ESPON TANGO – Territorial Approaches for New Governance

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Table of contents

Part A: Setting the scene

The 'ESPON TANGO' (Territorial Approaches for New Governance) project delves deeply into the conceptualisation and operationalisation of territorial governance. The goal is to provide evidence to support future territorial development policies in general and Cohesion Policy that improves regional competitiveness, social inclusion and sustainable and balanced growth of the European territory in particular.

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 envisaged:

- Evidence on recent trends in organising and managing territorial development (for instance decentralisation, fusion of municipalities, etc.).
- 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 typology of territorial governance in Europe.
- A handbook with good practices for territorial governance, building on 12 in-depth case studies undertaken.

1. Exploring Territorial Governance across Europe

In the following the general research design is presented by discussing some of the underlying concepts and methodological considerations. Chapter 1 shall also indicate some of the TPG's major suggestions how to explore territorial governance in a scientific sound way by incorporating and responding to the predefined policy and research questions (see chapter 1.1). Hereby some strategic decisions had to be undertaken, such as the definition of a solid working definition of territorial governance and its consequences for the research design as well as the difficulty to identify good territorial governance outcomes.

1.1 A deductive research approach: concepts and methodology

Studies of governance and in particular multi-level governance of various subjects abound in the research fields of political science and spatial planning (cf. the more in-depth discussion below). 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 deductively, 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 (cf. chapter 4) is that our research is crouched in the policy-given questions as part of the ESPON 2013 programme in general and the specific targets as an 'applied research project'. Thus the project team is 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) which are predefined in the specification of this applied research 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?

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?

The evidence-base for most of these questions shall be derived from a dozen case studies across Europe on territorial governance at play. Consequently these case studies need to be carefully prepared and embedded in a larger research framework. That is why the project-team has decided at first to develop deductively a working definition of territorial governance based on available approaches, findings and debates. Indeed this definition will be revisited throughout the research process; nonetheless it shall serve as an underlying framework from which the other research parts should be unfolded. These are besides the aforementioned case studies, 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 4.1).

The need for a deductive approach to territorial governance
To date the literature on territorial governance is fairly scant. However, a very wide field of research explores the general notion of 'regular' governance as a descriptive concept (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 (i.e. governance of territories, cf. chapter 3.1). 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).

In terms of the European integration research, others 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 2011).

Lidström (1999) comments that most of the comparative studies of governance are indeed inductive and thus there is a need to complement this body of research with 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 (2008:166) 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 (2002) 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 (2012) 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 2012, 17)? 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 governance really matters.

The concept of territorial governance is more recent in origin compared to 'regular governance' and multi-level governance and much of it is focused on how the concept has infiltrated and been reified in the territorial debate (Janin Rivolin 2010; Faludi 2012a). Territorial governance (i.e. employing a territorial approach in development strategies and decisions) is becoming an increasingly important aspect of policy actions in Europe. It is related to the concept of territorial cohesion as both a policy goal and a political and planning process including the means to achieve efficient, equitable and sustainable development in all types of territories of the EU. Spurred on by the political debate on territorial cohesion and territorial capital, 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). Discussions of territorial governance continue, however, to be informed and inspired by earlier governance and territorial governance discourses. Davoudi et al (2008:37) defined territorial governance as "… *the process of organization and co-ordination of actors to develop territorial capital in a non-destructive way in order to improve territorial cohesion at different levels*". They construct a conceptualisation of the term, based largely on theories of 'regular' governance, which partly serves as a prototype for the TANGO operationalisation (see below). However they were only able to partially test this in an earlier ESPON 2006 study (the '2.3.2 project'). They do make the call, however, for continuation of developing a model or theory of territorial governance and testing it in new empirical research analysis (Davoudi et al 2008:50).

If we then assert that governance matters and territorial governance matters in order to achieve specific territorial development goals in the spirit of increasing territorial cohesion, we have to bear in mind that the issue is still under-researched in the wide body of governance and 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. Much of the literature (Healey 1997, Davoudi et al 2008) espouses that participation of relevant stakeholders is a wide marker for 'good' governance. But is this always the case? And to what extent are they in fact participating? What about circumstances in which relevant and powerful stakeholders represent a collective interest that is at odds with the prevailing norms of a society? Can we make any assumptions about what some of the most important dimensions of territorial governance are in a certain type of territory? What is the most desirable mix between vertical policy coordination and achieving intersectoral synergies? What are actually 'good' or innovative territorial governance practices and how can these be transferred to other territories? These are the types of questions that the ESPON TANGO team is starting to explore in our deductive research design.

1.2   The ESPON TANGO definition of Territorial Governance

As the figure 1 (cf. chapter 1.3) shall illustrate the **working definition of territorial governance** serves as the central theoretical framework from which to embark into the other research components. Hence to set such a starting point a drawing together of various notions and keystones from the literature has been undertaken as regards to what is perceived as being (most) essential and inherent in the notion of territorial governance. As a starting point we took inspiration from Davoudi et al (2008, 352-353), who claim (based on empirical work in the ESPON 2.3.2 project) that territorial governance implies both horizontal and vertical coordination and can be described, analysed and evaluated by looking at three broad types of factors: (i) the structural context, (ii) the policies of the institutional realm, and (iii) the results and processes of actions, programmes and projects for territorial cohesion.

If we then consider territorial governance as the organization of new 'constellations of actors, institutions and interests' (Gualini 2008: 16) and the emerging patterns of co-operation and collaboration, both between units of government and between governmental and non-governmental actors (Lidström 2007) in view of governance practices, the question arises as to how the entire policy chain will be influenced (from the formulation to the implementation of public policies, programmes and projects for the development of a place/territory). Here the question of **integration of relevant policy sectors** and the **coordination of such actors, in particular in a multi-level perspective**, becomes evident.

In addition, the project team has addressed the recent debate around the concept of resilience of social systems and their **adaptability to changing contexts** (e.g. economic crisis, natural disasters). The 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 etc. 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 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 should be very 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.

Based on the above review and discussion, the **TANGO working definition of territorial governance** has been formulated according to the following five key dimensions:

Territorial governance is the formulation and implementation of public policies, programmes and projects for the development* of a place/territory ** by
1) integrating relevant policy sectors,
2) co-ordinating the actions of relevant actors and institutions, particularly considering multi-level interplay,
3) mobilising stakeholder participation,
4) being adaptive to changing contexts
5) addressing the place-based/territorial specificities and characteristics.

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).

**Territory/place is a social construct and is not necessarily limited by jurisdictional boundaries.

1.3   Consequences for the research design

As mentioned earlier, we consider the working definition of territorial governance as the central point of departure from which our research framework and its main components unfold (see figure 1.1 below). In the following we will navigate within and between the circles that illustrate these main components.

Figure 1.1: Main research components of the ESPON TANGO study
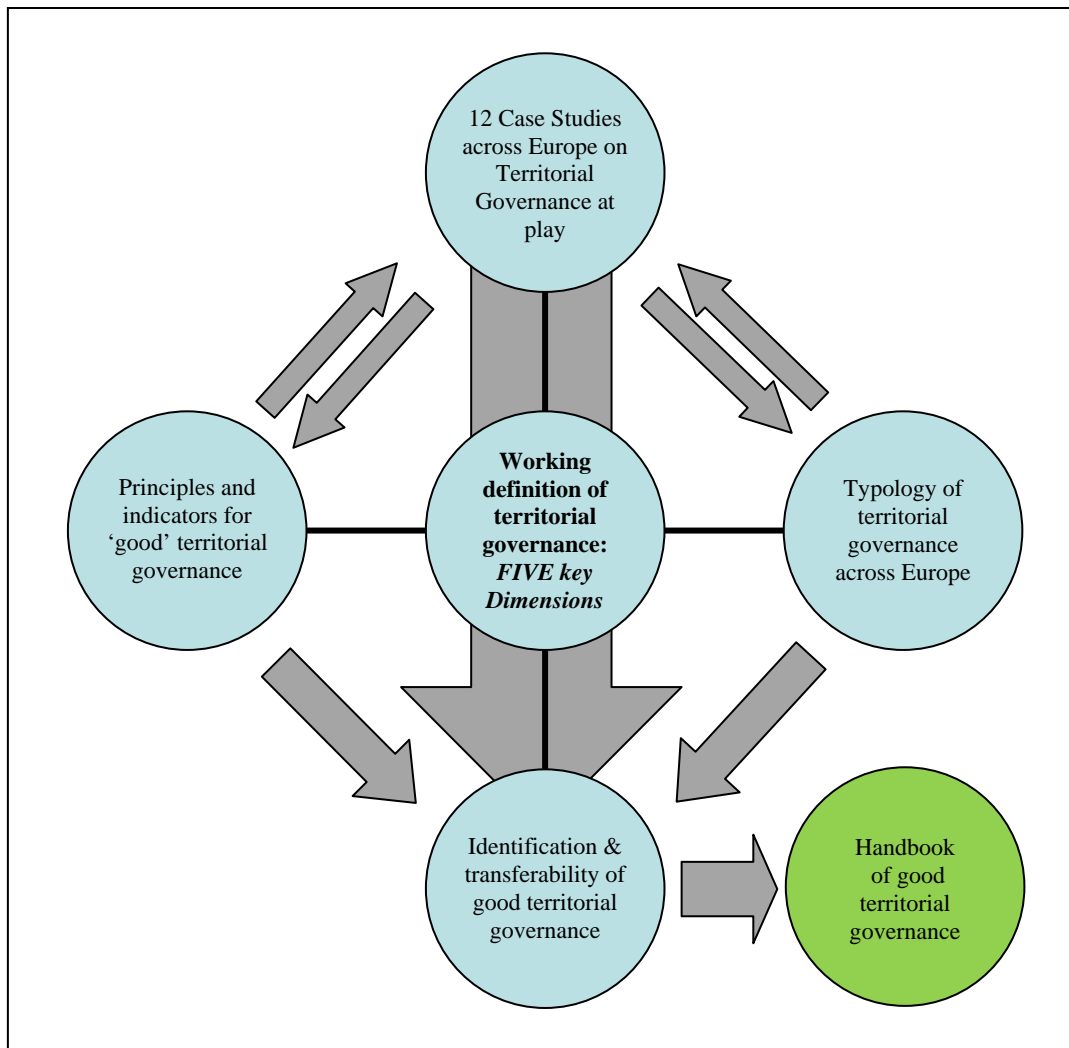
Feeding into a typology of territorial governance across Europe
The working definition thus defines the framework of the construction of a typology of territorial governance in Europe. The typology shall be analytical in nature, since it should not discuss the normative dimensions of 'good' or 'bad' governance. The literature survey of existing typologies in chapter 2.1 indicates the prevailing diversity in this field due to the specific purposes at hand (e.g. to provide rather a typology of administrative traditions, governmental arrangements or spatial planning systems in which the notion of governance is somehow built-in) and the various applied theoretical underpinnings of governance. It also became clear that none of those is close to our understanding of territorial governance in

general and the five key dimensions in particular. Also a pan-European view on territorial governance is (still) lacking, especially in the New Member States of the European Union.

Overcoming these shortcomings will thus be one of the central challenges here, namely to develop a typology that considers the five dimensions discussed above as well as to cover the European space as much as possible. Hence, the typology shall provide a general assessment to what extent the 'five dimensions' are reflected in territorial governance across Europe. In respect of some elements of the typology, the idea is also to incorporate as well a dynamic perspective (i.e. being sensitive as regards recent changes). Further, the intention is to identify 'common territorial governance styles' (i.e. similarities along or across the five dimensions of territorial governance) as well as investigating in particular 'dimension' number 5 (see above). When doing this, it is expected that the typology work will also help us to revisit or eventually fine-tune our working definition and thus also inform the other research components. In this light the case studies (see below) can be considered as a real test-bed for its robustness, since they can be understood as a deep zoom-in of at least some (due to the level of generalising and the claim for developing a pan-European typology) elements that are suggested in the typology of territorial governance.

Framework, principles and indicators for 'good' territorial governance
The major task here is to conceptualise based on the five dimensions what territorial governance qualifies as good or otherwise. An extensive review of the relevant literature, policy documents and relevant studies to develop a conceptual framework for understanding what constitutes 'good' territorial governance has revealed a number of principles, criteria and further characteristics which can be related to the five dimensions. These are translated in a set of indicators which will provide guidelines for assessing the quality of territorial governance in the 12 case studies different contexts in chapter 3. Certainly what is 'good' is inherently normative and value-based. Therefore the list of qualitative indicators shall be weighted with the help of a Delphi exercise with practitioners and policy-makers across Europe.

Case studies analysis
The case studies are the major empirical contribution of the project. So-called case study protocols shall help to identify such good' territorial governance principles, criteria and further characteristics (see above) within 'real' territorial governance practices. The major question is then how they appear to be operational (or not) and thus contribute to the factual success of the development of a place or territory (see TANGO working definition of territorial governance above). If this is the case we call them 'features of good territorial governance'. Due to this, the analysis of the case studies should help to provide an answer to the following relevant questions (i) which are the features of good territorial governance; (ii) how are these implemented and/or how can they shape the process. With the help of the approach illustrated in figure 4.1 (highlighting the relation between a particular territorial governance feature and the success/failure of a particular case), it may be possible to assess territorial governance features case by case on the base of the in-depth empirical work.

Illuminating policy implications and examples of "good" territorial governance

The transfer of good practices cannot be merely a matter of copying or emulation: the same practice can be embedded in many different ways as there are always many different settings. 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. Hence the idea to overcome the problem of transferability of good territorial governance practices shall be achieved by focussing on their inherent specific and virtuous features, as derived from the case study analysis. In this light, as seen in chapter 5, an additional guiding question concerning features emerges, i.e. at which conditions each single feature may constitute a trigger for learning in other contexts and how could it be possibly transferred. To answer this question, at first, a 'set of components of exchange' will be devised from the literature, which will be then interpreted through a relational framework expected to help to outline policy options and possibilities regarding the conditions and barriers of transferring the identified territorial governance features.

Part B: Preliminary results

2. Developing a typology of territorial governance across Europe

One major outcome of the ESPON Tango project is the development of a novel and specific typology of territorial governance across Europe that is based on our working definition of territorial governance and its five dimensions. The typology will be analytical in nature rather than normative: dimensions of 'good' or 'bad' governance will not be included. Considerations of the more normative dimensions of governance can be found later in this report (see chapter 3).

