ESPON

RISE

REGIONAL INTEGRATED STRATEGIES IN EUROPE

Targeted Analysis 2013/2/11

Interim Report | Version 1/October/2011

Authors

Chris Collinge, Stewart MacNeill, Gill Bentley, John Gibney

University of Birmingham – Department of Management

Wil Zonneveld, Marjolein Spaans, Bas Waterhout Delft University of Technology - Research Institute for Housing, Urban and Mobility Studies (OTB)

Niels Boje Groth, Karina Sehested

University of Copenhagen - Forest & Landscape, Denmark (FLD)

Robert Sorensson, Lars Larsson University of Umeå - Centre for Regional Science (CERUM)

Ole Damsgaard - Nordic Centre for Spatial Development (NORDREGIO)

Table of Contents

Figures

Maps

Tables

1 EXECUTIVE SUMMARY

In the RISE Inception Report (ESPON, March 2011) we elaborated the specification, analytical framework and approach for the Regional Integrated Strategies in Europe (RISE) research project, a first analysis of existing ESPON results of relevance to the project and an overview of the state of play of the regional integrated strategies of the four RISE case study regions - West Midlands (UK), Zealand (DK), Västerbotten (SE) and Randstad (NL). The Inception Report also set out a proposal for the most effective design and form of the RISE

In this Interim Report we detail the progress made towards the overall project goals. In brief the overall objective is to develop our knowledge and understanding of regional integrated strategies – of their emergence and of their operation – in Europe. This overall objective is broken down into four action lines.

 a. To chart the dimensions of the Regional Integrated Strategies in the case study regions, their scope, their participants, their process, their integration and effectiveness
 b. To examine the origins and emergence of the RISs in their different territorial and institutional settings over time, the problems to which they responded, the solutions which they offered
 c. Develop and test a RIS-toolkit applicable in the four stakeholders' countries and Europe
 d. Conclusions and recommendations

In this report we detail progress to-date towards these objectives.

- An overall schema for the literature review has been produced – Section 2.2
- A design for the case studies – Section 2.2
- A template for the Case Studies - Section 2.3 and Annex 2
- RIS toolkit – for analysis of Integration – Section 3.1 and Annex 3
- Initial Consideration of the Survey of Applicability of the RIS toolkit – Section 3.2
- Initial Outlines of the Case Studies – Section 3.3. This work builds upon the initial regional reports in the Inception Report (ESPON, March 201)
- An initial overview of the four stakeholder regions using 'external' public statistics

2 RISE METHODOLOGY

The methodology is described in the Inception Report (March, 2011). Two main research methodologies are being applied.

Analytical work

The analytical work is being undertaken is as follows:

1. *Literature review plus an examination of secondary data sources to contribute to the development of regional profiles.*

To-date a literature review schema and list of sources has been produced covering spatial strategy, regional development and policy integration. Research partners are currently using the schema to undertake the literature review. The review will include the survey presented by WMIE, past ESPON results, as well as academic literature. These separate sections will be brought together in a synthesis by the lead partner for the work – Partner 2, TU Delft. Further details are given in Section (2.1) below.

2. Four 'regional' case studies common case study methodology for the four regions.

A case study template has been produced to ensure the same variables and data collection methods, including questionnaires, sample sizes, coding, analysis, tabulation and interpretation of results, in each region. Respondents have been selected from amongst the policy-making and managing communities for the regions, not from amongst policy recipients or beneficiaries. This template provides a set of research questions and methodology. The template allows flexibility to avoid losing the unique characteristics of each individual RIS case and to enable the differing priorities to be accounted for – e.g., social, spatial, economic. An important source will be the TPG members' knowledge of 'their' own areas and the feed-back from the four stakeholders. Further details are given in Section (2.2) below.

3. A statistical overview of the four 'regions' using publicly available data.

The overview from an outside-in perspective aims to provide the most recent information available on the RISE case study regions in a comparative form through a selected number of indicators. In addition to the indicators, the assessment of factors like population age composition, employment levels for young and older people, investment in research and development will be important for integration of European regional strategies. Further details are given in Section (3.3) below.

Interactive learning

This is planned to probe and validate the findings from the analytical phase. One workshop, or focus group, is planned in each of the four regions. These regional workshops will enable the research teams and stakeholders to discuss the outcomes of the case studies and to also discuss the RIS toolkit.

Three additional seminars are to be organised with the team of researchers (TPG) and the stakeholders; a kick-off, an intermediate and a closing seminar. The kick-off event held in Brussels in March 2011 established the background of the research and helped the stakeholders to formulate what they intend to achieve – and thus advise the research partners. In addition, an intermediate seminar will take place after the case studies have been concluded and will aim to exchange knowledge and bring mutual common understanding within the TPG and stakeholders. A closing seminar would allow bringing the outcomes of the four tracks as well as the toolkit testing together and stimulate/facilitate joint learning and draw some overall conclusions and recommendations.

2.1 LITERATURE AND DOCUMENT REVIEW + STAKEHOLDER FEEDBACK - WP2.2

Work Package 2.2 is designed as a literature and document review is designed to assist the case studies and the development of the tool kit.

To facilitate the process partner 2 (TU Delft) has identified four groups of concepts under which the review should take place. Under each heading a number of questions are proposed. These have been formulated and presented in such a way that they can serve as guidance for the project in order to 1) draw conclusions on each individual case study; 2) find patterns in the combined case studies; 3) identify the components of the RISE tool kit. Partner 2 has thus sought literature which either helps in arriving at conceptual clarity or which gives guidance to the empirical research.

Literature details have been circulated under four headings as detailed below. In addition there is a division of tasks related as much as possible to existing expertise and other tasks in RISE.

Theme 1: Policy integration (Birmingham)

This is perhaps the most important concept in RISE. The main questions to be answered include:

- What does policy integration mean, in particular horizontal and vertical integration?
- What are differences with related concepts such as cooperation and coordination?
- Are there criteria to assess the level of integration especially along the vertical and horizontal axes?
- What does facilitate or inhibit policy integration?
- What kind of tools or approaches can be used to integrate strategies and operational decisions ('projects')?
- What are the limits to policy integration? Integration for the sake of integration?

Theme 2: Policy transfer and learning (DFL, Copenhagen)

One of the key assumptions in our project is that policy integration in our case study areas will show high levels of contextuality. This means that each case is unique to a certain extent because the level and kind of integration depends on a number of contextual factors. So the following questions have to be answered:

- Which are those important contextual factors? Examples: planning cultures; planning systems etc.
- What are important barriers for cross-national learning?
- Which factors determine the transferability of policies, tools, instruments etc.?

Theme 3: Meta-governance & new forms of governance (OTB, Delft)

Policy integration on the regional level takes place in a political and administrative environment which is becoming ever more complex. What comes out of the literature is that there are different ways to respond to this. A first response is that administrative arrangements are reorganized (this is taking place or is very likely to take place in at least three of the ESPON RISE regions!). Another

response is that new forms of governance and meta-governance are developed which are often ad-hoc, have fuzzy boundaries and address and seek to integrate a limited set of policy subjects. Many non-statutory planning strategies are the result of such new forms of governance and meta-governance. Questions to be answered:

- What does governance complexity mean?
- What are the different responses to such complexity?
- What are main challenges ('positive and negative characteristics') in relation to policy integration of these responses?
- What kind of political legitimisation is sought in these new arrangements?

Theme 4: Collaborative planning, legitimization and partnership (CERUM, Umeå)

New forms of governance (theme 3) also includes (the search for) new arrangements between 'government' and the outside world. As this is such an important issue we propose to investigate this as a separate theme.

In planning and policy science there has been a long term interest in citizen participation (see the reference below to the well know ladder of citizen participation developed by Arnstein more than 40 years ago). The concept of participation has been broadened more recently to arrive at notions like collaborative planning and communicative planning. Patsy Healey is one of the most important academics to be mentioned here.

Next to the important issue of legitimization which this literature addresses there is also the issue of the relationships and connections between government and private actors and investments. Literature on public-private partnerships addresses this dimension. There is also literature claiming that planning can only be effective if new arrangements are developed between government and key investors: not only the obvious companies but also institutions within for instance heath care or education which over the years have become independent or privatized in many countries (see Boelens).

So the overall question is: when policies are integrated via strategies which are important connections between government and the civil society at large and key actors within? Sub-questions:

- How to assess the level of public participation and collaborative planning in the making and implementation of spatial strategies?
- In what ways can barriers to the legitimization of strategies be overcome?
- What kind of public-private partnerships are possible when it comes to the making and implementation of spatial strategies?

Theme 5 Policy integration and transferability

We are also also developing concise guidance on the transferability of policy tools across different planning systems and planning cultures. This will form part of the review but will also feed into the sub-work package on creating the RIS-toolkit (WP2.4).

A draft of the policy transfer guidance is presented in Annex 1.

2.2 THE DESIGN AND IMPLEMENTATION OF CASE STUDIES OF RIS (ITS) APPROACHES

A brief analysis of the four target regions' territorial and institutional characteristics was provided in the Inception Report. This characterisation provides the context for the case study and for comparison between cases. Our discussions, and the literature and document review to-date have led to a number of points to be considered in the conduct of the case studies and in the general conclusions and recommendations of the project.

The region questioned

In England regional development agencies (and regional level planning) has recently been abolished and replaced by voluntary cooperation between municipalities within Local Economic Partnerships (LEPs). In Denmark an administrative reform took place in 2007, according to which regional planning was reduced almost to an advisory level. In the Randstadt region, a change of the regional structure is currently considered. Finally, in Sweden, regional strategies in a majority of regions, including Västerbotten Region, are in the hands of co-operative municipal bodies. These observations show that, in the four cases the regional entity is vulnerable and is far from being a solid intermediate tier in the national planning hierarchies.

There are a number of consequences for the project from these observations. Firstly, the concept region may be usefully be replaced by the concept of "territory". Also, it may be that "integrated" is replaced by "integrative" in order to emphasise that we deal with processes of integration rather than just integration. Accordingly, the project title, Regional Integrated Strategies (RIS) might be replaced by Integrative Territorial Strategies (ITS).

Secondly, delimitation of territories should be taken as part of strategic conduct. As emphasised by Williams (1996), delimitation is about identifying "opportunities, comparative advantage and possibilities on the basis of which new links and relationships could be developed and strategic policies formulated". This corresponds closely to the concepts behind the English LEPs and it is highly relevant to any kind of cooperation across the borders of our "regional" planning units.

Thirdly, territorial delimitations should include relational as well as functional territories. In the England (but also in Sweden), functional territories are emphasised as the alternative to administrative territories. However, it may be that relational territories connected by agents networking in trans-local settings should also be considered.

Figure 1 Functional and Relational Geographies

Functional geographies   Relational geographies
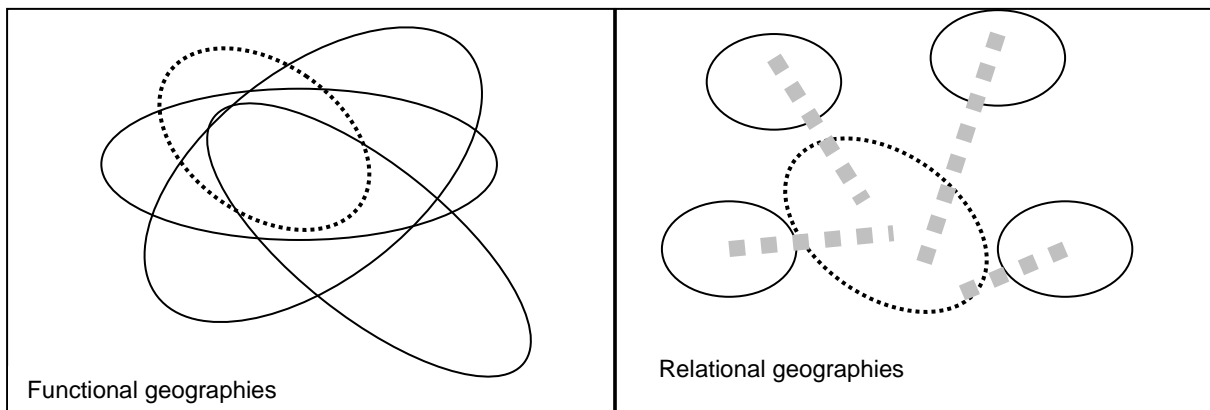
Linking strategy and operational decisions

It is clear that in all instances there should be a close link between strategies and operational decisions. In the Netherlands, for example, the MIRT is supposed to guide national investments from a regional concerted perspective. In England (until recently), and as is still the case in Denmark and Sweden, spatial regional development strategies are coordinated in close association with economic growth strategies/programmes. However, due to the weak authority behind regional strategies, linking between strategy and operational decisions is a core issue. The problem is further emphasises by the numerous decision makers and strategies operating within the territory - with few obligations to coordination.

In the quest to have a close coordination between strategy and operational decisions three kinds of linking are relevant (see also illustrations in the Annex to the Inception Report)

• Rational linking strategy and operations by the decision maker (governmental rationality)

• Meditating diverse strategies and agents into a concerted perspective (Metagovernance)

• Improving relations between strategies aiming at profiting upon micro perspectives rather than the grand perspective (pluri-centric coordination).

In defining operational decisions it is necessary to include soft as well as hard measures – for example, soft measures such as strategic partnerships and joint visions.

The territorial dimension questioned

As emphasised by the Randstad and Birmingham (West Midlands) cases, the territorial dimension is challenged by the increasing priority given to economy, business policy and competitiveness. Thus we need to consider the question of "What are the integrative arguments of the territorial dimension?"

Thus within our case studies special emphasis is given to questions such as:

- How is the role of territory in the visioning part of the strategies?

- What other kinds of concepts – challenging the territory - are dealt with, e.g. sustainability, economy and business development?

Strategic conduct rather than strategic documents

It seems as if there is a general agreement that there is no single overarching RIS/ITS. Therefore, rather, than searching for THE regional integrated strategy, we propose to search for integrative strategic conduct. Such strategic conduct may be displayed by stakeholders sharing ownership to common ideas, plans, projects and visions – and thus need not to be written down in documents. Therefore, the case studies – although taking documents as points of departure – are not be restricted to these but include observations on strategic conduct as displayed by stakeholder ownerships, commitments, continuity of action and cooperation.

Definition of ITS

We do not propose to define Integrative Territorial Strategies (ITS) – or even definitively adopt the concept within the project. However, it is an issue for partners and stakeholders to consider at future meetings and seminars.

Some aspects will however be used in the context of the case studies. For example, of all, integrative action means stakeholders joining efforts on development or in addressing certain problems in a territory. Increasingly, however, we deal with a diversity of strategies displayed in political-administrative milieus depending more on connectivity than upon authority. In this situation, the integrative efforts are about connections such as:

- Connection between national and local policies and projects and connections between regional and local policies

- Connection between regional strategies and EU policies - on the one hand influencing EU structural funds during negotiations for new funding periods, on the other profiting upon EU structural funds in setting up projects

- Connections between regions - national as well as cross-border connections

- Connections between territorial strategy and economic and business development programs

- Connections between stakeholders - at strategic level and at project level

2.3 THE CASE STUDY TEMPLATE

A common template has been devised (by Partner 3, University of Copenhagen) in order to provide a framework for the interviews and for the overall format of each regional report. Each team is responsible for planning and doing their regional case study. A detailed version of the Template and Guidance for the Case Studies is provided in Annex 2.

Using the overall guidance, research partners have designed their own guides to adapt the Template to the local circumstances. An example Case Study Guidance for an individual region (West Midlands) is also provided in Annex 2

The four case studies are conducted in each of the four stakeholder regions: West Midlands, Randstad, Region Zealand and Västerbotten. As described in the Inception Report, there are pronounced differences between the current national planning systems. Thus a number of diverse strategies and diverse geographies are examined as appropriate. In the case of West Midlands, the regional delimitation is kept for the overall analysis of regional profiles.

For each case study some ten to twenty interviews are being conducted with key players - as selected in collaboration with the stakeholders. Interviewees comprise actors working in various sectors and at various levels of scale in both public and private organisations and influential NGO's. This range of interviewees is intended to enable the TPG to address issues related to both the development of policies and their integration and implementation.

The schedule below covers the activities where the entire team meets. A detailed schedule is given in Annex 2.

Table 1 Case Study Activities

Activity	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Steering Committee meeting / kick-off seminar		X									
Case Studies in four regions			///	///	///	///	///	///	///		
Formative meeting (virtual)				X							
First intermediate meeting (Umeå 7th June)					X						
Second intermediate meeting (Delft 14th sept)								X			
Case-study report										X	
Regional workshops										///	
ESPON seminar – internal											x

Content of the Case-Studies

The case-studies will consist of a background analysis, the examination of 3 – 5 strategies and a series of interviews as described above.

1. Background analysis

The overall regional profile, challenges and potentials will be covered for all four regions by the 'outside-in' analysis to be undertaken by Partner5 – NORDREGIO. In addition each case study will examine:

- The region in EUROPE (Nordregio, Eurostat, ESPON and national data)
- EU-Structural Funds (Operational Programmes) & European Territorial Co-operation programmes

- The region in national planning
- Regional policy agents

2. Strategy analysis (documents and interviews)

Here the starting point is the 3 – 4 strategies selected for the inception report by the stakeholders. The document analysis is seen as a preparation for the interviews. It should be recalled that the aim of the case-study is the analysis of strategies, hence not just the written documents.

1. Context

A: What was the context and purpose of the strategy?

2. How, who and achievements

- How was the process established? Who took initiative?
- What was achieved?
- What were the key instruments used?
    - Visioning or regulatory planning?
    - Positioning
    - Focus
    - Horizontal – vertical integration

3. Regional Outlook

- Here we seek to establish an overview of Integrative Territorial Strategies.
    - The regional agenda
- What are the most important items of the regional agenda?
- Stakeholders
- Achievements

Figure 2 Rational government, meta governance and pluricentric coordination

Rational decision making

Meta governance

Pluricentric coordination
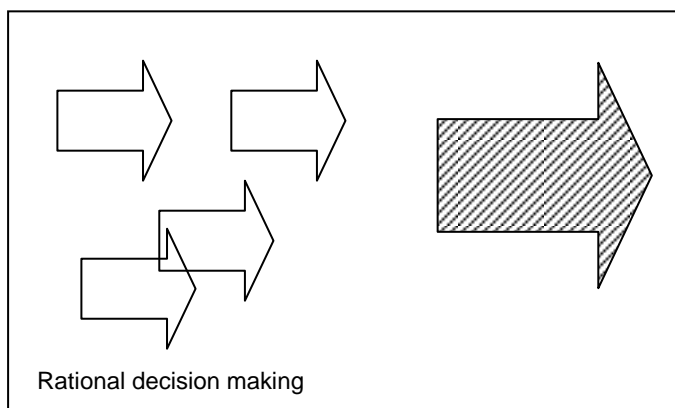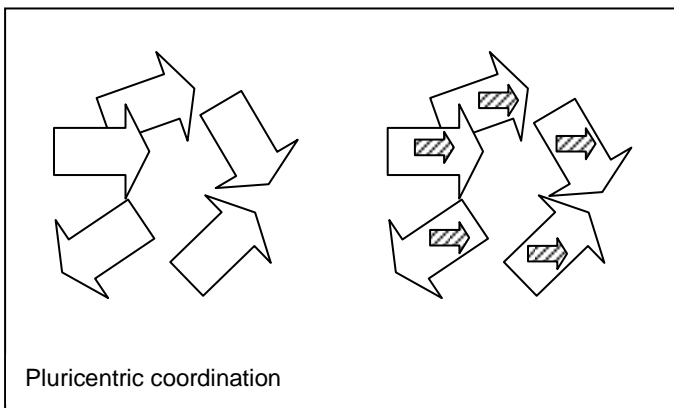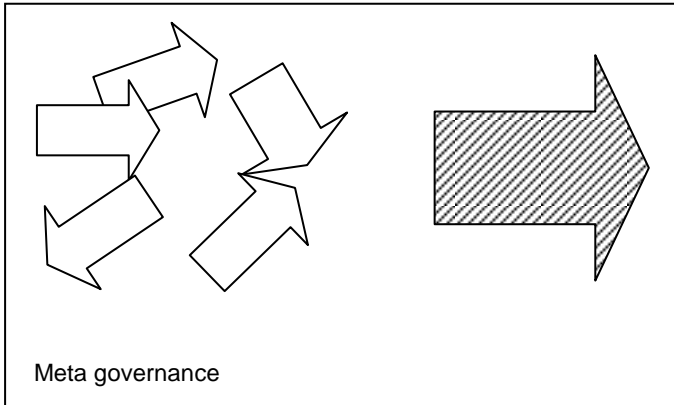
Workshops and/or Focus Groups

Within each case study area a workshop will be organised to which up to 15 non-TPG and non-stakeholder experts will be invited - including some of the interviewees. In addition an intermediate workshop between the TPG and the four stakeholders will facilitate exchange of knowledge and joint learning about RIS (ITS) in various territorial and institutional settings.

Typologies of Regional Integrated Strategies

On the basis of the above studies we will explore the possibility of establishing a typology indicating similarities and differences between RIS approaches in the four target regions. Developing the typology will be important as it will provide criteria, objectives, methods, conditions and requirements, and leadership orientations of RISs. Following testing through discussions and seminars, a typology will be presented in the final report. Interactive work at this stage will involve experiences of the TPG experts and stakeholders, as well as some exploratory interviews with other relevant actors.

3   RISE RESULTS TO-DATE

The project is at an 'in-between' stage. The theoretical framework has largely been completed as was set up in the Inception Report (ESPON, March 2011). Currently the main empirical work and

the literature review are being addressed. The sections below detail the results at the time of writing.

3.1   RISE TOOLKIT

One of the key outputs from the RISE project is the design and form of the toolkit for regional integrated strategies. The toolkit seeks to provide both a framework for integration and an analytical tool by which integration can be measured. Thus, it firstly serves as a framework to inform the analyses of the case studies, and enable the overall synthesis. Secondly, the toolkit will, in part be derived from the case studies and the literature review.

A preliminary version of the tool-kit was presented as an annex to the Inception Report. In this report we present a second draft in Annex 3. Further contributions will be made on basis on testing by the case-studies in the stakeholder regions, input from the theoretical literature review and comments received from the stakeholder seminars in December 2011.

In the second draft presented here, a number of changes have been made. In the first draft, a distinction between generic and context tools was presented. This has been changed in the revised draft in order to emphasise two other kinds of tools for preparation of regional strategies: analytical and procedural tools. In a later version it is hoped to include institutional change as a third tool. The model and general recommendations for the analytical tools is presented (Annex 3, section 3) and also the ideas and principles for the procedural tools (Annex3, section 4).

In section 5 operational tools for analytical and procedural analysis is presented. We suggest the elaboration of check-list indicators. Concrete examples are presented as kick-off of further testing and elaboration by the regional research teams in each of the case-studies.

The check-list indicators are chosen on background of a discussion on the current state of impact indicators used for evaluation and monitoring of regional strategies. At the initiative of the EU such indicators are widely used in setting up the national ERDF and ESF operational programmes. These indicators seem to be thoroughly integrated in the current vertical dialogue between the EU and national governments penetrating to the regional level – and huge efforts are used for measurements. In the theoretical literature on performance management, the use of quantitative indicators has been criticised.   Based on these observations we refrain from further efforts on elaboration of quantitative indicators and, hence, concentrated upon what we call 'checklist indicators', suitable for evaluation and guidance of the strategic analysis and process.

Analysis

As detailed in the draft toolkit, the current major paradigms for strategic planning are the *analytical* and *learning* perspectives. The former seeks to develop policies in an analytic process based on 'scientific' analysis of the territory and the changing conditions. This can be said to represent a *deductive* or hierarchical approach. Here there is a clear separation of strategy making and implementation.

The learning approach, by contrast, has strategic planning as an interactive process in which experiences are synthesised and utilized in new strategies. Here strategies and implementation

belong to a wide range of organisations so the overall picture is not very precise or detailed. Nevertheless they add up to a common frame for the individual actors. We can observe that, in contrast to the analytical approach, this is largely an *inductive* process.

As described in the draft toolkit, these two approaches can be brought together within the concept of the "Strategic Circle" as shown in Figure 3 below. Here we can see four separate elements of analysis – role of the city or territory under examination; the 'outside world', the stakeholders involved and the visions for the future. They can be considered in any order. Thus, projects, strategies, events or significant changes may all equally form the starting point for either the analytical approach to planning or to the analysis of the planning process.

