governance is addressed primarily to decision-makers[16] and concerns the opportunity to translate features of good territorial governance, retrieved from the assessment of case studies, as specific kinds of components (e.g. rules, codes and laws) that could be institutionally codified in the territorial governance structure at the Member States level (p1 $\rightarrow$ D $\rightarrow$ d2n $\rightarrow$ s2n). Moreover, this mode may also address decision-makers at the EU level, with the institutional codification of one or more of these components in the EU territorial governance structure (p1 $\rightarrow$ D $\rightarrow$ S $\rightarrow$ s2n). Multiple domestic contexts would be reached this way through an 'enveloping' process of policy transfer based on legal conditionality mechanisms[17].

The discursive mode of transfer refers to the preliminary ideas that shape a topical discourse on territorial governance in Europe, which reach the various domestic contexts

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[14] Policy makers of territorial governance are usually public executives and officials in charge of spatial planning and control activities at various administrative levels in all countries, as well as deputed to implement cohesion policy at the EU level (e.g. officials of the European Commission) or at national, regional and local levels in Member States. Techniques of policymaking, applied through the elaboration of programmes and projects, are the primary resource of which they dispose in order to address territorial governance processes.

[15] One example here is the establishment of 'Territorial Employment Pacts' at the EU level in 1997, based on the Italian method of 'Territorial Pacts' (Law 662/1996) which was built on area-based spending programmes' practices experienced since the early 1990s as a new means for the development of Mezzogiorno. This led to an immediate launch of 89 pilot actions in several EU countries, and to a later transfer of the approach into the mainstream of the Structural Funds in period 2000-2006, with major influence on domestic practices in all EU countries.

[16] Decision makers of territorial governance are those appointed by democratic vote, such as members of the EU Parliament and national parliaments or regional and municipal councils, often in charge of ministerial or departmental roles that are related to spatial planning and to cohesion policy. In reason of their elective position, they are the ones that can establish rules on territorial governance.

[17] A clear example here is the widespread and increasing adoption of the principle of 'sustainable development' in territorial governance practices in Europe after its discursive acknowledgment (following the policy assessment made by the UN Brundtland Report in 1987) in the last 20 years. Particularly, this led to the establishment of a series of directives on the level of the EU Structure (e.g. 'Habitat' 92/43/CE, establishing the 'Nature 2000' network, 'SEA' 2001/42/CE etc.), that have progressively transferred this principle both in all domestic contexts (via their respective structures) and in the EU Tools (e.g. Structural Funds programmes, Agenda 21 etc.), with consequent widespread influence on domestic practices.

through processes of discursive integration and may be of interest for anyone concerned by this matter (Böhme, 2002). This mode is particularly concerned by more voluntary 'lesson drawing' processes, while the technical and institutional modes may also be based on more 'coercive' types of policy transfer, when the features to be transferred are taken on board by EU level policy and decision-makers.

Furthermore, as previous descriptions indicate, each of the identified modes of transfer may be directly related, albeit not exclusively, to a main target audience. More in detail, the discursive mode of lesson drawing is particularly concerned with the identification of specific features of good territorial governance that may constitute ideas, principles and philosophies to be taken on board by the territorial knowledge communities active in a specific context and then borrowed by any stakeholder active in territorial development. Conversely, the direct mode of transfer requires the consolidation of practices, joint projects and interaction through which practitioners involved in multiple domestic contexts may learn from each other.

The technical mode of transfer implies the opportunity to translate features of good territorial governance in terms of methods and techniques and know-how primarily addressed to policy-makers. Finally, the institutional mode of transfer implies the capacity to combine features of good territorial governance into rules, codes and law that can be addressed to decision-makers.

Table 7.2: Modes for transfer good territorial governance in Europe.

Modes of transfer	Main components	Target beneficiaries	Addressed dimension	Following paths to reach the borrowers	Influence mechanisms
Dialogic	ideas, principles, philosophy (general)	Everyone	domestic discourse (d)	p1→D→d2n	discursive integration
Practical	practices, joint projects, interaction (specific)	Practitioners	domestic discourse (p)	p1→D→d2n→p2n	lesson drawing
Instrumental	methods, techniques, know-how (specific)	Domestic policy-makers	Domestic tools (t)	p1→D→d2n→t2n	lesson drawing
		EU policy-makers	EU Tools (T)	p1→D→T→p2n	Financial conditionality
Structural	rules, codes, laws (specific)	Domestic decision-makers	Domestic structure (s)	p1→D→d2n→s2n	lesson drawing
		EU decision-makers	EU Structure (S)	p1→D→S→s2n	Legal conditionality

The above discussion suggests additional guiding questions concerning the territorial governance features emerging from the case studies, i.e. under which conditions each of them may constitute a trigger for learning in other contexts, how could it be possibly transferred and through whom (see chapter 7.3.2).