2.1 Comparing existing typologies on governance: a literature review

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 of various other typologies closely related to issues of territorial governance can be found in Farinós Dasí et al, 2006; Lalenis et al, 2002; Tosics et al, 2010). Instead, a number of different starting points for these typologies are illustrated in order to set the scene for the elaboration of a typology of territorial governance. These comprise typologies of administrative traditions, welfare regimes and spatial planning systems.

Administrative traditions
There has been no shortage of typologies of local government systems over recent decades (Sellers & 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 1). According to authors such as Goldsmith & Page (1987) and Hesse & 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).

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

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

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 (see table 2.2). It is apparent that each of their four state traditions (Anglo-Saxon, Germanic, French and Scandinavian) has 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.

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)

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 & Palme, 1998) and social expenditure (Bonoli, 1997; Korpi & Palme, 1998). The development of these typologies is summarised in Table 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 Box 1) to five or six (Aiginger & 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. Finland and Sweden, for example, consistently appear together in the encompassing/Nordic/Scandinavian/social democratic category, Ireland and the United Kingdom in the Anglo-Saxon/basic

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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.

security/liberal   category,   France   and   Germany   in   the
Bismarck/conservative/continental/corporatist category and Portugal and Spain in the Latin
Rim/Mediterranean/southern category. Countries such as Luxembourg and the Netherlands
on the other hand find themselves together with a different group of countries in almost every
classification.

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

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.

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

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 (Nadin & Stead, 2008). The first starts from other 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 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 1). 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).

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

Davies et al, 1989 [1]		Common law		Napoleonic codes		
		England		DK, DE, FR, NL		
Newman & Thornley, 1996	**Nordic**	**British**	**Germanic**	**Napoleonic**		**East European**
	DK, FI, SE	IE, UK	AT, DE	BE, FR, IT, LU, NL, PT, ES		
CEC, 1997 [2]	**Comprehensive integrated**	**Land use management**		**Regional economic**	**Urbanism**	
	AT, DK, FI, DE, NL, SE	IE, UK (+ BE)		FR, PT (+ DE)	GR, IT, ES (+PT)	
Farinós Dasí, 2007 [3]	**Comprehensive integrated**	**Land use regulation**		**Regional economic**	**Urbanism**	
	AT, DK, FI, NL, SE, DE (+ BE, FR, IE LU, UK) BG, EE, HU, LV, LT PL, RO, SL, SV	BE, IE, LU, UK (+ PT, ES) CY, CZ, MT		FR, DE, PT (+ IE, SE, UK) HU, LV, LT, SK	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 2.1: Legal and administrative 'families' of Europe (source: Newman & Thornley, 1996)

SCANDINAVIAN

BRITISH

EAST
EUROPEAN

GERMANIC

NAPOLEONIC

0   miles   500

0   km   500

LEGAL FAMILIES

ENGLAND
WALES
IRELAND

SCOTLAND

NORWAY
SWEDEN
DENMARK
FINLAND

FRANCE, ITALY
SPAIN, PORTUGAL
NETHERLANDS
BELGIUM
LUXEMBOURG

GREECE

GERMANY
SWITZERLAND
AUSTRIA
(EASTERN
EUROPE)

ADMINISTRATIVE FAMILIES

UK
IRELAND

NORWAY
SWEDEN
DENMARK
FINLAND

FRANCE, ITALY
PORTUGAL
NETHERLANDS
LUXEMBOURG
GREECE

SPAIN
BELGIUM

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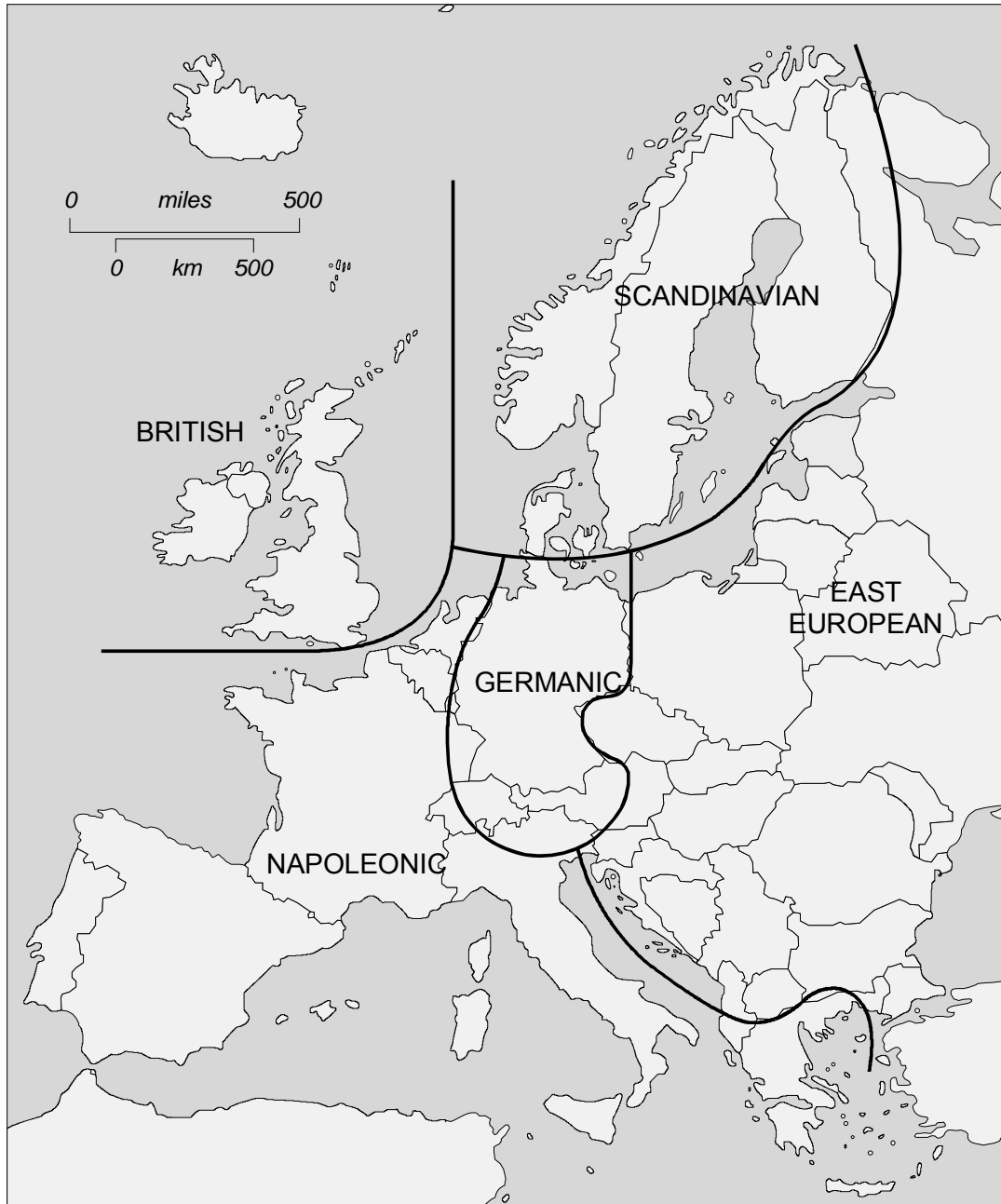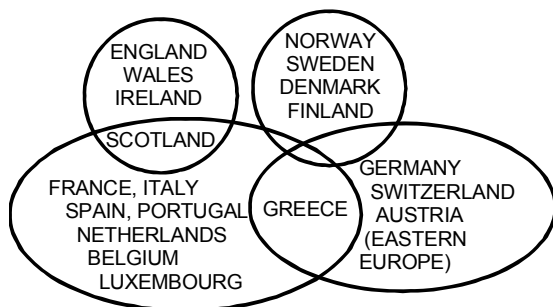
Table 2.5: Traditions and criteria from the EU Compendium of Spatial Planning Systems and Policies (source: Stead & Nadin, 2009)

	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, 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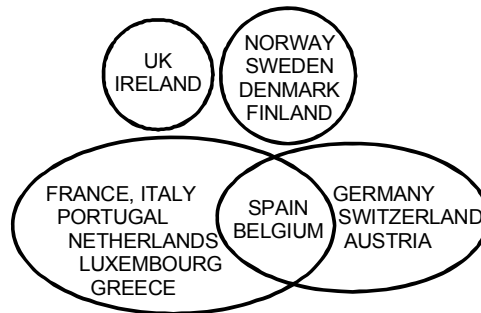.3.2 to classify each country according to the four traditions from the EU Compendium (which were renamed as styles since it argued that some post-communist countries have moved away from previous traditions). However, the EU Compendium's traditions were treated as distinct categories in which planning 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   Lessons from comparing existing typologies on governance

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. Nordic and Anglo-Saxon traditions often emerge as separate and distinct. Germanic states sometimes form part of a Napoleonic cluster but sometimes do not. A few countries occupy quite different places across different typologies (e.g. the Netherlands). 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 inter-state variation (variation between states).

No pan-European typology of territorial governance already exists. Indeed, no typology exists which fully considers the key dimensions of territorial governance that this project has identified as central (see chapter 1). While a new typology may potentially bear some of the hallmarks of other similar typologies (like the ones reviewed above), it could also exhibit some quite distinct differences, particularly since the notion of territorial governance adopted in the ESPON TANGO project is not just limited to formal governmental arrangements.

The ESPON TANGO project presents an ideal opportunity to develop and test a new typology of territorial governance rather than using existing typologies which do not specifically consider the key dimensions of territorial governance that this project has identified as central. A useful reference point in exploring and testing a typology of territorial governance is the work of Sellers & Kwak (2010) who set out a typology of local governance based on criteria related to the vertical integration of policies and politics and the opportunities for local participation in decision-making (Table 6): these criteria coincide with two of the five key dimensions of territorial governance identified in the ESPON TANGO project (coordinating the actions of relevant actors and institutions, and mobilising stakeholder participation). Five dimensions of territorial governance can potentially lead to a complex analytical framework. However, these five dimensions could be used to help

formulate a smaller, more manageable number of Weberian ideal types of territorial governance in the same way that Loughlin and Peters (1997) used six dimensions of governance to formulate four ideal types of administrative traditions (Table 2) and how the Compendium of Spatial Planning Systems and Policies (CEC, 1997) used seven indicators of the spatial planning process to formulate four ideal types or traditions of spatial planning in Europe (Table 5).

Table 2.6: Typology of local governance according to the organisation of the state and civil society (source: Sellers & Kwak, 2010)

		Integration with national policy and politics (vertical integration)	
		High	**Low**
Local participation	**High**	**Nationalised** DK, FI, NO, SE (NL)	**Civic Localist** -- (IE, UK)
	Low	**Elitist** --	**Local Elitist** ES, FR, IT (AT, DE, PT)

Note: Countries in brackets indicate more hybrid types.

2.3 Developing a typology of territorial governance

The ESPON TANGO project has identified five key dimensions associated with territorial governance (Chapter 1). In the next stages of the ESPON TANGO project it is proposed that each of these five dimensions will be used to develop a new typology of ideal types of territorial governance. Because the strength of a typology is closely linked to its simplicity, the aim of the exercise will be to formulate a typology of territorial governance with only a small number of ideal types.

The identification of the ideal types (and the typology) of territorial governance will be based on data from a Europe-wide questionnaire survey as well as from a small number of structured interviews with key experts (some or all of which may be carried out by telephone). In addition, some of the interviews carried out as part of the case study research (by the various project partners) might also be used to test preliminary ideas and results from the construction of ideal types. The idea is that a short online questionnaire survey will be developed and used to gather the first round of data. The questions in the survey will be formulated primarily to gauge the extent to which these five dimensions are typically incorporated into the formulation and implementation of public policies, programmes and projects for the development of a place/territory, and to test the level of importance that different types of stakeholders attach to each of these dimensions. The three main types of stakeholders that will be addressed in the survey will be:

1. national policy officials involved in territorial development/spatial planning;
2. national organisations representing territorial development/spatial planning professionals; and
3. academics with expertise in territorial development/spatial planning.

It is proposed that the national representatives of the Council of Europe Conference of Ministers Responsible for Spatial/Regional Planning (CEMAT) and/or the Network of Territorial Cohesion Contact Points (NTCCP) will be used as the basis for surveys of national policy officials. Surveying the national organisations representing territorial development/spatial planning professionals will be carried out via national members of the European Council of Spatial Planners (ECTP). Academics with expertise in territorial development/spatial planning will be surveyed via the Association of European Schools of Planning (AESOP) and/or the Regional Studies Association (RSA). These various networks should provide several responses for each Member State (primarily from the national level).

In order to provide more focus to the survey questions, the intention is that respondents will be asked to relate their responses to a few (probably 3) specific areas of policy and practice (e.g. environment, transport and economic development) at specific levels of intervention (e.g. international, regional and local). These might include the following three types of cases:

1. the development of joint strategic environmental policy in cross-border regions;
2. the coordination of transport and urban development strategies at the metropolitan level; and
3. the development of economic development strategies at the urban scale.

Clearly, it is essential that examples of the different types of cases can be found across Europe in order to elicit responses from all countries and all types of stakeholders. Examples of the sorts of questions that could be asked for one of these specific areas of policy and practice are presented in Box 1. Similar questions will need to be developed for other specific areas of policy and practice.

The online survey will be developed and hosted by Delft University of Technology which has substantial experience and expertise in this type of work.

Box 2.2: Selected examples of possible survey questions

Situation 1: the development of joint strategic environmental policy in a cross-border region.
To your knowledge, has joint strategic environmental policy been developed in a cross-border region in your country? If so:
1. Can you name a particular example?
2. Please indicate the extent to which the following considerations <u>typically</u> part of the process of developing strategic environmental policy in this situation:

− *Horizontal policy integration* – whether different policy sectors or government departments are involved from both sides of the border, and whether the policy considers how each of these sectors or departments can contribute to the policy goals

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

− *Vertical integration* – whether national, regional and local actors and institutions from both sides of the border are involved in the policy-making process, whether the different objectives of these different actors and institutions are taken into account, and whether the policy considering how each can contribute to the policy goals

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

− *Stakeholder participation* – whether a wide range of stakeholders (e.g. government, NGOs, industry, citizens) are actively encouraged and involved in the process, and whether their participation has real influence on policy decisions

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

− *Adaptiveness to changing contexts* – whether policy making responds quickly to new environmental policy concerns

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

− *Place-based/territorial approach* – whether policy is primarily developed to address local or regional concerns about environmental problems or mainly reflects national environmental priorities

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

These questions will not only allow cross-national analysis of the importance of the five key dimensions of territorial governance for policy and practice, they will also allow analysis of how important these dimensions are for different types of intervention and whether different types of stakeholders hold different opinions on the importance of these dimensions.

