



University of Valencia
Department of Geography

TENDER NO 2004.ESPON.2.3.2
ON A RESEARCH PROJECT ON

**GOVERNANCE OF TERRITORIAL AND URBAN
POLICIES FROM EU TO LOCAL LEVEL (2004-2006)**

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1. IDENTIFICATION OF THE TENDERER

University of Valencia, through Department of Geography, is proposing to lead a transnational project group with a view to undertaking the ESPON project 2.3.2 on Governance of Territorial and Urban Policies From EU to Local Level.

Identity of Tenderer

Business Name (full legal title): Universitat de València. Estudi General (through Department of Geography)

Short Name (where applicable): UVEG

Legal Status: Public Corporation

Founding date: Year 1499 / 1500

VAT No: ES Q4618001D

Official Registration No in Companies Register: Not relevant

Number of salaried employees: 4790 (34 at Department of Geography)

Registered office address

Street: Avenida Blasco Ibáñez, 28

Post Code: 46010 **City:** Valencia **Country:** Spain

Tenderer's bank details

Name of bank/branch: BANCAJA (CAJA DE AHORROS DE VALENCIA, CASTELLÓN Y ALICANTE)

Street: C/ PINTOR SOROLLA, Nº 8

Post Code: 46002 **City:** Valencia **Country:** Spain

Bank/branch code: 2077-0735-89 **Bank account No:** 3100159143

BIC code (SWIFT): CVALESVV

Tenderer's principal account holder (surname, forename): Universitat de València. Estudi General

Title or position within the tendering organisation: Not relevant

Details of the Invitation to Tender

Invitation to tender No: CPC 85

Title: Proposal in relation to ESPON 2.3.2

'Governance of Territorial and Urban Policies from EU to Local Level'

Person who will sign the contract (statutory legal representative)

Surname, forename: Tomás, Francisco **Nationality:** Spanish

Domicile: Av. Blasco Ibáñez, 10. 46010 Valencia. Spain

Acting in his/her capacity as: Rector

Date and place of birth: 20.09.1943 / Valencia

The transnational project group that would undertake the contract is composed of a highly experienced team of experts. The consortium has been brought together with a view to pooling existing knowledge and expertise in three fields: a) urban and territorial governance at different levels, b) European spatial and urban policies and c) national individualities. In addition, for particular subjects, using the Open Method of Coordination, external scientific experts have been committed.

Organisation	Individuals	Politics and Government	Urban Policies	Spatial Planning	EU Comparison
Department of Geography. University of Valencia	Joaquín Farinós Dasí, Juan Romero González, Josep Sorribes Monrabal, Carles Rodríguez Navarro and Luis del Romero Renau	X	X	X	X
Institut de Gestion de l'Environnement et d'Aménagement du Territoire. Université Libre de Bruxelles	Valérie Biot, Christian Vandermotten and Mathieu Van Criekingen	X	X	X	X
UMR-Geographie-Cités	Frédéric Santamaria and Emmanuelle Bonerandi	X	X	X	
IRPUD Institut fuer Raumplanung. Universität Dortmund	Peter Ache, Stefano Panebianco and Christian Lindner		X	X	X
NTUA National Technical University of Athens	Louis Wassenhoven, Minas Angelidis, Kalliopi Sapountzaki, Vangelis Asprogerakas, Athanasios Pagonis and Maria Wassenhoven Patroclos Apostolides (Cyprus Association of Town and Country Planners) Julia Spiridonova (Bulgarian National Centre for Regional Development)		X	X	
Dipartimento Interateneo Territorio. Politecnico di Torino	Giuseppe Dematteis, Francesca Governa, Umberto Janin Rivolin, Cristiana Rossignolo and Marco Santangelo		X	X	
OTB Research Institute for Housing, Urban and Mobility Studies. Delft University of Technology	Dominic Stead, Bas Waterhout and Wil Zonneveld	X		X	X
CUDEM Center for Urban and Environmental Management. Leeds Metropolitan University	Simin Davoudi, Ian Strange and Michelle Wishardt	X	X	X	X
NORDREGIO The Nordic Center for Spatial Development	John Jorgensen, Margareta Dahlström, Kaisa Lähteenmäki-Smith, Sigrid Hedin and Arto Ruotsalainen	X	X	X	X
MRI Metropolitan Research Institute (Városkutatás Kft)	Iván Tosics and Jozsef Hegedüs	X	X		X