7.2.3 The stakeholder workshop

In order to test and verify the results emerging from the case studies analysis as well as to obtain additional relevant information concerning the identification of good territorial governance features and their transferability, a *Stakeholder Workshop* was organised in the framework of the ESPON TANGO project. The workshop played an essential role in the consolidation and further detailing of the project's results, and most importantly, in the development of the Handbook of territorial governance.

The workshop, titled *Towards Better Territorial Governance. Potentials and pathways for transferring good practices across Europe*, took place in Brussels (Belgium) on Wednesday 20th March 2013, at the European Commission, DG Regional and Urban Policy. It saw the participation of 27 stakeholders, active in various territorial development related activities. Furthermore, in addition to the project partners, it featured the presence of members of the European Commission, the Committee of Regions and the ESPON Coordination Unit.

The undertaken activities had five main objectives:

- To involve the main target groups of the Handbook of Territorial Governance, namely decision-makers, practitioners and policy-makers with a stake in territorial development.

- To identify and discuss the characteristics of good territorial governance and the possible ways to transfer them, on the basis of the information collected through the twelve ESPON TANGO case studies.

- To distil and consolidate a list of good territorial governance practices that may contribute to achieving smart, inclusive and sustainable growth.

- To help participants to detect channels and mechanisms from which to learn and draw lessons.

- To receive suggestions to be incorporated in the making process of a relevant and user-friendly Handbook on good territorial governance.

In short, the workshop was composed of various interventions on topics related to territorial governance in Europe and more in detail to the ESPON TANGO project rationale and methodology, as well as by two main interactive activities, the latter constituting the main way through which the project team aimed at collecting useful insights from the participants (see the final programme in figure 7.3).

ESPON TANGO Project Workshop: "Towards Better Territorial Governance"
Brussels, 20th March 2013

09.00-09.45   *Registration and Welcome Coffee / Tea*

Session One: **Warm-up**
Chairperson: *Lisa van Well, Nordregio*
09.45-10.00   Welcome and Setting the Scene
     Peter Mehlbye, Director, ESPON Coordination Unit
10.00-10.15   Why Territorial Governance matters for achieving Territorial Cohesion
     Martijn De Bruijn, DG Regional and Urban Policy
10.15-10.30   The ESPON TANGO project and the concept of Territorial Governance
     Peter Schmitt, Nordregio
10.30-10.45   Introduction to the Workshop
     Umberto Janin Rivolin, Politecnico di Torino

10.45-11.00   *Coffee Break*

Hands-on exercise I: What can be transferred in Territorial Governance?
11.00-12.30   Based on experiences, participants discuss <u>what is most relevant for transferability.</u>
     Moderators: Politecnico di Torino

12.30-13.30   *Lunch*

Hands-on exercise II: How to transfer good practices of Territorial Governance?
13.30-15.00   Participants discuss <u>channels and mechanisms from which to learn.</u>
     Moderators: Politecnico de Torino
15.00-15.15   *Coffee Break*
Reflections on Potentials and pathways for transferring good practices across Europe
Chairperson: *Lisa van Well, Nordregio*
15.15-15.45   Reflection statements
     Aloys Rigaut, Committee of the Regions, Commission for Territorial Cohesion Policy (COTER), Secretariat
     Thomas Wobben, Committee of the Regions, Director for Horizontal policies and networks
     Emmanouil Dardoufas, Committee of the Regions, Commission for Citizenship, Governance, Institutional & External Affairs (CIVEX), Secretariat

15.45-16.25   *Open discussion*

Conclusions and Follow-up
16.25-16.45   *Umberto Janin Rivolin, Politecnico di Torino & Lisa Van Well, Nordregio*

Figure 7.3: Final Programme of Stakeholder Workshop: Towards Better Governance

During the first exercise, titled 'What can be transferred in territorial governance'?, the workshop participants' were challenged on two different issues. Firstly, they were asked to check the general promoters of territorial governance emerging from the aggregation of the information resulting from the case studies' analysis, subdivided by each of the five dimensions composing the ESPON TANGO territorial governance working definition, and to mark those elements that were considered to be not relevant. Then they were solicited, for each of the five dimensions, to insert additional features which, according to their opinion, did not emerge from the analysis and were therefore missing. Once the exercise was completed, the results were discussed openly by the full audience, leading to the introduction of new territorial governance promoters and to the dropping of those that were considered to be not relevant by the most.