Figure 3. The Strategic Circle
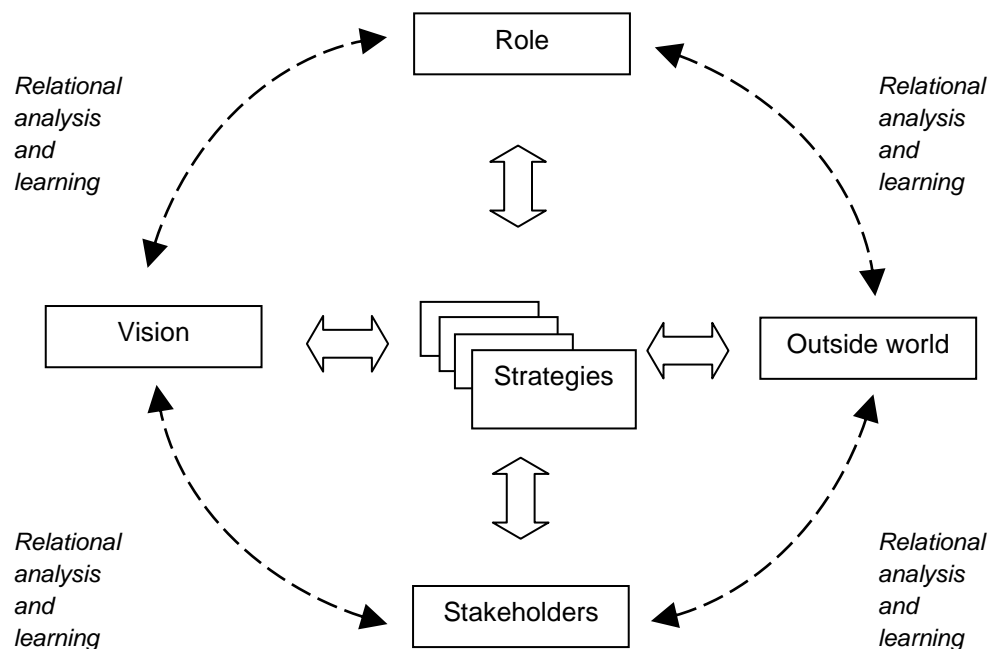
Strategic analysis and strategic conduct

In the RISE toolkit, we also distinguish examine the contrast between strategy and achievements. For example, this may arise from a difference because of the strength of governance at local and regional levels. At local level achievement may be more evident via projects which may be funded from a number of sources and which may not 'join up. By contrast at the regional level where governance may be weaker, paradoxically there is often a well defined strategy.

Local strategies: **Achievement** ↔ **Strategy** ?

Regional strategies: **Strategy** ↔ **Achievements** ?

We can thus identify a difference between strategic analysis (strategy) and strategic conduct (which may lead to project based achievement).

Tools for Strategic Conduct

Generic tools are only relevant when used in context of concrete strategic planning situations. Usually statutory planning powers at the regional level are modest. From the beginning of post-war planning systems, delimitations of the region was characterised by the ambiguities of planning duties. On the one hand, carrying out national planning interest called for fewer larger regions, whereas coordination of municipal planning called for smaller regional entities. The formulation of an active regional development policy at EU level has to some extend compensated for the weaknesses and given new life to regional policies. EU regional policies are, however, not just unfolding within administrative regional boundaries. EU regional policies are greatly concerned with the formation of cross-border mega regions, thereby adding further dimensions to the regional ambiguities. The ambiguities and lack of powers at the regional level has been compensated by regional authorities by stressing the role as strategy makers, catalysts and mediators and the use of 'soft planning measures' and voluntary regional planning procedures.

The need for an integrative approach is two-fold. Firstly, needs may arise for adjusting plans and strategies from the territorial point of view to avoid contradictory strategies, strategies that undermine one another, strategies dealing with the same issues, a proper use of resources etc. Secondly, there is a need for integrating strategies in order to be able to act in some form of common direction – not in the sense of making a comprehensive and overall strategy, but in the sense of making partial and contemporary direction for the development of specific regional issues (e.g. education, climate). We suggest that the solution is not to return to the overarching regional strategy based on formal planning procedures but rather to make diverse strategies - made in collaboration with various actors - play in concert.

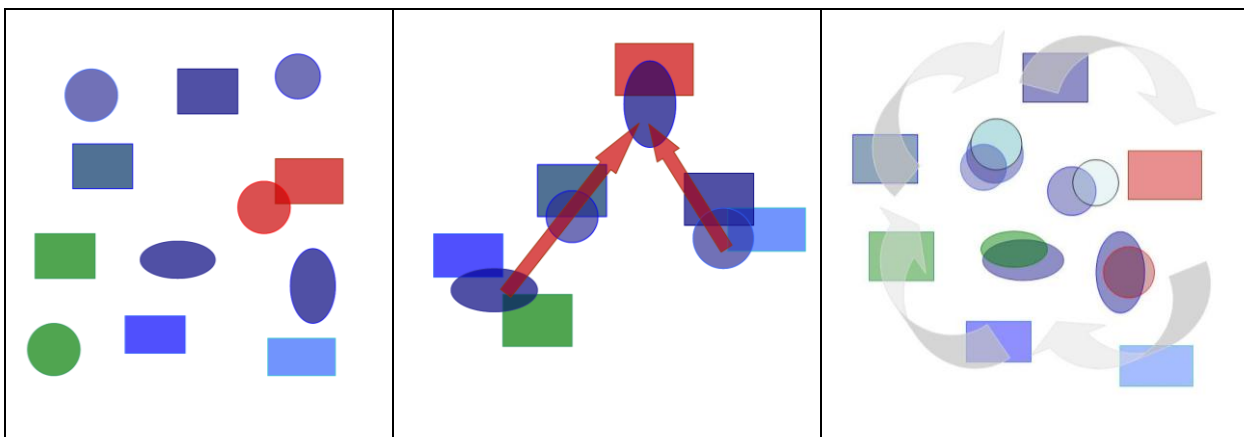**Figure 4 Integrating the Strategies**

Figure 4 shows from left to right. The plethora of individual strategies and agents. Hierarchical coordination of agents and strategies. Making agents and strategies work in concert – based upon mutual interest and familiarity with regional concern ('Family-zising')

Operational Tools

In the revised draft we also discuss operational tools for analytical and procedural analysis and suggest the elaboration of check-list indicators. These are chosen against the background of discussion on the current state of impact indicators used for evaluation and monitoring of regional strategies. At the initiative of the EU such indicators are widely used in setting up the national ERDF and ESF operational programmes. These indicators seem to be thoroughly integrated in the current vertical dialogue between the EU and national governments penetrating to the regional level – and huge efforts are used for measurements. In the theoretical literature on performance management, the use of quantitative indicators has been criticised. Based on these observations we have refrained from further efforts on elaboration of quantitative indicators and, hence, concentrated upon what we call 'checklist indicators', suitable for evaluation and guidance of the strategic analysis and process.

Theoretical observations on performance management

The performance management through the use of indicators lies within the rational and analytical planning paradigm. Although a crucial issue, we suggest leaving the established indicator systems for further development by the EU and partners. Instead, inspired by recent theories on measuring strategies, we present, in Annex 3, a social-interaction approach focusing upon strategic analysis as presented by the strategic circle and focusing upon the process of making strategies, 'strategic conduct'.

Strategic analysis – checklist indicators

Strategic analysis has been emphasised as a core instrument for strategy making. The strategic circle is developed as an analytical instrument focused upon strategic issues, dependence of the outside world, changing roles in a globalising world, need to include visions and potentials for the future and a broad cooperation with stakeholders. Below, a checklist for running a strategic analysis is presented. The checklist focuses upon the structural elements of the analysis, but could be further expanded by topical indicators. It is important mentioning that the analytical instrument is to be used at the level of a single strategy as well as at the level of several strategies working in concert. The indicators will be further elaborated in cooperation with case-studies and stakeholders.
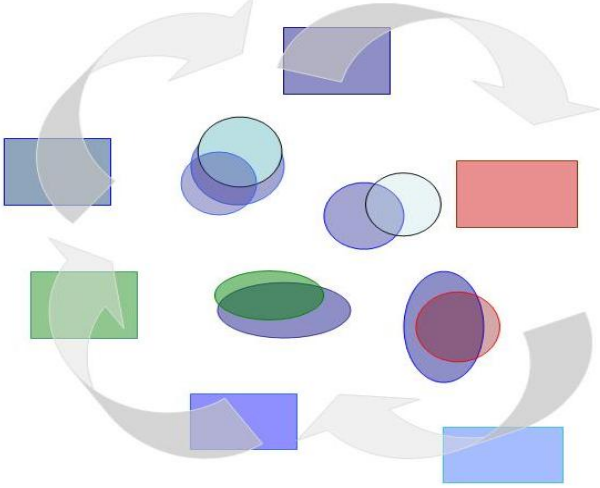
Figure 5. Check-list indicators of strategic analysis

Role

Relational analysis and learning

Relational analysis and learning

Vision

Strategies Projects

Outside world

Relational analysis and learning

Relational analysis and learning

Stakeholders

Check-list indicator	Need for Clarification? Yes / No	Follow up actions
Relations between the outside world and the role of the region		
Potentials for strengthening the role of the region in the perspective of the vision for development		
Setting up a vision for the region - jointly with other stakeholders		
Spatial positioning: Spatial delimitation of economic or functional regions ripe with opportunities for new actions (e.g. cooperation on infrastructure, cooperation on joint strategies, cross border cooperation)		
Are current projects and strategies singularly and jointly sufficiently connected with visions, role, relations with the outside world and stakeholders?		

Check-list indicators of Strategic conduct

Strategic conduct is about the way strategic action is carried out by a number of actors relevant to the region. In focus is establishing and strengthening working relationships between strategies and actors. The aim is to establish some degree of a regional community of agents familiar with overall strategic ideas for the development of the region. Rather than strict coordination and/or mergers of strategies the idea is to 'family-zise' strategies through networking, meetings, cooperation and transparency of actions. It should be noticed that focus is on the horizontal regional level including relevant central and local agents. Vertical integration of regional strategies with national and EU regional policies seems to be greatly facilitated by the EU and national governments. Indicators will be further elaborated with case-studies and stakeholders

Figure 6 Check-list indicators on strategic conduct

Check-list indicators	Options or need for improvement? Yes / No	Follow-up actions
Focusing strategies: Reducing the number of strategies, especially when two or more strategies are developed by the same agent		
Networking with relevant projects: Are there relevant strategies with regional spatial impact running in isolation or contradictory to the RIS?		
Adjusting projects to strategies: Are projects funded or reviewed by the regional council or other regional agents sufficiently focused on strategic priorities?		
Instrumentalizing strategies: Are sufficient and transparent milestones set up?		
Has the strategic analysis (above) been based upon cooperation with all relevant agents and stakeholders?		

Financial models

National public expenditures and private investments are overwhelmingly the major economic impact at regional level. EU Structural Funds have an important role, often as a coordination function, but they are small in financial terms. The focus of the RISE project has been on 'soft' analytical and procedural measures. Since however, the structural funds have become the back-bone of national regional policies and have attracted much political activities, in our case study

work we shall comment upon some aspects of the current financial models. TA preliminary discussion can be found in Annex 3 regarding the integration of policy measures in Denmark.

Institution Building

A further aspect of integrating policies and strategies is the creation of appropriate institutions. These may be formal organisations with their own premises and staff and with a brief to develop overarching policies. Alternatively they may be in the form of groups or committees that seek to discuss strategy and implementation and build consensus and synergy. The two types of organisation are well illustrated by the West Midlands case in England between the previous arrangements under the RDA and the new working paradigm with the LEP. Under the former there was an organisation with funding, and a specific brief from the national government to integrate economic, transport and spatial planning. By contrast, the latter has no statutory powers and little finance. It is, as above, developing strategies, at the geographical level of the LEP, (see Figure 4 below), but seeks adherence and collaboration from the Local Authorities and others through influence and cooperation.

Map 1. Location of Greater Birmingham and Solihull Local Enterprise Partnership (LEP)
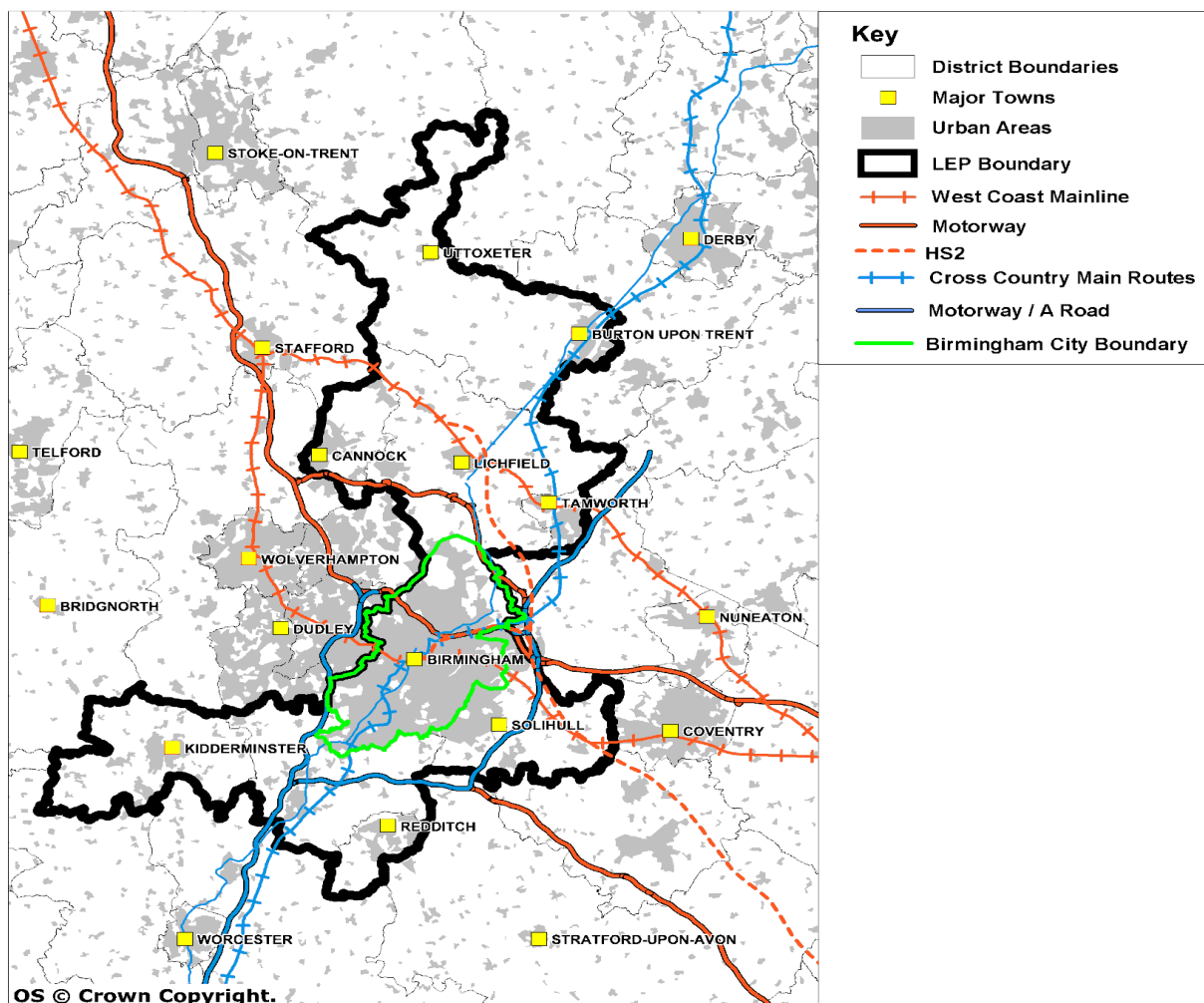
Policy Integration

The desire for policy integration is a reflection of the emphasis upon joined-up working and the shift from government-led policy making towards systems of governance which involve a range of public and private actors. This includes a shift from tested and reliable instruments, which in the field of regional development means centrally allocated funds for infrastructure development and, for example, subsidies to companies, towards the deployment of a wider array of instruments including benchmarking, cooperative networks and clusters, skills training, and procurement methods. A particular governance aspect receiving attention concerns the horizontal and vertical interdependence between various policies, causing both positive and negative policy interactions. Thus 'policy coherence' has become high on the political agenda. Regional Integrated Strategies, understood as a governance package, can be regarded a promising approach to achieve joined-up solutions and creating synergies. In order to do so, they need to answer and take care of a number of fundamental questions and issues.

1. The performance of any specific regional policy (perhaps a sectoral or thematic policy) depends (a) upon its own intrinsic qualities in relation to its target domain (e.g. enterprise development schemes may succeed or fail depending on the skills of business advisors and the selection of enterprises) and (b) upon its extrinsic qualities, upon its consistency with other policies that are being pursued at the same time in the same area, and that may interact – reinforce or undermine – this policy. The research outlined here, in its focus upon the integration of policies for particular regions, focuses especially upon the second – extrinsic – source of effectiveness, the effectiveness of a set of policies taken in aggregate – the degree to which the effectiveness of each individual policy contradicts or conflicts with the effectiveness of all the relevant and potentially interacting policies taken together. That is to say, it takes the term 'integration' to refer to not merely the coexistence of policies, or their mutual acknowledgement, or the involvement of a range of stakeholders, but also their consistency – the level of synergy, the absence of allergy.

2. It is recognised that horizontal integration is in some cases difficult to achieve, and that it will take time to establish and to enhance. Questions that arise in reference to the horizontal integration of the strategies in different regions concern the operationalisation of the dimensions of integration as follows:

    a. How well do policy-makers understand the intrinsic performance of any specific policy measure? This concerns the methodologies have policy-makers put in place to *measure* and *feed-back* the intrinsic performance of policies (e.g. in terms of inputs, outputs and outcomes from the different strands of policy in different thematic areas considered separately).

    b. In particular, how well do policy-makers understand the degree to which different policy strands (e.g. those concerning *economic growth*, *environment and climate change*, *business needs*, *social* and *health*) interact with one another, and the nature of this interaction (e.g. synergy or allergy)? This concerns the methodologies that are in place to evaluate mutual *consistency* and *synergy* – in their inputs, outputs and outcomes – between different policy strands in different thematic areas.

    c. This leads on to the third question – to what degree have the main interacting policy strands been brought together within the same strategic framework, and have any

crucially interacting strands been separated out? By strategic framework here we mean principally the strategy-making, implementing and reviewing cycle, but this relates to the organisational framework such as committees, alliances or partnerships. Where there are several RISs within a region (as will often be the case) this concerns the leadership within each RIS and the extent of coordination between RISs.

d. How committed are policy-makers to strengthening integration? How well are they building towards – planning for and addressing – the enhancement of policy integration over time? This concerns identifying cross-cutting policies, establishing *communications* between the managers of the different thematic policies within and between RISs around the achievement of their mutual consistency and synergy. It also concerns the management procedures and cycles that are in place to enhance integration, the attentiveness of the strategic coordination process to the need to build towards greater integration over the course of several policy/management/budget cycles.

e. How much progress have policy-makers made in strengthening horizontal integration? This concerns the *responsiveness* and *mutual adjustment* of the proponents of different policy themes in the light of feed-back, the efforts made to overcome obstacles, over time. Again this concerns internal and external integration within/between RISs, and it involves researching the time-lines for the development of this integration in each region.

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

The Ladder of Integration

Integration can also be measured by using the following scale, or ladder of integration, with 1) being the least integrated, and 4 the most.

a. The absence of visible *contradictions* and *conflicts* between policies. Contradictions occur when policies impede or undo each other's work, in either their implementation (outputs) or in their consequences (outcomes). Conflicts occur when those involved in implementing (delivering or receiving) policies are in active disagreement with one another.

b. Mutual awareness and information exchange, in which contradictions can be revealed and (potential or actual) conflicts may be exposed and addressed. There are of course different degrees of mutual awareness and understanding, and information can be exchanged at different levels and different intervals.

c. Building upon mutual awareness by working to remove contradictions and conflicts, to improve the alignment of policies with one another in the activities through which they are implemented and in their outcomes. These alignments may be designed into the policies in prospect, and expressed in a shared strategic framework. But they may also be measured in retrospect and the designs reviewed.

d. Maximum integration can only be achieved over time, when the efforts towards integration listed above have been pursued over a period of time, have shown up areas of contradiction and conflict, have measured and addressed these.

3.2   SURVEY – TESTING THE TOOLKIT

To test the applicability the toolkit across the ESPON space an additional test will be carried out by means of conducting a survey among stakeholders across the ESPON space. The outcome of the survey, together with the results of WP2.4, will thus feed into WP2.6.

Considerations concerning the testing of the tool kit

In our application, (Annex B, page 20) we suggested that "The results of WP2.4 (the tool kit) will be tested across the ESPON study area making use of the network of ESPON contact points. It was envisaged that this would be done through a web-based survey, using SurveyMonkey (www.surveymonkey.com), and targeting RIS experts in (possibly) all ESPON countries.

However, as the project has developed so has the expected character of the tool kit. It is thus described in the appendix for the Inception Report at page 3 as partly consisting of generic and partly of contextual tools. The generic tools have a more general or universal character such as regional planning or project management while the contextual tools will deal with specific needs for situated strategies dealing with regional development problems within the variety of planning frameworks in the EU-member states. The tool kit therefore is intended to focus on learning processes e.g. in the format of the strategic circle or e.g. in the format of strategic conduct as iterative learning processes. The content of tool kit will therefore be presentations of methodologies illustrated with examples and supplemented with a few more tangible tools such as examples of indicators for policy integration.

Viewed against this new background it may be that a web-based survey with relatively simple questions is not the right method to obtain feed-back from a group of RIS experts representing the variety of European regions or other methods should be used.

The strength of a web-based survey's is that a large number of interviewees can be addressed by e-mail and that the responds can be handled quite easy in a computer program. It is excellent for marked surveys or evaluations where relatively few and simple questions with prefixed possibilities for responding can be asked eventually supplemented with a few open ended questions. On the other hand, the web based surveys often have the weakness of low response rates. In RISE an additional issue is in ensuring that the toolkit clear and understood prior the experts answering the questions. In addition, the tool kit and questions will be in English which might be an additional barrier to respondents.

An alternative method may be a more interactive approach e.g. in the format of a seminar or mini-conference where a limited number of RIS experts are presented for the tool kit in a face to face situation and where the researchers have the possibility to have spontaneous reactions from the RIS experts. The event could be followed by a limited number of written or telephone based reflections.

One possibility may be a workshop back to back with the last steering group meeting taking place in Brussels. The format could be a one day event where presentation of the tool kit followed by discussions in workshops should be the core activity. This core activity could be supplemented with presentations of examples mainly from the case regions where the tools or elements of the tools have been used in different contexts and where the focus will be on the good and bad experiences.

This mixture of presentations where both researchers and practitioners have an active role should together with the workshops in small groups energize the interactive discussions.

The advantage with such an arrangement is that all the case regions can be present representing very different examples of North-western European regions. In addition to the case regions a limited number of Southern-, Eastern- and Central European regions would be invited. The ESPON contact points could assist identifying the relevant persons. The seminar and the workshops would be documented in a short working paper together with the reflections from the participating RIS experts. The format of the survey will be discussed between Partner 5, the lead partner and lead stakeholder. It will be discussed amongst all the partners at the partners' and stakeholders' meeting to be organised at the ESPON internal seminar in Kakow, 29-30 November 2011.

3.3   CASE STUDY SUMMARIES

Introduction

As noted above, the different partners of the RISE project are – together with their stakeholders – exploring the emergence of regional integrated strategies by investigating the dynamics of their respective regional or sub-regional development agencies. In this section of the report we review briefly the findings so far, before the completion of the data collection phase. Before doing so it is however important to draw attention to certain general tendencies that have been observed across the different case studies.

The context for the revised approach to regional planning across Europe includes economic change, political change, and socio-technological change. In the economies of regions there is growing spatial complexity, with the emergence of *multi-local economies* in which there are for example strong linkages between remote industrial clusters. These involve short range regional networks combined with long range trans-national and global linkages between regions. In the polities of regions there is growing complexity of governance patterns, with the emergence of *multi-level* and *multi-modal governance* in which traditional hierarchical or bureaucratic approaches are combined with marketised, networked or partnership-based governance. In the society of regions, the opening up of social organisation to intensified communications and networking, with the emergence of new ways of using new media and the internet, is permitting open source creation, innovation and coproduction.

In each of the cases under investigation, it has also been observed that there is a significant degree of institutional change occurring, with new governance and financial arrangements being introduced, in the context of a multi-level governance system that is in each case dealing with fiscal and political pressures. In the Greater Birmingham case the emphasis is upon business-led development organised at the sub-regional level, together with the centralisation of development budgets. In Randstad and in Zealand there is greater emphasis upon integrated planning across functions. In Västerbotten the emphasis is upon the merger of counties into wider regional units, and away from redistribution towards regional self-sufficiency and growth. The establishment of a new organisational framework addressing new issues, with a governance system, management structure, set of external relationships and internal relationships in Randstad, Zealand and the Birmingham, Solihull and Lichfield Local Enterprise Partnership.