Organisation	Individuals	Politics and Government	Urban Policies	Spatial Planning	EU Comparison
IGiPZ PAN Instytut Geografii i Przestrzennego Zagospodarowania. Polska Akademia Nauk	Piotr Korcelli, Bożena Degórska, Tomasz Komornicki and Mariusz Kowalski	X	X	X	
AUREX, s.r.o. Bratislava	Vojtech Hrdina and Dusan Kostovský	X	X	X	X
MCRIT	Andreu Ulied, Andreu Esquiús and Ramón Catalá	X	X	X	X
Institute for Territorial Development and Landscape Planning (ETH Zürich)	Alain Thierstein Simone Gabi	X	X	X	X
Nijmegen School of Management	Arnoud Legendijk Bas Arts Henri Goverde	X	X	X	X
University of Graz	Frederich Zimmerman				

1.1 Project Management and Coordination

In addition to the need for relevant expertise on the subject and knowledge and experience of related policies and territories, coordination and management will be key factors in the success of the project. All work will be done on the premises of the respective partners, in close and fluid contact being maintained by the project secretariat at University of Valencia via e-mail and telephone.

Each respective Work Package will result in regular Work Package Reports being submitted both, to the Lead Partner and involved Partners. These reports will serve as progress reports to the Lead Partner and will also as form the basis of the Interim Reports. Drafts of the Interim Reports to be submitted to the ESPON Secretariat. These will be circulated among all Partners in due time to ensure that all aspects of their respective Work Packages will be considered.

In order to facilitate the smooth running of the project, the following mechanisms will be taken forward:

- Clear communication and the establishment of trust between partners developing clear and transparent corporate governance arrangements that set out the responsibility of the individual partners:
 - close cooperation and communication between the partners (using modern IT)
 - development of clear institutional arrangements where the each partner's responsibilities are pointed out in advance
 - regular partner meetings, which allow for intensive discussions, especially of potentially arising problems
- Dedicated personnel to ensure targets are met, to ensure that financial procedures run smoothly and to identify and tackle any problems that arise.
- Close contacts with other relevant ESPON projects. This is an important aspect with a good coverage in this tender because the composition of TNG. That also facilitates possible incorporation of these projects in the partner meetings as far as this seems to be valuable.

- A *core team* will be established, consisting of the individuals, who will be responsible of the work packages. Due to the number of involved researchers, this will smoothen the coordination between the work packages and therefore represent an additional measure for the project's coordination.

Because of the financial restriction emerging from the tight budget, but also trying to stimulate fruitful cooperation among the Partners, four different meetings are scheduled (see table below): at the beginning (Kick-off meeting), at little before (one-two months) to deadline for first and third Interim Report, and the previous month to deadline for Final Report.

There will be two types of meetings: for the core team (first, third and fourth - occasionally some WP responsible partner of WP could also assist to these meetings) and for all project partners (the second). The meetings will have the character of workshops to provide critical input and output from and for partners.

Scheduled meetings

Month		Participants	Info
1 st	September 2004	Core Team	<u>Kick-off meeting</u> <i>Place:</i> Valencia (or Leeds) <i>Subject:</i> Further clarification of Work Packages and review of working operations. Adjust schedule and priorities for first interim report.
6 th	February 2005	All Partners	<u>Meeting 2</u> <i>Place:</i> To be announced <i>Subject:</i> Draft and discussing second interim report.
15 th	November 2005	Core Team	<u>Meeting 3</u> <i>Place:</i> To be announced <i>Subject:</i> Draft and discussing third interim report.
20 th	April 2006	Core Team	<u>Meeting 3</u> <i>Place:</i> Valencia <i>Subject:</i> Draft, preparing and discussing the final report.

1.1.1. Lead Partnership

A dedicated management team will provide the lead for the project. This team will be formed by University of Valencia and will work in cooperation with a core project team. To facilitate the smooth running of a project with such a wide geographical scope and a broad variety of tasks, a core management team representing the project partners will be established.

The core management team will be led by Joaquín Farinós Dasí with closer help and advice of Professor Juan Romero González, whose great experience in management and control in academic and political (policy and politic) decisions will ensure overall quality control. In close cooperation with colleagues from CUDEM, IGEAT, National Technical University of Athens, Nordregio, Politecnico di Torino and University of Valencia, they will take a strategic view of project development and will ensure that each partner is able to contribute fully to the project.

Everyday coordination and management will be taken forward by University of Valencia.

In general, the project will be developed on a partnership basis, with individual partners taking forward key aspects of the work programme. This process will be aided by regular working group meetings to discuss the issues raised by the research and to set targets for taking the project as a whole forward. For this purpose the members of the transnational project group will adopt different roles:

Core management team

The core management team consist in University of Valencia, CUDEM, IGEAT, National Technical University of Athens, Nordregio and Politecnico di Torino.

Although the different partners are in some cases responsible for the work packages set out elsewhere in this document, the University of Valencia will still have a key role in ensuring that the work is completed on time and that proper coordination occurs with the other aspects of the work programme.