In the second exercise, labelled '*How to transfer territorial governance?*', the stakeholders attending the workshop were required to reflect on the possible way of transferring territorial governance. They were delivered by the list of the general territorial governance promoters emerged from the case studies analysis. Once again they were divided by territorial governance dimensions and consolidated according to the results of the first exercise (i.e. completed with the new features emerged from the latter). The participants were asked to refer each of them to one of the four modes of transfer highlighted in chapter 7.2.2 (ie. to the related components of exchange). The results were again discussed within the full audience. In the end the results have contributed to verify and/or reorient the initial findings obtained from the case studies analysis.

7.3   Results of the analysis

7.3.1   Promoters and inhibitors of good territorial governance

Building on the discussion sketched in chapter 7.2.1, the ESPON TANGO project frames the problem of the identification of good territorial governance practices in terms of identification of their specific and virtuous features, as well as of those elements that may constitute potential barriers for good territorial governance processes to occur. Building on the case study methodology and the specific framework in which it is embedded (see

chapter 4.2) the case studies provide more in-depth insights how territorial governance practices appear to be operational (or not) and thus contribute to (or hamper) the success of the development of a place or territory.

More in detail, and particularly relevant in the context of this chapter, the results of the analysis were used to generate a number of features of territorial governance. Building on the assumption that each case would include practical characteristics of territorial governance and thus could help to define what features may contribute to 'good' territorial governance and what may undermine it, each research team was asked to identify specific territorial governance *promoters* that emerged from their case study by referring to the five territorial governance dimensions that constitute the ESPON TANGO working definition of territorial governance. Similarly, they were asked to identify, in relations to each of these five dimensions, one or more *inhibitors*, i.e. bad features of territorial.

On the basis of the promoters and inhibitors gathered for all the twelve case studies (see Table 7.3), a reduction of complexity of the collected information was operated, by aggregating for each of the five territorial governance dimensions a list of more 'general' *promoters* and *inhibitors* that may be considered to either favour or constrain the occurrence of good territorial governance in a specific context. Furthermore, the obtained list of promoters was discussed in the Stakeholders' workshop as described in chapter 7.2.3, which led to a further revision of the list (see table 7.4 and 7.5)

While the territorial governance inhibitors are expected to constitute a set of 'warnings' for the intended target group (the practitioners, policy and decision maker) being actively involved in territorial governance processes, a sort of 'to-be-avoided' list has been collected based on those features that may undermine good territorial governance processes.

Table 7.3: List of territorial governance inhibitors as derived from the case study analysis and the Stakeholders' workshop