In each of the cases under investigation it has been observed that the territorial boundaries of the primary regional or sub-regional development agency are not settled and fixed, but are in the process of being renegotiated. These renegotiations are in most cases being promoted and facilitated by central government – with the intention of bringing greater effectiveness and/or reducing costs. But in each case the renegotiation is being driven from the local level at local initiative, and reflects the desire to achieve a certain spatial realignment in policy-making – whether for economic, political or promotional reasons, or for a mixture of all three.

BIRMINGHAM AND SOLIHULL LEP

The West Midlands region, like all the other regions of England, had since 2000 been served by a regional development agency (AWM) established and financed from the centre, whose boundaries coincided with those of the nine nationally designated administrative regions of England. AWM oversaw the establishment of an overarching planning framework involving the Regional Economic Strategy and the Regional Spatial Strategy. While not integrated in content, by bringing these together under one body (the RDA) there was an intention to integrate different planning fields. The concept of Regional Spatial Planning (RSS) was developed by the last Labour Government, and grew out of the previous national Regional planning Guidance. It incorporated both housing planning and transport planning which had been functions carried out at district level. The RSS does not represent an RIS since economic planning is not included. It does however make reference to AWM's Regional Economic Strategy as it seeks to support the provision of sufficient and suitable job opportunities as an important aspect of balanced and sustainable communities. It also makes specific reference to the six regeneration zones and three high technology corridors as a spatial focus for economic growth and diversification. These were intended to provide investment and employment opportunities and, through transport improvements, be made more accessible. The RES document relates to the RISs in that it has a specific spatial element through the regeneration zones and technology corridors. It was also intended that housing and retail planning via the RSS should be consistent with the RES. The document also refers to a number of cross-cutting issues including, climate change, energy security, preparing for a lower carbon economy, globalisation, demographic change and the 'march' of technology. Its original implementation period was until 2026.

For the time being, at least, the RSS document is still 'alive', just as the Regional Planning Group still meets. But it remains to be seen as to how it will be utilised by the either the district level Local Authorities or the new supra-district LEPs. The document was drawn up via a consultation process led by the RDA. There was considerable interaction with business, Local Authorities, academia and voluntary groups. The West Midlands RDA was, like other English RDAs, a quasi governmental body which received funding from central government. It was also, as above, responsible for the RSS and oversaw the utilisation of EU structural funds in the region. The geographical area covered was the same as for the RSS above. The timeframe for implementation was coincident with the Structural Funds Operational Programme - until the end of 2013. The latter strategy was linked to the RES and all funded projects had to be consistent with it.

The new government that came in 2010, however, abolished the regional development agencies, removing the institutional and budgetary basis from the Regional Economic Strategy and the Regional Spatial Strategy. In place of this the Government shifted the institutional and territorial emphasis towards the sub-regional level, permitting neighbouring localities to join together with

one another to propose the establishment of sub-regional agencies – Local Enterprise Partnerships – that covered territories of their own choosing. These are groupings of Local Authorities and business which seek to represent what they regard as 'functioning economic areas' on a sub-regional, inter-local spatial basis. Under the revised policy landscape of the new Government the planning functions, including economic planning, will henceforth exist only at two levels – national and district (Local Authorities) with the regional planning function being abolished. But the LEPs can if established produce a combined cross-local framework for economic and spatial planning. Rather than delegating budgets to the regional level, the UK Government has also centralised control over a (much reduced) budget for promoting regional economies – the Regional Growth Fund – to which the sub-regional LEPs may bid.

The new initiative of the incoming Government is to create Local Enterprise Partnerships (LEPs) based, as they say, on 'functional economic areas' rather than 'artificial' regional boundaries. These, as described above, comprise plans by groups of local authorities and business leaders in sub-regional configurations. Thus four LEPs cover the former West Midlands planning area. The government has also required the LEPs to be business-led, with a chair from the private-sector and balanced number of business representatives and local authority leaders. The local authorities that have joined the LEP have similar political complexions to each other, and to the national government – Conservative-led coalitions – at the present time. In terms of its governance structure, the LEP has a Board comprising the four LAs, representatives from business and one representative of academic institutions. The Board is chaired by a representative of business – Andy Street of John Lewis retailing.

Four local authorities are involved in the LEP that has been accepted by UK Government for the City of Birmingham – Birmingham, Solihull, Lichfield and Tamworth – plus the surrounding areas of Solihull to the south and East Staffordshire, Lichfield and Tamworth to the north and north-east. The area is largely urban but with some rural parts and green belt in between. It covers the centre and east of the West Midlands region as covered by the RSS and RES. The area is the geographic and business hub of the region. There are a number of major assets including the major airport, and rail stations, the UK's major exhibition centre and major sites of several leading transnational corporations. GVA per capita is close to the national average and therefore above the whole region average. The population is closely interlinked through prevailing travel-to-work and retail patterns. There is a commitment to working with adjacent LEPS on issues which transcend LEP boundaries. It is most probable that cooperation will primarily be with the two adjoining LEPs along the NW-SE axis through the old West midlands region. These are Black Country and Coventry/Warwickshire respectively.

Initially each of the Local Enterprise Partnership (LEP) in England was asked to produce an economic plan. However, spatial planning powers are to be returned from RDAs to Local Authorities, and it is recognised that there needs to be coordination with other planning themes. The national Government seeks to be 'non-prescriptive' preferring to leave coordination decisions to individual LEPs, however the Government is also introducing new Planning legislation that is intended to create a bias towards development. The Government's localism bill states that there will be a duty to cooperate with other districts and LEPs but is not specific on which. A proportion of the Business Rate (tax) will be retained locally for use by the LEP – as agreed by the Government

The initial proposal document for the LEP set out a broad vision, including arguing that it is a 'functioning economic area'. The focus of the proposal was upon building an enterprise and innovation culture, and building infrastructure. The document also suggests that the LEP will pick up a number of functions previously led by the RDA. These include inward investment, business sector and cluster programmes, business support and access to finance. The broad aims as stated are to improve the main indicators of economic performance such as GVA per head, to improve skills levels, to increase the rate of business start-ups and to attract inward investment. There has been an intense period of activity in the initial months. In particular, by 1 April 2011, there was a need to draw up an economic development plan. Initially, LEPs will be responsible only for economic planning but, inevitably, other areas of planning, such as housing and transport will impinge on their work. There is a 'duty' for LEPs to collaborate as appropriate but as yet it is not certain if this will become a statutory duty or remain voluntary. In addition, it is not clear how much responsibility LAs will cede to the LEPs and in which areas of planning.

Interviews are being conducted with leading participants and stakeholders in the Birmingham and Solihull LEP, including Board members from local government and from business. We are interviewing a number of people – stakeholders, decision-makers and others – across the GBSLEP. We are exploring good practice in the design, development and implementation of sub-national Integrative Strategies. The GBSLEP is new and the interview objectives reflect this. We are gathering information on:

- The establishment of the GBSLEP in *composition* – the membership of the partnership, and its territorial scope. The research is addressing the way in which certain localities joined and others did not. It is also addressing the selection of individual to sit on the Board.

- The establishment of the *organisational arrangements* – its internal structure, its relationship (horizontally) to other LEPs, and (vertically) to 'higher' and 'lower' agencies. These relationships are in most cases still emerging, and so the research is watching them form.

- The *strategic focus* – the substantive scope (economic, spatial, social, etc) and style of the strategy and the focus of its priorities. So far the focus of the LEP has been upon the economy and on economic infrastructure, with the review of land-use planning to come later.

- The *implementation levers* being used or considered by GBSLEP in pursuit of its objectives. The research is exploring the establishment of financial mechanisms (such as Tax Incremental Financing) and policy instruments (such as the declaration of Enterprise Zones) to support the local economy.

- The *future aspirations* and trajectory and possible constraints upon these.

The LEP Board has recently received a paper suggesting some policy priorities (*Smarter Competitiveness and Inclusive Economic Prosperity: Challenges for the Greater Birmingham and Solihull Local Enterprise Partnership*). This paper was prepared by academics at the University of Birmingham, including members of the RISE research team. Its focus was upon fourteen issues that were deemed to be critical for the development of a strategy intended to enhance economic prosperity, and identified a set of 'strategic issues' or challenges that the LEP Board should consider and a set of related critical questions.

RANDSTAD CASE STUDY

Like the other case regions, the Randstad is attempting to develop integrative territorial strategies in a multilevel and multi-actor policy environment. The structure of government in the Netherlands is often labelled as a decentralized unitary state: the underlying principle is of self-government of provinces and municipalities. For almost half a century there have been discussions to change the territorial organisation of government and the division of tasks between the layers in order to address a perceived 'regional gap' between the municipal and provincial levels. Over the years several governmental proposals have been discussed and rejected. In 1994 a law created a special status for seven urban regions amongst them the course these regions were expected to become City Provinces. But this proposal had to abandoned due to severe opposition from the two main Randstad cities – Amsterdam and Rotterdam.

In 2007, after an interim period of more than a decade a new law came into force which created 8 regions where municipalities have additional possibilities for cooperation especially in the field of urban development and transport, the so called WGR Plus regions (one region in the southern province of Limburg has been added to the existing seven). WGR is the acronym of the law on municipal cooperation. Municipalities, provinces as well as national government have been remarkably resilient in opposing and ultimately preventing some kind of intermediary level between the municipality and the province (Dijkink et alia 2001: 33). The WGR plus arrangement is not a governmental level as such because there is not elected council to control the regions. The boards are formed by administrators from municipalities who have to give account of their decision in their municipal council. Next to these WGR plus regions there is a network of 'normal' WGR areas which can be seen as a residue from various efforts over the years to create a genuine regional level of government (ibid. 35). Over the country there are 42 so called composite cooperation areas, each area covering a range of issues. On top of that there are literally hundreds of single issue WGR cooperation areas.

In spite of the ongoing criticism of municipal cooperation as a tool to fill the regional gap, there has been some sort of silence about the administrative structure of the country for about five years now. But because of the financial crisis, national government is cutting down spending and restructuring the entire administrative system of the country is a way to cut government spending. The present coalition government – in office since September 2010 – see the reorganization and simplification of the administrative structure of the Randstad as a priority. No matters should be dealt with by more than two administrative levels. One conclusion is that the WGR + areas have to go, but without the creation of a single Randstad authority. What is likely to happen is that some kind of administrative level will be created at the level of both the Randstad wings, as is advocated by the three northern Randstad provinces (North-Holland, Flevoland, Utrecht) and opposed by South-Holland. The exact perimeters as well as competences are yet unknown.

Next to what could be called 'hard', statutory cooperation in Randstad – within the perimeters of WGR (plus) regions – there is cooperation on other, higher territorial levels as well. This cooperation is mostly soft: it is not based on legislation or formal arrangements. The highest level of the entire Randstad is without any doubt the most unsuccessful level of cooperation. When government was preparing the fifth report on spatial planning in the late 1990's the situation looked quite positive. The concept of Deltametropolis framed by academics and seemed to guide even politicians and civil servants of the four main cities of Randstad, including Amsterdam. The Randstad as a key level for integrated spatial strategy making seemed to become generally accepted. From this perspective it did not come as a surprise that in September 2002 the 4

Randstad provinces, the 4 main urban regions plus their core municipalities established Regio Randstad as a negotiation and cooperation platform. Its form al base was statutory: the law on administrative cooperation. However the RPB concluded in 2007 that the administrative structure of the Randstad is not worse compared to other urban regions in Europe and can therefore not count as an explanatory factor for the level of economic competitiveness (De Vries & Evers 2008). Partly as the result of this, support for a Randstad approach evaporated. A major event was the dissolution on the first of January 2008 of Regio Randstad. The main reason was that the four participating cities lost interest in Randstad cooperation, chiefly because it was difficult to reach agreement. They also felt they did need this governance level of scale to get financial support from nation government for a variety of projects.

Randstad cooperation has not ended entirely though. Although there is no political platform to discuss Randstad level policy issues anymore the four Randstad provinces (without the four main cities!) still cooperate to promote their interests on the European level. A small group of provincial representatives works together on this, partly based in Brussels in the 'House of the Dutch Provinces'. So the only existing policy cooperation on the Randstad level is externally oriented. At the present the discussion about the administrative structure of the Randstad is open again. It is highly unlikely though that a single Randstad authority will be created. All the signs are directing towards the Randstad wings. Spatial integration above the level of the 4 official Randstad urban regions is currently addressed by three informal platforms: the NV Utrecht, the Administrative Platform South Wing ('Bestuurlijk Platform Zuidvleugel' or BPZ) and the Amsterdam Metropolitan Region. The latter seems to be the most successful of the three: its perimeters are open to other members; there is no destructive competition between Amsterdam and any other city in its vicinity; there is a good cooperation between the region and Amsterdam at the one side and the province. South Wing, which as an organization is completely dependent on the administrative organization of the province of South Holland seems less successful (Minnesma & Rotmans 2007). Matters are changing at the moment. The mayors of Rotterdam and The Hague have decided to create a new platform for cooperation its name clearly inspired by the state of affairs in the northern wing of the Randstad: Metropolitan Region Rotterdam-The Hague. Whereas the BPZ is under the leadership of the province, this new cooperation body is directed by the two cities although – officially – the province is welcome to participate.

What this shows is that regional governance in the Netherlands – at least in the Randstad – is in a state of constant flux. Although there is some sort of consensus about the existence of an administrative gap on the regional level, there is no political and societal agreement how to fill this void. While the three levels of the administrative structure of the country as a whole is quite stable since its establishment in 1848 this does not count for the regional level. Over the year there seems to be a disagreement over the question whether administrative reorganisation and integration is a prerequisite for policy integration, especially in the territorial domain. At present a Randstad approach seems highly unlikely. If there will be a formal reorganisation of the administration it is very likely that there will two separate Randstad wings. Whether matters can be resolved on the basis of the laws on the provinces and municipalities remains to be seen. A change of the constitution needs the approval of two consecutive parliaments. As the administrative structure of the country is such a sensitive issue this seems to be beyond comprehension.

Three years ago a new Spatial Planning Act came into force resulting in a less complex planning system. In future, spatial considerations at the regional level will increase in importance, not only with respect to the coordination of planning, but also in their linking to spatial investments. The province will have to fulfil a coordinating and sometimes even a development role in projects at the supra-local level. The general assumption is that due to the changes of the Spatial Planning Act, the provincial role will change. Henceforth a province will also be able to make binding land-use regulations itself, using a provincial land-use plan or the independent project procedure at the provincial level. This competence is, however, restricted to projects of provincial importance. Because the Spatial Planning Act does not give a definition of provincial importance, this might cause some problems in practice, because in the Netherlands the local authorities have always been rather independent in the field of spatial planning. Apart from that it looks like the identification of provincial interests is a prime intellectual as well as political challenge.

There will be no changes for the province in performing their *strategic* role. Dutch provinces are already heavily involved in strategic planning; the new legal instrument of the structure vision will have the same application as the existing regional plan. When it comes to the *implementation* role the province is expected to take up a wider role in the coordination and even development of supra-local spatial planning projects. In several provinces regional development is indeed an emerging practice for the province (Korthals Altes, 2006). This requires more competences for the province. The 2008 Spatial Planning Act provides provinces with competence to draw up a land-use plan. This competence will provide the province with an extra opportunity to establish elements of spatial planning that are of provincial or national importance. In addition, the procedure of this plan will be changed. Furthermore, the Act provides for a competence to establish generally applicable land-use regulations which local authorities must translate into local land-use plans. The exclusion of certain land uses is more likely to follow (for example, building in areas of outstanding ecological value) than the stimulation of a certain sort of land use. Certain preconditions on land use will be possible, for example, a minimal amount of water storage capacity to be provided in an area to be developed. In the proposed planning system national government will still be able to object to a provincial land-use plan. In addition, national government will also be able to adopt a national land-use plan on issues of national importance.

The new system will change the *supervisory* role. The existing provincial competence to approve local land-use plans lapses. In the assessment of a plan, the role of the province is limited to the opportunity to make use of the objection phase to signal its objection to a particular proposed spatial regulation. The only exemption is that when a local land us plan comes into force, the province will be able to decide that a part of it will not come into force if a provincial interest is at stake. In general, the role of the province in the new system is limited to the protection of the provincial interest.

The role of the province in the new Dutch system is changing significantly. On the one hand, provisions that allow the province to influence local planning policy and local planning decisions have been diminished. The province is only able to influence the municipalities as far as the provincial interest is at stake. On the other hand, the province is able to make legally binding land-use regulations. A more comprehensive (ex durante) evaluation is currently being carried out by the Netherlands Environment Assessment Agency. Several preliminary reports have been published so far. An important finding is that there are often clear cut differences in the twelve Dutch provinces implement the Spatial Planning Act.

In the Netherlands the type infrastructure determines which level of government is responsible for its financing. For example highways and railways are the responsibility of central government. There is consultation between regional and central government which projects are approved and financed. These projects are included in the MIT project book, which was introduced in 1999 as an annex to the Infrastructure Fund in the central government budget. MIT is the abbreviation of Multi-Annual Programme for Infrastructure and Transportation. In 2007 a new government announced that this programme would be broadened to MIRT in which the R stands for Territorial (*Ruimte* in Dutch). Reason was a better tuning of accessibility and territory. The MIRT is the central government investment programme. The MIRT project book is an overview of all territorial programmes and projects in which central government jointly participates with the lower tier government in each of the eight regions. It contains projects and programmes of two ministries: (1) Infrastructure and Environment and (2) Economic Affairs, Agriculture and Innovation. The aim of the MIRT is to bring more coherence in investments in the territory, economy, accessibility and quality of life. A central element in the MIRT is the coherence between territorial projects. In doing so the government aimed at reinforcing the cooperation between central departments and between central government and lower-tier governments. Decision-making about infrastructure for which central government is responsible and territorial developments would thus be better geared to one another. Until now there were multilevel government meeting about the MIRT project book (*Bestuurlijk Overleg MIRT*) between Ministers, State Secretaries and lower tier administrators twice a year. Programmes and projects which need a decision and about which there is a conflict are discussed. As from 2012 this will be only once a year.

In order to provide a strategic framework to assess which programmes and projects should be taken up, central government asked eight regions to develop a territorial agenda. These regions cover the entire country. The agendas are drawn up cooperatively by central government and lower tier governments in each region. They constitute the underpinning with respect to content for potential new programmes and projects. They are meant to stimulate the coherence between the different policy fields and between central and regional policy. The agendas are settled in the multilevel government meeting and form the basis for the agenda of these meetings. The agendas consist of two parts. In the first part the area is characterised and the key developments are described. Partly based on this part the ambitions for the territorial development for the medium range are formulated and the corresponding objectives are laid down. The relevant running projects are also taken into consideration. In the second part the territorial issues are concretised and elaborated in possible solutions. These form a breeding ground for possible programmes and projects, which may lead to MIRT explorations.

It is the intention that territorial agendas increasingly form the basis for multilevel government meetings. The ambitions and objectives in the current territorial agendas extend until about the year 2030. The short term has been elaborated more extensively than the longer term. Most of the eight territorial agendas have been decided on in the fall of 2009 and have been used in the MIRT project book of 2010. Central and lower tier government develop a joint vision of the interrelation between the different objectives in the territorial domain. The sectors can thus attune and optimise their territorial investments. A territorial agenda deals with living, working, economic activity, mobility, nature, landscape and water. Existing material is used as much as possible in the formulation of the territorial agendas. All territorial agendas have the same table of content and use the same type of maps. In 2010 a new government was inaugurated. Major financial cutbacks,

abolishment of the urban regional level and decentralisation of responsibilities to lower tier government are among the focus points. There were signs that these changes urged a second generation of territorial agendas.

In total there are eight territorial agendas of which three are located in the Randstad: (1) North-west Netherlands, (2) South Wing/South-Holland and (3) Utrecht. Only the second one covers only one province, the other two each cover two provinces: the provinces of North-Holland and Flevoland cover the first one and the provinces of North-Holland and Utrecht the third one. The process of the elaboration of the territorial agendas started by an umbrella introduction about the Randstad. The document Glimpse at the Randstad (Randstad Urgent, 2009) is based on the Structure Vision Randstad 2040 and describes the coherent objectives in the Randstad.

After this introduction under the responsibility of central government each of the regions elaborated its own agenda in a joint collaboration of central and lower tier governments. There is an input from regional sectoral policy which has a territorial component and which is relevant in the relation between central and regional government. Territorial agendas are the result of negotiations between central government and regional/local governments: they are the result of joint effort.

REGION ZEALAND CASE STUDY

The role of the regions in Denmark changed dramatically after the structural reform in 2007. The regions had fewer tasks and less authority and they are financed by the taxes from the state and the municipalities. The regions still have their major task in the responsibility for hospitals and secondary health care, but in the area of regional development and planning, their role changed from a hierarchical planning authority towards the municipalities to an advisory role and the making of the RUP – a regional development plan. Region Zealand is governed by a directly elected regional council, which is the central body responsible for the regional integrated strategies. The most important RIS is the Regional Development Plan (Regional udviklingsplan, RUP) competing with the Regional Business Plan made by Growth Forum. The overall responsibility for the Regional Development Plan (RUP) belongs solely to the regional council. However, the preparation of the RUP takes place in cooperation with the municipalities and Growth Forum.

To coordinate the work in general between regions and municipalities the structural reform "invented" a mediating body called KKU: the Contact committee (DK: Kontaktudvalget). Members of the KKU are the mayors of each of the municipalities in the region, plus the chairman of the regional council. Besides the KKU, the region and the municipalities meet in the Growth Forum, the Health Coordination Committee and several other joint consulting committees. After reform the municipalities formed their own regional councils dealing with regional matters: KKR – Local Government contact council (DK: Kommunernes kontaktråd). The KKRs are non statutory, and were formed at the initiative of Local Government Denmark (LGDK), a voluntary interest organisation of Danish municipalities in order to establish a strong municipal political platform in each region. It seems as if the KKRs have developed successfully into strong forums for the municipalities. The KKR members are appointed by the municipal councils and represent the parties proportionally. The municipalities are thus key stakeholders in terms of regional sector policies, and the KKR have turned out to be a very strong regional actor after the reform. In region Zealand the cooperation between the region and KKR was dominated by conflicts in the first election period – but in the second period they agreed on collaboration.

The Growth Forum is a legal body formed by the Business Development Act. The forum consists of 20 members, elected as follows: The regional council (3), Municipalities (6), Regional business

organisations (6), Regional knowledge and education institutions (3) and local trade unions and industry organisation (2). The secretariat is hosted and financed by the region. The two most important tasks of the growth forum are: (1) Preparation of a Regional Business Development Strategy and (2) reviewing and submitting recommendations on co-financing projects regarding regional business development activities (according to Danish regulations) and linked to the Business Development Strategy and EU Structural Funds. The regional business development strategy is one of the key inputs for the RUP. Besides the key stakeholders of the RUP and The regional Business development strategy, a number of other sectoral agencies and Councils are part of the regional stakeholder milieu. Region Zealand has entered into some important strategic co-operation agreements dealing with trans-regional development issues, four of which involve the Oeresund Committee, IBU Oeresund, Fehmarn Belt Forum, Ministry of the Environment.

At the initiative of the Danish Government, a strategic overarching spatial vision was developed in the two Danish growth regions as a follow up of the National Spatial Planning Report 2006, which had identified two growth regions in Denmark, namely East-Jutland and the Capital Region along with Region Zealand. The vision, entitled „Strukturbilleder 2030, Byudvikling og infrastruktur, Region Sjælland" (Structural Images 2030. Urban Development and infrastructure in Region Zealand), was developed at national level in cooperation with Region Zealand, the municipalities of the region, the regional transport company, the Danish Road Directorate and the Danish Transport Authority. The regions have to prepare a Regional Planning Strategy every fourth year and it has to include the Regional Business Development Strategy made by the Growth Forum. From a comprehensive view on the region The RUP has to describe a desirable future development for the region, cities, countryside and the peripheral areas of the region. It has to deal with nature and environment, business and tourism, employment, education and culture. The RUP has no legal authority – it is an advisory and coordinating document which has to develop common strategies, visions and frames for the region in cooperation with other relevant regional actors. The municipalities are not obliged to follow the strategy. The municipal planning strategies are just not allowed to be in opposition to the RUP.

The region and municipalities have become equal in the area of regional development and several coordinating bodies has been constituted – some formal some informal. KKU has to coordinate between region and municipalities. Growth Forum has to coordinate between public and private actors. The informal KKR coordinates between the municipalities. The state is still in a hierarchical position to both regions and municipalities. Two regional strategies prescribed by the Danish planning act are being studied as the Danish case study:

1.   The Regional Development Strategy 2008 and 2011 [Den regionale udviklingsstrategi 2008 (RUS) and 2011 (proposition in hearing].

2.   Business Development Strategy 2011-2014 and Actionplan 2011-2012 [Erhvervsudviklingsstrategi 2011-2014 og Handlingsplan 2011-2012].