Tasks experts

WP	Task	Lead	Main Partners
1	Conceptual Framework and Review of Indicators	CUDEM	
	Review Scientific Literature		Poli Torino & NSM
	Review of Policy Documents		CUDEM & Poli Torino
	Inventory of Data and Indicators		IRPUD & NSM
	Working Hypothesis		CUDEM & UV
2	Application of Governance Practices: An Overview at European and National Level	NTUA	
	National Overviews		All Partners
	Drafting EU 29 Mini-compendium		OTB & NTA
	Preparation case studies		CUDEM & OTB
	Develop. Guidelines for Case Studies		IGEAT & UV
	Overview to OMC in each State		All Partners
3	Development of Methodology of the Impact Assessment Analysis	IRPUD	
	Gaps in Data and Indicators		IRPUD, CUDEM, UMR
	Guidelines for Data Collection		IRPUD, CUDEM, IGEAT
	Conceptualisation and Elaboration of Methods		IRPUD, Nordregio
4	Study of Cases	Lead P.	
	Data Collection		All Partners
	Case Studies		All Partners
5	Analysis of Governance Trends: Indicators of Successful Governance and Models of Governance	Nordregio	CUDEM, IGEAT, IRPUD
	Comprehensive Analysis-Models Governance		Nordregio & IGEAT
	Mapping Typologies		Nordregio & IRPUD

	Statement of Identified Indicators		IRPUD & CUDEM
	Assessment of Territorial Impact		IRPUD & Nordregio
	Comprehensive Findings		Core Team
6	Development of Policy Orientations and Recommendations: EU Role in Urban and Territorial Governance	UV	Core team
	Draft. & Discus. of Policy Recommendations		Core team & All Partners
	Workshop Improve Policy Recommendations		Core Team
	Discussion with stakeholders		Core Team
7	Information Sharing, Management and Coordination	UV	

Territorial experts

The project covers all 29 countries of the ESPON space.

Territories	Responsible partner
Austria	University of Graz
Belgium	<i>IGEAT, Université Libre de Bruxelles</i>
Bulgaria	<i>NTUA through Bulgarian National Centre for Regional Development</i>
Cyprus	<i>NTUA through Cyprus Association of Town and Country Planners (included in NTUA partner)</i>
Czech Republic	<i>MRI Metropolitan Research Institute (Városkutató Kft)</i>
Denmark	<i>NORDREGIO</i>
Estonia	<i>NORDREGIO</i>
Finland	<i>NORDREGIO</i>
France	<i>UMR - Géographie-cités</i>
Germany	<i>IRPUD, Universität Dortmund</i>
Greece	<i>NTUA National Technical University of Athens</i>
Hungary	<i>MRI Metropolitan Research Institute (Városkutató Kft)</i>
Ireland	<i>CUDEM Leeds Metropolitan University</i>
Italy	<i>Politecnico di Torino (EU-POLIS)</i>
Latvia	<i>NORDREGIO</i>
Lithuania	<i>NORDREGIO</i>
Luxembourg	<i>IGEAT, Université Libre de Bruxelles</i>
Malta	<i>University of Valencia</i>
Netherlands	<i>OTB Delft University of Technology Nijmegen School of Management (NSM)</i>
Norway	<i>NORDREGIO</i>
Poland	<i>IGiPZ PAN</i>
Portugal	<i>University of Valencia</i>
Romania	<i>University of Valencia</i>

Slovakia	<i>AUREX, s.r.o. Bratislava</i>
Slovenia	<i>University of Valencia</i>
Spain	<i>MCRIT University of Valencia (UV)</i>
Sweden	<i>NORDREGIO</i>
Switzerland	<i>ETH Zürich</i>
UK	<i>CUDEM Leeds Metropolitan University</i>

In addition, a wider group of representatives from institutions dealing with the most relevant ESPON projects will be consulted through the utilisation of virtual networks.

1.2 Geographical Representation

The team has been specifically chosen to provide good coverage of all 29 countries as regards both the language skills of the individual researchers concerned and previous work experience with respect to each European country concerned. Indeed, most of the participating institutes have staff from different European countries, as well as staff members with work experience from more than one country. Should any gaps emerge in our coverage however we will seek to incorporate other partners through our existing network of expert throughout Europe.