Dimension	TG Promoters	Case Studies
1. Coordinating actions of actors and institutions	• Stability of cooperative experiences	2, 4, 7, 12
	• Pro-active public organisation	3; 4, 10
	• Motivation	4, 5
	• Capacity of negotiation	8, 11
	• Clear and uncontested leadership	2, 3, 6, 7, 11,12
	• Self-committed leadership	1, 4
	• Effective strategic framework	4
	• Political commitment	9, 11,12
	• Common goals, common history	Stakeholders workshop
	• Code of conduct – guidelines	Stakeholders workshop
	• Institutional capacity – qualified staff	Stakeholders workshop
	• Follow-up – monitoring	Stakeholders workshop
	• Leadership at the right level	Stakeholders workshop
	• Quality of motivation	Stakeholders workshop
2. Integrating policy sectors	• Acknowledgement of, and integration with, a multi-level policy framework	3, 4, 5, 12
	• Political support to policy integration at the appropriate territorial scale	4, 7, 11
	• Spatial tool favouring sectoral integration	9, 10, 11
	• Rationale catalysing integration	2
	• Involvement of relevant public and private stakeholders	2, 3, 4, 7
	• Organizational routines favouring cross-sector fertilisation	6, 9, 11, 12
	• Strong political commitment towards a shared territorial vision	1, 2, 6, 8
	• Balance between flexibility and legal certainty	4
	• Monitoring process	Stakeholders workshop
	• Win-win situation – interest	Stakeholders workshop
	• Effective strategic framework – strategies	Stakeholders workshop
	• Leadership – vision	Stakeholders workshop
	• Compatible policy sectors	Stakeholders workshop
3. Mobilising stakeholder participation	• Political commitment	2, 4
	• Usage of various mechanisms of participation	8, 12
	• Mix of indirect and direct democratic legitimacy	3, 11
	• Mechanisms allowing for broad stakeholders' involvement	1, 2, 11
	• Information flow ensured	7, 9
	• Effective means of communication/dissemination of information	2, 3, 4, 6, 10, Ljubljana
	• High level of accountability	2
	• Clear stakeholder process of involvement (choice, mechanisms, expectation)	Stakeholders workshop
	• How to motivate stakeholder (vision, benchmarking, learning)	Stakeholders workshop
	• Feedbacks to stakeholders	Stakeholders workshop
	• Ownership of questions	Stakeholders workshop

Dimension	TG Promoters	Case Studies
4. Being adaptive to changing contexts	• Co-production of knowledge, knowledge transfer	4, 9, 10, 11, 12
	• Institutional mechanisms that favour learning	2, 7, 10
	• Feedback procedures	1, 2, 3
	• Institutional mechanisms supporting adaptivity	6, 7
	• Role of people in charge of responsibility	2
	• Flexibility of governance structure	3
	• Experience in complex programming	11
	• Multi-annual programming	Stakeholders workshop
	• Involvement, participation, commitment	Stakeholders workshop
	• Adaptive management (small-steps, flexibility, room to change direction)	Stakeholders workshop
	• Exchanging best practices to understand the right amount of adaptation	Stakeholders workshop
	• Methods for attracting change	Stakeholders workshop
	• Power to decide change at the right level	Stakeholders workshop
	• Integrative holistic approach	Stakeholders workshop
	• Being conscious and being inspired	Stakeholders workshop
5. Realising place-based/ territorial specificities and impacts	• Awareness of territory	2, 7, 8, 10
	• Involvement of different levels of government	3, 12
	• Spatial tool for coordination	2, 4
	• Acknowledgement and use of territorial potentials	2, 3
	• Co-production of knowledge, knowledge transfer	4, 11
	• Existing shared territorial knowledge	7, 12
	• Evidence of larger territorial context	Stakeholders workshop
	• Spatially differentiated policies	Stakeholders workshop
	• Territorial Impact Assessment	Stakeholders workshop
	• Functional regions	Stakeholders workshop
	• Territorial oriented evaluation	Stakeholders workshop
	• Territorial challenges	Stakeholders workshop
	• Building trust – permanent cooperation	Stakeholders workshop
	• Eliminate barriers to cooperate	Stakeholders workshop

Table 7.4: List of territorial governance inhibitors derived from the case study analysis and the Stakeholders' workshop

Dimension	TG Inhibitors	Source
1. Co-ordinating actions of actors and institutions	• Lack of institutional capacity / stability	2, 4, 6, 8, 9, 12
	• Scarce cooperation between public authorities	6, 11
	• Lack of financial autonomy	9
	• Power struggles	4, 10, 11
	• Unclear assignation of responsibilities	2, 3, 5, 6, 8
	• Scarce capacity of partnership-making	9
	• Centralisation	9, 10, 11
	• Lack of shared motivation	6
2. Integrating policy sectors	• Lacking or inappropriate mechanisms for coordination	5, 9, 10, 11
	• Sectoral rationale dominating	1, 2, 4, 12
	• Lack of institutional capacity / stability	9
	• Scarce cohesion among actors	3, 7, 8, 10
	• Lack /ineffectiveness of integrating spatial tools	4, 9, 11
3. Mobilising stakeholder participation	• Late or no involvement of stakeholders	2, 10
	• Involvement of non-cooperative stakeholders	6, 8
	• Exclusion / limited involvement of certain stakeholders	6,
	• Hegemony of politicians over the process	2, 10, 11
	• Limited communication among stakeholders	6, 10, 11
	• Limited communication towards the outside world	2
	• Weak civic actors involvement	9
4. Being adaptive to changing contexts	• Absence of feedback procedures	2
	• Lack of institutional capacity / stability	9, 10
	• Prejudice or limited strategic thinking	2, 8
	• Uncertain/blurred strategy	1
	• Rigidity of governance structure	8, 9
	• Negative influence by people in charge of responsibilities	9
5. Realising place-based/territorial specificities and impacts	• territorial scope disputed	1, 2, 5, 6, 10
	• lack of structured institutional framework	9, 12
	• time constrains	11
	• limited use of existing territorial knowledge	1, 2, 6, 10
	• excessive complexity of programming tools	12