The making of the Danish RUP illustrates a learning process in a period of 4-5 years in the regional authority from the first to the second version of the RUP. The first task in the new Danish Regions established in 2007 was to produce the first version of a new Regional Development Plan (RUP). Region Zealand was a result of the amalgamation of three very different counties and the first years of the regions life were influenced by all the problems that usually occurs in new institutions and in the process of fusions between several public institutions. Everything had to be invented for the first time and the three cultures from the former counties had to adapt to one another and develop a common new culture. The new regional authority had to develop the first RUP in a context where Growth Forum had to be established and make their first Business Development

Strategy. The 98 municipalities were established by amalgamations of several municipalities and they also had to establish new structures, organisations and procedures. Several tasks from the municipalities were transferred from the old counties to the municipalities. All in all a period of major change at the regional and local level. This first period was strongly influenced by politicians and employees trying to cope with the new situation and their new roles but also by conflicts about power especially between the regions and the municipalities.

The new regions did not have the same authority as before in the regional development: they had to move from the regulatory and hierarchical role to a visioning, facilitating and mobilising role. However, it was the same people having to cope with this situation and for some it was very difficult. The municipalities tried to restrict the region from having influence at all in the area of regional development because they wanted the regions to concentrate on only hospitals and health and relied on the Growth Forum (where they are represented) to take care of the Regional Business Strategy. The rest they wanted to deal with themselves through KKR. They could not see the purpose of making a RUP. The first RUP (2008) in region Zealand became a battlefield between the region and the municipalities about the control of regional development and the process illustrated the difficulties of organisations and actors to change their role and behaviour from one day to the other. A research team followed and documented the process in four years and they also intervened in process by presenting results of the study and by introducing new forms of governing like governance, meta-governance, new planning roles and new roles for politicians. Both the region and the municipalities (especially KKR) were influenced by the research process and it has to be taken into account in this case study.

The second version of the RUP (2011) was made in a quite different situation. The region and the municipalities (through KKR) decided to stop fighting and start working together in a friendly manner. A new chairman of the region was elected with an acceptance of the new role and competences to act in it, the regional administration made organisational and personal changes in the administration and developed competences more relevant for their new role. All actors in the region had had 4 years of experience in their new organisations and roles and the regional situation and it makes it much easier to create a collaborative RUP process. The processes of the two RUP's are very different and illustrate the movement from a more traditional planning process towards a process based on facilitation and collaboration in regional planning. The process became a learning process for all regional actors in how to cope with a pluri-centric regional planning situation. This process has been studied in detail by the research team.

The region has only few resources to initiate own development projects and are dependent of other actors to act. The planning act also removed the planning authority in regional planning from the regions. In the planning act the new role of the region in regional development is described as a facilitator for cooperation between different regional actors and as agenda setting in regional matters. The question is what kinds of instruments the region has used to fulfil this new role? The region has its own development funds to support their strategies but the amount is not large and it is only possible to use this instrument in a small scale. The region is in general dependant on others to finance and implement the RUS. Growth Forum administers the EU structural funds in the sense that they discuss and agree on how to use the funds and the regional council makes the final decision. When Growth Forum has agreed on something the regional council does not oppose this decision.

The first years in the region the politicians were interested in developing a common identity and understanding of the new "region Zealand". What was factual data of the region and where were the most urgent challenges. The concept of the region as a "bridging" region was developed in several seminars and conferences with many regional actors and some of meetings were managed by professional process facilitators. This visioning process was broad and involved all areas of interest in the region. The idea was to integrate as many regional actors and interests as

possible in order to develop a common understanding and identity. The region was well aware that visioning was part of their new role in the region. The first visioning process was about creating "the good life" in the region and in this sense very broad in its perspective. Consultants helped with developing a model and with process facilitation to make the process open and including. The result was the five themes mentioned above.

In the regional administration there still is a search for a closer cohesion within and between a few strategies. The RUS is suggested as the higher order strategy integrating all other regional strategies. The regional politicians see it differently. They do not mind that different strategies are made (although they also prefer a fewer strategies and goals than in the first RUS) and they do not see the need for a straight line or cohesion between the strategies. The making of a strategy is more seen as a productive process joining people and interests in engaged discussions and decisions about important political issues in the region. The strategies may and should inspire one another and it is not important to create a hierarchy between the strategies. In the process of making the second RUS it was discussed a lot in the regional council whether to have a separate agenda 21 and maybe a climate strategy or if it had to be integrated in the RUS. A compromise was to make a short agenda 21 strategy as a separate document. The interest in the region has moved from broad visioning in all regional areas to selecting a few areas and issues to act on. Climate, green growth/tech and education are the new focus areas in the region. Furthermore the interest is on making the strategies operational and measurable through projects and activities. Both in the political and administrative regional system there is a need for measuring results and effects of the strategies.

In the first RUS period there was almost no connection between the RUS and the Business Development Plan (described below). But in the making of the second RUS the connection between the two strategies has become clearer. The Business Development Plan (BDP) has influenced the RUS 2011 in its focus on green growth and education and the RUS has influenced the BDP in its focus on climate, sustainable growth and the international perspectives. They do overlap in several areas, but still the RUS has to be broader than the BDP. In the region it has become more difficult to separate the two strategies in the daily work with regional development. But it is stressed that it is very important that the strategies are made by two different actors: one by the regional authority and the other by Growth Forum with the municipalities and private interests represented. In the region they see a process in the second RUS period where the strategies do supplement one another.

The first RUS 2008 was a combination of several sector strategies without any action plans. The region is dependent on other actors to implement the plan and when the municipalities did not want the RUP to become a success it was a great disappointment in the region. But several of themes in RUS 2008 can be found also in RUS 2011. The most important achievement of the first RUP might be that a common picture and understanding of the regions problems occurred in the process and has made it possible to act together toward regional problems, e.g. low education as is happening now in the region. In the new region there was at first a great need to build up a common identity and framework to work within and the discussions about the different issues with a lot of actors involved who got to know one another was needed at that time. It has become the outset and background for a lot of common initiatives in the region and development of new more focused strategies in the RUS 2011. The issues of climate, green growth and education prevail from this networking processes and the making of common understanding.

In the interviews it is discussed how to measure effects. A lot of the work in the region has only indirect effect. An example is that the region can facilitate the meeting between regional actors and the making of strategies in collaborative processes about raising the level of education in the region. They have been very successful in doing so: there are plenty of networks, strategies and projects. That is an indirect or implicit effect. But in relation to the actual increase in the level of

education among the citizens in the region as a direct and explicit effect they have to wait and see and hope for the best! There will be other factors influencing this result and it can be very difficult to measure a linear and causal link between the facilitation and the educational level. In the region they are occupied by this discussion and works on developing measures and documentation for results and effects of the strategies.

In the first RUS process there was a great effort to construct an identity of the region as a "bridging" region (brobygger) and as a region close to the metropolitan area but with own development possibilities. In the region there was conflicting interests between cities and geographically areas of the region and the first years were used to balance interests. Especially two cities Roskilde and Køge felt more related to the metropolitan region and had difficulties with being placed in region Zealand. In the first period the importance of integrating the outskirts (periferi) in the regional development was also stressed. Several decisions were made in order to support development all over the region – a decentralised regional model. In the second RUS the idea of regional development has been changed to a more centralised model. Now two growth areas/cities have been selected: Roskilde and Køge and the region want to develop two strong centres in the region in order to be able to compete with the metropolitan area about some of the development on Zealand. The idea is that the strong centres have to be connected with knowledge and education if they have to create further growth in the region. The peripheral areas need to have proper service institutions and public transport. This new regional development idea has been agreed upon both by the state and the municipalities. If we look outside the region a model from the first RUS shows very well how the region is perceived according to different relations and tasks. Here we see multiple identities of the region through the different kinds of cooperation the region is involved in.

VÄSTERBOTTEN CASE STUDY

Sweden's political system is organized on three levels: the parliament at the national level, the County Council (*landsting*) on regional level, and the municipalities at the local level. State administration is mainly organized on these three levels too, the state at national level, County Administrative Boards (*Länsstyrelse*) at the regional level (*län1*) and local level with branches of various state agencies. This three-tier system has long been the basic organizing principle, but it has been changing during the last fifteen years. Sweden entered the EU in 1995 and added a fourth tier to the political and administrative organization, the supranational level. In relation to regional policy becoming a member state within the EU contributed to a lot of change. Added to this is the changing character of the internal organization in Sweden. In addition, the state is aiming to reorganize the delivery of public services in more efficient ways, meaning larger units in fewer places and/or Internet-based service (Brandt & Westholm 2006). The pilot regions of Skåne and Västra Götaland were set up during the 1990's. They are self-governed by elected bodies and they combine functions previously assigned to County Administrative Boards and County Councils, such as responsibilities for infrastructure planning, regional development, health care and culture. They are now permanent institutions (Lidström et al 2009).

In 2003 a Parliamentary Committee (*Ansvarskommmittén*) was established to analyse structures and functions in the public administration. One of the more discussed conclusions was the need for a new regional structure, indicated to be somewhere between 6 and 9 regions. These new regions would also get a new legal status with taxation rights and a publicly elected regional parliament (SOU 2007:10). The present government has decided not to control this regional process, but responds to those regions that want to merge into larger municipal regions. Unless actions are being taken by the regions at the end of 2011, the Government will more thoroughly guide the process along its own intentions and from 2003 it is possible to establish regional co-operative

councils. They are formed by municipalities and county councils and they are responsible for among other things regional development. Members of the governing bodies are usually indirectly elected, appointed by each member organization respectively. These changes all result in a more diverse societal organization than used to be the case in Sweden. The three tiers with formal political mandate are now four, and the internal political administration differs even though there are processes striving towards organisational similarities. Added to this are aspirations for a fifth level, the sub-local level, where city districts have had and in some cases still have administrative responsibilities within municipalities. Some actors, often based in rural areas and a part of the nationwide village movement, are also pursuing the idea of a formal function for the sub-local level in planning and decision-making at the municipal level (Hela Sverige ska leva 2008). The previous idea of efficient government through similarity across regions, where resources were redistributed from more prosperous regions to those regions with fewer resources, is now partly replaced by a doctrine where the state increasingly emphasizes local and regional responsibility for welfare and development. Regional policy has turned into regional development or growth policy following a liberal logic where state actors reduces their influence through e.g. privatization, deregulation and in this case decentralization of powers (Westholm 2008, Hudson forthcoming).

Regional growth or development is governed by the Government and the Ministry of Enterprise, Energy and Communications. A "National strategy for Regional Competitiveness, Entrepreneurship and Employment 2007-2013" (*En nationell strategi för regional konkurrenskraft, entreprenörskap och sysselsättning 2007–2013*) is the most important policy document. Ambitions and actions presented in the national strategy will support competitive regions and individuals in Sweden to achieve the main objective, "dynamic development in all areas of the country with greater local and regional competitiveness" (http://www.sweden.gov.se/sb/d/2112/a/19597, 091204). The contents in the regional growth approach relates to other policy areas, also mentioned in the strategy. Further, the strategy specifies guidelines for implementing EU Structural Fund Programmes, Regional Development Programmes, Regional Growth Programmes, Regional Structural Fund programmes for Regional Competitiveness and Employment, and Territorial co-operation programmes.

At the pluri-regional level the ESF Programme is organized in eight regions, within which the ESF Council works in *partnerships* with local actors and representatives of the labour-market organizations. The programming for the implementation of the ERDF is managed by the *Swedish Agency for Economic and Regional Growth* (Tillväxtverket). The eight regional programmes are based on existing Regional Development Strategies and Regional Growth Programmes at the regional level. The European regional Development Fund (ERDF) programmes were developed by existing *structural fund partnerships* in eight regions (see map?).

At the regional level Regional Development Strategies and Growth Programmes are the responsibility of *County Administrative Boards* (CAB)*, regions* and/or *regional co-operative councils* (*kommunala samverkansorgan*). The CABs implement government decisions within regional development, as well as co-ordinates all state activity at the regional level. Even if other organizations have the main responsibility for programming at regional level, the CABs always participate in regional partnerships. In these partnerships *local municipalities* are represented, either through the regional co-operative council or through some other representation. Further, labour market, business and other often non-profit organisations are part of varying partnerships for regional development. During the autumn 2005 the Västerbotten CAB initiated the process for producing the Regional Development Programme (RDP) valid for the long-term budget period in EU, 2007-2013. The Swedish Government had commissioned all regions to produce RDPs to enhance the quality of the long-term development (RDP 2007). At the time the CAB held the regional development responsibility in Västerbotten. Apart from being a response to Government

decisions it was also a response to more lasting difficulties facing (especially more rural) regions in Sweden.

On a general level and according to the National Strategy for Regional Competitiveness, Entrepreneurship and Employment 2007-2013 (Näringsdepartementet 2007), globalization and increased international competition calls for greater efforts in promoting entrepreneurship and innovation. This has to be done in a situation where the Swedish population is ageing and where young people leave rural areas and smaller cities for regional centres with university education and for the larger urban regions in southern parts of Sweden. When promoting economic and business development and targeting the lack of labour that can be foreseen by the ageing and urbanized Swedish population, parallel concerns is needed to deal with environmental problems and climate change. Being a country with long distances and cold climate transportation and heating are some of the issues that are critical.

The strategy states that all parts of Sweden shall contribute to economic growth and sustainable development. The overall aim of the regional development policy is the development of functioning and sustainable local labour market regions with a good service level in all parts of the country. The name of the National Strategy for Regional Competitiveness, Entrepreneurship and Employment 2007-2013 indicates that the previous redistributive regional policy was changed towards a development oriented perspective where regional growth was clearly related to the promotion of entrepreneurship, employment and the implementation of EU Cohesion Policy. From 2006 important events took places which caused a need for a revised national strategy. The OECD performed a Territorial Review of Sweden, the EU Baltic Sea Strategy was adopted and global challenges – not least the global financial crisis in 2008 – were some of them. The revised strategy stresses even further the necessity for economic growth, even though the priorities remain more or less the same (Skr. 2009/10:221).

As with the revision of the national strategy, the new RDP for 2011-2013 – now named Regional Develpoment Strategy (RDS) – is motivated by the same contextual changes. However, the RDS is somewhat newer and therefore including the EU2020 strategy, noting the smart, sustainable and inclusive growth ambitions. Five focus areas and16 priorities are identified (and further clarified as compared to the RDP) for the region of Västerbotten. The Västerbotten CAB had the responsibility for regional development and to produce long-term County Strategies, which in many ways are similar to RDPs. The CAB was used to produce strategy documents and developing the RDP was a way of adjusting to EU structures – legislation, funding and policies, to the EU discourses and language. The RDP was established after a thorough dialogue with a large number of local and regional actors. The response from regional actors was generally good with high levels of participation, perhaps due to a mental shift. Rather than waiting for state and other money being redistributed to regions in need, organisations, politicians, officials and others realised that to opt for funding in the future, they needed to communicate their ambitions.

Many of those organisations then became members of the regional partnership, at present having some 35 members of which 15 are the municipalities in the region. After ten years of EU membership and an increased use of partnerships in regional and rural development, a general pattern of participation has been established. Public sector representatives are fairly easy to involve in partnerships, as are third sector organisations. Representation from industry or business is much scarcer. Instead it is business organisations and chambers of commerce that tend to participate. Also, some of the interviewees mention the fact that the inhabitants in Västerbotten rarely participate in dialogues concerning regional strategies. There used to be evening events where people were invited to put their ideas forward, but the response was very low or non-existent.

As mentioned above, each region in Sweden shall by law have a RDP. In that respect it is part of a regulatory approach towards regional planning. According to Region Västerbotten officials the RDP/RDS should be considered as a strategy, a way of identifying and agreeing upon where to go, in what situation the region ought to be in the future. As a consequence there is no mentioning of funding, it is not about distribution of money. The connection between regional strategy and action is further clarified in the Regional Growth Programme (RGP). The RDP/RDS contents and functions are more visionary than adhering to legislation. The region of Västerbotten is leading among Northern European regions in working towards a sustainable development characterized by a knowledge driven and competitive economy. The region contains Northern Sweden's most attractive habitats with diversity and accessibility to work, housing, culture, leisure time, studies and social services, where people feel participation and inclusion. In year 2013 Västerbotten should have 270 000 inhabitants.

There is a long standing tradition in Sweden of regional organisation along county delimitations. At the time of the RDP process there were no real options in terms of territorial scope for the Västerbotten RDP. However, since then a Government Commission has been analysing necessary and possible changes towards a "sustainable societal organisation for development" (SOU 2007:10), in which larger regions are perceived to be an important change. All Swedish regions have since then been involved in discussions on how to organise, and eventually merge into, larger regions. The revised Västerbotten RDS is presented when the Government runs yet another Commission dealing with reforming the state organisation. Region Västerbotten has presented their favoured idea for a new region in Northern Sweden (the four northernmost counties forming one common region), however it will probably not come true due to agreements made between two of the potential partner counties. These discussions and ambitions have left no visible traces in the RDS. The strategy is entirely focusing on the county of Västerbotten. Having said that, one focus area in the RDS is international co-operation and networking. Through interview information it is also clear that increased national co-operation is also important. One bridging network is Europaforum, established in 2000, where the four northernmost counties act as one region in promoting and lobying for common issues towards the EU. When describing priorities within the focus area active participation in the Baltic Sea Region Strategy and other EU arenas are put forwards, as are improved national cross-border co-operation and international co-operation.

The most important item of the regional agenda is transport infrastructure in a broad sense. Transport infrastructure encompasses both the physical infrastructure such as railroads, roads, buildings, as well as the operation of public transports to the planning of future transport infrastructure projects. The fact that transport infrastructure ranks so high on the regional agenda has to do with one of the larger railroad projects in Sweden and Europe. The building and completion of the Botniabana railway, 190 km long that starts in Kramfors in the county of Västernorrlad and ends in Umeå, Västerbotten. From the start in 1999 to its completion in august 2010, the total budget of this project is 1 870 million €.

Two of the other highly ranked and intertwined items are the population growth (or the fear for the lack thereof) and the skew demographic structure in Västerbotten. This is not surprising given that the overall trend in population dynamics since the 1970 in Västerbotten is one of a continuing decline save for county town Umeå. Thus, Umeå serves as the primary engine for population growth in Västerbotten. The skew demographic structure in the Mountain and Hinterland regions in comparison to the Coastal region of Västerbotten is one of the most frequently mentioned items among the respondents. An ageing population is of course noting unique to the county of Västerbotten, but in combination with a negative net in-migration it constitutes one of the more pressing problems for the region as a whole.

Apart from these three most highly ranked items, one can observe reoccurring issues such as: economic and employment growth; firms demand for qualified employees – the right skill profile;

the alteration of generations within private firms; tourism as an underexploited economic resource; and the need for a regional enlargement. Four of the items relate to the economic performance or future potential thereof (this also holds true for the three above mentioned items) whereas the last one concern administrative and institutional change. The majority of respondents states that both sustainability and cohesion and competitiveness are policy areas of vital importance. A large proportion of the interviewees argue the one can´t function without the other. They refer to the first type of policy as one including economic, social, and environmental sustainability. Competitiveness is exemplified by measures that promote and sustain entrepreneurship and a growing service sector. Overall competitiveness score slightly higher than sustainability and cohesion among respondents.

The subject regional identity or identities either meet a reply in the negative or touch the chord of common values. Proponents of the latter group perceive cooperation and cohesion a hallmark of Västerbotten. Other claim that Västerbotten have a long tradition of people engaging and taking an active part in the popular movement / NGOs. Some even maintain that there is an ongoing work to make a brand name or a wider set of 'common' values related to Västerbotten. At the other end of the spectrum, respondents rather argue for actions to ease the tension between Umeå and Skellefteå. Further examples at this flank are scarce, probably because this is perceived as a non issue. This observation also carries over to those that don´t 14 distinguish any sub-regional identities. Examples of sub-regional identities are: E12 corridor, Umeå region, and Umeå as one of the European capital of culture in 2014.

As mentioned above there are on-going discussions on rescaling of counties in Sweden. Region Västerbotten has stated a political will to create a northern region with all four northern counties. Presently though, two of the regions have signed an agreement to establish a new region on their own. Their decision consequently reduces possibilities for Västerbotten to realize their ambitions. The six focus areas are guiding the Region Västerbotten's internal activities. At present a regional culture plan is processed and they engage in discussions on the cohesion policy agenda. They do also work on regional identity and self-understanding, as well as identifying needs for analysis and knowledge in promoting regional development. A constant issue is strategic planning for infrastructure investments.

The interviewees that do not perceive the organizational fragmentation to be a problem rather point to the formation of Region Västerbotten as a way to resolve this issue. Those who see the fragmentation as a problem point to the fact that public authorities are not always organized along the county dimension. Or that a certain area such as the Hinterland region unfortunately remains on the shelf. A final example of problems caused by organizational fragmentation relates to the creation of too small projects that have difficulties in securing enough co-financing and thus to week projects.

3.4   OVERVIEW OF THE RISE REGIONS

The overview of the four regions aims to provide up to date information in a comparative form through the use of publically available statistics augmented by inputs from the individual case studies. Partner 5, NORDREGIO, is undertaking the work using indicators as outlined below. The work is on-going and a detailed report will be provided to accompany the RISE Final Report in March 2012.

In addition to the indicators, the assessment of factors such as population age composition, employment levels for young and older people, investment in research and development are important for integration of European regional strategies. The review to-date indicates that

geographical and especially demographic features could intensify development problems. This is particularly true for the remote regions but also for northernmost regions such as Västerbotten with very low population density. It will be necessary to develop targeted provision of services to respond to the regional specificities without further complicating instruments and programmes. Regional Integration also requires addressing issues such as urban-rural linkages in terms of access to affordable and quality infrastructures and services, and problems in regions with a high concentration of socially as well as demographically marginalized communities.

Physical Structure and accessibility

Initial examination indicates that the RISE regions illustrate the diversity of European regions concerning physical conditions, ranging from polycentric urban regions to "deep rural" regions with less urban settlements structures, as in the case of Västerbotten. In contrast, on the other end of the scale the Randstad Region is one of the densest and most accessible in Europe with four large polycentric metropolises. Region Zeeland shows another type of rural morphological pattern where the northern parts are characterized by small and medium sized cities in closer interaction with the metropolitan region of Copenhagen while the south of Zeeland is more rural and less accessible. Regarding Birmingham-West Midlands, the region demonstrates all levels in the rural-urban scale, ranging from metropolitan polycentric structures and to more rural areas with more dispersed settlement structures.

In terms of accessibility overall trends indicates that the highest accessibility values are to be seen in the core of Europe. For example, the Randstad region is among the top ranked in multimodal accessibility, while on the other hand Västerbotten has relatively low accessibility values by comparison. However, there are obviously internal differences within the regions' multimodal accessibility depending on accessibility to important functions and transportation hotspots. Naturally the highest accessibility is seen in metropolitan areas where main transport hubs are located.

Demographic dynamics

Demographic trends show common characteristics across the EU, but individual regions are affected in different ways. For instance, ageing and migration flows have stronger effects in some parts than others as in the case of Västerbotten. Zealand and Västerbotten are affected by an array of negative demographic phenomena such as low fertility rates, outward migration of young people (especially in Västerbotten), and aging of the remaining population. By contrast, Randstad is able to retain a young and skilled population due to its high accessibility and polycentric structure.

Economic dynamics

When comparing economic dynamics we have to be aware of the limited number of indicators (e.g. GDP per Capita and Unemployment). Deeper understanding of the economic dynamics will come from the individual case studies. However, based on data available, Randstad region is the strongest performing among the RISE regions with one of the highest GDP-PPS per Capita and one of Europe's lowest unemployment rates. Meanwhile, Zealand is performing far below the national average. Concerning West Midlands it is on European average, but has seen some problems of high rates in unemployment during the latest years. Similar unemployment patterns are also seen in Västerbotten although the region performs relatively well on economic performance.

Innovation

According to the innovation data, the four regions are performing relatively well. West Midlands, Randstad and Västerbotten all score in line with their countries' innovation performance. Randstad is the strongest performing region. Zealand, is situated in one of the high performing countries in Europe but, when downscaled to NUTS 3 level, it is apparent that the region faces a number of challenges concerning its innovation capacity. To some extent innovation performance is biased towards manufacturing. Thus West Midlands with a relatively large manufacturing sector scores well on innovation but less well on such factors as employment or GVA per capita.

Summary

The selected indicators have provided some initial understanding of the RISE regions. The results show different trends and structures in the case study regions as they face different challenges in relation to physical structure, economic and population dynamics.