<i>University of Graz</i>	Austria
<i>Université Libre de Bruxelles - IGEAT</i>	Belgium
<i>UMR - Géographie-cités</i>	France
<i>IRPUD- Universität Dortmund</i>	Germany
<i>National Technical University of Athens</i>	Greece
<i>Politecnico di Torino (EU-POLIS)</i>	Italy
<i>MRI Metropolitan Research Institute, Budapest</i>	Hungary
<i>Nordregio, Stockholm</i>	Nordic Countries (DK, FIN, NO and SE)
<i>OTB, Delft University of Technology</i>	Netherlands
<i>Nijmegen School of Management</i>	Netherlands
<i>IGiPZ PAN, Warsaw</i>	Poland
<i>AUREX, s.r.o., Bratislava</i>	Slovakia
<i>University of Ljubljana</i>	Slovenia
<i>Mcrit</i>	Spain
<i>University of Valencia</i>	Spain
<i>ETH Zürich</i>	Switzerland
<i>CUDEM - Leeds Metropolitan University</i>	UK

European Journal of International Relations) and several academic books and chapters (e.g. with *Sage, Kluwer* and *Ashgate*).

Prof. Henri Goverde is Associate Professor Public Administration in the Nijmegen School of Management, Department of Public Affairs and Public Administration, and Professor of Political Science, Wageningen University and Research center. He is chair of the Research Committee ‘Political Power’ of the International Political Science Association. His research focuses on power, policy networks, policy-instruments, and (European) multi-level governance. His empirical work concerns policy fields such as infrastructure, urban and regional development, architecture and public space, environment and nature conservation, rural innovation.

University of Graz. Institut of Geography and Regional Science

Dr. Friedrich M. Zimmermann. After his studies at the University of Graz and Munich, he continued at the 70s and 80s with research in tourism development – planning and prognosis – In 1987 presents the postdoctoral lecturing and then undertakes numerous researchs about “integrated and sustainable territorial and regional development” and make various exchanges as invited professor in USA. After a stay at the University of Munich became in 1997 University professor of Geography and leader of the Institute of Geography and Regional Sciencies at the University of Graz. Apart from Vice-rector since 2000 is member of the council of economic advisors of Joanneum Research and attributive president of the Austrian-Canadian-Liason Group.

3.5 Assurance of no conflict of interest

The Lead Partner, University of Valencia (through Department of Geography) has no direct or indirect interest of a type or scale such as to jeopardise his independence in carrying out the tasks entrusted to him in performance of the contract covered by this call for tenders. The same applies to all project partners and sub-contractors.

Attached declarations of no Conflict of Interest of Lead Partner and Partners could be found in Annex VI.

4. INFORMATION REGARDING AWARD CRITERIA

4.1 Knowledge on territorial and urban governance: State of the art

The Treaty of Nice lays out the foundations for attempting to resolve one of the main problems in the eyes of citizens and institutions of the EU alike: the so-called democratic deficit.

This concern, compounded by the well-defined objective of preparing the 2004 Intergovernmental Conference (to simplify the Union Treaties and clarify the distribution of competencies at the different levels) has led to the elaboration and discussion of a “White Paper” on Governance. In addition, a Charter on Fundamental

Rights comes to the fore. Both are important background documents for the works of the recently concluded “Convention on the Future of Europe”. There is little disagreement on the need for greater involvement in European affairs on behalf of the civil society, especially in environmental matters (Aarhus Convention). Greater stumbling blocks, however, have been encountered in the search for alternatives regarding the development of a new form of multilevel government, developed mainly as a model for interpreting the process of European political integration. More recently, this has been applied to the analysis of articulations of scale and institutional settings in public management of territorial issues (Marks & Hooghe, 2001)¹.

1. NEW GOVERNANCE

The growing interest in the concept of governance reflects the widespread idea that governing contemporary societies is becoming more and more difficult and demanding (Stoker, 2000). Complexity and fragmentation of late western capitalist societies actually imply a multiplicity of actors asking for representation in social and political complex and interrelated dynamics. The spread of governance should however be related to more “structural” processes, obviously linked to the former (Pierre, 2000): fiscal crisis of western democracies, the necessity to define new strategies for services production and supplying, the necessity to co-ordinate public and private actors, economic globalisation and the growing importance of trans-national political institutions.

The concept of governance is not new, anyway, but has been progressively redefined through the years. As Rhodes (1997) outlined the way that the term was used in the past was synonymous with government, while it is currently used to highlight changes, opposite to more traditional interpretative patterns and, above all, to more traditional action schemes. This recent interpretation of governance refers to a different idea of public action and its organisational structures, partly opposed to the idea of government itself. Governance then refers to different way to define government activities and implies a new operative model for the actors involved and for the decisional process in policy-making.

In a different way, Rosenau (1992) considers government as something related to “activities supported by formal authorities”, while governance derives from “activities supported by shared objectives” (pp. 3-6). Different actors are involved in these collective action models: governmental actors in government models, i.e. directly elected actors that are members of local government institutions; non-governmental actors in governance models, i.e. “new actors” external to the political arena, representative of the business sector, of the mass-media, of supra-local institutions (e.g. the EU), etc. (Painter and Goodwin, 1995).