7.3.2 Transferability of territorial governance features

The discussion on territorial governance transferability presented in chapter 7.2.2 suggests additional guiding questions concerning the territorial governance features emerging from the case studies, i.e. under which conditions each of them may constitute a trigger for learning in other contexts, how could it be possibly transferred and by whom.

Each case study analyst was asked to assess the identified promoters of good territorial governance in relation to the different modes of transfer and to identify which component(s) of exchange might potentially be helpful to transfer each of the promoters from one context to another.

The collected information was aggregated under the same logic as the one adopted in chapter 5.3.1 for the abstraction of the general territorial governance promoters. Furthermore, during the stakeholders' workshop, the participants were asked to relate each of the promoters to the component(s) of exchange (see table 7.2) and highlight those that were most relevant for its transfer (see table 7.5).

Table 7.5: Territorial governance promoters organized by transfer modes

Discursive mode	Practical mode	Technical mode	Institutional mode
• Strong political commitment towards a shared territorial vision	• Organizational routines favouring cross-sector fertilisation	• Effective strategic framework – strategies	• Political support to policy integration at the appropriate territorial scale
• Win-win situation – interest	• Involvement of relevant public and private stakeholders	• Institutional capacity – qualified staff	• Spatial tool favouring sectoral integration
• Compatible policy sectors	• Common goals, common history	• Follow-up – monitoring	• Balance between flexibility and legal certainty
• Rationale catalysing integration	• Motivation	• Stability of cooperative experiences	• Code of conduct – guidelines
• Acknowledgement of, and integration with, a multi-level policy framework	• Capacity of negotiation	• Pro-active public organisation	• Leadership at the right level
• Quality of motivation	• Effective means of communication/dissemination of information	• Mechanisms allowing for broad stakeholders' involvement	• High level of accountability
• Clear and uncontested leadership	• How to motivate stakeholder (vision, benchmarking,	• Information flow ensured	• Multi-annual programming

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learning)

• Self-committed leadership	• Usage of various mechanisms of participation	• Feedback procedures	• Power to decide change at the right level
• Ownership of questions	• Exchanging best practices to understand the right amount of adaptation	• Methods for attracting change	• Role of people in charge of responsibility
• Adaptive management (small-steps, flexibility, room to change direction)	• Involvement, participation, commitment	• Territorial Impact Assessment	• Institutional mechanisms that favour learning
• Integrative holistic	• Co-production of knowledge and knowledge transfer		• Institutional mechanisms supporting adaptivity
• Being conscious and being inspired	• Experience in complex programming		• Involvement of different levels of government
• Evidence of larger territorial context	• Existing shared territorial knowledge		• Functional regions
• Territorial challenges	• Acknowledgement and use of territorial potentials		• Eliminate barriers to cooperate
• Awareness of territory	• Building trust – permanent cooperation		• Spatially differentiated policies

7.4 Towards a guide for practitioners, decision and policy-makers

A "handbook with best practices for territorial governance" has been stipulated in the ESPON TANGO specification as "a specific project delivery", which "is expected to be a source of inspiration for both policymakers and practitioners from the local to the European level working in the field of territorial development and (sector) project management" (p. 10). Our 'Handbook of Territorial Governance', which is entitled *Towards Better Territorial Governance in Europe. A guide for practitioners, policy and decision* makers, has been consequently developed as one main dissemination output of the

project, with the ambition of 'Disseminating good territorial governance principles that lead to successful outcomes to stakeholders' (see Task 14, ESPON TANGO Inception report, page 8).