The respondents shall be also given the opportunity to note any relevant consideration on how their considerations regarding the territorial governance dimension at hand may vary (or not) from one place to another within the same national context, which might add some flavour to the typology (i.e. provide consideration on uniformity or heterogeneity in relation to territorial governance).

Cluster analysis of the survey data will be used to help identify ideal types for the new typology. The ideal types and typology will then be tested and augmented by means of structured interviews involving a small number of key stakeholders (some of which from the 12 case study areas). The new typology of territorial governance will be compared to a range of other typologies of administrative traditions, welfare regimes and spatial planning (examples of which have been outlined above). The results of the stakeholder survey will also be compared 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 7) since some of these objectives have clear similarities with the dimensions and principles of territorial governance identified in the ESPON TANGO project.

Table 2.7: Emphasis on governance objectives in EU member states (source: ESPON project 2.3.2)

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

2.4   Next steps

The next steps in developing a new typology of territorial governance can be summarised as follows:

- Develop and test the online questionnaire
- Send invitations to stakeholders to complete the questionnaire
- Send reminders to stakeholders to complete questionnaire
- Download the survey responses and analyse the data (using cluster and/or factor analysis) according to: (i) country of response; (ii) stakeholder type; and (iii) areas of policy and practice (identified in the questionnaire)
- Compare the questionnaire results with the findings of ESPON project 2.3.2 (Governance of Territorial and Urban Policies) – see Table 7 above
- Construct a simple draft typology (i.e. one which contains a small number of ideal types) from the above analysis
- Test views an opinions about the draft typology (and the ideal types) in interviews with a small number of key experts
- Compare the typology with the various typologies of administrative traditions, welfare regimes and spatial planning systems (presented above)
- Revise the typology in line with the opinions from key experts and the comparisons with other governance typologies
- Describe and document the new typology in the draft final report

In addition to this, the activities 2.1.2, 2.1.3 and 2.1.4 (see Inception Report, chapter 3.2) will give room to further deepen specific aspects of the typology and will be accomplished along with the work on the typology. These activities cover the following aspects:

- Depicting key contemporary patterns and trends of territorial governance
- Comparing territorial governance styles across Europe
- Examining the importance of 'territory' in governance

We want to propose to deviate slightly from our initial plan to work on these aspects in a rather consecutive way (see Inception Report). Rather, the idea is to integrate these activities while working on the typology (see activity 2.1.1). However, the methodological proposals, as described in the Inception Report, remain the same and thus should not be repeated here.

3. Framework, principles and indicators for 'good' Territorial Governance

3.1 Development of indicators

In the ESPON TANGO Inception Report, we presented an extensive literature review of good governance and a range of indicators which have proposed by international and national organisations for assessing good governance. In the search for the 'alchemical' indicators for global good governance (Kaufmann et al. 2004) by actors such as the World Bank and IMF (International Monetary Fund), it has been acknowledged that there is a great deal of subjectivity in even the apparently most robust of metrics. Additionally, given that the flow of donor monies into developing countries often depends on and conditioned by the outcome of the evaluations of good governance, the international bodies' take on indicators has been criticised as both overly economic in focus and overly normative (Nanda, 2006).

In the Inception Report, we also demonstrated that despite their application in various territories, the global governance indicators are not sufficiently territorial in nature for our purposes. Furthermore, while the numerous efforts to develop governance typologies have reached the conclusion that there is a need for 'hybrid types' to apply to the differentiated spaces of the European spatial polity (as delineated in the literature review in chapter 2.1 of this report), there are still questions around principles and indicators for good territorial governance. This chapter focuses on these through the development of the criteria, their definitions with reference to relevant literature, and their role in the protocol for the project's case studies. We concur that the development of qualitative indicators for good territorial governance is necessary if we are to consider the possibilities of alternative European territorial futures (Faludi 2007; Davoudi and Dammers 2010).

As identified in the Inception report, it is important to acknowledge that territorial governance refers to two overlapping sets of considerations:

- the governance of territory
- the territorial dimension of governance

We argue that in order to satisfy the conditions of good territorial governance both of these considerations must be addressed. In doing so, the questions that need answering include: What is 'good' territorial governance? How does it differ from 'bad' territorial governance? What criteria can we use to evaluate how 'good' is a given territorial system? What indicators can we use to assess the nature and quality of the existing territorial governance systems in the case studies?

The development of the ESPON TANGO working definition of territorial governance has led to the opportunity for a thorough review and consideration of the criteria for 'good'

governance and its territorial aspects into qualitative indicators for good territorial governance. This process, of fleshing out criteria and definitions in connection with disparate literatures is designed to bring analytical clarity to the research, and to offer support in framing the analyses and the assessments of the cases in the subsequent phase of research.

This work has strong lateral connections with the typology baseline review outlined in chapter 2 and the transferability element in chapter 5 and must be viewed as a work in progress. The work on indicators and criteria has consolidated some of the accepted institutional definitions (as laid out in the Inception Report) and combined these with the insights from 'The Adaptive Capacity Wheel: A method to assess the inherent characteristics of institutions to enable the adaptive capacity of society' (Gupta et al. 2010). As the TANGO definition and dimensions were refined, the criteria flowing from it required substantial revisions. The outcome of these deliberations supported by literature review is presented in this section. Our starting point is the five dimensions of ESPON TANGO's definition of territorial governance (see chapter 1.3). Using these dimensions we have developed 10 key indicators which underpin the definitional dimensions and can be elaborated and used in the case study protocols. The table 3.1 below shows the indicators, their relationship with the dimensions of territorial governance and provides a summary description for each indicator. These are further elaborated in chapter 3.1.2.

Table 3.1: Indicators for good territorial governance and their relation with dimensions of TANGO good territorial governance definition

Dimensions of good territorial governance	Indicators of good territorial governance	Summary description
Integrating relevant policy sectors	Policy Packaging	Strategic oversight to enable the bundling of relevant policy areas and sectors in order to add value.
Co-ordinating the actions of relevant actors and institutions	Leadership Governing capacity	Distributed, shared or collective leadership (not necessarily executive) and ownership Governing capacity at appropriate scale or scope to: a) organise, deliver and accomplish (productive) and b) review, audit, check and balance (corrective)
Mobilising stakeholder participation	Legibility Democratic anchorage Transparency	Legibility is to enable stakeholders and citizens to read and navigate the governing arrangements and develop participative forms of democracy. Nature of relationships between the territorial governance actors and representative forms of democracy Transparency, oversight and scrutiny in relation to the role and remit of public agencies in territorial governance mechanisms.
Being adaptive to changing contexts	Reflexivity Adaptability	Ability to reflect on, review and revise the routines, technologies, processes, inputs and outcomes Resilience and malleability of institutional structures and relations in the face of change
Addressing place-based specificities	Subsidiarity Relationality	Ability to take action at the 'best fit' in the changing and interconnected web of spatial and scalar relations.

It is important to note that there is a high degree of interrelationship between the indicators. Table 3.2 shows the most obvious links between them.

Table 3.2: The Interrelationship between the indicators

Indicators	Policy Packaging	Leadership	Capacity	Legibility	Democratic Anchorage	Transparency	Reflexivity	Adaptability	Subsidiarity	Relationality
Policy Packaging		X	X							
Leadership	X				X		X			
Governing capacity	X							X	X	
Legibility								X		
Democratic Anchorage		X					X			X
Transparency							X			
Reflexivity		X			X	X		X		
Adaptability			X	X						
Subsidiarity			X							
Relationality					X					

3.1.2 Detailed description of the indicators

The following section provides a more detailed description of the indicators and how they relate to the five dimensions of territorial governance as defined in chapter 1.3 of this report.

Dimension 1: Integrating relevant policy sectors

Indicator 1: Policy Packaging for good territorial governance

Policy packaging refers to strategic oversight for enabling the bundling of relevant areas in order related to the development of a territory/place to add value (see working definition of territorial governance). This includes coordinating the policies (including also projects and programmes!) across public, private and voluntary sectors. Policy packaging seeks to offer a rubric for territorial integration under which policy sectors are able to begin to achieve synergies by combining intervention in such a way that they mutually reinforce one another. The process through which joined up governance is elusive and 'political value conflicts form an essential part of the explanation for the replication of 'silos' (Davies 2009) cannot be ignored, but it is hoped that through focussing on the needs of places, strategic policy packaging could flow 'up' through institutions alongside interventions flowing 'down' and into place.

Dimension 2: Co-ordinating the actions of relevant actors and institutions

Indicator 2: Leadership

Literature on the nature of leadership is capacious, but what is significant for good territorial governance is the notion that leadership, ownership and responsibility may be distributed across rather than solely exercised by executive authority (Munro et al. 2008), particularly due to the complexity and 'wickedness' (Rittel & Webber, 1973) of the issues at stake. They may also be shared by the actors collectively. Power, in this account, can be wielded collectively and is closely connected to the notions of collaboration among individual actors in order to develop the capacity of all those collaborating for purposive action. Power, here, refers not just to power over action of others, but also to get things done (Davoudi and Evans, 2005)

Indicator 3: Governing capacity

Governing capacity at appropriate scale or scope to: a) organise, deliver and accomplish and b) review, audit, check and balance. Hendrik and Drosterij (2011) call the former the productive and the latter the corrective capacity. This requires institutional capacity at appropriate scale or scope for accommodating and marshalling the salient, necessary and non-obvious stakeholders at all governance levels. This indicator is loosely connected with the notion of distributed or shared leadership (above), and the development of the scope of territorial actors within a given place to learn together.

Dimension 3: Mobilising stakeholder participation:

Transparency, oversight and scrutiny are closely connected with the role and remit of public agencies and bodies. Legibility is the ability of both public bodies and citizens to be able to read and consequently navigate the arrangements and is a pre-requisite for participative forms of democracy. These are deployed as the relationships between the territorial governance actors and representative forms of democracy. Securing this balance, and not assuming that state actors will necessarily have primacy in every case is the reason that the notion of democratic anchorage (see indicator 5 below) is preferred to the notion of, or as a way of securing, accountability. In the securing of these three elements there is a clear role for oversight and acts of translation and interpretation, such as from the media, and from those with alternative views as well as more direct forms of participation.

Indicator 4: Legibility

The legibility of public organisations is a pre-requisite for their ability to meaningfully engage their 'publics.' Following James C Scott's 'Seeing like a State' (1998), scholars have sought to explore legibility in very local and global contexts (Broome and Seabrooke 2012). If governance is illegible then arguably it will struggle to mobilise interests. Some governance formations are 'black boxes,' which impedes wider communication of their aims; this links to the role and remit of those accountable within governance formations.

Indicator 5: Democratic anchorage

As a public agency may not necessarily be in the lead, the discussion about the relationships between representative and participatory forms of democratic accountability is no longer sufficient, and attention should be paid to the varieties of 'democratic anchorage' (Sørensen and Torfing 2005; Torfing et al. 2009; Edelenbos, Steijn et al. 2010; Zeemering 2012)

Indicator 6: Transparency

There are basic ways in which territorial governance can be transparent, including opening accounts of meetings to the public and to other stakeholders. There should also be a climate of openness in which to see how effectively this is secured and communicated through the traditional media or other networks, which is significant for the legitimacy of the actors involved. This relates to the above point about capturing views not expressed through formal participative channels.

Dimension 4: Being adaptive to changing contexts

The ability to reflect on, review and revise the routines, technologies, processes, inputs and outcomes are important. Given the state of flux that we are in, the resilience and malleability of institutional structures and relations to adapt to the changing context is a critical qualification for good governance.

Indicator 7: Reflexivity

Reflexivity refers to how far the routines and technologies at work are able to be revised in the face of new information, opportunities or exogenous factors. Capra's axiom stats that 'anyone can have a world view, it takes a collective to change a paradigm'. The reflexivity, at scale of the network of actors involved, refers not just to individuals acting as reflective practitioners (though this may be a good start) but also, to a property of the structure of the territorial governance entity itself to be able to learn and change. Lowndes and Skelcher (1998) have proposed the notions of 'revisability and robustness' of local governance formations in response to new information arguing that governance entities must be able to stretch, but not too far.

Indicator 8: Adaptability

Usage of feedback and review routines is mainstream within management literature and systems thinking and has influenced some governance scholars. More recently, however, the metaphor of 'adaptiveness' has taken on increased salience in literature on climate change (Haddad 2005; Gallopín 2006; Gupta et al. 2010; Engle 2011). The question of how far governance structure can future-proof its decision-making is a vexed one but a link to inter-generational equity and path-dependency maybe a potential way forward. We will explore this further in the context of the growing literature on resilience (see different meanings of this concept and its translation from ecological to social domains in Davoudi, 2012a).

Dimension 5: Addressing place-based specificities

Indicator 9: Subsidiarity

Subsidiarity principle is action at best fit. European literature on subsidiarity is large and controversial. In this sense, however, it has a relatively simple meaning and does not relate to a politics of subsidiarity but rather subsidiarity of mechanisms for delivery themselves. Action at 'best fit' should frame good territorial governance intervention. In a sense, this refers to appropriate scale for intervention, taking into account the multi-level interplay (Faludi, 2012b). Scale for action may be quite different taking into account different territorial issues and may result in over-lapping non-contiguous boundaries.

Indicator 10: Relationality

Closely linked with the above notion of subsidiarity is relationality which seeks to offer an alternative frame for the management and comprehension of the multiple lenses of good territorial governance. Relationality does not conflate issues with administrative spaces but instead places actors as key nodes within more diffused networks. This is not to say that good territorial governance should abandon territorial democratic connections but suggests that the concept of democratic anchorage (Kjaer 2005) is a way of considering resolving the role of public agencies within the mechanism mix. Relationality also refers to the realisation of the relational space and the fluidity of the spatial and scalar relationship (Davoudi, 2012b).