A European research group has been created to explore the concept in all its dimensions. The Commission defines governance as a group of norms, processes and behaviours that determine or merely influence the quality of the powers being exercised at the European scale. However, it also represents a new culture of government and public administration that implies consensus on a number of core concepts, principles, norms and procedures, without further need to resort to legislative procedures. If we understand governance to be some form of organisation of collective action, the White Paper defines it as the capacity of societies to adopt systems of representation,

¹ Marks, G. & Hooghe, L. (2001): “*Multi-level Governance and European Integration*”, Lanham, Rowman and Littlefield.

institutions, processes and social organs, as well as instruments of democratic control and participation in decision-making and collective responsibility.

2. THE WHITE PAPER AND COMMISSION REPORT *COM (2002) 705 final*

The White Paper recognises five principles of good governance that reinforce subsidiarity and proportionality: openness, participation, accountability, effectiveness and coherence. Each principle is important to establish more democratic governance, and is indispensable for implementing the necessary changes to improve the functioning of the Union.

In the context of this proposal, we will highlight effectiveness and, especially, coherence. Effectiveness means the adoption of appropriate measures to attain the designed objectives. The application of European measures must be proportionate and decisions must be taken at the most appropriate level. The principle of coherence is the one which has greater impact on spatial planning and top-down subsidiarity: policies must be coherent (integrated, jointly viewed) and understandable, requiring greater involvement by regional and local authorities alike. Coherence requires political leadership and firm commitment of the institutions to guarantee the coherent focus is maintained within a complex system².

The White Paper emphasises the need to increase coherence of European policies. This involves on the one hand facilitating the task of EU institutions, and on the other, more decentralisation. Brussels cannot do everything; that is why it is necessary to open the policy-making process and involve all the different levels of intervention in the formulation and application of policies (States, regions, local authorities, and civil society).

The White Paper puts forth some proposals to reform European governance:

- a) **Better involvement**: supporting free access of documents and procedures to citizens, mainly through local and regional authorities. Collaboration between different levels of government and taking into account regional and local experiences, especially with regard to policies that have a territorial impact or dimension. Greater flexibility of EU regulation is also advisable so as to adapt application of the norm to regional peculiarities. Although this falls under the competence of Member States, the Commission wants to strengthen communication with these sub-national bodies through representative national and European network associations. The Commission hopes to establish a more systematic informal dialogue at the preliminary stages of the elaboration of policies, and to create “three-party contracts by objective” as pilot projects in well-defined areas. This is a way to simplify the policies and the legislative tasks that have a substantial territorial impact, as well as their application.

The Commission has asked Member States to explore ways of improving participation of regional and local actors in the elaboration of EU policies and of encouraging the use of contractual agreements with their regions and municipalities in accordance with the constitutional precepts of each Member States.

Many territorial entities expressed interest in participating in such contracts, but demanded further clarification regarding their objectives, nature and scope. The Commission followed suit and described the two types of instruments in a formal

² Similar to Calame & Talmant definition (Calame, P. and Talmant, A. (1997): “*L’État au coeur, le Meccano de la gouvernance*”, Paris, Desclée de Broywer, pág. 19).

communication as well as their respective implementation procedures: *three-party contracts by objective* (defined inside Communitarian Right framework) or *three-party agreements by objective* (outside the Communitarian Right framework and developed between European Community-a Member State-Local&Regional Authorities).

Moreover, the Commission is exploring the possibility of concluding broader association agreements with certain organised sectors of society as well as developing a more systematic and proactive approach to working with key networks. It is also looking into the possibility of strengthening the framework for transnational cooperation between regional and local actors through joint proposals.

- b) Better policies, regulation and delivery: The main goal is to improve the quality and application of EU policies. One way of doing this is by standing up to the Commission's commitment to gradually carry out sustainable development impact assessments for all regulatory and political initiatives as of 2003.

EU policies are becoming increasingly complex as they attempt to resolve ever more complex and changing realities, especially in the view of enlargement. This greater complexity has not been matched by more flexible methods and has had a negative impact on its efficiency. Neither have differences between Member States been tackled adequately, with these differences in many cases being further accentuated. There is a pressing need to experiment with new alternative regulatory instruments such as: co-regulation, self-regulation and open coordination. These methods should enable simplified routes and optimal results. The Commission is exploring ways of reducing *the acquis* through a simplification programme of EU legislation. One important innovation in this sense is the Open Method of Coordination. Referred to in the employment chapter of Amsterdam Treaty, has been extended along other fields. OMC is being described as the 'third way' in EU governance to be used when harmonization is unworkable but mutual recognition and the resulting regulatory competition may have unwelcome consequences. OMC is tolerant with diversity and initiates learning by means of exchanges of best practices, the use of benchmarking, target-setting, periodic reporting and multi-lateral surveys. For these reasons to Fadudi (2004): "*OMC seems ideally suited for putting territorial cohesion policy as a shared competence of the Union and the Member States into practice*"³.