Generally speaking, a handbook is a type of reference work or a collection of instructions/recommendations that is intended to provide reference on a particular topic. They are designed to be easily consulted and provide quick answers in a certain area. While being widely used in "hard sciences", no such a document has been so far produced in the field of European territorial governance[18]. With no blueprint to build upon, at he beginning of the elaboration of this guide the TPG had to respond to two preliminary questions: a) who is the target group or user of the handbook?, and b) what should be its overall rationale?

Who is the target group or user of the Handbook?

The handbook should provide stakeholders active in promoting territorial development and cohesion at different spatial scales in Europe some practical guidelines in order to support or even build-up 'good' territorial governance, on the basis of the findings stemming from this ESPON project. One of the results of the analysis carried out (see chapter 7.2.2) is that the transfer of good territorial governance features may occur through various 'modes', each of them based on specific components of exchange. These modes require 'interactive resources' that can help to support complex, multifaceted and nuanced processes such as territorial governance (namely practices, techniques and rules).

While such resources are potentially in the hands of everyone, admittedly practitioners, policy and decision makers are in a privileged position for their availability and application. Due to this , these stakeholder' groups constitute the main target group of the handbook

More in detail, **practitioners** of territorial governance are the millions of private or public professionals that are engaged in various roles concerning spatial planning and territorial

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[18] The existing handbooks on governance mainly refer to the internal governance of a specific organization (as for instance the UK National Trust, Un-Habitat etc.), to corporate governance (e.g.: to the benefit of Company Directors and Committee Members, Micro-financial Institutions etc.) or to governance practices related to a particular field or thematic area (as Marine Ecosystems governance, Non-profit governance etc.).

development activities at different scales. 'Practices' are their specific resource, since they can be considered as the protagonists of the creation of interactive knowledge, which is generated from their social experience of territorial governance processes.

Policy makers involved in territorial governance are usually public executives and officials at various administrative levels in all countries, as well as deputed, for instance, to implement cohesion policy at the EU level (e.g. officials of the European Commission) or working in the broad field of spatial planning at national, regional and local levels in Member States. Techniques of policymaking, applied through the elaboration of programmes and projects, are the primary resource which is at their disposal in order to address territorial governance processes.

Last but not least, decision makers of territorial governance are those appointed by democratic vote, such as members of the EU Parliament and national parliaments or regional and municipal councils, often in charge of ministerial or departmental roles that are related to territorial development, such as cohesion policy. In reason of their elective position, they are the ones that can establish rules on territorial governance.

Overall rationale and making of the guide

The overall conceptual framework stems from the ESPON TANGO working definition of territorial governance (see chapter 1.2), upon which the whole research activities have been built upon. On the basis of this definition, the research project has developed various conceptual analyses concerning territorial governance in Europe – such as on typologies, indicators and potentials of policy transfer – and, in search for evidence-based developments, twelve in-depth case studies have been performed.

As discussed in chapter 7.3.1, the storylines from the case studies were decomposed into territorial governance features, i.e. elements which may either favour or prevent territorial governance processes to come about – the *promoters* and *inhibitors*, respectively. Moreover, as chapter 7.3.2 shows, the transfer of these territorial governance features from one context to another may occur through various modes, each based on a specific set of components of exchange that may be either addressed to everyone active in the

field of territorial development (here in terms of ideas) or to a specific group of stakeholders as discussed above (here in terms of practices, techniques and rules).

On the basis of these considerations, the research project's overall findings were organised in the Guide for practitioners, policy and decision makers according to the following structure (see figure 5.3):

- Chapter 1 highlights *preliminary ideas* that shape a topical discourse on territorial governance in Europe, which may be of interest for anyone concerned by this matter.

- Chapter 2 is focused on *practices* that may improve territorial governance in Europe and is particularly addressed to the attention of practitioners.

- Chapter 3 suggests *techniques and methodologies* that can be of particular help for the action of policy makers.

- Chapter 4 sums up to the attention of policy makers the main *kinds of rules* that could improve territorial governance in Europe.

- Chapter 5 recaps finally some *last reminders and warnings* concerning each dimension of territorial governance, as defined above.