3.2 Weighting of indicators – using the Delphi-Method

This section explains in detail the elite consensus generation process through which we seek to explore the validity of this set of indicators and how far this supports the work package on typologies.

3.2.1 Delphi process

As outlined in the Inception report, this work package will subject the indicators mentioned above to wider scrutiny through a Delphi technique. The technique was developed by the Rand Corporation in the 1950s (Dalkey and Helmer, 1963). It is a widely acknowledged method for gathering both systematic and experiential knowledge from the experts in the field. The aim is to achieve a convergence of opinion among the participants. Contrary to conventional surveys, Delphi employs multiple iterations of information gathering and feedback processes. This allows the participants to revisit their initial opinions in the light of feedbacks they receive from other participants. Furthermore, contrary to group-based processes (such as focus group) Delphi allows for the anonymity of the participants. It is a flexible and adaptable tool which can provide valuable 'real-world knowledge' (Hsu & Sandford, 2007: 5). The conventional Delphi process involves multiple rounds where the judgments collected in one round are fed back to the participants in subsequent rounds. More recently, Gordon and Pease (2006) have developed a Real Time or Virtual Delphi which is 'roundless' in the sense that the answers generated are fed back to participants in

real time. The advantage of this Real Time Delphi is its efficiency for both the participants and the researchers. However, the software is not free of charge and the cost may be beyond this project's budget. Therefore, for the ESPON TANGO project we propose to undertake two rounds and follow the steps outlined below:

- Step 1: Selection of the participants and development of a structured questionnaire based on the GTG indicators

- Step 2: undertaking round 1 of the Delphi where participants will rate the indicators (e.g. on a scale of 1 to 5) and provide reasons / comments for their rating.

- Step 3: Analysis of the results of round 1 by the researchers to identify priorities, areas of agreement and disagreements among the participants.

- Step 4: undertaking round 2 of the Delphi where the same participants will receive the structured questionnaire along with the results of the analysis and ranking from the first round. They will be asked to consider revising their opinions / ranking in the light of comments from others or to specify why they remain of the same opinion.

- Step 5: Analysis of the results of round 2 by the researchers.

The aim is to identify which indicators are considered by the experts as more important than others in determining good territorial governance and are hence worthy of higher level of attention in principle and in the analysis of the case study results. Whilst we will include questions related to the participants' affiliation, the intension is not to correlate this information with the ranking of indicators, because people for example from the same country may have very different opinions about the ranking of indicators. However, for the project as whole and in relation to input into typologies and case studies, supplementary information on for example country, discipline, etc. will provide useful inputs.

3.2.2 The ESPON TANGO Virtual Delphi

To establish a Delphi Panel, we will use the network of country-based contacts held by the ESPON Coordination Unit, Monitoring Committee and Contact Points. It is proposed to circulate the table 3.1 (above and summarised below, see table 3.3) to the Panel to elicit the expert views from different disciplinary and cultural backgrounds on the good territorial governance indicators.

This process will be carried out in the early autumn in 2012. It will be facilitated by the ESPON Coordination Unit in terms of circulating the virtual Delphi questionnaire.

Table 3.3: Overview of indicators of 'good territorial governance'

1. Policy Packaging
2. Leadership 3. Capacity
4. Legibility 5. 'Democratic Anchorage' 6. Transparency
7. Reflexivity 8. Adaptability
9. Subsidiarity 10. Relationality

3.3   Development of a protocol for case studies

In the second phase of the case study research, we will empirically test our further operationalisation of good territorial governance in accordance with the case study protocol. This protocol will be discussed in detail at the next TPG meeting in Ljubljana in September 2012 and in connection with the comments on the Interim Report. Below is a draft of what this protocol may look like:

D1: integrating relevant policy sectors

I 1: Policy Packaging
Definition: Strategic oversight to enable the bundling of relevant policy areas and sectors in order to add value.

Examples of questions for case studies:
   • Are policies in conflict, parallel or integrated?
   • Ave perverse effects minimised and synergies sought?
   • Has balance across policy sectors been sought and secured?
   • Does the case articulate economic rationale?
   • Does the case articulate social rationale?
   • Does the case articulate environmental rationale?
   • Does the case articulate the rational for balanced development?
   • Does the case articulate the coordination across policy sectors?

Range : Taken account of (sought) – Integration achieved (secured)
 	
   • Who are the significant formal and informal actors and institutions in each relevant sector?
   • Why are these sectors relevant for the development of the goals at hand?

D2: co-ordinating the actions of relevant actors and institutions

I 2 & 3: Leadership and governing capacity
Definition: Distributed, shared or collective leadership (not necessarily executive) and ownership. Governing capacity at appropriate scale or scope to: a) organise, deliver and accomplish, and b) review, audit, check and balance
Examples of questions for case studies: • Do actors take account of multi-level (vertical across actors and horizontal across policies) interactions (link to policy packaging)? • Do actors take account of subsidiarity (link to place based specificities)? • Do actors take account of internal and external cross-border relationships? • Is authority diffuse, collective, shared and/ or executive? • Does the case have capacity for decision at scale and scope? • Does the case have mechanisms to achieve productive and corrective capacity? (e.g. body/partnership/committee with accountability) • What sources of financial (including leverage of private finance), intellectual and social capital is available to actors? • Does the case consider a 'do nothing option'?
Range: Options considered (sought) – Resources provided (secured) • Which actors and institutions at various levels are involved? • What is the formal distribution of power and responsibilities, which frames the room for manoeuvre for the operation of the actors and institutions?

D3: mobilising stakeholder participation

I 4, 5& 6: Transparency/Democratic Anchorage/Legibility
Definitions: Legibility is to enable stakeholders and citizens to read and navigate the governing arrangements and develop participative forms of democracy. Nature of relationships between the territorial governance actors and representative forms of democracy. Transparency, oversight and scrutiny in relation to the role and remit of public agencies in territorial governance mechanisms.
Examples of questions for case studies: • What is the role of public administration? • What is the role of the wider public? • What participatory mechanisms are in place? • What is the extent of accountability and democratic anchorage? • Does the case show hollowing out of the state?   Does the case make clear the roles of private actors? Does the case mobilise actors and institutions? Does the case mobilise public resources and private capital?
Range: Interests articulated within (sought) co-ordination achieved (secured) • Why (if at all) is stakeholder participation considered important in the case? • Who are the involved stakeholders • Why (if at all) is stakeholder participation considered important in the case?

D4: being adaptive to changing contexts

I 7 & 8 Reflexivity / Adaptability
Definition: Ability to reflect on, review and revise the routines, technologies, processes, inputs and outcomes. Resilience and malleability of institutional structures and relations in the face of change.
Examples of questions for case studies: • Are there evidence of future 'proofing' with regard to future generation and path dependency? • Is there evidence of institutional learning and institutional memory? • Does the case show reflection and feedback routines? • Is there scope for experimentation and risk taking? • Is there evidence of considering contingencies (the Plan B)?
Range : Acknowledged (sought) - Fed back (secured) • To which changing context(s) have the actors /institutions have to adapt (such as the financial crisis, administrative reforms, major changes in planning systems, impacts of climate change)?

D5: addressing place-based specificities

I 9 & 10 Subsidiarity/Relationality
Definition: Ability to take action at the 'best fit' in the changing and interconnected web of spatial and scalar relations.
Examples of questions for case studies: • What are the spatial and scalar relations? • How do these map onto the administrative territory? • At what level decisions are made? • Does the case address global as well local scales?
Range: acknowledged (sought) – acted upon (secured) • 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…)? • Why and to what extent these specificities and characteristics matter?

3.4   Next steps

In the next phase of the study and with agreed principles and indicators in place, and in concert with the typology actions, we will undertake the following tasks:

1. Further elaboration d fine-tuning of the framework and indicators in the light off comments received.
2. Establishment of the Delphi Panel, as outlined above.
3. Finalisation of the Delphi questionnaire using the table 3.1 above as the starting point.
4. Starting the Delphi process in early autumn, 2012 and finalising by the end of the year.
5. Elaborating and fine-tuning the input into the case study protocol using the above questions as the starting point.

4. Territorial Governance at play: 12 Case Studies

4.1 Case study methodology

The two-stage approach to case studies
The focus of the case studies particularly emphasises understanding 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 EU 2020 strategy (see chapter 1.3). We not only look at how spatial planning and regulatory instruments are involved in territorial governance, but also the use of broader policy tools such as negotiations, consensus-building and stakeholder involvement. The intention is to identify some of the barriers to 'good' territorial governance processes and mechanisms and to determine how these barriers are being overcome. Finally, the case studies will help us to assess the 'good' or innovative elements of territorial governance and determine which aspects can be transferred to other cases.

The case studies within the ESPON TANGO project are firmly embedded in the research tradition of understanding how territorial governance works in a number of cases. They primarily use qualitative methods to exemplify processes of development at various territorial levels. When doing analysis of several different levels of governance, the aim cannot be to causally explain how one level affects the other. Rather it is to understand how the levels as analytical constructs interact with one another by tracing patterns of interaction between structures and agents among levels. But a degree of explanation as to why and under which causal circumstances territorial governance really matters in achieving a territorial cohesion goal is also evident in the cases. These two different research objectives – understanding and explaining – are not mutually exclusive in a broader research programme such as the ESPON TANGO project. Both are valid elements of research, even if they have different ambitions, are based on different traditions in science and use different analytical tools.

The ESPON TANGO transnational project team is thus conducting 12 multiple case studies to demonstrate 'good' and innovative processes of territorial governance. Multiple case studies throughout Europe are the main empirical output of ESPON TANGO, since the project goal is to draw some generalisations across the set of cases, and construct some cautious comparisons, based on theory. The case studies shall thus help 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 can therefore be 'very conducive for drawing conclusions for the broader theoretical discourse (Blatter and Blume 2008).

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) and are built on a two-stage approach. The first is an explorative process tracing phase (the results of this phase are presented in Annex A and summarised in chapter 4.3

and 4.4). The second and more in-depth phase involves testing the hypotheses about 'good' territorial governance that were generated in the first phase. The second phase is connected with the project's work on the development and weighting of indicators, as well as the resulting case study protocol (see chapter 3).

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.

In the first process-tracing phase in the ESPON TANGO project, we 'traced' our initial hypotheses about the five dimensions of territorial governance Further, we also generated hypotheses about the 'features' of good territorial governance (see the discussion in chapter 1.3 and the first results in chapter 4.4) that could be tested in the second phase. Each of the 12 cases has provided a preliminary description/analysis of the five dimensions of territorial governance as conceptualised above. As analysing processes implies a temporal dimension, the cases study processes take place during comparable (but not necessarily identical) time periods. They range from around 2000 up until the present, basically encompassing the current and previous Structural Fund periods.

During this phase, the project team provided a preliminary discussion reflecting our initial hypotheses of the five dimensions of territorial governance. 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 look 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 attempt 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 will be then explored in the second stage of the case study work. We will ask then the question why stakeholder participation is important in the cases and which stakeholders are initially important.

During the process tracing phase, the changing context and challenges to which the actors and institutions need to adapt has been briefly assessed. All case study processes are traced by looking 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 'good' territorial governance. These might include innovative practices, successful ways of achieving novel results, or how certain barriers have been overcome. In part, they have even shown 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 components could be transferred to other contexts. Nonetheless, we need to stress here that partners have tackled the case studies from different starting points. Some have worked with the cases in one way or another, albeit looking at different issues. 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 good territorial governance features have been developed. It should be also added here, that in contrast to the recommendations by Blatter and Blume (see above), we have deliberately not conducted any interviews during this phase. Rather, this will be done in the next phase (see chapter 4.5).

After the process tracing phase the 'thick descriptions' provided by each case study team will be further analysed and the hypotheses generated within each case compared. With the guiding question: which aspects of territorial governance lead to good (smart, sustainable and inclusive) territorial outcomes we will then categorize the hypotheses into two categories: those that are generalisable among a number of cases and those that are 'particular' or only can be seen in one individual case. In addition, information from the process-tracing phase will be used to eventually refine the definition and conceptualisation of territorial governance – this will be discussed on the next TPG meeting in September 2012.

In the following section, an excerpt of the guidelines for the case study work concerning the analysis of the five dimensions of territorial governance is presented. The questions in the grey boxes are at the centre of the process-tracing phase. The other questions marked with a * are to be tackled in the next phase. Those questions will be rendered more precisely in the next weeks and eventually aligned to the case study protocols (see chapter 3.3. Nevertheless, they give an indication of how the case study work will be further developed (see also chapter 4.5).

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?

- *How does cross-sectoral integration take place?**
- *What are the barriers to cross-sectoral integration work and (eventually) how are these being overcome?**
- *What are the perceived trade-offs and synergies of the cross-sectoral approach?**

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?

- *What actors and institutions navigate more informally among multi-levels? How do they do this?**
- *To what extent and where do gaps among the multi-level coordination exist? If observable: How are these gaps being addressed? Or: What are the main constraints?**

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?

- *What are the forms of mobilization?**
- *How is the output from stakeholder participation factored into the decision-taking?**
- *What kinds of stakeholders (intended or non-intended) are excluded? If so, what are the reasons for this?*

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…)?

- *How do actors and institutions (both formal and informal) facilitate actors to anticipate and respond to changing contexts (from both external and internal stimuli)? If not, please motivate why.**

- *How do actors learn from experience in order to adapt and how is this learning institutionalized? If not, please motivate why.**

- *To what extent are the institutions able to adapt to the most recent changes? If they are not able to adapt, please motivate why. This point is to ensure the topicality of the case study.**

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.

- *How is the territorial context (including e.g. the spatial demarcation, importance of certain territorial specificities etc.) being represented in the case? Are there conflicting representations/perceptions?*

- *How are these representations considered in the various stages of the projects, programmes and policies in the case at hand?*

- *What is the role of jurisdictional boundaries? To what extent can they being considered as a barrier for Territorial Governance? How (or to what extent) has this barrier being overcome? If not, please motivate why.*

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?

- *What features could be useful for implementing (future) Cohesion Policy?**

4.2   Short intro to the background and context of the cases

The 12 case studies have been selected from a larger initial sample on the basis of a number of criteria. This includes a priori knowledge of existing governance processes on behalf of the project team, geographical spread, governance scope (with each case spanning at least two distinct levels of governance), diversity in the sectoral policy areas studied, and the way that the cases address particular territorial challenges (see chapter 5 in Inception report).