A key feature is its decentralised character. In an optimistic view, respecting the principle of subsidiarity, the Commission, the Member States, local and regional authorities, as well as social partners and civil society, should play an active role. In the OMC method, the European Commission defines generic guidelines that apply to the Member States through their own national plans. Nevertheless, most cases show Member States to have been the key players, along with the Commission. OMC is primarily aimed at co-ordinating national level policies and can operate without reference to regional or local actors⁴. In order to avoid risk or renationalisation of

³ Faludi, A. (2004): "Territorial Cohesion: A Polycentric Process for a Polycentric Europe", Paper for the Congress of the Association of European Schools of Planning, Metropolitan Planning and Environmental Issues, July 1-4, Grenoble.

⁴ Gore, T. (2004) 'The Open Method of Coordination and Policy Mainstreaming: The European Employment Strategy and Regional Conversion Programmes in the UK', *European Planning Studies*, 12(1), 123-141.

European policies Local and Regional entities are asking for their greater implication in the design of strategic principles and assessment methods⁵.

- c) Refocused policies and institutions. Long-term challenges require a long-term strategy and policies that are more coherent with the objectives and priorities of the EU. Refocusing the institutions implies changes in institutional mechanisms that can improve the quality of the policies. The Commission should be granted greater powers in order to be able to put forward better proposals, based on a reinforced dialogue with European and national associations of local and regional entities, as suggested in the White Paper on Governance.

3. MULTILEVEL GOVERNANCE

Special attention shall be dedicated to the following aspects:

A. The concept of multilevel governance regards the trans-scalar linkage and coordination between different actors and territorial levels. The multilevel perspective of governance does not only imply that governmental practices and policies definition happen at different scales, but mainly refers to the relations and interconnections among scales (Stoker, 2000). Focussing on interactions among phenomena, events and processes happening at different levels of the social dynamics, and on the rules behind interactions, gives governance a different meaning: it does not strictly regards the study of direct or indirect effects of power exertion, rather it refers to the interpretation of the contingent outcome deriving from the changing and contingent interconnection among horizontal, vertical and diagonal relations linking different actors and interests through, and in, different scales.

B. In globalisation processes territories are usually considered as spaces for the localisation of business and global level functions. This phenomena produces social, economic, political and territorial fragmentation that refers to different intermediate territories, from cities to the weakest national states. Trends towards fragmentation has a limit, however, since territory is a public goods that produces indivisible advantages and disadvantages, and non exclusive values to be promoted and managed by a collectivity. Global networks, furthermore, does not only operate in a deterritorialised “spatial flux”, but need to be rooted in specific places, being interested in local resources and competitive advantages. This not only result in “deterritorialisation” and fragmentation, but can stimulate new territorial cohesions able to produce such advantages or to foster resisting and reinforced local identities (Castells, 1997). Fragmentation and (possible) fragmental recomposition are, often, two faces of the same medal. Active or marginal territories can be observed and analysed only through the adoption of a transcalar vision and a communicative interaction between different networks and places. The same could be said for the role played by spatial proximity and network connections.

Interpretations of transformations in the world social-economic scenario attribute growing importance to changes in territorial organisation. These changes are interpreted by drawing attention to two principal aspects, different yet closely interrelated. The first aspect concerns the relationships between the processes of territorial redefinition underway and the changes imposed by globalisation processes, by European integration, by the loss of centrality and of part of the power of the nation-state’s government

⁵ Council of European Municipalities and Regions –CEMR- (2001): “Enhancing Democracy in the European Union: A stronger Involvement for Local and Regional Government”, contribution to “A White Paper on European Governance”. (http://europa.eu.int/comm/governance/areas/group10/index_en.htm).

C. The role of territories has changed following the transformations in their relation with the general system of economic, social and political relations. “Globalisation” and “postfordism” are the key concepts that in literature are used to describe and interpret actual changes. These interpretations highlight the fact that, in these transformation processes, the role of the territory at the different geographical scales is changing, and there is an increasing interest for local territories that emerge as actors in development processes (Cox, 1997). The growing economic internationalisation, the demolition of barriers previously limiting circuits geographical extension, the strengthening of long distance interactions and places interdependence, the competition ideology spreading, the changing relation between movable and immovable development factors, result in a growing attention to the local level, but is quite controversial to understand which role the territory plays in these processes (Amin, 2002). According to some interpretations, the territory is still an essential component in transformation processes. Changes induced by globalisation processes, then, does not simply refer to the action of some transcended powers, but imply, from the theoretical point of view too, “territorial redefinition” mechanisms that recognize changes in space perception and in relations that the society and single actors have with it (Berdoulay and Entrikin, 1998).