Additional resources for the reader are the summarised case studies (reported in text boxes with illustrations along the text), and the list of references to a number of documents or webpages at the end of the guide.
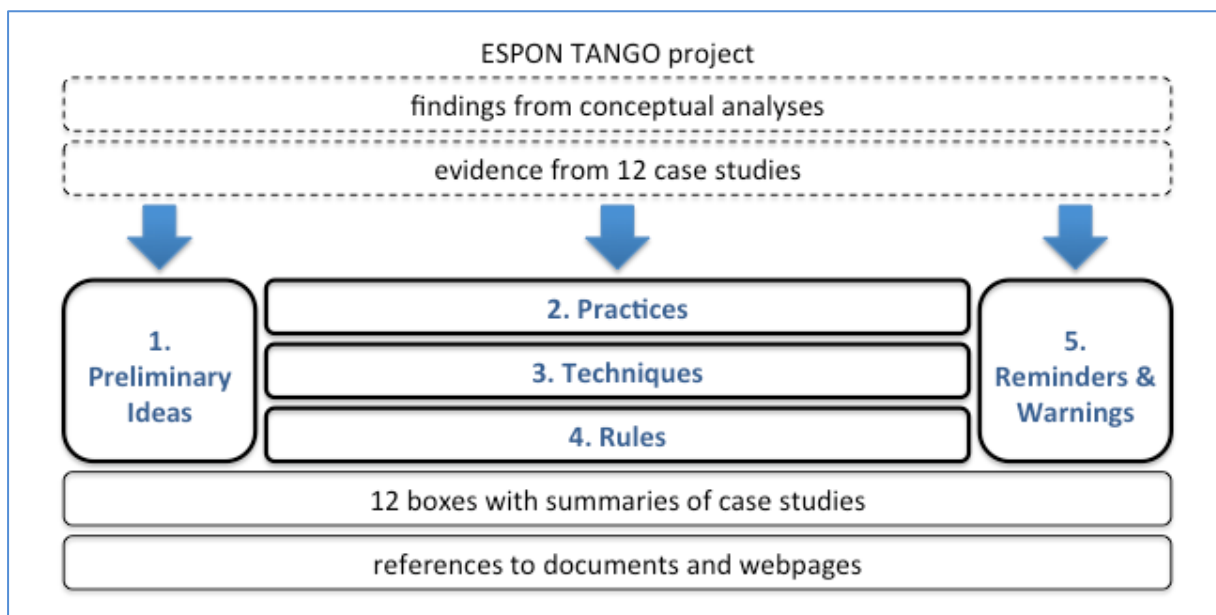
Figure 7.4: Structure of the Handbook on territorial governance

With respect to this framework, each individual player in the complicated game of territorial governance in Europe – and especially practitioners, policy and decision makers at various levels of action – can choose the path of reading that is considered more suitable to his or her needs.

Warnings and potential limitations

As a final remark, however, anyone should be aware of that all indications and suggestions included in the handbook on territorial governance are, unavoidably, of general value only. Due to the context sensitivity of various territorial governance settings across it is only possible to share some principles and aims, their applications must vary to be effective. The proposed extraction of 'features' of good territorial governance from the case studies and their relation to the 'components' and the four distinct 'modes' of transfer can contribute to overcome, at least to some extent, such limitations.

When it comes to policy relevant implications, it is important to stress that the various case studies constituting the evidence-base of the project address policies, programmes and projects on various governance levels and are located within different institutional and geographical contexts. Therefore, particular attention must be paid to identify 'for whom' the identified territorial governance promoters and inhibitors are considered to be 'good'

or 'bad'. More in detail, as various critiques have addressed to theories of policy transfer and lesson drawing (Wolman et al. 1994; Wolman & Page, 2002; James & Lodge, 2003; Bulkeley, 2006; Vettoretto, 2009; Peck, 2011; Stead, 2012), the 'filtering out' process of translating and combing various features of good territorial governance from one context to another is a complex process that imply different degrees of adaptation. In a similar vein, the 'filtering in' process through which specific territorial governance features may be taken on board in different contexts appears to be related to two intertwined dimensions: a) a process of adoption, that gives origin to policies/actions according to new contextual forms or shapes, and b) a degree of territorialisation, that is the relationship between these possible policies/actions and specific place-based issues at stake.

In this light, the ESPON TANGO project does not aim at searching for 'one-size-fits-all' solutions concerning the transferability of territorial governance, but rather at building an evidence-based set of opportunities for innovations in territorial governance practices at different levels/in different contexts, from which various stakeholders may draw lessons according to their own peculiar needs.

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