The objects of the case study are all relatively recent (from around 2000 until the present). This is to ensure 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 discern some element of 'good' territorial governance. In this sense, it has been important that all project partners have some prior knowledge or preliminary analysis of the case study areas which facilitates that the cases can be as mature and up to date as possible. One major consideration of the team in selecting the cases was that they represent territorial development issues on a range of territorial 'levels' - from the inner-municipal level to the macro-regional level. Table 4.1 below shows the final selection of the TANGO case studies as depicted in the revised Annex to the Inception Report (submitted 20 March 2012).

In helping to elaborate and concretise territorial governance, the twelve ESPON TANGO case studies explore the concept in a diversity of European contexts. Geographically, ESPON TANGO case studies cover areas across the ESPON territory. This includes several cases from Southern Europe that have a focus on the Western Mediterranean, in the Innovative Economic Development Strategies in St Etienne case, and the Southern Alps. In Eastern Europe, studies focusing on Hungary and Ljubljana, Slovenia, in addition to a wider study on the Management of Structural Funds in Central-Eastern European involving Hungary, Poland, Slovakia and Romania will be included. Further, the Baltic Sea Region (BSR) case dealing with 'Territorial Climate Change Governance' in the Baltic Sea Region covers parts of Eastern, Central and Northern Europe. Stockholm, Sweden will also be included in Northern Europe, while two bottom up case studies from England, two involving the Netherlands and several concerning Germany will be included.

The territorial scope of the case studies ranges from the sub-municipal level, in North Shields, England through the municipal, intra-municipal and metropolitan levels, including Kalundborg, Denmark, 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 will be explored through the previously mentioned case. Finally, the BSR offers an example of macro regional efforts at territorial governance in Europe.

Table 4.1: Final selection of TANGO case studies*

Case	**Geographical coverage**
1. Territorial Climate Change governance in the Baltic Sea region	Baltic Sea Region, SE and DE
2. Territorial Governance as a way to resource efficiency in urban development	Stockholm (SE)
3. Coordination of land-use and transport (StedenbaanPlus)	Southern Randstad (NL)
4. Cross-border cooperation Rhine Basin	Rhine River basin, in particular NL and DE
5. Target-based Tripartite Agreement between the European Commission, the Italian Government and Lombardy Region	Alpine Space, IT
6. Innovative economic development strategies in Saint-Étienne within the South Loire SCOT framework	Saint Etienne (FR)
7. Greater Manchester City Region Governance	England
8. North Shields Fish Quay: Neighbourhood Planning in the UK	England
9. Management of Structural Funds in Central and Eastern European countries	Hungary, Poland, Slovakia, Romania
10. European Capital of Culture, Pécs, 2010	Hungary (European wide comparison)
11. Formulation and implementation of spatial planning strategies and regional development policies in Ljubljana Urban Region	Slovenia, Ljubljana Urban Region
12. Governance of natural areas in the Alpine Adriatic area	Alpine Adriatic area (SI, IT, AT, HU, HR)

Please note: Compared to the revised Annex to the Inception Report some slight linguistic changes have been made in the titles of some of the case studies (see also Annex A)

The territorial scope of the case studies ranges from the sub-municipal level, in North Shields, England through the municipal, intra-municipal and metropolitan levels, including Kalundborg, Denmark, 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 will be

explored through the previously mentioned case. Finally, the BSR offers an example of macro regional efforts at territorial governance in Europe.

A number of territorial policy areas are addressed in the case studies. These include transportation and mobility infrastructure, climate change, economic development, water management, land use planning, cultural development and the environment. Further, each case study addresses some aspect of Europe 2020 and includes some element of "good" or innovative territorial governance which strikes the appropriate balance among smart, inclusive and sustainable growth. The case study selection ensures that territorial governance aspects of EU 2020 are well covered, with case studies that focus on the majority of Flagship Initiatives; Innovation Union, Resource efficient Europe, An industrial policy for the globalisation era, An agenda for new skills and jobs, European platform against poverty.

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 particularly evident in the case studies such as those looking at Resource Efficiency in Stockholm, Coordination of land-use and transport in the Randstad, Target-based Tripartite Agreement in Italy, Sub Regional Governance for Economic Development in the UK and Neighbourhood Governance for Spatial Planning in the UK.

Finally, territorial governance challenges that will be dealt with in the case studies include 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. Each of the twelve cases is discussed in further detail in Annex A.

4.3   Preliminary insights from the Case Studies

Case 1: Territorial Climate Change Governance in the Baltic Sea Region (BSR)
Climate change mitigation and adaptation strategies have become priorities for most of the countries of the BSR. Knowledge and institutional capacity is being built up locally in regions and municipalities, while cross-border cooperation and transnational learning within and between the BSR territories is being encouraged. Many of these governance efforts are occurring within the framework of the European Union Strategy for the Baltic Sea Region (EUSBSR). The case study will examine the inter-sectoral and multi-level governance challenges within the EUSBSR and focus specifically on the far-reaching climate change adaptation efforts in Mecklenburg Western Pomerania (DE) and Kalundborg (DK) and the specific challenge of coordinating adaptation efforts across sectors and administrative levels as well as mobilising stakeholders. The way that these coastal areas learn from one another via transnational cooperation projects in the BSR macro-region is an example of 'good' governance practices across territories.

Case 2: Resource Efficiency in Stockholm
In Stockholm, environmental sustainability and resource efficiency have played a central role in the city and region's planning strategy in recent years. Having experienced considerable success in achieving this through top-down initiatives, the City is now working to engage a wider range of actors working with urban development. By engaging more stakeholders, this governance system has the potential to become more responsive to bottom-up efforts and enhance Stockholm's resource efficiency. At the regional level, a polycentric development plan, consisting of a series of urban cores circling the inner city, has been established. In emphasising resource efficiency, this plan focuses on transit oriented development, mixed use districts with access to a range of local services and more balanced region that reduces the need for travel to the inner city.

Case 3: Coordination of land-use and transport in the Randstad
Stedenbaan Plus (CityRail Plus) is an integrated programme for coordinating public transport and spatial development in the province of Zuid Holland (South Holland) in the Netherlands. It involves cooperation between neighbouring and multiple levels of government, as well as private parties including a rail operator and the managing authority for the national rail infrastructure. In terms of transport policy, the programme seeks to increase the quality and frequency of rail connections in the region, develop a more integrated system and increase the accessibility of stations (e.g. by improving Park and Ride facilities, cycle parking, safety in and around the stations, access to and from stations). In the area of spatial planning, the StedenbaanPlus programme seeks to promote the construction of new homes, offices and facilities around public transport nodes. This case study represents a multi-level, non-statutory 'soft' governance approach involving public and private partners and different policy sectors.

Case 4: Cross-border river management: Rhine River Basin

Water management is not just a national or regional concern, it also has a European dimension that includes a catchment approach in which land and water are considered as one interconnected management area. A complex issue connected with a number of policy areas, water management is further complicated when water catchment areas cross national boundaries, as is the case in the Delta Rhine sub-basin, which involves cooperation between the Netherlands and Germany. An important governance problem arises here due to differences in responsibilities between these two countries. In the Netherlands, the national government has primary responsibility for water policy, while the State (Bundesland) has responsibility in Germany. Compounding this challenge is the fact that there are number of overlapping jurisdictions at the subnational level. A multi-level governance approach involving public agencies and stakeholders representing different policy sectors and different national priorities and approaches forms the basis for this case study.

Case 5: Target-based Tripartite Agreement in Italy

This case study concerns the first ever target-based tripartite agreement, signed by European Commission, Italian Government and Lombardy Region in 2004, after three pilot agreements experienced at the urban scale in Birmingham (UK), Lille (FR) and Pescara (IT). The aim of the agreement was "improving through better governance the implementation of EU policies adopted in the environment, transport and energy sectors". The value of the agreement is expected to lie in "the simplification resulting from the contract […] or in the political benefits and efficiency gains resulting from closer involvement and participation of regional and local authorities […]" Six areas of focus are reducing motorised traffic in the sensitive zones; efficient and effective public transport; increasing the use of alternative fuels; promoting new intelligent technologies; increasing safety and security; and promoting a healthy living environment. Despite the different timeframes for implementation, these aims deal clearly with the EU2020 priority "Sustainable growth" and in particular with the flagship initiative "Resource efficient Europe".

Case 6: Innovative Economic Development Strategies in St Etienne

The Saint Etienne metropolitan area includes 43 municipalities with a total of 400.000 inhabitants. In recent decades, it has had an economic crisis that has led to population loss that has threatened the development of the whole area. The reaction to the crisis has led to a change in the political leadership of the city and a corresponding to a shift in the economic recovery strategy away from a protectionist attitude on employment and land use. The second phase started when inter-municipal bodies gained strength due to national reforms on inter-municipal cooperation. In this case, four topics deserve attention in a territorial governance perspective. They are vertical relations among multiple levels of government (EU to local) regarding funds allocation and legal frameworks; relations among municipalities in the agglomeration and between public and private actors in developing an economic strategy; identifying employment policies to deal with population loss related to local workforce challenges; and the definition of a development strategy based on local features and resources.

Case 7: Sub Regional Governance for Economic Development in the UK

Since coming to power in 2010, the Conservative government in the UK introduced a new form of regional governance based on the local partnership of the public and private sectors, abolishing the regional development agencies and strategies. Local Enterprise Partnerships (LEP) are a key aspect of regional economic development, defined as 'locally-owned partnerships between local authorities and businesses'. They allow the local authorities to work together and with the private sector to deliver the government's objectives for economic growth and decentralisation. The case study will examine the problems of transition in regional governance, and the challenges facing public-private partnerships and inter-municipal collaboration at a regional scale. A case study of Tees Valley Unlimited, a project with the ambition to transform the economy of a de-industrialising region to a diversified and inclusive high-value low-carbon economy, will be used to examine the effects of long standing collaboration between four neighbouring municipalities with a combined population of 650 000 on their ability to form a sub-regional partnership.

Case Study 8: Neighbourhood Governance for Spatial Planning in the UK

Another initiative introduced by the new UK government has been neighbourhood planning. The initiative aims at empowering local communities, and local businesses, to plan the future of their local areas. In doing so, it encourages local communities to, 'choose where they want new homes, shops and offices to be built; have their say on what those new buildings should look like; grant planning permission for the new buildings they want to see go ahead.' These new powers raise questions about local governance: who is involved, how one neighbourhood plan would relate to another, and their impact on governance and planning at the municipal level. The case study will evaluate this by focusing on the Fish Quay Heritage Partnership in North Shields, which has been a frontrunner who received funding to apply the new policy. Residents have been invited to work on the future of the area, especially on a number of vacant sites, as part of a year-long planning process.

Case Study 9: Management of Structural Funds in Central-Eastern European countries

Structural Funds often have a significant impact on public administration in Central and Eastern Europe, where access to EU subsidies is an important policy ambition. However, the SF governance regime is a considerable challenge in CEE, as traditional government structures and practices do not typically fit with the principles of decentralisation and regionalism, partnership, efficiency, transparency and strategic integrative planning. Therefore, CEE countries have tried to adapt to the new challenges in two ways; by implementing structural reforms and/or by establishing separate, "strange" structures and institutions to better fit the SF structure. The case study will deal with territorial public administrative reform processes that have occurred in four CEE countries (Poland, Slovakia, Romania and Hungary) and with the special management institutions of SF, with the aim of identifying factors which support or hinder the adaptation process.

Case Study 10: European Capital of Culture (ECC), Pecs 2010

The ECC is a typical "European" project in regards to territorial governance. The implementation of the one-year event needs innovative solutions to involve social, artisan and business partners; to cooperate with multiple levels of governance; and to harmonise the project actions with the traditional, permanent government system. Pécs, a medium sized city in Hungary celebrated the ECC project in 2010 and used it as an opportunity to define itself on its place-based characteristics. Looking back on the event, an evaluation focuses on the functioning of territorial governance (and here in particular the use of the open method of coordination and the coordination of the multi-level interplay) in an Eastern European context, while also making it possible to compare with previous ECCs. The case is embedded in the context of Hungarian territorial governance and governmental reforms.

Case Study 11: Implementation of regional development and spatial planning policies in Slovenia

Comprising the City of Ljubljana and 25 smaller municipalities, with 500 000 inhabitants and 12.5% of the country's area, the Central Slovenian NUTS 3 region is the largest region in Slovenia. An important area for economic activity, it is often called the "Ljubljana Urban Region" (LUR), especially after the establishment of the Regional Development Agency of Ljubljana Urban Region (RDA LUR) in 2001-2002. The case study will evaluate territorial governance practices and innovative policies in the Ljubljana Urban Region during the past 20 years, with a focus after the creation of the RDA LUR (2001). It will focus on the implementation of multi-level policies at the municipal level, especially in relation to the implementation of transport and environmental infrastructure projects.

Case Study 12: Governance of Natural Spaces in the Alpine-Adriatic Area

The thematic focus of the case study will be the natural areas and their governance within the framework of the Alpine-Adriatic area. Like in most parts of the Alps, natural areas form a key component of the territory, crossing all kinds of administrative borders. The challenge is complicated because although the concept of the Alpine-Adriatic area dates back almost half a century, it has never been very clearly defined. As awareness about their importance developed almost simultaneously with cooperation in the area, so did the need for a coordinated approach to their protection and management. The case study will investigate the evolution of the cooperation in relation to natural areas, the diversity of approaches to their territorial governance and efforts for their coordination.

4.4   Expected features of 'good' territorial governance

The features of 'good' territorial governance have been addressed in the process-tracing phase in terms of assumptions and/or hypothesis by the responsible project partner (see chapter 3 of each of the case study reports in Annex A). Due to this, we need to be very cautious in drawing any generalisations or even conclusions from the first process-tracing phase of the research. It should be also noted that the process-tracing phase has just been finalised a couple of days before the submission of the Interim Report. However, as indicated before, these assumptions and hypothesis will be further analysed and critically reflected and (certainly) re-formulated in the next phase of the case study work and further inform e.g. about to what extent and under which conditions and for whom they can be considered as being 'good' (or not). Due to this, we have synthesised (almost all of) these expected 'preliminary' features of good territorial governance in a simplified way to just document the scope, character and variety of them (see table 4.2). It should be also mentioned that in many cases also 'bad' features of territorial governance have been addressed too. They are not listed here, but are very important for the further contextualisation, comparison and distinction between 'good' and 'bad' and thus have not only an important informative and analytical, but also methodological function. They can be also very significant in terms of lessons for policy options.