The founding principles of specialisation, centralisation and regulation or control of processes behind the modern State are no longer befitting in the new post-modern order. The new context is characterised by individualism, internationalisation and organisational fragmentation (Bogason, 2000)⁶.

The latter is articulated through the involvement of new organisations in the design and implementation of policies, as well as the creation of new relations between public and private actors. This translates into greater decentralisation and a greater number of players appearing in a new and complex order. All collective initiatives are still launched by the public sector, but there is a recognition that the public administration is no longer efficient, and that new flexible methods are required in the new system.

The nation state loses autonomy as a result of globalisation, and its power dwindles in relation to other new organisations. Notwithstanding, the nation-state conserves its *raison-d'être*, and it is simply the organisational structures that change; from a hierarchical distribution to a new relation of networks. We can speak of the rise of the so-called *new institutionalism*, in which the State subsists in a context of institutional networks, confronted to new challenges of public management (less bureaucracy and more free market) and social constructivism (analysis of the actors participating in the formulation of public policy).

There is a shift from the traditional “top-down” approach to a “bottom-up” approach, the latter requiring new types and methods of analysis that override classical organisational theory. They necessarily take into account public action in a new world order marked by postmodernity, globalisation and the identity of the territories.

In the understanding that multi-level territorial governance is one of the conditions for development, the key question remains how to organise interdependencies between different levels of government in the future Union so as to guarantee the overall coherence of different policies. This becomes particularly important in the light of growing interdependencies between policy areas, internationalisation and technological change.

⁶ Bogason, P. (2000): “*Public Policy and Local Governance: Institutions in Post-Modern Society*”, Cheltenham, Edward Elgar.

Two coordination methods are contemplated: fostering a progressive and well-regulated decentralisation process with a defined list of competences, or developing a contractual-type method dispensing with legislative development. This contractual, auto-regulatory framework must be flexible and adapted to the capacities of the local and regional authorities while respecting the principles of subsidiarity and proportionality.

Although by no means incompatible, it is important to distinguish between governance and the delimitation of competences. Indeed, while the latter deals with the limits of the competences of the European Union, governance explores the practices, rules, procedures and behaviours which bless a system with legitimacy in the eyes of society while generating greater problem-resolution capacity. Given the variety of systems that exist in the different Member States, the chosen methods must be flexible enough to embrace this wide diversity of systems.

These differences persist despite numerous concrete initiatives in support of decentralisation and “empowerment” of states. According to Kohler-Koch, Europeanisation and regionalisation in fact constitute two manifestations of the same process. Notwithstanding, efforts on behalf of the European Union are considered insufficient. “To date, the authorities consider that the financial aspect has prevailed and that the European Union has been seen rather more as a provider of financial assistance than as a player really involved in territorial development”. (CEMR, 2001: 16; CPMR, 2001: 5, 10-11)⁷.

Networking and development of sub-regional partnerships is perceived by regions as a vital condition for the formulation of territorial development strategies. However, while networking at the sub-regional level appears to function well, cooperation at the national and sub-national levels for question of European interest is more difficult. Similarly, partnerships between three levels are not always implemented effectively with the rare exception of certain voluntary transnational programmes (e.g Interreg).

The ESDP represents in many ways a missed opportunity to launch a debate between the different levels on the ways in which public players can find innovative ways of working together. Despite this relative lack of dialogue, there is general consensus that contractualisation is the most efficient and suitable method for cooperation among the three levels of government. Then again, this form of governance can adopt many different forms.

4. GOVERNANCE AND SPATIAL DEVELOPMENT

The local scale is most appropriate to develop new forms of governance⁸. The two constitutive elements of local government are easily identifiable: the territory and the institutions.

According to Raffestin (1980: 149) «the territory is generated on the basis of the space, it is the result of an action carried out by a syntagmatic actor (a player that implements a program), at whatever level. Concretely or abstractly (by means of representation, for example) appropriating a space, the actor ‘territorialises’ that space».

⁷ CPMR (2001): “Questionnaire: Territorial Development: Networking of Territorial Players”. (http://europa.eu.int/comm/governance/areas/group10/index_en.htm).

⁸ In order to achieve economic development (see OECD: “*Local Governance and Partnerships. A Summary of the Findings of The OECD Study on Local Partnerships*”, LEED Programme – www.oecd.org), or from a more political focus (see EGPA Study Group on Local Governance: “*Developing Local Governance Networks in Europe*” – <http://www.uwe.ac.uk/bbs/sglg/>).