Regarding physical structure, RISE regions illustrate the diversity of European regions; ranging from polycentric urban regions, to "deep rural" region with less urban settlement structures. In respect of the socio-economic challenges for Europe, areas such as the RISE regions, situated in the North-West periphery of the EU seem to be in a favourable position. They are expected to benefit from a workforce with higher levels of educational attainment, share of employment in advanced sectors and labour productivity. Having a population with diverse skills and talents, located in close proximity to each other, should enable the generation of innovation in the future, thus providing new high value added activities. However, there is also the risk of demographic decline.

4 DETAILED WORK PLAN AND TIMETABLE: SEPTEMBER 2011– JUNE 2011

4.1 WORK PLAN

As outlined in Part B of the Contract, the work comprises three work packages (WP1 to WP3), with work package 2 consisting of six sub-work packages. The work plan for the remainder of the project with revised dates (since the Inception Report) is given below.

WP1: Coordination – Continuous

The objective is to ensure overall consistency of the research approach; to facilitate interaction between partners; maintain assigned duties and deadlines; maintain relationships with the four stakeholders and the ESPON CU. Organisation of Steering Group meetings and seminars are included within this WP

Lead: Partner 1

WP2.1a Analysis of current RIS in the four partner regions (territories) (1st October 2010 - 31st March 2011)

The preliminary analysis of the state of RISs in the case study regions was presented in the Inception Report (ESPON, March 2011).

WP2.1b Typology of RISs (30th September 2011 – 15th October 2011)

This will be drawn from the Inception Report draft case studies in the four partner regions (territories) and from the partners' inputs at RISE steering group meetings and seminars to-date. It will inform the Case Studies (WP2.3) and the RIS Toolkit (WP2.4).

Lead: Partner 1

WP2.2: Literature and Document Review + Stakeholder Feedback (16 March – 15th November 2011)

The literature research focuses in particular on policy integration at regional level across Europe. We will also develop a concise guidance on the transferability of policy tools across different planning systems and planning cultures which will feed into the sub-work package on creating a RIS-toolkit (WP2.4). A draft of the guidance on the transferability of policy tools is presented in Annex 1.

Lead: Partner 2

WP2.3: Design case study template (16 – 31 March 2011)

A template has been produced giving partners guidance on how to carry out the four territorial cases studies. The template is intended to be used flexibly in order not to lose the unique characteristics of each individual RIS case. The template was constructed taking account of WP2.1. It is presented in Annex 2

Lead: Partner 3

WP2.3a: Case studies four stakeholder regions (14 April – 15th November 2011)

This is the key work package which will result in four case-study reports of 25 pages maximum, excluding appendices. The work is underway utilising the Case Study Template following issues being addressed include:

- National frameworks of RIS in UK, NL, DK and SE, focussing on: national planning systems (territorial, regional-economic, infrastructure); state of the art of regional planning and regional governance in general;
- Horizontal: evidence of the relation between sectoral and territorial policies on RIS
- Vertical: evidence of the relation between strategies on various levels of scale, from the national level downwards and from the (sub)regional level upwards. Especially in the heavily urbanised regions of the West-Midlands and the Randstad where 'regional' is not a fixed scale.
- Diagonally: evidence of the relationship between RIS and programmes related to the European structural funds especially models/mechanisms applied in each region on how to combine different financing instruments (European, national, regional and local) to support the delivery of an integrated strategy;
- Stakeholders and shareholders: evidence of the relations between governmental strategies and the territorially relevant strategies of major private actors like property developers: are regional integrated strategies reaching out to key players in the private sector as well as key NGO's? Which models are followed?
- Overall: which typology of RIS has been followed; does the WP2.1 typology need refinement/amendment?

Lead: Partner 4

WP2.3a: Case studies four stakeholder regions (31st March – 31st October 2011)

An overview of the four case study regions using public national and European level statistics will be provided to supplement the case studies.
Lead: Partner 5

WP2.3c: Workshops (21st November – 9th December 2011)
Draft case study reports will be discussed at parallel workshops in each of the four stakeholder regions. A major part of these workshops will be a discussion about the level of policy integration and the potential indicators of policy integration. A summary of the workshop will be included as an appendix in each individual case study report. The work package will conclude with a seminar of the team of researchers (TPG) and the four stakeholders in order to exchange findings and facilitate joint learning to take place that will feed into the next work package (WP 2.4); creating a final version of the RIS-toolkit.

All Partners and Stakeholders

WP2.4: Creating a Toolkit on Regional Integrated Strategies (February 2011 - 31st January 2012)

The WP aims for the design of a toolkit with the following ingredients:

- conditions and requirements for the development of RIS;
- criteria for the selection of different RIS models (RIS typology)
- application of integration indicators in concrete cases;
- models to combine different funding streams;
- integration of regulative instruments (especially EU directives; relationship with
  - parallel ESPON-EATIA project);

- models for stakeholder involvement;
- models for application and implementation of RIS;
- evaluation and monitoring models.

An initial version of the toolkit was presented in the Inception Report. This will be refined using the results of the literature review, case studies and workshops.

Lead: Partner 3

WP2.5 Survey to test the RIS Toolkit (16th January 2012 – 29th February 2012)

To test the applicability the toolkit across the ESPON space an additional test will be carried out by means of conducting a survey among stakeholders across the ESPON space. In order to conduct the survey it will be proposed to use the network of ESPON contact points.

As discussed in Section 3.2 above, the exact form of the Survey is yet to be decided. It will be a topic of discussion at the partners meeting to be organised at the ESPON internal seminar in Kakow, 29-30 November 2011.

Lead: Partner 5

WP2.6 Draft Final Report (31st March 2012)

Lead: Partner 1

WP3 Dissemination (June 2011 -)

Three distinct areas of dissemination are envisaged

1.   The scientific community

Members of the project team will present at relevant (international) conferences and at the bi-annual ESPON seminars. The former include the annual conferences of the European Regional Science Association (ERSA), and the Regional Studies Association (RSA). Final results and achievements will then be presented at the annual meeting of the Association of European Schools of Planning (AESOP).

The partners will examine the possibility of publishing insights gained in these meetings in national journals. In addition, there is a possibility of producing a book with an international publishing company will be considered (the costs of which are not included in the budget, but are generally not prohibitive if the publishing company trusts the work).

All Partners

2.   Policy makers.

Debate amongst policymakers will be stimulated in particular in the stakeholder regions. This will be achieved through participation in the learning workshops. Presentation and meeting will also allow for testing the RIS toolkit.

All partners

3.   Regional Development Agencies

Dissemination amongst European regional development agencies, and regional offices in Brussels, will be achieved by working with EURADA, the European Association of RDAs. We will propose the organisation of an ESPON/RISE session at one of the bi-annual EURADA conferences – which are also attended by representatives of the European Commission and by representatives or RDAs outside Europe.

Lead: Partner 1

4.2 TIMETABLE

Table 2 Timetable until the end of the project

DATE COMPLETED	ACTION	OUTCOME	PARTNER	WP
15 Oct 2011	Typology of RISs	Typology	1	2.1
31Oct 2011	Case Studies – initial versions from partners	Studies	All	2.3
15 Nov 2011	Case Studies – overall report	Report	2	2.3
31 Oct 2011	Interim Report to ESPON CU	Report	1	1
15Nov 2011	Literature Review	Report	All, 2	2.2
21 Nov 2011	Stakeholder Comments to ESPON CU		Birmingham CC	1
30 Nov 2011	Second Activity/Finance Report to ESPON CU		All	1
29/30 Nov 2011	ESPON Seminar Krakow & Partners' Meeting. Discussion on form of Survey.	Meeting + review	All	2.3, 3
21 Nov -9 Dec 2011	Focus Groups in each region		All + Stakeholders	2.3, 2.4
15 Dec 2011	Re-visit Case Studies using Toolkit and Focus Groups	Review	All	2.3
31st December	Final Case Study Reports	Case Studies	All	2.3
31 Jan 2012	Second Activity/Finance Report – completed	Report	All, 1	1
	Final Version of Toolkit	Toolkit	3	2.4
Feb 2012	Steering Group Meeting, Copenhagen		1, 3	1
29 Feb 2012	Survey Report – Toolkit Test	Survey Report	5	2.5
31 Mar 2012	Draft Final report to ESPON CU	Report	1	2.6
20 April 2012	Stakeholder Comments to ESPON CU		Birmingham CC	
April 2012	Steering Group meeting, Birmingham or Birmingham Brussels Office. Review of Stakeholder and monitoring Committee comments. Possible Mini-conference and Survey	Review	1, All	1
30 June 2012	Final Report and 'Mini-conference'		All	3

5   FINAL REPORT

Table of Contents

The draft Final Report will be produced by 31st March 2012. Its exact format will result from discussions at the final Steering Group meeting – to be held in Birmingham or Brussels (Birmingham Office). At this stage we therefore present a draft Table of Contents as follows:

Introduction

- Background
- Objectives
- Partners and Stakeholders

Theoretical Basis for RIS (ITS)

- Literature Review
- Case Study Template
- Toolkit Introduction

Case Studies

- West Midlands (UK),
- Zealand (DK),
- Västerbotten (SE)
- Randstad (NL)

RIS Toolkit

- Survey

Conclusions

- Recommendations
- Further Actions

ANNEX 1:

Policy Integration and Transferability

Degrees of policy integration and facilitators and inhibitors

"Stead and de Jong (2006) identify a range of arguments for more integrated sectoral policies in general:

- to promote synergies (win-win solutions) between sectors
- to reduce duplication in the policy-making process, both horizontally and vertically
- to promote consistency between policies in different sectors (horizontal) and at different levels of decision making (vertical)
- to improve the achievement of cross-cutting goals or objectives
- to give more focus to the achievement of a government's overall goals rather than the achievement of narrower sector-orientated goals
- to help promote innovation in policy development and implementation
- to encourage greater understanding of the effects of policies on other sectors

Various recent studies have begun to examine the implications of sectoral policy integration for specific issues. Examples include urban regeneration (Mawson & Hall, 2000), forestry (Shannon, 2003; Shannon & Schmidt, 2002), housing (Slocombe, 2003), coastal zone management (Hovik & Stokke, 2007), rural development (Buunk et al., 1999) and urban transport (Hull, 2008). However, few studies clearly set out what sectoral policy includes and entails. Even fewer of these studies make a connection with spatial planning." (Stead & Meijers 2009, p. 319)[1] According to Stead and Meijers (2009) policy integration in general can occur to various degrees (figure 1).
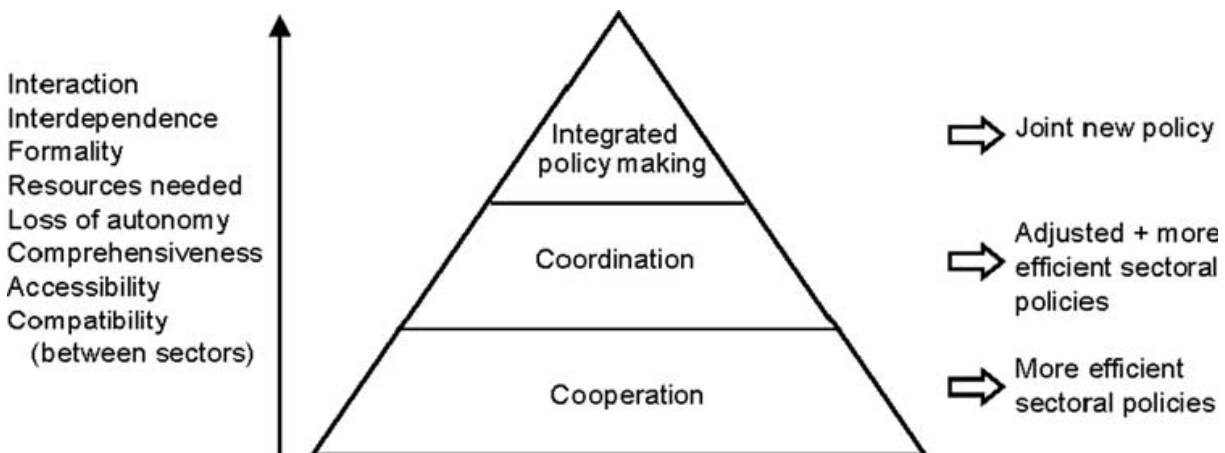
Stead and Meijers identify a number of integration facilitators and inhibitors: "we categorise the main types of facilitators and inhibitors of policy integration based on a review of key literature on policy integration, cooperation and coordination. The facilitators and inhibitors are both classified according to five main headings: 1) political factors; 2) institutional/organisational factors; 3) economic/financial factors; 4) process, management and instrumental factors; and 5) behavioural, cultural and personal factors. Clearly, there is a certain amount of overlap between these headings, and this classification system represents just one of an infinite number of ways of clustering facilitators and inhibitors of policy integration. Because of the range of literature

---

[1] Stead, Dominic and Meijers, Evert(2009) 'Spatial Planning and Policy Integration: Concepts, Facilitators and Inhibitors', Planning Theory & Practice, 10: 3, 317 — 332

reviewed, some of the facilitators and inhibitors refer more to cooperation and coordination than to integration."

The five main headings are elaborated in the tables below.

Table 1. Facilitators of policy integration

Political factors	Convergent problem definition, professional ideologies, interests and approaches (A; B; F)
	Relatively equal status of organisations involved in coordination (A)
	An understanding of other organisation's needs and the perception that these are compatible and thus might enhance efficiency (C)
	Perception that integration increases the ability to manage uncertainty and complexity (A; C)
	Gain of influence over other sectoral domains (C).
	Commitment to policy coherence and integration by political leadership; political backing (A; B; D; F)
	Perceived effectiveness of policy and service delivery (G)
	Ability to convey the 'bigger picture' and to identify cross-cutting issues (G)
Institutional/ organisational factors	Standardised procedures, allowing for greater supervision and mainten-ance of an orderly and reliable pattern of resource flow from other involved organisations (A)
	Similarity of structures, supply capabilities, needs and services of organisations involved (A)
	Existence of a central overview and coordination capacity responsible for achieving cross-cutting, long-term objectives (D)
Economic/financial factors	Corresponding actual needs or common benefits, and scarce resources (A)
	Perceived gain in resources (time, money, information, raw material, legitimacy, status) (C)
	Sharing costs and risks of developing products and policies (C)
	Perceived economies of scale (G)
	Allocation of budgets to cross-cutting issues and policies rather than to sectors (G)
	Incentive structures, appraisal systems and rewards stimulating integration (G)
Process, management and instrumental factors	Group-centred approaches to problems (A)
	Geographical proximity easing interaction and communication (formal and informal) between decision makers and staff (A)
	Complementary organisational or personnel roles (A)
	Mechanisms to anticipate, detect and resolve policy conflicts early in the process (D; G)
	Existence of a strategic policy framework that helps to ensure that sectoral policies are consistent with overall governmental objectives and priorities (D)
	Decision-making process organised for reconciling policy priorities and budgetary imperatives (D, G).
	Flexible implementation procedures and monitoring mechanisms capable of adjusting policies in the light of new information, progress and/or changing circumstances (D).
	Systematic inter-sectoral dialogue (D)
	Ability to involve all indispensable actors and leave out others (F)
	Ability to take the diversity and multiformity of the network and actors into account (F)
	Open nature of networks (F)
Behavioural, cultural and personal factors	Positive attitude and organisational culture towards working with other organisations in a joint endeavour (A, D)
	Good historical relations (A)
	Positive evaluation of other organisations and staff involved (A)
	Persons in the organisation able to understand their own and others' possible benefits of coordination and to plan intervention (B)
	Willingness to cooperate, need for expertise and culture of trust (C)
	Shared framework of understanding that allows broader issues to become perceptible to specialists (D)

Sources: A, Halpert, 1982; B, Challis *et al.*, 1988; C, Alter & Hage, 1993; D, OECD, 1996; E, Huxham, 1996; F, Kickert & Koppenjan, 1997; G, Cabinet Office, 2000.

Table 2. Inhibitors of policy integration

Political factors	Divergent priorities, interests, ideologies, outlooks or goals (A; E; F; G) leading to a lack of consensus on nature of the problem and solutions (B) and fear of conflict over domain, goals and methods (C) Perceived loss of organisational power, strategic position, prestige, authority and fear of being linked with (other's) failure (A; C) Guarding administrative domains and attempting to extend them (B) Lack of political commitment, backing and leadership (B; D; F) Status differences and asymmetries of scale between sectors (B; E) Short-term political aspirations vis-à-vis the time needed for integration (B) Loss of autonomy and ability to unilaterally control outcomes (B; C) Loss of accountability for policy and service delivery (G) Sectoral objectives often taking priority over cross-cutting goals (G)
Institutional/organisa-tional factors	Bureaucratisation generating increased communication costs, fragmenting communication and leading to low levels of internal communication that makes it difficult to maintain inter-organisational networks (A) Large institutional and organisational differences increase costs (A) Fragmentation of levels of government leading to contradictory mandates and regulations (A) Inadequately trained personnel and high turnover of policy personnel leading to a lack of continuity (A) Lack of central overview capacity above the fray of sectoral issues (D) Lack of a formal authority structure (hierarchy) (E)
Economic/financial factors	Costs outweigh benefits (A) Perception of limited or unbalanced resources to exchange (A) Different cycles in planning budgets and resource uncertainty between sectors complicating structural coordination (B) Fear of losing resources (time, money, information, raw material, legitimacy, status) (C) Time needed to manage logistics (E) Direct and opportunity costs of management and staff time spent establishing and sustaining cross-cutting working arrangements (G) Significant costs falling on one budget while the benefits accrue to another (G) Budgets allocated on a departmental or sectoral basis, rather than to policies or goals (G) Little or no reward for helping someone else to achieve their objectives (G)
Process, management and instrumental factors	Infrequent or inadequate communication (A) or lack of a systematic dialogue between sectors (D). Fear of delays in solution due to coordination problems (C) Tension between autonomy of individuals involved in collaboration and their accountability to the 'parent' organisation (E) Differences in procedures (E) Insufficient recognition of multiformity of the network (F) Complex relationships and lines of accountability, implying risks and management difficulties (G) Lack of management mechanisms (G)
Behavioural, cultural and personal factors	Poor historical relations and negative evaluations of previous cooperation and negative image formation of other organisations (A) Perceived sanctions by network members in case of cooperation with new non-network members (A) Vested interests (A) Lack of a shared understanding resulting from non-convergent (specialist) approaches and language (A; D; E) Poor personal relations between key actors and different styles of working (B) Professional defensiveness reinforcing domain defence (B) Lack of a cooperation- and consultation-orientated structure (D) Overlooking the overall goals of the organisation or the end-user of services (G)

Sources: A, Halpert, 1982; B, Challis *et al.*, 1988; C, Alter & Hage, 1993; D, OECD, 1996; E, Huxham, 1996; F, Kickert & Koppenjan, 1997; G, Cabinet Office, 2000.

The different faces of 'integration' in spatial planning

'Integration' is a complex concept but nevertheless of crucial importance for the RISE project. The 'I' in RISE is next to the 'R' of regional the most important letter in the acronym. What we at OTB would like to propose is to follow a very clear distinction made by Sue Kidd in a paper published in European Planning Studies[2] which in turn is based upon the work of our colleagues Philippe de Boe et al prepared in the context of the predecessor of ESPON: the Study Programme on European Spatial Planning (SPESP).[3] We will now present this framework but with the addition of some important remarks.

Kidd and De Boe et alia distinguish between three categories of integration:

- Sectoral integration
- Territorial integration
- Organisational integration or co-operation

There is a certain overlap between these categories. Sectoral integration is a more abstract term as it focuses on public policy domains. Organisational integration touches upon actors and 'real' people working within these organisation. The concept of territorial integration basically implies a reification of territories: we all know that territories are not capable of doing something, but organisations and people can. Nevertheless each different concept looks from a different angle at policy integration.

Sectoral integration: this is about the "joining up" of different public policy domains and *their associated actors* within a given territorial area (de Boe et al., 1999, p. 15). We have put associated actors in in italics because policy sectors in the public domain have relationships outside this domain: for instance an economic department or an economic development agency usually has a large network within the private sector or with intermediary organisations working on behalf of the private sector.

Spatial planning to a large part is legitimised by the drive to sectoral integration: public sector domains with a territorial impact need to be addressed on this impact. For instance: territorial impact assessment advocated by spatial planners (for instance in the ESDP) is based on this logic.

Spatial planning emphasises other aspects apart from territorial impacts. For instance: without proper coordination or integration approaches (the latter being the superlative degree of coordination) sectoral domains remain "inefficient, in that they can result in competing and contradictory objectives and duplication of effort, and ineffective, in that they ignore the complexity of interactions between different areas of public policy interest." (Kidd, 2007).

---

[2] Kidd, S. (2007) Towards a Framework of Integration in Spatial Planning: An Exploration from a Health Perspective, *European Planning Studies*, Vol. 8, No. 2, pp. 161-181.

[3] De Boe, Ph., Grasland, C. & Healy, A. (1999) Study Programme on European Spatial Planning Strand 1.4: Spatial Integration (Stockholm, Nordregio).

Within the category of sectoral integration two dimensions can be distinguished: 1) "cross-sectoral integration" between different policy areas which can operate at a range of different scales for instance at the trans-national (e.g. European Union) level (de Boe et al., 1999) and "at all local, regional, state and national scales in between." (Kidd, 2007). Sectoral integration can also imply "inter-agency integration": integration between public, private and voluntary sector agencies.

Territorial integration: this is about the integration of public policy domains between territories (de Boe et al., 1999, p. 15). This category is legitimized by perspectives such as (again) efficient governance, globalisation and sustainability. "The argument here is that current planning approaches are, to a greater or lesser extent, disjointed across territorial divisions. This situation can lead to inefficiency and ineffectiveness in dealing with important policy issues and infrastructure investments that transcend administrative boundaries." (Kidd, 2007) Territorial integration is often advocated in the case of positive or negative externalities of certain developments or in the case of what is often called 'intrinsic spatial relations': spatial structures or system which cross administrative boundaries but to their nature cannot be easily split up in different parts.

As Kidd (2007) and De Boe et alia (1999) emphasize the category of territorial integration alsoencompasses different dimensions: both "vertical integration"—policy coherence across spatial scales, and "horizontal integration"—policy coherence between neighbouring authorities (nations, states, regions etc) and areas with some shared interest.

Organisational integration: as we have already emphasized both sectoral and territorial integration require "co-operation between parties in the form of organisational integration" (de Boe, 1999, p. 19). This final category of integration emphasises the *actor perspective*. One can even say that organisational integration is "critical to the effective delivery of sectoral and territorial integration."(Kidd, 2007). Again a variety of forms can be distinguished according to Cowell & Martin (2003; quoted in Kidd, 2007) and the RTPI (2003; idem): 1) "strategic integration"—the alignment of linked strategies, programmes and initiatives, and 2) "operational integration"—the alignment of related delivery mechanisms. We can also use different words: organisational integration implies a coupling between (strategic) spatial visions, objectives and spatial concepts at the one hand and operation decision-making (including concrete investment on the ground) at the other hand.

The above can be summarized in the following table.

Sectoral	Cross-sectoral Integration	Integration of different public policy domains within a territory.
	Inter-agency Integration	Integration of public, private and voluntary sector activity within a territory.
Territorial	Vertical Integration	Integration between different spatial scales of spatial planning activity.
	Horizontal Integration	Integration of spatial planning activity between adjoining areas or areas with some shared interest.
Organisational	Strategic Integration	Integration of spatial planning with other strategies, programmes and initiatives within a territory.
	Operational Integration	Integration of spatial planning with the delivery mechanisms in all relevant agencies within a territory.
	Disciplinary/Stakeholder Integration	Integration of different disciplines and stakeholders within a territory.

Table 2: A framework of integration in spatial planning (Source: Kidd, 2007)

On transferability

RISE – like many other (ESPON) projects on governace – has the ambition to learn from policy practice and to develop some sort of guidance – in this case – how to work on improved integration of territorial and territorially relevant policies and actions. This touches upon the issue of policy transfer and what in the literature is known as transferability: to what extent can a certain policy, practice, instrument etc be transferred from one context to another taking in account contextual characteristics of the donor as well as the receiving side?

According to Dolowitz and March policy transfer is 'a process in which knowledge about policies, administrative arrangements, institutions etc. in one time and/or place is used in the development of policies, administrative arrangements and institutions in another time and/or place'. [4] According to Sturzaker[5] et alia the same authors in a later publication (2000) identify eight different categories of transfers that can be included in policy transfer studies: policy goals, policy content, policy instruments, policy programs, institutions, ideologies, ideas and attitudes and negative lessons. Their framework is summarized in table 2.

| Why transfer? 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 – Lesson drawing (perfect rationality)	Mixtures – Lesson drawing (bounded rationality)	Coercive – Direct imposition			Past	Within a nation	Cross national				
	International pressures (image, consensus, perceptions) Externalities	Conditionality (loans, business activities, obligations)	Elected officials Bureaucrats Civil servants Pressure groups Political parties Policy entre-preneurs Experts Consultants Think Tanks Transnational corporations Supranational institutions	Policies (goals, content, instruments) Programs Institutions Ideologies Attitudes/ Cultural values Negative lessons	Internal Global	State governments City governments Local authorities	International organizations Regional / State / Local governments	Copying Emulation Mixtures Inspiration	Policy complexity Past policies Structural institutional feasibility (ideology, cultural proximity, technology, economic, bureaucratic) Language	Media Reports (commission ed and uncomm-issioned) Conferences Meetings Visits Statements (written) (verbal)	Uninformed Transfer Incomplete Transfer Inappropriate Transfer

Table 2: Policy transfer framework (Source: Dolowitz and Marsh 2000, in: Sturzaker et alia, 2010).