Table 4.2: Overview of expected preliminary features of 'good' territorial governance

Case	Expected features of 'good' territorial governance
1. Territorial Climate Change governance in the Baltic Sea region	▪ the need to raise awareness and political support ▪ to link stakeholder mobilisation with real policy actions ▪ to take up the best of both worlds – both top-down macro-regional and intergovernmental normative strategy to be translated to the local and regional levels, as well as concrete regulatory bottom-up efforts at local and regional level ▪ local knowledge can be encompassed in the formulation and implementation of policy, as well as the redundancy and rapidity of a trial-and-error learning process ▪ activating existing instruments, legislations and funding and thus increasing efficiency towards reaching the objectives while promoting multi-level governance ▪ as concrete adaptation measures are often taken at the local and regional level, transnational (pan-Baltic) cooperation between actors working at these levels can be better facilitated at the macro-regional level because of its broader perspective to align policies with strategic goals ▪ the coordination of multi-levels and the inter-sectoral perspective, as well as creating a strategy that is general but still relevant for the many territorial specificities in the area

Case	Expected features of 'good' territorial governance
2. Territorial Governance as a way to resource efficiency in urban development	- the City's effort to engage a range of stakeholders, primarily in the private sector, is an innovative and good practice - a certain degree of flexibility has been built into the key policy documents that guide urban planning and development, which indicates that the City's planning efforts are becoming more resilient and can be adapted in the face of significant changes. - the City's ability to recognize and harness its territorial strengths, including population and economic growth, a strong international reputation for environmental sustainability and a population that values natural spaces and the environment - at the regional level, efforts to promote coordination and the implementation of a regional strategy to reduce competition among the 26 municipalities - coordinating activities between a range of actors, including those from the private sector, multiple levels of government, authorities and public organizations - in engaging a wider range of actors, the City is increasing the transparency of urban planning and development
3. Coordination of land-use and transport (StedenbaanPlus)	- strong relations between public rail transport and urban development and the early inclusion of the national railway company - the 'initiative' has a platform function where coordination and promotion activities are central (soft instruments and a soft mode of governance). - implementation goals often occurs at a local scale (e.g. individual railway nodes) which eases mobilisation of stakeholder participation - because of the platform function and the fact that it is less concerned with policy implementation, it may also be more adaptive to changing contexts

Case	Expected features of 'good' territorial governance
4. Cross-border cooperation Rhine Basin	▪ a long history and tradition in collaboration ▪ a clear territorial, legal and administrative framework, that on the one hand allows to formulate general targets on a cross border level and on the other hand provides enough flexibility for actions on the local level to achieve these targets ▪ the urgency of collaboration, created by an external pressure, in the case at hand the increasing danger of flooding ▪ the similarity of the actors involved on both sides, mostly government organisations, which made it easy to find the fitting counterpart ▪ the Dutch-German working group on high water aims to integrate relevant policy sectors, manages to co-ordinate the actions in the multi-level interplay and addresses by its focus on the regional scale on place based characteristics
5. Target-based Tripartite Agreement between the European Commission, the Italian Government and Lombardy Region	▪ the central government's political support throughout the initial and decision-making phases
6. Innovative economic development strategies in Saint-Étienne within the South Loire SCOT framework	▪ ability to face 'accidents' or 'contingencies' ▪ previous experiences that built up a collaborative capacity building ▪ clear objectives on which it has been possible to build a shared consensus at first, and then a shared strategy
7. Greater Manchester City Region Governance	▪ process of collaboration, which has culminated in the formation of a inter-municipal authority, has enabled the parties to develop strategic capacities at the metropolitan scale ▪ working together across geographical boundaries, different policy sectors, and across the public and private sectors enables the city-region to be adaptive to major political and economic changes in addressing the problems of its territory ▪ ability to attract new powers from the central government through the City Deal, and to extend collaboration with the private sector through the Local Enterprise Partnership ▪ concentration of powers in the inter-municipal authority has strengthened the city-region's authorities' effectiveness and efficiency in dealing with economic development, regeneration, and transport, as well as a host of other policy areas

Case	Expected features of 'good' territorial governance
8. North Shields Fish Quay: Neighbourhood Planning in the UK	▪ the mobilisation of stakeholders at the local level and their engagement at the neighbourhood level for spatial planning.
9. Management of Structural Funds in Central and Eastern European countries	▪ the centralised Structural Funds managing system may increase the efficiency of co-ordination of the implementation of Operational Programmes and improve transparency
10. European Capital of Culture, Pécs, 2010	▪ bottom up approach in the phase of initiation and preparation ▪ involvement of the creative class in shaping of the vision of the city ▪ the ambition to bridge the cultural programming with economic and urban development elements ▪ outsourcing the management of the project together with some partnership in the monitoring of the process ▪ since the 'project' required horizontal governance elements, it contributed to the emergence of a local intelligence group for shaping long term vision for the whole city (to use local creativity, to learn cooperation, to create innovative institutional solutions etc.)
11. Formulation and implementation of spatial planning strategies and regional development policies in Ljubljana Urban Region	▪ long history and tradition of cooperation between sectors and institutions in the process of spatial planning, development and management ▪ the 'non-administrative NUTS 3 regions concept' helps to integrate relevant policy sectors, helps to co-ordinate the actions in the multilevel interplay and addresses the place based characteristics ▪ the formulation and implementation of a regional development programme has been possible due to a well-established procedure already tested in other regional/local context in EU countries ▪ previous experiences played an important role in terms of collaborative capacity building. ▪ clear objectives on which it has been possible to build a shared consensus and later on shared strategy
12. Governance of natural areas in the Alpine Adriatic area	▪ cross-sectoral integration was much more obvious when biodiversity policy was not yet formulated as a separate policy area ▪ involving all relevant stakeholders from the earliest stages of the designation process and in the management of protected natural areas seems to be very important in terms of 'adaptiveness' to changing contexts as well as regarding a common understanding of problems and solutions in complex transnational administrative settings

4.5   Next steps

In the second phase of the case study research, we will empirically 'test' our further operationalisation of 'good' territorial governance in accordance with the case study protocol (see chapter 3.3). This will involve a certain amount of 'pattern matching' to see to what extent the cases actually follow the theoretically-derived hypotheses and indicators of 'good' territorial governance, or alternatively illuminate gaps and inconsistencies. The second phase will also probe more deeply into more analytical questions informed by the 'five dimensions' of territorial governance. These include questions such as how the barriers to cross-sectoral integrations are being overcome, how gaps in multi-level coordination are being addressed, and how stakeholders are mobilised and how their input is used in decision-taking?

A significant focus will also be put on how territorial governance is adaptive to changing contexts by looking at how institutions respond to external and internal stimuli, and how actors learn from one another and how this learning is institutionalised. To ensure topicality of the cases, we will also examine the extent to which institutions are able to adapt to more recent changes. These changes include the financial crisis, administrative reforms, major changes in planning systems or the impacts of climate change. In turn the results of the second phase will be used to generate a number of generalisable and transferable features of good territorial governance practices. For the selection of such features, the idea is to use the straightforward approach, as suggested in figure 4.1, to take the step from territorial governance principles to territorial governance features. This is due to the fact that the latter include practical characteristics of the principles in real cases and thus help to define what features are 'good' territorial governance (*and what not*). They therefore constitute positive examples that can be further assessed in terms of their transferability (see chapter 5).

Figure 4.1: Matrix for the selection of 'good' territorial governance features

5. Transferring and disseminating good Territorial Governance

As argued extensively in the Inception Report (particularly, chapter 6), the 'transferability of good territorial governance practices' (WP 2.4) is a purpose characterized by a high degree of complexity, difficulty and risk of failure. Reasons, in brief, are summed up as follows:

- The questionability of 'reproductive' assumptions behind the rhetoric of 'best practices transferability', specially where this concerns diversified institutional contexts (James & Lodge, 2003; Vettoretto, 2009; Stead, 2012);
- A lack of universal models for policy transfer, verified and tested, because of the significant number of variables at stake (see table 5.1);
- The nature of territorial governance, which is not a 'policy' per se, rather the result of a complex process integrating several policies (Inception Report, chapter 3 and 4);
- The infinite variety of practices, as outcomes of unpredictable combinations of joint rationalities (March & Olsen, 1979; Schön, 1983), particularly where these concern the use or transformation of a 'place', which "*is always a site of negotiated meaning*" (Hillier, 2005: 272).

Table 5.1: 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				

The abovementioned difficulties are further increased in the present research project by the restricted base for analysis – 12 case studies in the whole European context – a limitation which is of course due to the available resources.

In this light, this chapter shall first and foremost frame the institutional context for policy transfer in the domain of territorial governance in Europe, with the purpose of reducing conceptual complexity as far as possible (see chapter 5.1). This leads to the identification of three possible modes for transferring 'features of good territorial governance' in the EU. These modes are structural, instrumental and dialogic, which are then described and characterised in accordance with current theoretical findings about policy transfer (see chapter 5.2). A preliminary outline of the 'Handbook on Territorial Governance' is consequently proposed (see chapter 5.3), as well a short update of research steps envisaged in order to perform this aim (see chapter 5.4).

5.1 The context for transferring good territorial governance

Types and typologies of territorial governance, as well as the complexity of factors inherent to their definitions (see chapter 2), are witness to the 'institutional nature' of this subject. 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. It is based on "(i) the generation of variety (in particular, a variety of practices and rules); (ii) competition and reduction of the variety (of rules) via selection; (iii) propagation and some persistence of the solution (the system of rules) selected" (Moroni, 2010: 279). Practices, in particular, are a 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).

These inputs have been recently applied for the purpose of conceptualisation in comparative analysis. This led to the visualization of the four analytical dimensions, namely practices, discourse, structure and tools in a diagram (see Figure 5.1). In brief, the diagram describes the evolutionary operation of territorial governance in any institutional context as occurring through cyclical processes connecting the 'government system' with the 'land use system'. This occurs through stages of social experience, political sharing and institutional codification, in which the aforementioned dimensions are variously interactive. The 'evolutionary mainstream' of territorial governance, based on cyclic phases of policy formulation, policy implementation, policy assessment and possible legal achievement, is therefore intertwined with further intra- and extra- 'contextual relations', the influence of which is equally important.

Figure 5.1: Evolutionary pattern of territorial governance (adaptation on: Janin Rivolin, 2012)

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 epistemic communities (Haas 1992) and policy networks (Rhodes 1997) in reducing the variety of solutions by the prevalence of certain 'hegemonic concepts' (Adams et al., 2010; Servillo, 2010). Their codification is usually necessary in the diffusion and persistence of the solution (the system of rules), modifying the structure (s) that makes up the overall set of constitutional and legal provisions allowing and ruling the operation of territorial governance. A sort of 'descending phase' in the cycle continues from here, as the systematic application of established tools (t) becomes the (new) operational driver for practices. These tools not only various types of spatial policies, plans, programmes and projects (as addressed by ESPON TANGO working definition of territorial governance), but all sorts of control devices, monitoring and evaluation procedures, forms of economic incentive etc.

Needless to say, the diagram should not address detailed outcomes of the territorial governance operations as the result of an infinite variety of factors, circumstances and individual behaviours. More simply, it proposes a consistent analytical approach to discuss territorial governance as an institutional phenomenon, therefore intrinsically subject to permanent social evolution. Different from 'nomic explanations' (more common in physics and good for explaining both general and particular cases), 'evolutionary explanations' are more effective for understanding 'the principle', rather than 'the detail' (Bird, 1998).

A tentative application of the above analytical model in the wider context of EU territorial governance (see figure 5.2) has led to further interesting findings. Specifically, the application served to cast some light on the process of 'Europeanization' (Knill & Lehmkuhl, 1999; Olsen, 2002; Radaelli, 2004; Lenschow, 2006), in particular regarding territorial governance (Dühr et al., 2007; Böhme & Waterhout, 2008). In doing so, it represents a rather systematic approach combining five simultaneous modes of influence between the EU and the domestic institutional contexts according to different types of conditionality and rationality (namely: S → s, T → p, D → d, d → D and p → D, and respective influences of second level).

Figure 5.2: Evolutionary pattern of EU territorial governance (adaptation on: Cotella & Janin
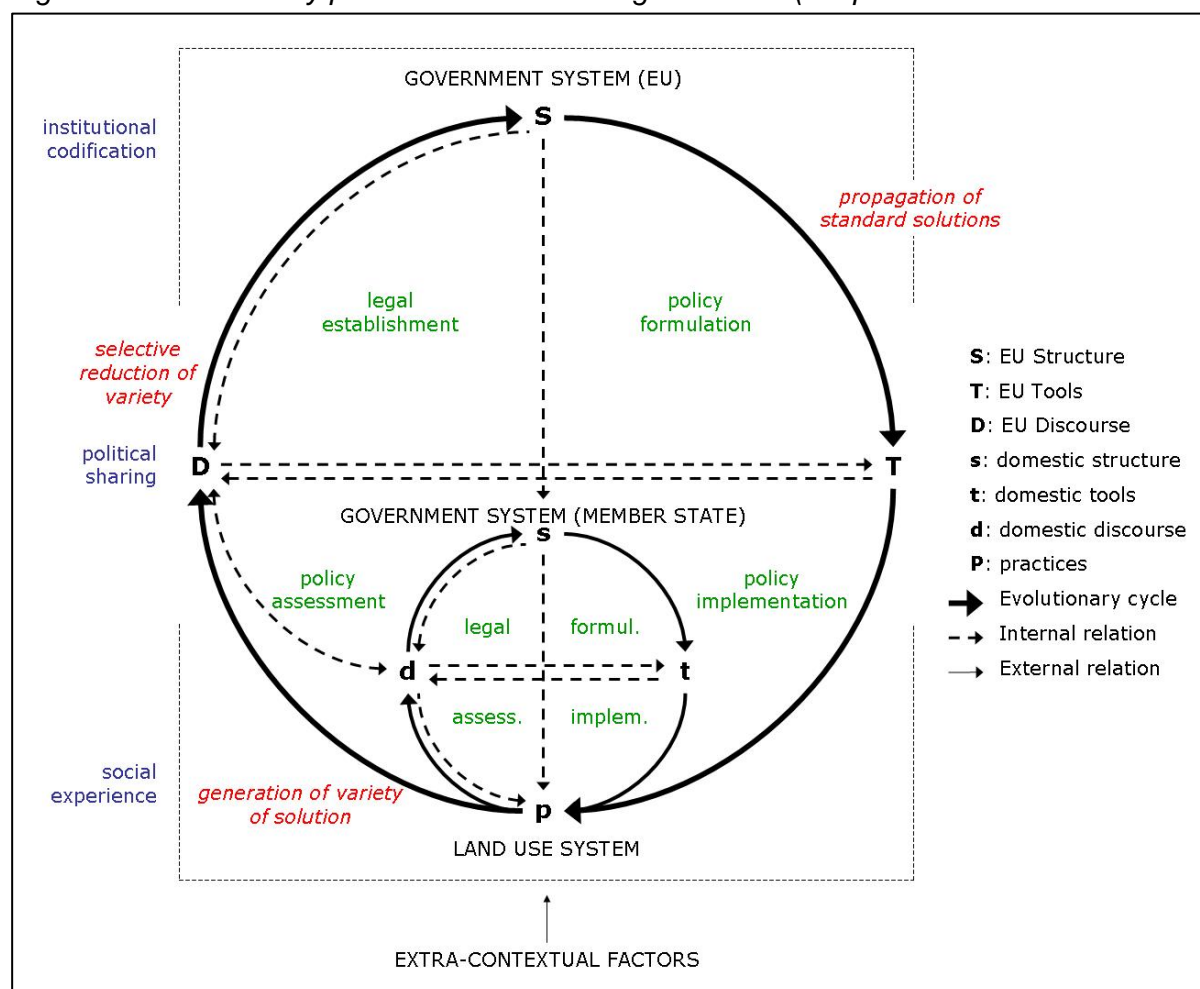
Although the mechanisms and practices that bring about what can be termed the 'Europeanization' of territorial governance are not addressed in this research project, its connections with the processes of policy transfer are rather clear (Radaelli, 2000; Wishlade et al., 2003; Conde Martínez, 2005; Holzinger & Knill, 2005). Namely, they are both framed by two interrelated and shared activities: one based on a selective (and thus voluntary) recognition of common problems and possible solutions. This is usually known as 'lesson drawing' (Rose, 1991, 1993); and another based on the more or less coercive transfer of

rules, methods and ideas from one place or institutional context to others (Dolowitz & Marsh, 1996, 2000).

Therefore, the proposed analytical model may be of some value in conceptually framing the main opportunities for transferring 'good practices' in the domain of EU territorial governance. Basically, the hypothesis addressed here is that the EU territorial governance context may offer 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 the 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 proposed model is helpful in conceptualising possible paths that policy transfers can be expected to take from a 'good practice' (p1, in a certain domestic context) to other territories that could apply them (p2/n, in different domestic contexts), with an increased awareness of how to perform the final aims of present research.

If we also assume that a typology of territorial governance across Europe (see chapter 2) is useful to distinguish the main characters of various domestic contexts, and that principles of 'good' territorial governance (see chapter 3) are helpful in identifying relevant 'features' emerging from case studies (see chapter 4). The proposed model can indicate which modes of policy transfer should be addressed in principle for operational purposes

The identification of these modes is based on the assumption that this ESPON project plays an active role in the discourse about the formation of EU Territorial Governance (see Figure 5.2). Namely our research is engaged in a 'policy assessment' activity that is focused on a number of original practices (p1, i.e. the case studies) to identify their 'good' features and profitable ways to transfer them in other practices to different domestic contexts (p2/n), within the EU context.

The possible modes for transfer, however, will be addressed in the following section, in accordance with the evolutionary pattern of EU territorial governance and in the light of current theoretical findings about policy transfer.

5.2   Three modes to transfer good territorial governance

A **structural mode** to transfer good territorial governance in the EU context ('A' in Figure 5.3) is addressed to the EU Structure (S), as the target dimension (see Table 5.2). This concerns the opportunity to translate features of good territorial governance, retrieved from the assessment of case studies (p1), as different kinds of components (e.g. principles, rules; see: OECD, 2001) that could be institutionally codified at the EU level. Multiple territories that could benefit (p2/n) in for the most part domestic contexts would be reached this way. This would be achieved through a relatively long but 'enveloping' process of policy transfer,

regarding an influence in terms of legal conditionality filtered by domestic structures (s) and possibly in terms of incentives led by a consequent adjustment of EU Tools (T). A clear example of the structural mode in operation 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. In particular, this led to the establishment of a series of directives at the EU Structure level (e.g. 'Habitat' 92/43/CE, establishing the 'Nature 2000' network, 'SEA' 2001/42/CE etc.), that have progressively transferred this principle both in domestic contexts (via their respective structures) and in EU Tools (e.g. Structural Funds programmes, Agenda 21 etc.), with consequent widespread influence on domestic practices.

An **instrumental mode** to transfer good territorial governance in the EU context (B in Figure 5.3) is addressed directly to the EU Tools (T) as the target dimension (see table 5.2). This concerns the opportunity to translate the features of good territorial governance, retrieved from the case studies (p1), in different kinds of components (e.g. methods, techniques). These can be extended to operational policy programmes triggered on the EU level. Multiple territories that could benefit (p2/n) in for the most part domestic contexts would be reached this way, through a rather fast and 'direct' process of policy transfer, with an influence in terms of financial conditionality immediately addressed to potential borrowers. One example the instrumental mode in operation is the EU establishment of 'Territorial Employment Pacts' in 1997. This pact was based on the Italian method of 'Territorial Pacts' (Law 662/1996) that was built on area-based spending programmes' practices during 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 later to a transfer of the approach into the mainstream of the Structural Funds in the 2000-2006 period, with major influence on domestic practices in all EU countries.

A **dialogic mode** to transfer good territorial governance in the EU context (C in figure 5.3) addresses various domestic discourses (d) as the target dimension (see table 5.2). This concerns the opportunity to translate features of good territorial governance, retrieved from the case studies (p1), in other kinds of components (e.g. ideas, ad hoc solutions) that are suitable to match the potential interest of domestic actors operating in diverse institutional contexts. In this case, potential territories that could benefit are rather specific and concerned by specific for the most part domestic contexts, which may of course be more widely influenced depending on the capacities of domestic discourses. These can be more easily reached in cases where the match between voluntary motivations for change and potential solutions triggers an immediate 'peer to peer' process of policy transfer. These situations are based on the logic of social learning, which may be accompanied and contribute to a wider but slower evolution of the whole domestic context. Examples of the instrumental mode in practice concern a 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).

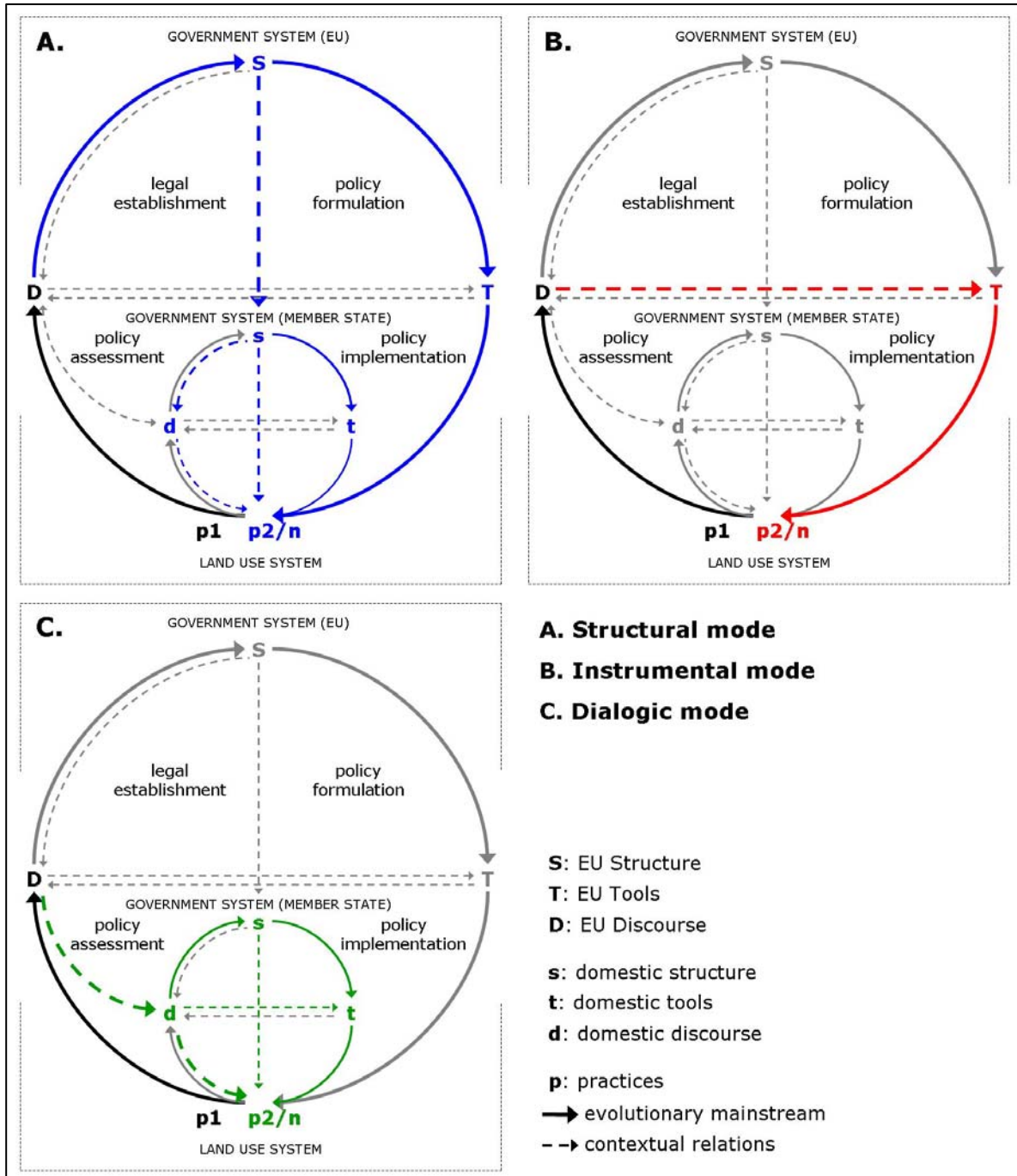*Figure 5.3: Modes for policy transfer in EU territorial governance*

Table 5.2: Modes of policy transfer in EU territorial governance: analytical framework

Modes of transfer	Addressed dimension	Following paths to reach the borrowers (p2/n)	Advantages	Disadvantages	Meaningful examples
Structural	EU Structure (S)	T → p2/n s → p2/n s → t → p2/n s → d → p2/n	- 'enveloping' (effective in the long run) - multiple influence on borrower - all domestic contexts concerned	- indirect (all paths are mediated) - long time for effects - very difficult to trigger	Principle of 'sustainable development'
Instrumental	EU Tools (T)	p2/n	- more direct (no mediation) - less time for effects - all domestic contexts concerned	- one dimension of influence - rather difficult to trigger	Territorial Employment Pacts
Dialogic	domestic discourse (d)	p2/n t → p2/n s → p/n s → t → p2/n	- spontaneous trigger (voluntary) - immediate effects - possible multiple influence	- single exchange ('peer to peer') - further widespread not ensured - single domestic contexts concerned	Several European territorial cooperation projects

Table 5.3: Modes for transfer good territorial governance in Europe: operational framework

Types of exchange	Modes of transfer	Main components	Target beneficiaries	Forms of conditionality	Degree of adaptation (Out)	Adoption	Degree of territorialisation (In)
Policy transfer	*Structural*	Principles Rules	Decision-makers	Formal (e.g. legislation)	Inspiring principles Institutional / legal / normative frameworks and barriers Philosophies and rationales	Formal shape the policy takes	Coherence of the adopted principles / rules with the existing cultural and normative framework, also in terms of potential of effective influence
	Instrumental	Methods Techniques	Policy-makers	Substantive (e.g. resources)	Methods and techniques need to be readable in terms of needed resources (human, knowledge, time, funds, facilities…), barriers and constraints	Organisational structure of the programme, initiative, action that it is intended to implement	Relevance of the adopted method or technique (i.e. programme, initiative, action…) to the context in which it will be implemented
Lesson drawing	*Dialogic*	Ideas Ad hoc solutions	Practitioners	Cognitive (e.g. demonstration)	Clarity of ideas, self-evident rationale of ad hoc solutions	Procedures, policies, programmes are designed around highly recognizable targets and issues	Immediate relation between intervention and expected results

In operational terms for this research project (see table 5.3), it is possible to assume that the aforementioned structural and instrumental modes concern (albeit not exclusively; see; Radaelli, 2003) types of 'policy transfer' (Dolowitz & Marsh, 1996, 2000). The dialogic mode is particularly involved in 'lesson drawing' (Rose, 1991, 1993). Previous descriptions are helpful to indicate that, in broad terms; a structural mode of transfer implies the capacity to combine features of good territorial governance into principles and rules that can be addressed to decision-makers. This results from the fact that, in this case, possible effectiveness depends on forms of formal conditionality (e.g. directives or legislations). Conversely, an instrumental mode of transfer requires the opportunity to translate features of good territorial governance in terms of methods and techniques addressed to policy-makers. In this case, the effectiveness of the transfer will depend on forms of substantive conditionality (e.g. incentives for certain aims or procedures etc.). Finally, the dialogic mode of lesson drawing is particularly concerned with the identification of specific features of good territorial governance that may constitute ideas and ad hoc solutions for practitioners involved in multiple domestic contexts. Here, the effectiveness will depend on forms of cognitive conditionality based on evidence case by case.

Taking various critiques and improvements 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) into account, the 'filtering out' process of translating and combing various features of good territorial governance from the case studies will imply different degrees of adaptation that are preliminarily drafted in table 5.3.. As a general rule, the better the aspects of territorial governance are are described clearly (see chapter 4.4), the easier it will be to establish what can be filtered out and adapted to a wider diffusion through the proposed modes of transfer.