Crucial – also for the RISE project- is that some are clearly more amenable to transfer than others: ideologies, ideas and policy goals may be far simpler to transfer (wholly or partly) than policy instruments, policy programs or institutions, particularly where there are substantial differences in the local social, economic, political and institutional conditions between the policy 'borrower' and

[4] Dolowitz, D. and Marsh, D. (1996) 'Who Learns What from Whom? A Review of the Policy Transfer Literature', *Political Studies*, 44, (2), pp. 343-357.

[5] John Sturzaker (UNEW), Zan Gunn (UNEW), Simin Davoudi (UNEW), Ali Madanipour (UNEW), Jody Milder (TU Delft), Dominic Stead (TU Delft) (2010) *SUME Deliverable 4.2: Sustainable urban planning concepts, transferability and policy implementation*, October 2010.

'lender'.[6] This can be summarized in table 3. We should come back to this in a more elaborate way when we are dealing with drawing lessons from the RISE case studies.

Visibility	Component for exchange	Transferability
Low	Ideas Principles for action Philosophy	Low[2]
Medium	Methods Techniques Know-how Operating rules	High
High	Programmes Institutions Modes of organisation Practitioners Joint projects	Low

Table 3: Components of local development practices and their transferability (Source: OECD, 2001, in: Sturzaker et alia, 2010)

Another approach is to analyse to what extent best practices actually have an effect on local decision makers? A study lead by Wolman & Page (2002)[7] throws some proverbial cold water over activities concerning the identification and dissemination of best practice, at least in the area of urban regeneration (which was the subject of their inquiry) as shown in table 4 below. They acknowledge that the same is not necessarily true for other areas of policy, although there seems little reason to think that the situation may be much different in the area of urban planning. Similarly, Bulkeley (2006: 1041)[8] concludes that the impacts and implications of disseminating best practice on urban sustainability remain poorly understood. According to Wolman & Page it is 'much easier to offer a compendium of practices and ideas and leave it up to the recipient to decide which is the most appealing than to offer an evaluation of what works best, let alone what works best for highly differentiated audiences' (Wolman and Page, 2002, p498). In practice, transfers of best practices are complex and certainly not merely a matter of copying or emulation: successful transfer also involves processes of learning and adaptation. It needs to be recognized that the same practice can take root in different ways in different settings.

---

[6] OECD, 2001 in Sturzaker et alia, p. 32.

[7] Wolman, H. & Page, E. (2002). Policy Transfer among. Local Governments. An Information Theory Approach. Governance 15(4) 477-501.

[8] Bulkeley, H. (2006). Urban sustainability: learning from best practice? Environment and Planning A 38(6) 1029-1044

	From national examples	From international examples
Big effect	2%	1%
A significant effect	11%	1%
Some effect	69%	21%
Very little effect	16%	42%
No effect	1%	35%
Number of respondents	*288*	*286*

(source: Wolman and Page, 2002, pp495-496)

Table 4. Opinions of local authority officials about the effects of information from best practices on decisions in local authorities

Wil Zonneveld & Bas Waterhout, 29 April 2011

ANNEX 2:

a. RISE Case-study template

b. West Midlands Topic Guide

<u>RISE CASE-STUDY TEMPLATE</u>

April 7th 2011

NBG, KAR

This template is for the four RISE case-studies in West Midlands, Randstadt Region, Region Zealand and Västerbotten in 2011.

CASE STUDY SCHEDULE

Each partner team is responsible for planning and doing their regional case study. The schedule below is for those activities where the entire team meets. A detailed schedule is attached at the last page.

Activity	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Steering Committee meeting / kick-off seminar		X									
Case Studies in four regions			/////	/////	/////	/////	/////	/////	/////		
Formative meeting (virtual)				X							
First intermediate meeting (Umeå 7th June)					X						
Second intermediate meeting (Delft 14th sept)								X			
Case-study report									X		
Regional workshops										/////	
ESPON seminar – open					X						

Case studies start April 14th according to Inception Report plan, but following from discussions at the Brussels meeting the synthesising case study report (Swedish team responsible for compilation) will be completed by the end of October. We also discussed an optional meeting early May, and it may very well be done. However, we try to avoid a new meeting given time and financial limits. Instead, the Swedish team will email an inquiry early May to see whether you have run into issues concerning the common guidance or use of concepts, and initiate a discussion via email or similar.

CONTENT OF THE CASE-STUDIES

The four case studies are conducted in each of the four stakeholder regions: West Midlands, Randstad, Region Zealand and Västerbotten. Strategies related with diverse geographies are examined, when relevant. In the case of West Midlands, the regional delimitation is kept for the overall analysis of regional profiles.

The case-studies consist of a background analysis and examination of 3 – 5 strategies.

Background analysis
Strategy analysis (documents and interviews)
A: Context
B: Process
C: Achievements
D: Instruments
Regional outlook
E: regional agenda
F: Stakeholders
G. Achievements

BACKGROUND ANALYSIS

Regional profile, challenges and potentials (this section is taken care of by Nordregio)

- The region in EUROPE (Nordregio, Eurostat, ESPON and national data)
    - Demography
    - Labour marked
    - Urban structure and urban growth
    - Infrastructure and accessibility
    - Energy consumption and potentials for renewable energy
    - Economic performance
    - Innovation profile and business structure
- EU-Structural Funds (Operational Programmes) & European Territorial Co-operation programmes

The region in national planning

- The national planning system
- The role of the regional authority / LEP vis à vis local authorities
- Regional planning duties according to the national planning system
- National typology of the region
- National intentional strategies or visions for the region

Regional policy agents

- Statutory and non-statutory agents involved in regional strategies and projects
- Mediating cooperation boards and groupings

STRATEGY ANALYSIS – DOCUMENTS AND INTERVIEWS

The point of departure is the 3 – 4 strategies selected for the inception report by the stakeholders. Document analyses and interviews are carried out. In what follows are topics to deal with. No distinction is made between document analysis and interviews. The document analysis is seen as a preparation for the interviews. It should be recalled that the aim of the case-study is the analysis of strategies, hence not just the written documents.

The following respondents should be interviewed per strategy:

The chairing stakeholder: political and administration. 2-3 most important stakeholders. Stakeholders of opposite interests should be represented. Institutional background and strategic interests of each stakeholder must be provided.

Context

As emphasised in the application the context is decisive for understanding the scope, range and need for integration of strategic conduct.

A: What was the context and purpose of the strategy?

e.g. statutory planning duties, problem envisaged, opportunities to influence current policies or projects?

How, who and achievements

B: How was the process established? Who took initiative?

1. What kinds of relations to other actors were established during the process?
2. Did all relevant partners take part?
3. Did all stakeholders show equal commitments?
4. Was a division of labour established between the stakeholders?

C: What was achieved?

1. Has any economic, institutional or strategic results been achieved (e.g. funding, change of plans or projects, foot-prints on sectoral, national or EU strategies?)
2. Are the achievements satisfying?

D: What were the key instruments used?

1. Visioning or regulatory planning?
   The purpose of regulatory planning is to establish a legal framework for planning at lower levels. The purpose of a vision for the regional future is to invite or inspire private and public actors to join actions sustaining a common strategy for the development of the region.

   Visioning is a rather new discipline. Some visions are stated in general categories, some are closely related to current problems or opportunities.

   a. Was the strategy purely regulatory? - if not:
   b. Was a vision developed? – How?
   c. How was consensus achieved?
   d. Is the vision comprehensive and general or focused upon specific topics
   e. Did the vision have any impact on mobilising stakeholders?

2. Positioning
Positioning is to conceptualise once location in order to identify opportunities, comparative advantage and possibilities on the basis of which new links and relationships could be developed. Several regional strategies are not tied to the administrative region. Rather they are responding to development opportunities of sub-regions, cross-border regions, functional regions, the delimitation of which is part of strategic competence.

    a. How was the strategy positioned from a territorial point of view?
    b. Were alternatives considered – or relevant?

3. Focus
To an increasing extent, strategies are related to development potentials, i.e. the future. But also strategies may relate to changes in relations with the outside world, regional problems or shared strategic interest among stakeholders.

What is the key focus of the strategy?

    a. Development potentials?
    b. Changing relations with the outside world?
    c. Current regional problems?
    d. Shared strategic interest among stakeholders?

4. Horizontal – vertical integration
In the terms of reference of this project horizontal and vertical relations play a significant role. These concepts are closely related with hierarchical political systems, that to some extend have been outshined by the 'new' understanding of relational governance and rescaling. However, it might be relevant to ask:

    a. Is the strategy developed along horizontal or vertical relations?
    b. Is the strategy supposed to be followed by vertical or horizontal initiatives?

REGIONAL OUTLOOK

The purpose of this section is to establish an overview of Integrative Territorial Strategies. The interviewees are asked to comment on the overall need for regional strategies, current political or administrative conduct and need for institutional change.

E: The regional agenda

What are the most important items of the regional agenda?

1. Policy areas:
    a. Sustainability and cohesion?
    b. Competiveness?
2. Regional identity / identities
    a. Promotion of a regional identity
    b. Promotion of sub-regional identities

F: Stakeholders

Is there any need for:

1. Better cross-sector cooperation?
2. Mobilising regional/territorial stakeholders not taking part in the current strategies?
3. Mobilising trans-regional stakeholders

G: Achievements

1. Is organisational fragmentation at the regional level a problem?
2. What are the key regional/territorial problems that need integrated action?
3. Do you see lost or ripe opportunities?
4. Did the region take part in preparation for the Structural Fund programme 2007-2013. Are regional actions foreseen for the next period?

CASE STUDY TIME SHEET AND ACTION PLAN

What? – Activity	Who?	Where?	When?	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Steering Committee meeting / kick-off seminar				X									
Case Studies in four regions			14 april – oct		░	░	░	░	░	░	░		
Interviews, 10 – 20 respondents – stakeholder interaction	Each partner	Each region			▓	▓	▓	▓	▓	▓			
Literature review and policy document analysis	Each partner	Each region			▓	▓	▓	▓	▓	▓			
Regional profile	Nordregio				▓	▓	▓	▓	▓	▓			
Formative meeting discussions on concepts and approaches	All partners	Virtual reality	Early May			X							
First intermediate meeting Further discussions and guidance on case-studies	All partners & Stakeholders	Umeå	7 June				X						
Second intermediate meeting Concluding on case-studies Discussions on Interim Report	All partners & Stakeholders	Delft	14 Sept							X			
Output: Case study report	All partners Swedish team co-ordinates	Virtual reality	October								▓		
Regional workshops Analytical findings Outline for toolkit Brief reporting from regional workshops to feed into toolkit	Each Partner	Each Region	November									░	
ESPON seminar – open							X						

WEST MIDLANDS TOPIC GUIDE

INTRODUCTION

- The European Spatial Planning Observatory Network (ESPON) is sponsoring this research project into Regional Integrated Strategies in Europe (RISE) led by the Department of Management, University of Birmingham.
- It is a study of four case study regions which are attempting in different ways to integrate economic development, spatial planning and other policies. These are Randstad (NL), Zealand (DK), Västerbotten (S) and the Greater Birmingham, Solihull and Lichfield Local Enterprise Partnership (UK).
- We are interviewing a number of people – stakeholders, decision-makers and others – across the GBSLEP area and in the wider region.
- We are exploring good practice in the design, development and implementation of sub-national Integrative Strategies.
- The project will produce a 'toolkit' for policymakers that will guide future *integrated working* at the sub-national level.

INTERVIEW OBJECTIVES

The GBSLEP is new and the interview objectives reflect this. We aim to gather information on:

A. The establishment of the GBSLEP in *composition* – the membership of the partnership, and its territorial scope – the considerations guiding the choices that have been made here.

B. The establishment of the *organisational arrangements* – its internal structure, its relationship (horizontally) to other LEPs, and (verticallly) to 'higher' and 'lower' agencies.

C. The *strategic focus* – the substantive scope (economic, spatial, social, etc) and style of the strategy (active, counter-active, planned, opportunist) and the focus of its priorities (e.g. as between small firm development, large firm inward investment).

D. The *implementation levers* being used or considered by GBSLEP in pursuit of its objectives.

E. The *future aspirations* and trajectory and possible constraints upon these.

COMPOSITION

1. How (as you understand it) was the composition and territorial scope of the GBSLEP arrived at?

2. What do you see as the advantages or disadvantages of this membership and scope?

3. How is this composition reflected in the membership and operation of the GBSLEP Board and sub-committees?

4. How do you see the role and contribution of the private sector in leading the GBSLEP?

5. How well is this composition and scope working so far?

- in the functioning of the Board in overseeing the Partnership,
- in developing an understanding of the GBSLEP area,
- in developing activities to support the local economy?

ORGANISATION ARRANGEMENTS

6. Please outline the reporting structure of the GBSLEP and its (internal) committee and administrative arrangements? How well are these working - strengths and weaknesses?

7. Has the GBSLEP developed any links – official or unofficial – to other LEPs within or beyond the regions? What is the nature of these linkages, and how well are they working?

8. How does the GBSLEP relate 'to other development agencies operating within its borders? What is the nature of these linkages, and how well are they working?

9. How does the GBSLEP relate to the Departments of Government within the region or in Whitehall? What is the nature of these linkages, and how well are they working?

STRATEGIC FOCUS

10. How is the strategy of the GBSLEP being established, through what process and negotiations – internally, horizontally (in relation to other LEPS), vertically (upwards or downwards)?

11. How was the vision developed? Who took part? What did they contribute? How was consensus achieved? Do you feel the vision is comprehensive enough; or is it limited to specific themes/topics? Has/does the visioning exercise help to mobilise stakeholders?

12. Who would you regard as the different stakeholders in regard to the GBSLEP? How will each of these be involved in the GBSLEP process?

13. What (as you see it) is the focus of the GBSLEP strategy as between economic, spatial, social and other problems?

14. What are the priorities of the GBSLEP within the local economy, as between (say) supporting large established firms or new small firms, promoting indigenous firms or inward investments, supporting manufacturing or services?

15. Is the GBSLEP planning to develop separate economic and spatial (land-use) strategies, and if so how will these relate to one another?

16. How does the GBSLEP strategy seek to integrate with the planning strategies of its Member Authorities?

17. Does the GBSLEP intend to respond to the social consequences of economic change, including unemployment and deprivation? If so how?

18. Will the GBSLEP seek to promote the identity of its territory or those of its sub-areas? How will it relate to the identities of 'Birmingham' or the 'West Midlands'?

IMPLEMENTATION LEVERS

19. What 'levers' for influencing the local economy does the GBSLEP intend to use, in addition to the declaration of Enterprise Zones?

20. To what extent will the GBSLEP attempt to use the levers that are currently at the disposal of its member authorities (such as statutory planning powers, property development, business assistance)?

21. What do you think have been the key achievements so far? What economic outcomes, organisational or other results been achieved; e.g. funding secured, refreshed perspectives, influencing of other local or national or EU strategies?

FUTURE ASPIRATIONS

22. Can you say something more about the aspiration that the GBSLEP has for the development of the local economy?

Annex 3

2nd DRAFT PROPOSAL FOR THE RISE TOOLKIT

September 2011

TABLE OF CONTENTS

1. **Preface**

2. **Introduction**

3. **Tools for strategic analysis**

   3.1 Two paradigms of strategic planning

   3.2 Analysis and learning combined

   3.3 An example

   3.4 Relational Strategic Tools

4. **Tools for strategic conduct**

   4.1 The plethora of strategies

   4.2 Make diverse strategies play in concert

   4.3 Tools in a relational integrative approach

5. **Measuring strategies**

   5.1 Theoretical observations on performance management

   5.2 Strategic analysis

   5.3 Strategic conduct

   5.4 Financial models

6. **Next steps**

7. **References**

1 PREFACE

One of the key outputs from the RISE project is the design and form of the toolkit for regional integrated strategies. In this chapter a second draft tool kit is going to be presented. Further contributions will be made on basis on testing by the case-studies in the stakeholder regions, input from the theoretical literature review and comments received from the stakeholder seminars in December 2011.

In this second draft, some changes have been made. In the first draft, a distinction between generic and context tools was presented. We changed this in the present draft in order to emphasise two other kinds of tools for preparation of regional strategies: analytical and procedural tools. In a later version it is considered to include institutional change as a third tool. The model and general recommendations for the analytical tools is presented in section 3 and the ideas and principles for the procedural tools are presented in section 4.

In section 5 operational tools for analytical and procedural analysis is presented. We suggest the elaboration of check-list indicators. Concrete examples are presented as kick-off of further testing and elaboration by the regional research teams in each of the case-studies.

The check-list indicators are chosen on background of a discussion on the current state of impact indicators used for evaluation and monitoring of regional strategies. At the initiative of the EU such indicators are widely used in setting up the national ERDF and ESF operational programmes. These indicators seem to be thoroughly integrated in the current vertical dialogue between the EU and national governments penetrating to the regional level – and huge efforts are used for measurements. In the theoretical literature on performance management, the use of quantitative indicators has been criticised.   Based on these observations we refrain from further efforts on elaboration of quantitative indicators and, hence, concentrated upon what we call 'checklist indicators', suitable for evaluation and guidance of the strategic analysis and process.

2 INTRODUCTION

Tools for regional integrated strategies are serving two purposes, the making and the integration of strategies. Most tools are generic, dealing with the key aspects of strategic conduct, as opposed e.g. to managerial conduct, rational planning and

projects implementation. In addition to the generic tools, a number of contextual tools are suggested for the special needs for situated strategies dealing with regional development problems within the variety of planning frameworks in the EU member states.

Early in the project, it became obvious that 'region' in its political-administrative meaning is a vulnerable concept. After the start-up of the project, the UK government carried through a political-administrative reform, the aim of which was to encourage policymaking by voluntarily formed Local Economic Partnerships within 'functioning economic areas', usually on a sub-regional spatial basis, tailored for bottom-needs of the partnership. Accordingly, the former regional bodies have been abolished by the government. During the 2011 general election in Denmark, the political parties of the government proposed that the regional tier in Denmark should be abolished. In Sweden, the national government emphasises – like the UK government - the need not to restrict regional policy within administrative regional settings but to carry out such policies in the functional regional settings most relevant for the policy. These are just examples of a general phenomenon that in many countries regions are not stable political entities. Early in the project it was considered to refrain from using the concept and replace 'region' with 'territory'. Since, however, territory is neutral to the hierarchical scaling between national and local it was decided to keep the concept 'region' in place – keeping in mind the vulnerability of the concept. Also, it was acknowledged that the region as a mediating political-administrative tier between the national and local prevails in most of the EU member states and that much of EU territorial policies addresses regions.

3   TOOLS FOR STRATEGIC ANALYSIS

To understand what kind of tools we need for strategic conduct, it is worthwhile emphasising that strategies cope with uncertainties, structural change of development patterns, redefinition of the role of cities and hinterland relations, the emergence of urban competition and needs for new development tools. During earlier periods of urban and economic growth, uncertainties were restricted and the key problem was to manage growth by well known tools such as land-use schemes and functional ordering of work, living and services. Integrative measures were taken by sector-coordination and feed-back processes.

3.1   Two paradigms of strategic planning

In the world of uncertainties new paradigms for "strategic planning" is needed. Two major paradigms have developed from the 1960's until today (Sartorio 2005). The two paradigms present important contributions to the concept and practises of strategic planning in European regional planning today. They also points to different kinds of tools to be used in a strategic regional planning process (Sehested 2009).

Analytical and learning strategies

One paradigm is the *analytic strategic perspective* building on rational planning ideas as an effort to produce fundamental decisions and actions guiding what a region is, what it does and why (Bryson 1995). Strategies are developed in a disciplined, analytic and calculated process based on scientific analyses of changing conditions in the region. The purpose is to synthesize and install hierarchical orders in spatial structures and development patterns. There is a clear separation of strategy making and implementation and a detailed implementation plan is included. Planners in this perspective are to be *strategy inventors* (Bryson 1995, 2003, Mintzberg 1994).

The other paradigm is developed as a critic to the analytic paradigm. It can be labelled as the *learning perspective* (Sartorio 2005). It states that dynamic and ever changing conditions undermines the possibility for long term strategies and that formalized and rational analyses often preserve or re-arrange well known perceptions and categories in planning: prolonging of the past into the future or copying strategies from other context. Planners in this perspective are to be strategy finders (Sager 1994, Allmendinger 2002, Hall 2000).

The learning perspective interpret strategic regional planning as a creative learning process synthesizing and transforming experiences and engagement from all over the region to new strategies and mental frames in a process of creating common meaning (Healey 2008, Albrechts 2004). Concepts, procedures and tools have to be developed according to the specific context of the planning situation. Strategies are seen as certain patterns developed in organisations with a strong path dependency and they are developed in many different organisations and institutions in the region (and by individuals); e.g. education institutions, private business, interest organisation in order to handle the constantly changing conditions (Wiechmann 2008). Strategies are not very precise or detailed, but they do create a common mental frame of reference perceived as meaningful for many actors in the region and

thereby indirectly governing their actions (Healey 2008). Strategic planning in this perspective is about processes, institutional design and mobilising.

Table 1: Two paradigms of strategic planning and the role of planners

	Two kinds of strategies	
	Analytical	Learning
Role of planners	Strategy inventors	Strategy finders

3.2 Analysis and learning combined

From both perspectives tools are suggested in the literature and in the following we will present a model trying to integrate the two perspectives in the development of tools.

The strategic circle

A 'strategic circle' is suggested as a structuring framework for integrating tools from the analytic and learning paradigm, cf. figure 1.

The diagram shows the key elements for consideration and learning processes of the strategic agents in a territory, e.g. a city or an economic functioning area: (1) the outer world of the territory, (2) the role of the city or economic functioning area, (3) visions for the future for the city or economic functioning area and (4) the stakeholders sharing the vision. The four elements are located in circular order to avoid linear reasoning. All elements are to be considered. They are interrelated and should be clarified in learning processes. But the order of consideration is unimportant. Projects and strategies are the outcome, but also important projects, events or sudden structural changes may form the starting point of new strategic reasoning.
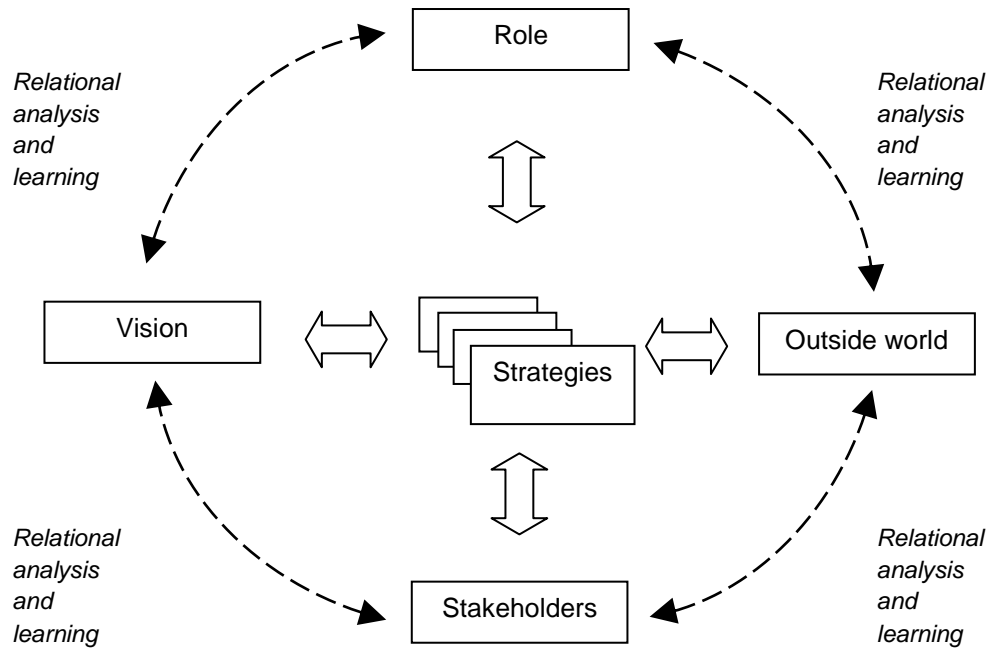
Figure 1: The strategic circle elaborated from (Groth 2001) and Bryson (1995).

3.3   An example

As an example, we show in figure 2 strategic considerations of the city of Nyköping in Sweden, during the 1990s. The city experienced a pronounced outflow of former industrial workplaces. The city realised that what was needed was setting up a local development strategy. The city was used to being part of national strategies for housing and welfare schemes. For the first time, the city experienced a need for forming its own strategy. First of all, the city realised that the outflow of industrial enterprises was part of general trends of a new international economic division of labour. Hence, rather than trying to replace former industrial enterprises with new ones, Nyköping set up a vision for a new functional order. Looking to the surrounding region, the labour market of the economic concentration of jobs in the capital city of Stockholm became an option for a new role of the city as a metropolitan suburb. The archipelago south to Stockholm was an important asset for Nyköping to offer families that wanted to combine quality of living with interesting jobs in the metropolis. Situated 100 km south to Stockholm, was a problem. But the distance had to be overcome mentally and functionally. Therefore, huge efforts were given to advertising in Stockholm newspapers and magazines – and Nyköping became a very active member of the European Corridor cooperation, aiming at improving the public

transport connections between Nyköping and Stockholm. Linking to European Corridor cooperation also was a key element of forming a supplementary role of the city, that of a logistic hub, combining harbour facilities with access to rail and motor ways. This supplementary role as logistic hub was successfully undertaken by Nyköpings active involvement in redeveloping a former military airfield to a commercial airport, the Stockholm-Skavsta airport. Ryan Air and other flight operators located at Skavsta. The progress of the strategy actions was facilitated by cooperation with several new local and translocal partners such as the neighbouring municipality, a British entrepreneur specialising in airfield development, Ryan Air, European Ryan Air cities, national agencies on infrastructure, cities and municipalities in the Europe Link cooperation, universities and education institutions and housing companies. In Figure 2, the story of Nyköping is shown in terms of the schema of the strategic circle, in order to illustrate how the strategic circle may be used as a facilitator of strategic reasoning.

The schema of the strategic circle shows similarities with another schema for strategic reasoning, the SWOT analysis. However, the SWOT analysis concentrate upon analytical reasoning, whereas the strategic circle combines the analytical reasoning with common creative learning processes resulting in strategic outputs, e.g. the formation of a vision, the forming of new roles and projects and plans.

Part of the 'strategic circle reasoning' is the clarification of the four elements (role, outside world, vision and stakeholders) as interdependent elements. The local territory, region or municipality, play certain roles vis-à-vis the outside world, and a vision for the future doesn't come out of the blue. Visions are grounded in roles and negotiated with stakeholders. We thus need relational tools for clarifying the roles, visions, outside world and stakeholders.

ROLE		
Need for changing from former industrial centre to metropolitan suburb and logistical hub		

VISION	PLANS – PROJECTS – ACTIONS	OUTSIDE WORLD
To develop Nyköping as a residential town and logistic hug relying on the labour market of Stockholm, the assets of the archipelago and proximity to the sea, national road and rail infrastructure and the obsolete military airfield	Europa Link Skavsta Airport House of Knowledge Roslagen sports and eventcentre Atttractive one-familiy housing	New international division of economy influencing de-industrialisation of Nyköping Stockholm in the regional vicinity EU TEN program

STAKEHOLDERS
Neighbouring Municipality British Entrepreneur Ryan Air European Ryan Air Cities National Agencies on infrastructure Cities and municipalities in the European Link cooperation

Figure 2: Elements of Nyköping's development strategy presented in the schema of the strategic circle.

3.4   Relational strategic tools

In figure 3, the strategic circle is shown once more, now including examples of relational tools clarifying the four elements: Analysis of the role of the region in the interplay with the outside world, search for potentials for solving problems or achieving visions, territorial positioning of potentials and stakeholders in new geographical settings and joint visioning with stakeholders.
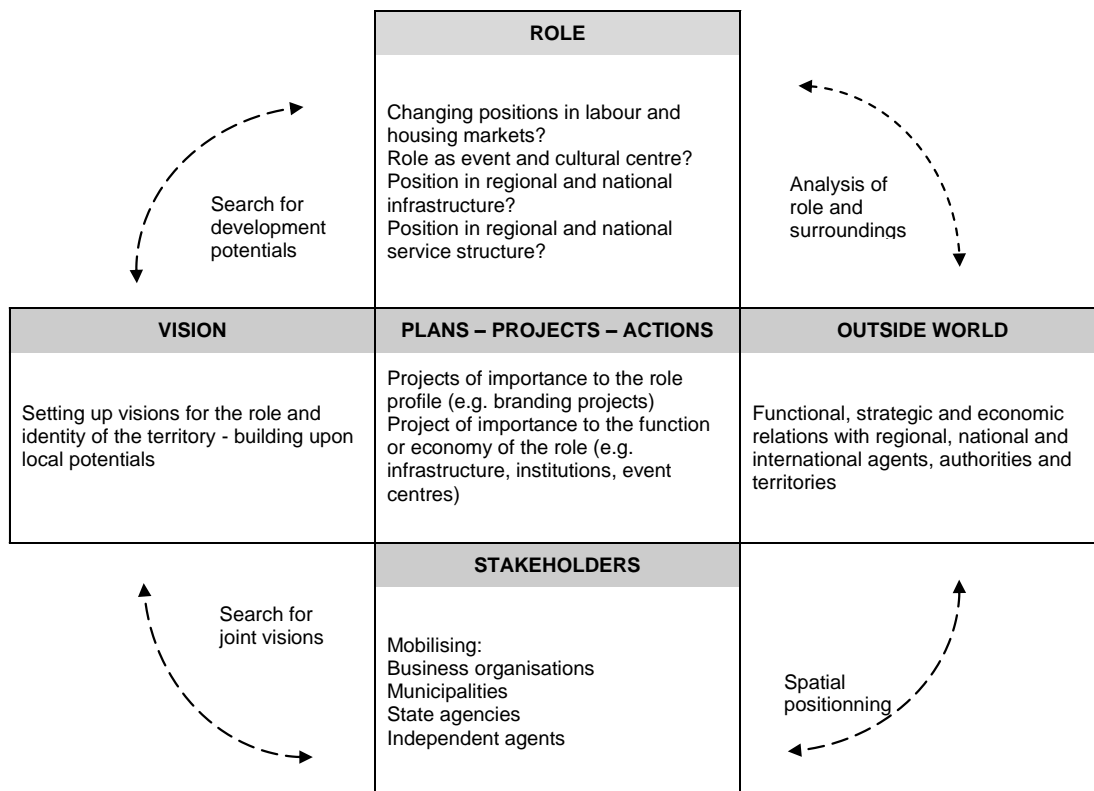
Figure 3: The strategic circle – analytical elements and tools.

Analysis of role and surroundings

The analysis of surroundings is a tool for clarifying the position and role of the strategic agents vis-à-vis the outside world. An example of this kind of analysis is the SWOT analysis, searching for strengths and weaknesses of the strategic agent as seen in relation with opportunities and threats of the outside world. One should emphasise that the analysis is not the end product. It should be used as a reasoning schema for clarifying optional roles for the region or local territory, focusing upon changes and trends e.g. in the interplay between the local labour and housing markets and regional and national infrastructure investments and economic development.

Search for potentials

The search for potentials focuses upon the most strategic elements to be selected as core elements for building a vision for the future. Analysis for potentials is a rather new discipline formed by the turn in the early 1990s of regional policies from regional assistance to regional development.

After the turn of the post-war agenda from welfare to the agenda of regional competitiveness, unique regional *potentials* and comparative advantages came into the fore. Concepts on regional potentials, such as 'growth corridor', 'development zones', 'clusters', 'cooperation areas' and others, have substituted former concepts related with land-use zoning and management.

The use of the new concepts for development potentials needs special care. Often the concepts are used in development perspectives more as wish full thinking than regionally embedded concepts supported by thorough analysis and regional enterprises. Therefore, it should be recommended avoiding the use of replica of regional development concepts at the general level. 'Growth corridors' or 'development zones' needs tailoring to concrete local assets, project frames and strategies. Such processes call for cooperation with a variety of actors inside and outside the region to find and activate potentials.

Search for visions

Territorial strategies depend crucially upon collaboration between several stakeholders, usually based upon joint visions and aspirations for the future rather than mere obligation. Therefore a visioning process, story telling and vision campaigns are important instruments for forming working consensus among stakeholders.

The point of departure of the visioning process could be dreams for the future or problems of the present. The case-studies show several examples of each of these two types. The strength of the dream-type is the potential of opening the eyes of new stakeholders finding the vision and potentials of the region attractive. But it might be vague and unrealistic too. The strength of the problem based type is the necessity for action it calls for. But it might not be able to pave roads for the kind of revitalisation often needed in regional transition.

Spatial positioning

Finally, in the process between stakeholders and outside world spatial positioning is used as a tool for "identifying opportunities, comparative advantages and possibilities on the basis of which new links and relationships could be developed and strategic policies formulated." (Williams 1996). Spatial positioning reveals new geographical settings of optional stakeholder formation in relation with shared policy interests. In figure 4 six different and overlapping policy territories of Region Zeeland is shown (Region Zeeland 2010). The figure illustrates that territorial strategies of one actor are not restricted to fixed administrative boundaries. Rather, territorial strategies are

set up in different overlapping geographies of actors joining efforts on economic and strategic development potentials and internationally policy territories as defined by EU programs.
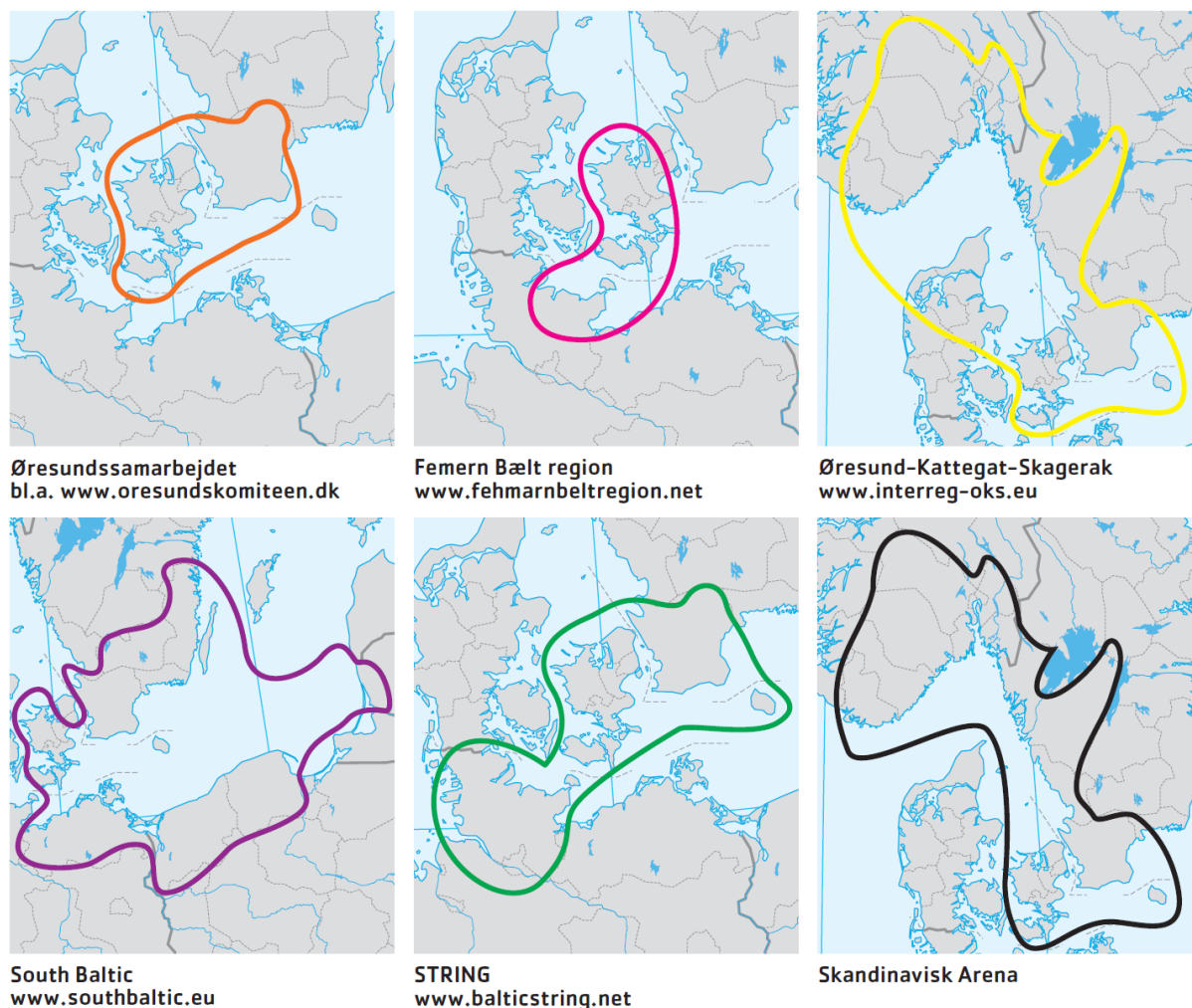
Figure 4: Examples of the variety and overlapping policy territories of Region Zeeland

4 TOOLS FOR STRATEGIC CONDUCT

Generic tools are of course only relevant when used in context of concrete strategic planning situations.

Usually statutory planning powers at the regional level are modest. From the very beginning of post-war planning systems, delimitations of the region was characterised by the ambiguities of planning duties. On the one hand, carrying out national planning interest called for fewer larger regions, whereas coordination of municipal planning called for smaller regional entities. In addition to the ambiguities

of regional identity there has been a political vacuum between the executive powers at local level and authoritative national sector policies. The formulation of an active regional development policy at EU level has to some extend compensated for the weaknesses and given new life to regional policies. EU regional policies are, however, not just unfolding within administrative regional boundaries. EU regional policies are greatly concerned with the formation of cross-border mega regions, thereby adding further dimensions to the regional ambiguities.

The ambiguities and lack of powers at the regional level has been compensated by regional authorities by stressing the role as strategy makers, catalysts and mediators and the use of 'soft planning measures' and voluntary regional planning procedures.

4.1 The plethora of strategies

A plethora of plans and strategies at the regional level calls for some form of coordination and integration. Due to the variety of national planning systems and local regional initiatives, we look in vain for a common regional planning typology. However, the following plans and strategies are often seen at the regional level:

A spatial plan or strategy - dealing with urban systems, regional infrastructure and areas for protection

A business strategy – dealing with policy measures for promotion of economic life in the region

Strategy on sustainability – dealing with challenges of climate change and CO_2 emissions

Sector plans e.g.:

* Transport plan
* Hospitals
* Technical supplies

Strategic cooperation with other regions on special development perspectives

EU regional policy administration

The number of plans and strategies may vary considerably not only from one to another region but the tendency is a plethora of plans and strategies without a hierarchical ordering but with strong elements of interdependency between them.

The need for an integrative approach to these plans and strategies are two fold. On the one hand, needs may arise for adjusting plans and strategies from the territorial point of view to avoid contradictionary strategies, strategies that undermine one another, strategies dealing with the same issues, a proper use of resources etc. On the other hand there is a need for integrating strategies in order to be able to act in some form of common direction – not in the sense of making a comprehensive and overall strategy, but in the sense of making partial and contemporary direction for the development of specific regional issues (e.g. education, climate). We suggest that in order to make room to rapid changing conditions in regions development and to open up for new ideas, projects and innovations the solution is not to return to the overarching regional strategy based on formal planning procedures. The solution is rather to make diverse strategies - made in collaboration with various actors - play in concert.
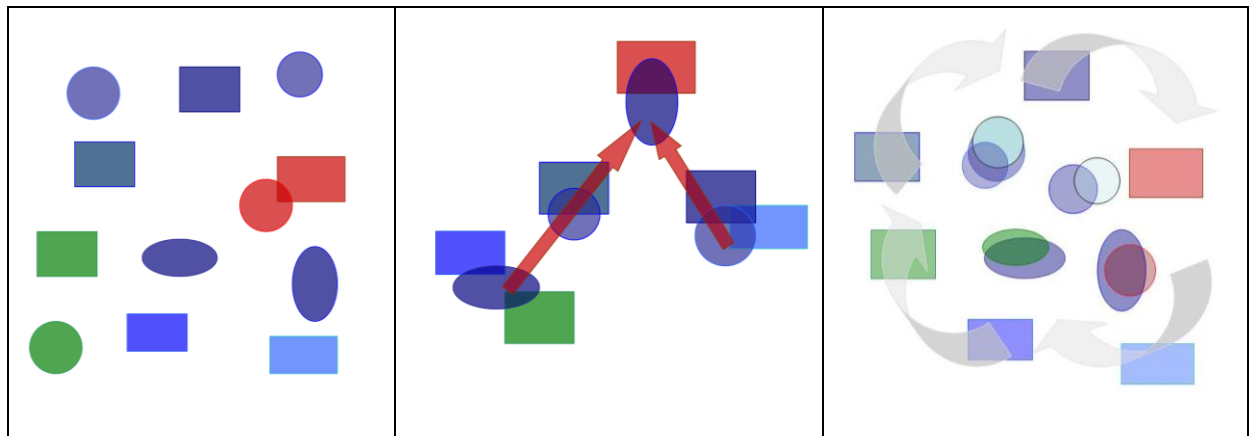
Figure 5. From left to right. The plethora of individual strategies and agents. Hierarchical coordination of agents and strategies. Making agents and strategies work in concert – based upon mutual interest and familiarity with regional concern ('Family-zising')

4.2   Make diverse strategies play in concert

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

One of the basic assumptions of this project is that regional development is far from dependent upon powers executed from a regional centre. Regional planning and strategic conduct has to be executed in the interplay with projects and new development trends appearing from outside, underlining that strategic conduct is an ongoing iterative learning process. A regional integrative strategy is not a final plan

but a dynamic document – unfinished business - illustrating a contemporary "resting" between competing concepts, understandings and interest in regional development. A strategy gets its power from the networking, communication and negotiation between important regional and local actors as part and result of the strategic work.

This could be illustrated by an example. During the 1990s the Herning region in Denmark turned successfully from a cluster of textile production to a cluster of textile trade and design. This turn of production was caused by a sudden occurring fierce competition from cheap labour force in Eastern Europe in the wake of the 1989 fall of the iron curtain. 6.200 jobs in the textile sector disappeared within a few years. The process began by a few companies outsourcing jobs. It caused local conflicts. But soon they were followed by other companies. The local textile school learned the lesson and turned from job training in the mass production of the textile industry to design of textile. The former industrial buildings were easily transformed from textile production to other uses such as a private hospital, supermarket, shops and business services. Looking backwards, the responses by local enterprises, the textile school, the local government and other actors to the sudden stroke from outside appear as if following an extremely well-composed strategy of modernising the textile cluster of the Herning region. However, rather than following a coming strategy, the regional actors adapted to the situation in a rational way, each from their position.

Regional strategies in our case studies seem to develop into a perspective, prospect or a framework for regional development and illustrate an approach to deal with multi-sectoral and multi-scalar spatial planning. In literature on strategic planning it is suggested that regional strategies in the learning perspective can become a source of reference in the collaboration between regional and local actors, and a framework for analyses of territorial cohesion and spatial consequences of various development trends. The strategies can be used as a set of guidelines for coordination and facilitate connections and negotiation between regional and other actors. They also form a framework for relational understanding (Hillier 2007, Albrecht 2004, Hillier 2007).

With a few clues, we shall present some preliminary ideas on how to promote integrative strategies and alertness between the variety of policies and strategies at the regional level.

4.3   Tools in a relational integrative approach

Three kinds of tools are of importance to create some form of integration between several strategies and plans in a non-hierarchical governance situation. One groups of tools concerns analytical work. Another group concerns link-making and power balancing work and a third group concerns strategic framing work and consensusmaking.

These tools can be used in all elements of the strategic circle. To define the role of the region, its territorial positioning, in the search of potentials and visions it is of great important to use analytical work, link-making work and framing.

Analytical work

- Surveillance of development trends in the territory and presentation of scientific and professional knowledge about regional development.
- Integrate multiple sources and forms of knowledge about regional issues
- Develop a capability to discover and understand emergent patterns, new insights and new events
- Strengthen the relation between strategies, local conditions and projects
- Strengthen the relation between strategies and solutions to concrete problems in the territory

Link making work

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

Framing/consensus-making work

- Making a strategy is about focusing attention and making choices for specific strategic issues
- Make explicit the different interests, values and perspectives in the area

- Develop some form of common meaning and mental frames about certain issues in the region, its problems and solutions, e.g. through story telling and discursive framing
- Strengthen the creative and innovative potentials in collaborative and integrative processes
- Create "contemporary restings" (Healey 2008) of strategies: "we agree on this for now, but are open to new ideas and sudden change"

The strategic importance of some projects and decisions underlines that strategic conduct is not restricted to preparatory analytical work, link-building and framing. Also, it is intrinsically connected with successful actions, projects and events confirming, correcting and inspiring further strategic conduct.

5   MEASURING STRATEGIES

Measuring outcomes of strategies is highly requested by politicians and senior officials in the regions, and at EU level, the use of indicators has become an integral part of programme evaluation. The methods used – especially by the EU – have been so well integrated and tested that it was questioned whether to focus on the implementation of well known techniques or to try to develop new kind of indicators for regional strategy making.

The EU indicators are focusing upon the outcome of programmes. They are based upon the assumption of a causal connection between programme activities ('outputs' formed by the spending of programme resources) and concrete foreseen results leading in turn to positive impacts at a higher aggregate level. As stated by the Danish Enterprise and Construction Authority (2011) such causal connections between the project activities and global impacts are difficult to prove. However, it is also stated by the Danish Enterprise and Construction Authority that in spite of the difficulties, the indicators are important strategic and political points of bearings. The summary tables in Table 2 and 3 show the integration of national objective and related indicators in the national cohesion (ERDF and ESF) programmes 2007-2013.

The RISE stakeholders are trying to implement indicators as tools for evaluation of strategies. As for example the Growth Forum in Region Zealand specifies outcome indicators for each of eight action topics of the Business Development Strategy. In addition, the Growth Forum states indicators of actions, i.e. input rather than output indicators to be used for specifying actions at an operational level. Still, however, one of the representatives of the Growth Forum business sector was not satisfied by the

measurements. The difficulties of measuring achievements were recognised by the senior officials. However, they were – as other members of the Growth Forum – aware of the indirect achievements of strategic actions, most of which were positive side effects on building new networks between actors of the Growth Forum. They simply profited upon the opportunities established by the forum. In the regional administration of Region Zealand they also feel the pressure from politicians to produce evidence for the effect of the regional development strategy. They have discussed whether they should make a list of all the networks and cooperation they have established and facilitated to highlight the effect of their new role. This illustrates the difficulties in using indicators in the current regional planning situation where analytic work, link making work and framing is the most important tasks. Can they make indicators for new regional discourses as inspiration for local projects and actions, how many networks do they have to establish before they are a success etc.

5.1 Theoretical observations on performance management

The performance management through the use of indicators lies within the rational and analytical planning paradigm. Although a crucial issue, we suggest leaving the established indicator systems for further development by the EU and partners. Instead, inspired by recent theories on measuring strategies we shall present a social-interaction approach focusing upon strategic analysis as presented by the strategic circle and focusing upon the process of making strategies, 'strategic conduct'.

Performance management as measuring indicators is viewed in terms of measuring the relationship between cause and effect and separating strategies from activities from output etc. There is an end-means logic and a one-to-one relationship between strategies and outcome. Performance indicators are typically conceived of as instruments of control, there is an over-concentration on particular indicators, indicators tend to "create" reality (we change behaviour towards what can be measured), there is only few qualitative indicators etc. (Hillier 2007, Carmona 2003, Mastop 2000). These arguments are well known in the international literature on the use of indicators.

In the following we will make a supplement to the discussion of performance management using and organic or social-interaction perspective. Here performance management is viewed as unpacking and monitoring complex relations and changing dynamics (Haynes 2003). The question is how to deal with measurement or rather evaluation in a way that makes it possible to get some insights in the process of

strategy- and projectmaking without hindering and preventing a flexible, ever changing dynamic to occur?

If a large number of indicators are used in the strategic process to measure micro-level performance it might prevent a possibility for sudden major policy changes to react on or promote new development trends and occurrence of new knowledge and creative ideas – indicators can prevent change and innovation from happening.

Performance management with a large amount of targets and indicators do take a lot of time to produce and control afterwards and regional officials and planners will be occupied more with measuring the past than with directing the future in collaboration with stakeholders. Especially in cases of solving wicked regional problems the reduction and simplification that is necessary for making indicators may be counterproductive for finding workable solutions.

We will argue that regional relational planning as presented in our cases involving a large variety of strategies and autonomous actors is so complex that a measurement of causes and effects are impossible. Furthermore most complex governance situations have long term implications which make it difficult to decide what and when to measure, e.g. urban renewal, sustainable transport patterns, educational changes (Harrison 2000). Most of the effects depends on citizens, private developers and others conditions and actions over a longer period of time.