In a similar way, a 'filtering in' process is related to two intertwined dimensions, which shall not be neglected. Adoption concerns the way in which transferred or learned components give origin to policies/actions according to new contextual forms or shapes. The degree of territorialisation is the relationship between these possible policies/actions and specific place-based issues at stake. As for the structural mode, it will be necessary to verify that a certain principle or rule can be coherent with the borrowing institutional framework. In the instrumental mode, adoption and territorialisation will imply the relevance of method or technique to the borrowing operational context. In relation to the dialogic mode, finally, a visible connection between specific problems and expected solutions should be made available.

5.3   Outline of the 'Handbook of Territorial Governance'

A 'Handbook with best practices for territorial governance' is included in the ESPON specification concerning the present research project as 'a specific project delivery'. It "*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). Consequently, the 'Handbook on Territorial Governance' has been included in the present research project as one main outputs, with the ambition of 'Disseminating good territorial governance principles that lead to successful outcomes for stakeholders' (see task 14, Inception report, page 8).

As argued in the previous sections, one should first and foremost induce awareness on the very limited potential of such an operational tool – whatever the quality achieved – in the face of the complexity and randomness of the issue at stake. The proposed extraction of 'features' of good territorial governance from case studies (see chapter 4.4) and their integration as 'components' suitable for the three distinct 'modes' of transfer (see chapter 5.2) can contribute to resolving only part of the methodological difficulties. On the other hand, it should be pointed out that the widespread 'dissemination' of good territorial governance in Europe would require a much wider and more articulated communication strategy. This particularly notable in the light of the opportunities supplied by new technologies and media, whereby a 'handbook' would constitute one of many complementary elements. Clearly, this aspect exceeds the competences of the present research team, who nonetheless should be aware of this.

A special concern with the project's dissemination, of which the handbook is central, is of course language. The ambition to reach policymakers and practitioners from the local to the European level implies that the use of English, albeit the most widespread language in the EU institutions, may constitute a substantial constraint to the effectiveness of the handbook (certainly even stronger than limitations due to types of governance or administrative traditions). In other words, a handbook published in all languages spoken in the ESPON space (or at least the current 23 EU official languages) seems to be a minimum requirement. Apart from the problem of resources necessary for meeting this need, one relevant technical implication is the establishment of a multi-lingual glossary on the main terminology concerning territorial governance (a further specific task of substantive added value, which is not included in present research project).

Against the backdrop of these problematic but crucial aspects, on which the research team looks forward to knowing the intentions of ESPON managers, the proposed outline for the 'Handbook on Territorial Governance' takes into account the expected outcomes from various WPs and their mutual combinations. In particular, it is based on (i) the agreed definition of territorial governance (see chapter 1.3) and (ii) the identification of modes for policy transfer with respective main components and target beneficiaries (see chapter 5.2). More precisely (see table 5.4 below), the proposal is

to articulate a handbook of no more than 100 pages (illustrations included, specific format to be decided) in three parts, mainly addressed to decision-makers, policy-makers and practitioners respectively. Further, 'good features', classified in the five 'dimensions' that define territorial governance will be coherently (and differently) illustrated with respective 'components' (i.e. principles and rules, techniques and methods, ideas and ad hoc solutions) in the handbook. Each of the three parts will be complemented by a set of 'illustrative text boxes' that focuses on highlighting specific aspects of the way the individual features and components manifest in the contexts of relevant case studies. Moreover, an introductory Executive summary should briefly clarify the nature and context of the handbook, its rationale and how its potential beneficiaries should handle it. An additional section could include additional informative sources for operational purposes (including websites etc., not a classical bibliography).

Part III is particularly noteworthy. According to previous considerations (see chapter 5.1 and 5.2), it should specifically address the potential interest of practitioners operating in different contexts – active at different territorial levels within domestic contexts, but also in cross-border and transnational activities etc. (Hartley & Allison, 2002; Wolman & Page, 2002). Outcomes emerging from a typology of territorial governance across Europe (see chapter 2) can be expected to inform the handbook contents and their concrete applicability.

Table 5.4: Preliminary table of content of the 'Handbook of Territorial Governance'

Title	Pages
Presentation (institutional context and aim of the Handbook, definition of good territorial governance, beneficiaries of the Handbook and structure)	3
Part I – Principles and rules I.1 Integration of policy sectors I.2 Multi-level co-ordination of actors and institutions I.3 Mobilisation of stakeholders' participation I.4 Adaptability to changing contexts I.5 Place-based specificities	15
Part II – Methods and techniques II.1 Integration of policy sectors II.2 Multi-level co-ordination of actors and institutions II.3 Mobilisation of stakeholders' participation II.4 Adaptability to changing contexts II.5 Place-based specificities	15
Part III – Further ideas and ad-hoc solutions III.1 Integration of policy sectors III.2 Multi-level co-ordination of actors and institutions III.3 Mobilisation of stakeholders' participation III.4 Adaptability to changing contexts III.5 Place-based specificities	15
Further informative sources	2
Total	**50**

5.4 Next steps

In consideration of the progress and findings that have emerged over the course of the research, the next steps for WP 2.4, in combination with WP 3.1, are redefined as follows:

Fine-tuning modes for policy transfer according to the Interim Report's follow up (months 10-15)

The Interim Report is a crucial milestone in the overall development of the project. After preliminary research and discussion, it solidifies the conceptual and methodological bases to combine the various WP as to achieve the expected aims. Particularly, as argued in previous sections, the transferability of good territorial governance is an operational objective that needs to be guided according to a convenient typology of territorial governance across Europe. It also requires a framework of agreed principles that will be used to retrieve 'good features' (the objects for transfer) from the case studies. In the wait of the final analysis of case studies, the months following the Interim Report delivery will be addressed to progressively fine-tuning the proposed 'modes for policy transfer' as well as on preliminary insights from case studies.

Producing an outline of transferability options (months 16-18)

As soon as the case studies are concluded and the features of good territorial governance identified (see chapter 4.4), a crucial task will be to associate features with 'modes for policy transfer' as they have been outlined in previous sections. In practical terms, this will mean to 'translate' them into components for transfer, which are suitable to reach the expected target beneficiaries and to match other characters and aspects concerning the three aforementioned modes. The outcomes of this activity are expected to consist of an outline of transferability options, as a preliminary basis for the 'Handbook on Territorial Governance' (WP 3.1).

Discussing transferability options in a 'Stakeholders Workshop' (months 18-19)

Before starting a proper draft of the 'Handbook of Territorial Governance', it will be worth discussing and testing the degree of acceptance of the aforementioned transferability options in a Stakeholders Workshop.

Drafting the 'Handbook of Territorial Governance' (months 19-21)

The outline of transferability options and outcomes from the Stakeholders Workshop will constitute the basis upon which to build a first draft of the planned 'Handbook of Territorial Governance'. This will be delivered along with the Draft Final Report.

Finalising the 'Handbook of Territorial Governance' (months 22-26)

Apart from comments to be received from the Sounding Board and the ESPON CU, a meaningful input for the final Handbook could be gained from the Policy Seminar (WP 3.2), if it was scheduled to coincide with the Handbook's draft completion. Regardless, the final 'Handbook of Territorial Governance' will be delivered along with the Final Report.

Part C: Outlook and future work

6. Preliminary considerations of policy relevant implications and outlook towards the Draft Final Report

6.1 Preliminary considerations of policy relevant implications

The TANGO team recently finalised the first process tracing phase of its empirical research by applying a deductive research framework to the 12 case studies, which have provided some preliminary insights (see chapter 4). Further, the TPG has been working on the conceptual and methodological framework including the development of a typology of territorial governance, the selection and weighting of indicators of good territorial governance and the question of transferability. It is therefore premature to provide robust conclusions in this report. However, due to our careful approach, in particular in terms of our methodological framework to indentify, contextualise and assess 'good' territorial governance we are optimistic that our approach will yield a number of meaningful insights regarding the policy implications of territorial governance. We also expect our approach to contribute to theory-building around the concept of territorial governance and to point out future avenues for continued research. By focusing on the chosen deductive approach (see chapter 1.1), we also hope to complement the prevailing inductive approaches.

As regards policy relevant implications, we also want to address that we face some important challenges in the work. One of these will be to deal with the level-of-analysis problem, as all the cases address policies, programmes and projects on at least two governance levels (in the sense of both Type I and II governance of Hooghe and Mark's). Therefore, care must be taken to identify 'for whom' the territorial governance outcomes are considered to be 'good' (or even 'bad'). Secondly, we remain aware that our definition and conceptualisation of territorial governance is somewhat normative from the start, which can influence the objectivity of our approach to some extent. Hence we need to be very sensitive in our search for evidence and revisit and eventually refine our methodological framework prior to begin the real process of matching the indicators of 'good' territorial governance in the second more in-depth empirical phase. This shall give us much better grounds to indicate implications for territorial development in general.

Further, we want to stress that the comparability and transferability of territorial governance 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.

We will also try to find the most relevant ways that our research results can inform Cohesion Policies and the Europe 2020 strategy. For instance, when reading chapter 11 (Enhancing institutional capacity and ensuring an efficient public administration) of the Commission's staff working document 'Elements for a Common Strategic Framework 2014 to 2020' (CEC 2012), we can easily identify a number of key words and claims that will be also addressed and explored in the ESPON TANGO project. Examples such as the concepts of transparency, integrity and accountability will be tackled in particular in view of dimension number 3 of our ESPON working definition of territorial governance. Also 'integrated', 'cross-sectoral' and multi-level coordination is imperative to territorial governance and are addressed in dimensions number 1 and 2 of our working definition. Finally, notions like 'Strategic Planning Capacity' and 'Institutional Capacity' are integrated in dimension number 4 in particular (see chapter 1.2). In this light, it can be expected that the ESPON TANGO project will deliver some meaningful insights and lessons of such claims that are related to the management and implementation of the Common Strategic Framework and the respective funds, programmes and policies. However, one needs to keep in mind that these contributions will be derived in particular from a dozen case studies that are concerned with the formulation or implementation of policies, programmes or projects that are aligned to the Europe 2020 strategy in general, but not (except for one) directly related to the Structural Funds programmes in particular.

6.2 Towards the Draft Final Report

The research steps as depicted in chapter 2.4, 3.4, 4.5 and 5.4 will be tackled between now (the submission of the Interim Report) and the delivery of the draft final report (30 June 2013), except for the 'finalisation of the Handbook on Territorial Governance' (see last point in chapter 5.4), which is foreseen for the period between the Draft Final Report and the Final Report. Since the applied research is explained in the mentioned chapters in greater detail, they should not be repeated here again.

As stipulated in Annex III to the contract 2013/1/21 the Draft Final report is supposed to include elements such as:

a) Main Report (max 50 pages) that includes:
    - the key findings/analysis/diagnosis of the project bringing together the most relevant outcomes of the case studies;
    - guidance for multi-level and cross-sector territorial governance (preconditions and success factors)
    - policy options for future EC Cohesion Policy
    - policy options for national, regional and local authorities
b) Executive Summary (max 10 pages) summarising the main results of the applied research that can be communicated to a wider audience of stakeholders. This summary should be based on the Report mentioned above.

c) Scientific Report documenting the scientific work undertaken in the applied research including elements such as:

- Literature and methodology/theory used.

- Typologies, concepts developed and used.

- Data collected and indicators used, including tables with the exact values of indicators.

- Maps produced in support of the results, covering the territory of EU 27, Iceland, Liechtenstein, Norway and Switzerland.

- Models and other tools used or developed.

- Detailed description of the case studies.

- An outline roadmap as to how policy options might be implemented and governance implications and on the further research avenue to follow, including further data requirements and ideas of territorial indicators, concepts and typologies as well as on further developments linked to the database and mapping facilities.

d) Appendices to the Scientific Report including detailed results of the separate case studies.

e) Draft Handbook (max 50 pages) with 'good' practices for territorial governance.

Taking into account our preliminary results as presented in chapter 2 to 5 and the methodological and conceptual framework that has been developed so far, we would like to make the following comments and proposals:

a) The 'Main Report' (max 50 pages) could have the following 'Table of Contents':

1) Brief introduction: The ESPON TANGO approach
2) The ESPON TANGO typology of territorial governance
3) Experts' views on good territorial governance: results from the Delphi-process
4) Synthesis of outcomes of the Case Studies
5) Transferable features of good territorial governance
6) Policy options for future EC Cohesion Policy
7) Policy options for national, regional and local authorities

Note: Chapter 5 would address all five dimensions of territorial governance and thus include multi-level and cross-sectoral aspects as stipulated in Annex III (see above).

b) Executive Summary (*as described above - no further comments*)

c) The 'Scientific Report' could have the following 'Table of Contents':

1) Exploring Territorial Governance across Europe

   (literature review on (territorial) governance and the derived conclusions for the analysis undertaken in ESPON TANGO, such as the argument for a deductive approach, the working definition of territorial governance)

2) The ESPON TANGO typology of territorial governance

   (literature review on typologies, methodological notes, detailed presentation and discussion of results from the expert survey including exact values, list of a experts included, detailed presentation of further specific aspects such as trends and styles in territorial governance)

3) Good territorial governance: the Delphi-process

   (detailed documentation of the Delphi-process, detailed presentation and discussion of results including exact values of the indicators, final version of case study protocols)

4) Territorial Governance at play

   (detailed description of the methodological approach, maps of territorial scope of case studies using the ESPON layout, detailed description and discussion of the case studies, illustration of identified features of 'good' territorial governance and their reflection why they are considered to be 'good' and what distinguish them from 'bad' territorial governance etc.)

5) Transferring and disseminating good territorial governance

   (detailed description of the methodological approach, in-depth discussion of the transferability of the identified features of 'good' territorial governance, description of the rationale and make-up of the Handbook, reflection of other dissemination aspects in this respect)

6) Outline roadmap: policy options and further research avenues

   (discussion of the extent to which identified policy option can be implemented and of the concrete implications regarding mechanisms and practices of territorial governance across Europe, discussion of further need for research, reflection of the opportunities and limits of qualitative research in a European comparative perspective, further considerations of case study work in the ESPON context)

d) Appendices to the Scientific Report

Here we envisage in total 12 annexes each illustrating the detailed results of the separate case studies. Each case study should be presented within 25 to 30 pages following the same structure.

e) Draft Handbook (*as described in chapter 5.3 - no further comments*)

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