In the organic perspective of performance evaluation it has to be accepted that changing relationships and conditions in the relational planning process do not constitute a problem but is an essential element of relational planning and it has to be reflected in the inventing of "indicators". Things might not turn out as they were planned and there might happen something better, more appropriate or just different (Healey 2006). This has to be taken into account when making indicators.

Secondly there are multiple ways of performing strategic conduct and fulfil visions and strategies – there is no one best practice for everybody to follow. A large range of methods to evaluate and measure has to be developed in order to reflect different trajectories, uncertainties and viewpoints (Hillier 2007).

Third it is suggested that there is some general points for reflection when evaluation of strategic performance has to be made. One suggestion is that indicators have to be developed with all the stakeholders in negotiations about the "good" performance; that there should be room for multiple indicators and contradictions between indicators and an

awareness of key contradictions and tensions between indicators (people will make typically make different assessments of the same indicators). The result is that indicators might change in the process and are negotiated constantly. The actions and projects is integrated in an ever-lasting catalogues of projects and actions that might be implemented or maybe not according to the current conditions in the region and according to changing priorities (Bertolini 2007, Hillier 2007).

Hillier (2007) argues in this line of thinking for evaluation in the form of performance *based* strategic planning in contrast to performance assessment. She presents the following ideas for important performance criteria:

- Recognise the importance of collective, inclusive open debates
- Reject the notion of value free, neutral objectivity and capture various understandings of what is going and the effects
- Focus on the process of constructing common meaning attached to practices and events
    - Focus on qualitative data including the values behind meanings
    - Recognise and handle power and differences in the processes
    - Stay focused on the purpose of planning and not on demonstrating the efficiency
    - Encourage criticism, challenges and alternative suggestions
    - (Re(negotiate) trajectories as appropriate

(Hillier p. 311, 2007)

5.2   Strategic analysis – checklist indicators

Strategic analysis has been emphasised as a core instrument for strategy making – simply due to the observation that current strategies are not dealing with real problems of society. In the argument of a Danish representative of the business sector real problems were to be found by turning the perspective in new directions – to the outside world (competition on salaries and expertise in the health sector) to the fundamental social problems of society (lack of motivation for vocational training) and lack of acknowledgement of regional diversities and localised problems and characteristics. The strategic circle as shown above is developed as an analytical instrument focused upon strategic issues, dependence of the outside world, changing roles in a globalising world, need to include visions and potentials for the future and a broad cooperation with stakeholders. Below, a checklist for running a strategic analysis is presented. The checklist focuses upon the structural elements of the analysis, but could be further expanded by topical indicators. It is important

mentioning that the analytical instrument is to be used at the level of a single strategy as well as at the level of several strategies working in concert.

Check-list indicator	Need for Clarification? Yes / No	Follow up actions
Relations between the outside world and the role of the region		
Potentials for strengthening the role of the region in the perspective of the vision for development		
Setting up a vision for the region - jointly with other stakeholders		
Spatial positioning: Spatial delimitation of economic or functional regions ripe with opportunities for new actions (e.g. cooperation on infrastructure, cooperation on joint strategies, cross border cooperation)		
Are current projects and strategies singularly and jointly sufficiently connected with visions, role, relations with the outside world and stakeholders?		
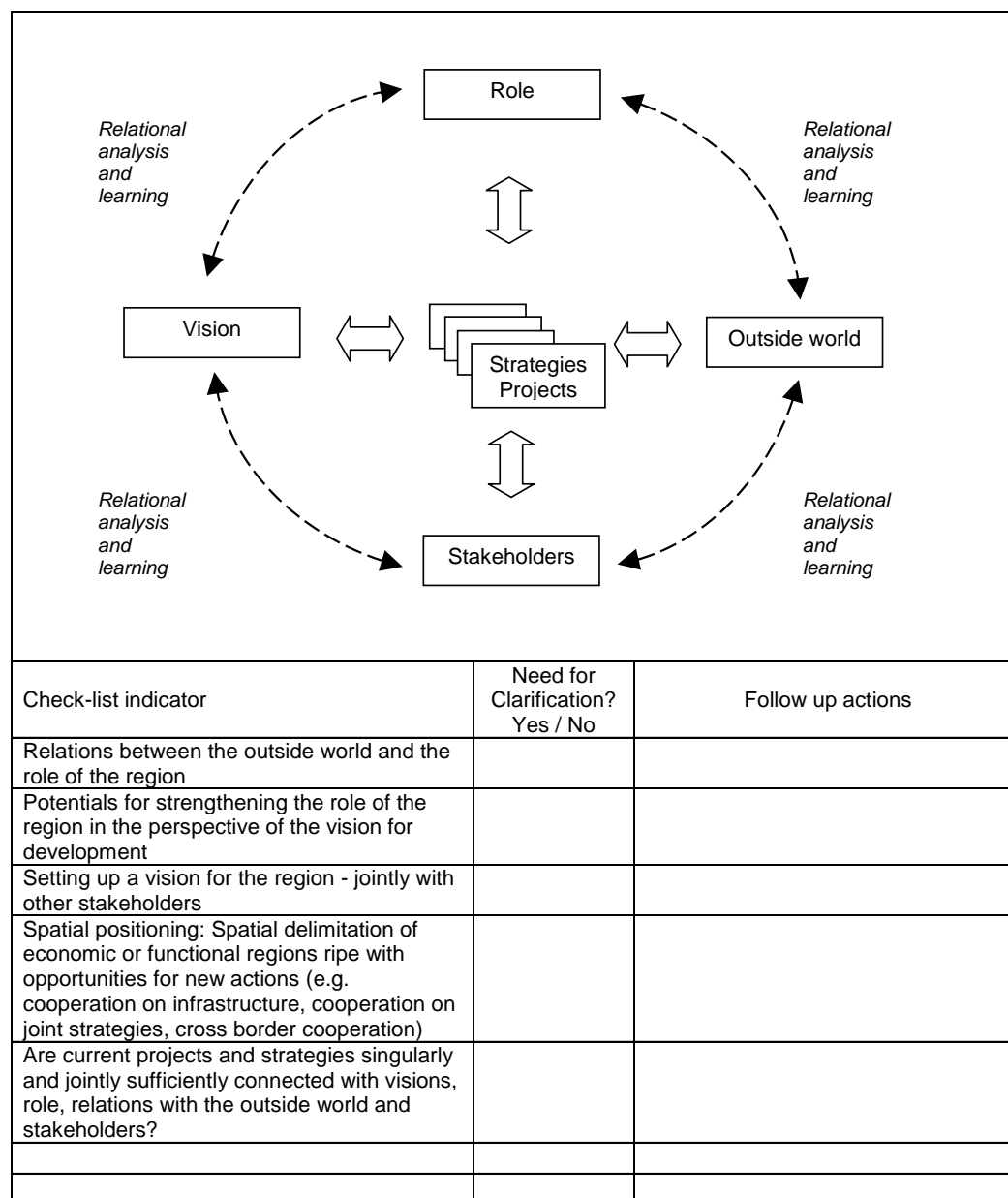
Figure 6 Check-list indicators of strategic analysis - To be further elaborated in cooperation with case-studies and stakeholders

5.3 Strategic conduct

Strategic conduct is about the way strategic action is carried out by a number of actors relevant to the region. In focus is establishing and strengthening working relationships between strategies and actors. The aim is to establish some degree of a regional community of agents familiar with overall strategic ideas for the development of the region. Rather than strict coordination and/or mergers of

strategies the idea is to 'family-zise' strategies through networking, meetings, cooperation and transparency of actions.

It should be noticed that focus is on the horizontal regional level including relevant central and local agents. Vertical integration of regional strategies with national and EU regional policies seems to be greatly facilitated by the EU and national governments.

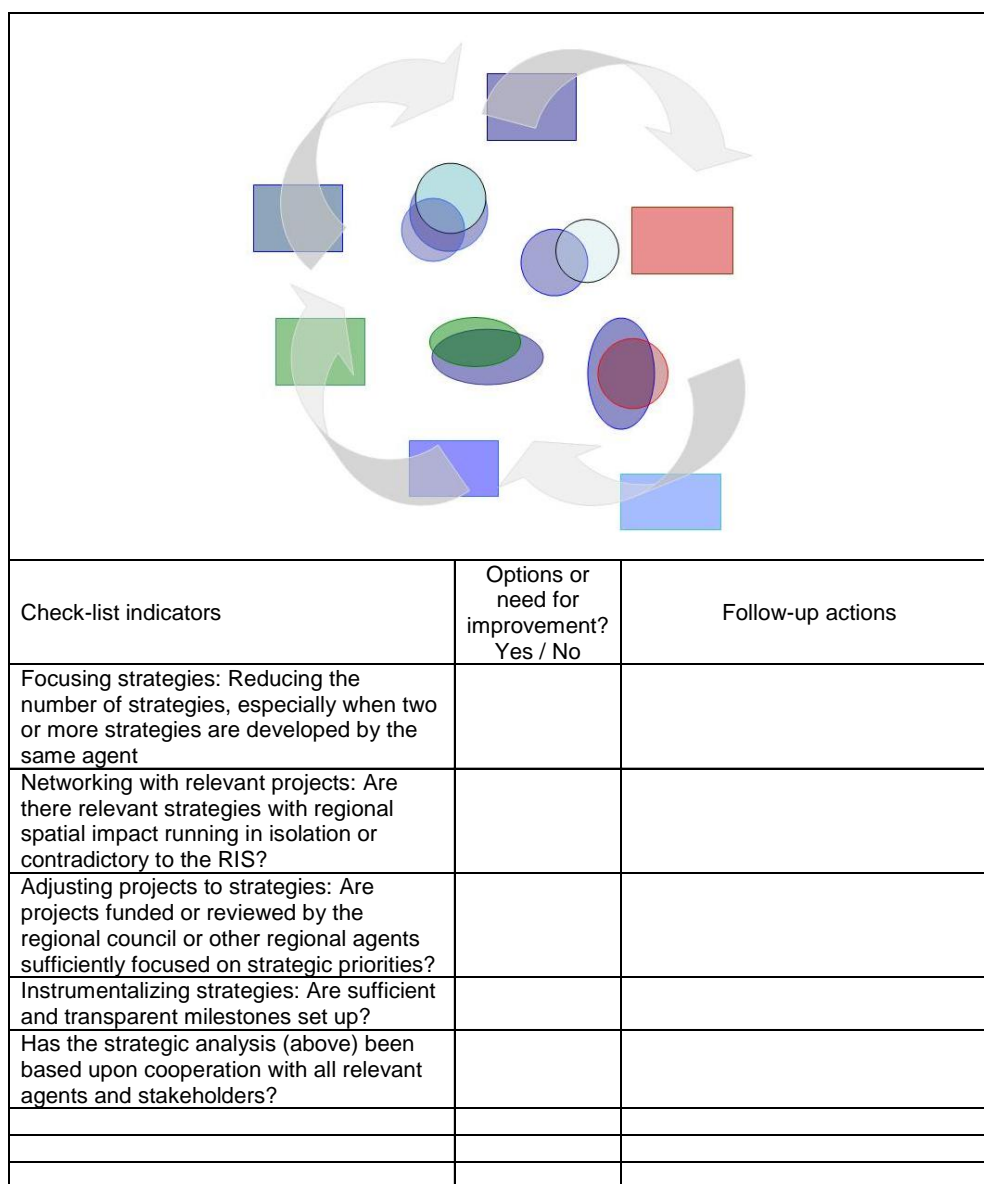| Check-list indicators	Options or need for improvement? Yes / No	Follow-up actions
Focusing strategies: Reducing the number of strategies, especially when two or more strategies are developed by the same agent		
Networking with relevant projects: Are there relevant strategies with regional spatial impact running in isolation or contradictory to the RIS?		
Adjusting projects to strategies: Are projects funded or reviewed by the regional council or other regional agents sufficiently focused on strategic priorities?		
Instrumentalizing strategies: Are sufficient and transparent milestones set up?		
Has the strategic analysis (above) been based upon cooperation with all relevant agents and stakeholders?		

Figure 7 Check-list indicators on strategic conduct - To be further elaborated with case-studies and stakeholders

5.4   Financial models

The structural funds only contribute with a minor share to the regional economy[9]. It is therefore important not to overemphasise the effects of the ERDF and ESF funding on regional development. From an economic point of view, e.g. redistribution of taxes between rich and poor regions, public expenditures and private investments are far more important. Therefore, it has become conventional wisdom that soft measures influencing strategies of institutional partners, public agencies and business partners are crucial. Accordingly, the focus of the RISE project has been on 'soft' analytical and procedural measures. Since however, the structural funds have become the back-bone of national regional policies and has attracted much political activities, we shall comment upon some aspects of the current financial models. Table 1 and 2 indicates how well integrated national programs are with the EU cohesion programmes on competitiveness, employment and territorial cooperation. National programmes are set up including strategic objectives and achievement indicators. In some instances, as for example in Denmark, the close vertical relationship between the EU funding and the national programmes is penetrating to the regional level via the strong relationship between the national agency, Danish Enterprise and Construction Authority, and the regional Growth Forum, who are made responsible for reviewing and recommendation of project application for ERDF funding, c.f. figure 8.

---

[9] As an example, the Danish ERDF and ESF funding including the national 50% co-financing only account for less than 0,07 % of the national GNP (Danish Enterprise and Construction Authority 2011, p. 55).
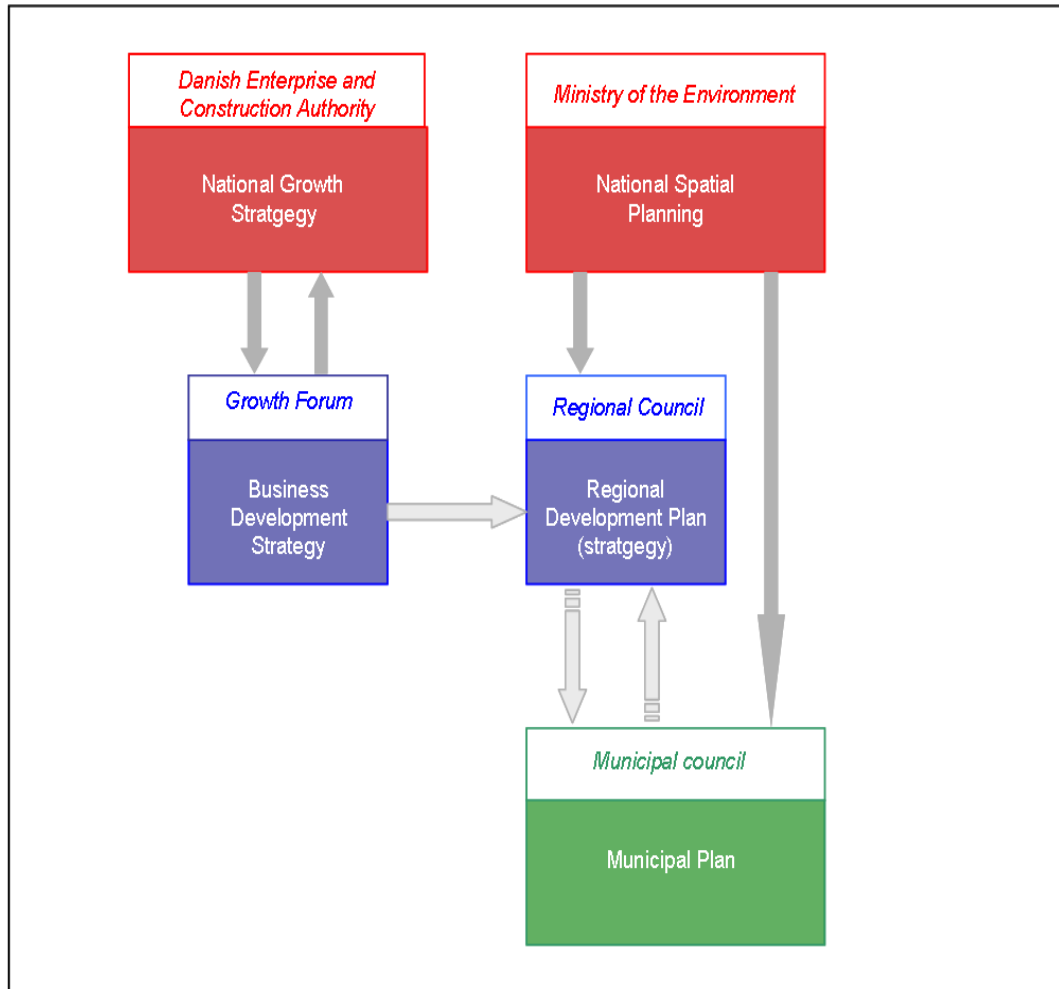
Figure 8. The strong relationship between the national agency, Danish Enterprise and Construction Authority, and the regional Growth Forum - responsible for reviewing and recommendation of project application for ERDF funding.

The national cofiancing needed for the EU funding is often provided by the regional authority. This strong vertical integration of EU policy via the national level to the regional level is the background for focusing this project on the horizontal integration of strategies at the regional level. In Region Zealand, also regional development projects indepedt from EU projects are funded by regional development funds at a level similar to the co-financing of the EU projects.

A few obsevations on the financial models should be mentioned. Representatives from the business sector severely critised the fact that most EU funding are allocated public institutions. The need for nursing e.g. entrepreneurs and start-up enterprises calls for funding of private initiatives. The EU de minimis rule limiting national funding of enterprises was critised.

Another observation was about negative effects of institutionalising funding of regional initiatives running for longer periods. Thus, members of the Danish Growth Forum observed that decisions on long-term financing restricted very much the room for manoeuvre.

Such kinds of limiting project financing are further stressing the need to prioritise the soft measures and tools.

Table 2: National Strategic Reference Frameworks of Denmark and the Netherlands (EU 2008)

EU programme objectives	National operational programmes		National operational programmes	
	DK	EURO million	NL	EURO million
Convergence objective		0		0
Regional Competitiveness and Employment objective ERDF + ESF	National ERDF progr.: Innovation and knowledge	255	4 regional ERDF programmes	830
	Culture 4,8%		*culture 3%*	
	Infomation society 13,0%		*Energy 6%*	
	Research and technology development - innovation and entrepreneuship 73,6%		*Environmental protection and rIsk prevention 8,1%*	
	Technical Assistance 3,8%		*Access to employm and sustainab 3,7%*	
	Tourism 4,8%		*Improv.Human capital*	
			Social inclusion 0,7%	
			Adaptability of workers and firms 1,1%	
			Information society 8,1%	
			social infrastructure 1,5%	
			reforms for employment and incl 0,3%	
			R&TD innov and entrepreneurship 39%	
			institutiona capacity 0,1%	
			technical ass 4%	
			Tourism 3,6%	
			Transport 4,8%	
			Urban and rural regeneration 13,3%	
	National ESF progr: More and better jobs	255	One national ESF programme	830
	Impr. access to employment and sustainability 20,8%		*Access to employm and sustainab 24,0%*	
	Improving human capital 19,2 %		*Human capital 15,4%*	
	Increasing the adaptability of workers and firms, enterprises and entrepreneurs 56,2 %		*Social inclusion 8%*	
	Technical assitance 3,8%		*Adaptability of workers and firms 48,6%%*	
			technical ass 4%	
European Territorial Coop. Obj.		103		247
Cross border	*Germany (2) - Sweden (2) - Norway (1) - Poland (1)*		*Germany - Belgium*	
Transnational cooperation	*Baltic Sea and North Sea*		*North Sea*	
Interregional cooperation int the EU	*OK*		*OK*	
Spending (mio EURO)				
Total EU		613		1.907
National contribution		613		2.319
Total		1.226		4.226
Obejctives and indicators				
National strategic Objectives	Four Strategic Growth Drivers *1. Human resources* *2. Innovation* *3. Use of new technology* *4. Entrepreneuship*		Six priority areas *1. Innovation and entrepreneuship* *2. Attractivness of regions* *3. Socio-economic viability of cities* *4. Labour supply* *5. Inclusive labour market* *6. Human capital* Terrirotial priority *coop. with neighouring countries*	
National indictors	Impact: target indicators *Employment rate 72,7* *30% of people aged 25-64 training activities (+3%)* *45% of unskilled workers in training activities (+4%)* *50% of enterprises should be innovative (+10%)* *DK among the 5 most innovative C in EU (+4 ranks)* *ICT penetration in companies 75% (+19%)*		Output indicators ERDF *R&TD* *Innovation and entrepreneurship* *Access to ICT by SMEs and citizens* Output indicators ESF *sustainability and access to employment* *labour productivity and employment*	

Table 3: National Strategic Reference Frameworks of Sweden and the UK (EU 2008)

EU programme objectives	National operational programmes		National operational programmes	
	SE	EURO million	UK	EURO million
Convergence objective		0		2.900
Regional Competitiveness and Employment objective ERDF + ESF	8 regional ERDF programmes One national ESF program divided into eight regional plans	1.600	22 operational programmes *3 convergence regions* *2 phasing-in regions* *16 regional ERDF + ESF programmes* *1 ERDF + ESF + Conv.*	7.000
European Territorial Coop. Obj.		265		722
Cross border				
Transnational cooperation				
Interregional cooperation int the EU				
Spending (mio EURO)				
Total EU		1.865		10.622
National contribution		1.900		5.200
Total		3.765		15.822
Obejctives and indicators				
National strategic Objectives	Strategic objectives (four thematic priorities with a territorial dimension) *1: Innovation environments and entrepreneuship* *2: Skills supply and increased labour supply* *3: Accessibility* *4: Strategic Cross-border cooperation*		**General objectives**: sust.growth & Q of life **Themes** *1. Enterprise and innovation* *2. Skills and employment* *3. Environm and community sustainability* **Principles** *1. Focusing on market failures* *2. Environm Sustainability and equality* *3. A working partnership* *4. Strucutral Funds and Lisbon Agenda*	
National indictors	Impact indicators *33.800 new jobs* *12.800 new enterprises* *Viable structures for grwoth and innovation* *Incr.adaptability and employability of 300.000 people*		Impact expected *Improving Skills* *improving R&D* *improving Innovation* *Improving Enterpreneurship*	

This section is going to be further elaborated on basis of the casestudies

6   NEXT STEPS

Some sections of this version of the tool-kit are going to be further elaborated as case-studies become available. Thus, in each case-study the check-list indicators will be tested and further elaborated. Also, the indicators and recommendations will be discussed at the regional seminars and inputs from the reviews of theoretical literature.

7   REFERENCES (some references still missing)

Albrechts L. (2004):   Strategic (spatial) Planning Reexamined. *Environment and Planning B: Planning and Design*; 31:743-758.

Allmendinger P. (2002): *Planning Theory*. London: Palgrave.

Bryson JM. (1995): *Strategic Planning for Public and Nonprofit Organisations: A Guide to Strengthening and Sustaining Organizational Achievements*. San Francisco: Jossey Bass.

Bryson JM. (2004): Comment 1. Strategic Planning for the Longer Range. *Planning Theory and Practice*, 5:56-58.

Danish Enterprise and Construction Authority (2011a) *Strategisk evaluering vedrørende strukturfondsperioden 2007-2013* [*Strategic Evaluation concerning the Structural Funds Period 2007-2013*]. Copenhagen

Danish Enterprise and Construction Authority (2011b) *Program for Den Europæiske Regionalfond i Danmark 2007-2013. Regional konkurrenceevne og beskæftigelse. "Innovation og Viden".* [Program for the European Regional Fund in Denmark. Regional Competitiveness and Employment. "Innovation and Knowledge"]. Copenhagen.

EU (2008): *Cohension Policy 2007-13. National Strategic Reference Frameworks.* Luxembourg

Gløersen, Erik (2009): *Strong, Specific and Promising. Toward a Vision for the Nordic Sparsely Populated Area*. Nordregio Report 2009:3. Nordregio. Stockholm.

Groth Niels Boje (2001) Fra Plan til Strategi. *Byplan* 2001;102-111.

Hall P. (2000): The Centenerary of Modern Planning. In: Freestone, ed. *Urban Planning in a Changing World*. London: E&FN Spon.

Mintzberg (1994): The Fall and Rise of Strategic Planning. *Harvard Business Review*;1994:107-114.

Region Zeeland (2008): *Den Regionale Udviklingsstrategi.*

Sager T. (1994): *Communicative Planning Theory*. Aldershot: Ashgate.

Sartorio F. S. (2005): Strategiv Spatial Planning. *disP - the Planning Review,* 26-40.

Wiechmann T. (2008): Induced versus Autonomous Behavior in Regional Development - A Process Model for Regional Strategy Formulation. *Paper for the AESOP Conference* 2008.

Williams RH. (1996): *European Union spatial policy and planning*. London: Paul Chapman.

www.espon.eu