This idea of territory tries to get passed a simplistic and “naturalistic” conception of places and, at the same time, to describe the territorial dimension as an *inextricable product of elements of materiality and social practices*. From this standpoint, the territory can play a fundamental role of intermediate level of structuration of local actors - economic interest, government institutions, technical agencies and so on - in arranging relationships with the global level. This “intentional” function of the territories allows us to suggest that «urban elites endeavour to make the city into a collective actor, a social and political actor possessing autonomy and strategies» (Bagnasco and Le Galès, 2000: 25)

Governance of a territory can be defined as the ability of key private and public actors to:

- Build an organisational consensus involving the private sector in order to define common objectives and tasks in the field of regional economic development.
- Agree on the contribution by each partner to attain the objectives previously defined.
- Agree on a common vision for the future of their territory among all levels and actors involved. This definition of territorial governance is similar to the concept of spatial development, and in turn similar to that of territorial cohesion. Spatial development does not imply a social structure of the territory (idea of nation), rather, it evokes agreement between stakeholders (public and private alike, and in the area of economy, public facilities or infrastructure) so as to ensure the spatial coherence of the different actions. Therefore, it implies a degree of decentralisation and multi-level governance of European policies through sub-national levels of democracy and public intervention. With regard to territorial cohesion, the governance issue underlines the central importance of institutional structures in delivering the public goods and services that determine the competitiveness of each territory and, in turn, national economic performance.

According to Faludi (2002), European spatial planning must be seen as part and parcel of an emergent system of European multi-level governance⁹. Spatial planning involves vertical and horizontal interinstitutional relations or relations with public and private operators or indeed relations with local communities. Coordination between the different levels of government and policies with territorial impact becomes necessary.

A integrative approach of spatial planning implies good coordination and is easily justifiable: space, land or territory, is an exhaustible resource and the use and planning we make of it limits its potential for future development and therefore has a strategic character.

Consequently, the Member States have put in place formal coordination structures and procedures and have set up ‘more integrated policy packages’ (report Working Group 4c, pps. 31-32):

- At the national level, some of them have set up inter-ministerial committees or other inter-sectoral coordination. Moreover, a number of countries have thematic territorial plans, translating into spatial terms sectoral policies, jointly drawn by the spatial planning authorities and the competent sectoral authorities.
- At the regional level there has been an increase and/or significant modification of the inter-sectoral mechanisms and coordination procedures where there is a sufficient degree of decentralisation. Where recent, this task concerns the devolved state bodies:

⁹ Faludi, A. (2002): “Positioning European Spatial Planning”, *European Planning Studies*, 10 (7), pp. 897-909.

Regional Coordination Committees in Portugal, Secretaries-General of the regions in Greece, Regional Councils and Regional Prefectures in France (with some problems of coordination between State policies and those of the region applied to the same territory).

- At the local level, planning instruments must ensure conformity with the plans of a higher (one or more) administrative level (national or regional).

The various national examples suggest that the success of any attempt to ensure spatial consistency between public policies depends mainly on the following factors (report Working Group 4c, p. 32)¹⁰:

- the existence of a basic agreement established at the political level
- the institutional system in place for the purposes of territorial policy and the quality of procedures set up to settle conflicts or establish a consensus
- the availability of political and financial resources to organise communication and put in place processes to seek consensus and compromise

The best examples of “*policy packages*” are probably the Programme for the integrated management of coastal zones, with a geographic criterion, and environmental policy, if we adopt a thematic criterion. The governance of the Community’s environment policy is therefore particularly complex. The study on its territorial impact has also shown that it was the policy that converged most closely with the objectives of economic and social cohesion and the policy options of the ESDP, because its activities concern major environmental issues which are particularly important for a policy of sustainable territorial development.

The most appropriate scale to implement sustainable development, and where progress has been most notable, once again is the local scale, and in particular, cities and their hinterland.

Notwithstanding their phenomenal diversity, all European cities face the common challenge of urban sustainable development.

The European Union finds in spatial planning instruments a key mechanism to advance towards urban sustainable development, and can be said to have promoted an ecological approach and the abandonment of a strict notion of land-use. This is stipulated in the Green Paper on the urban environment and the Fifth Environmental Action Programme. The Sixth Environmental Action Programme also provides a European thematic strategy to improve the urban environment and foster a horizontal and integrated approach of community policies, which in turn will help develop environmental indicators that can be used by ESPON to evaluate its territorial relevance.

The Commission has launched many initiatives to promote good governance and public participation and security in cities, some of the more critical aspects to attain a high quality of life and sustainable management in cities. The key question remains; how can institutions set out common strategic goals and respond to the new demands of collective action?

Economic, social and environmental links between cities and nearby regions are changing rapidly. More should be done to increase cooperation between municipalities

¹⁰ White Paper on European Governance. Report by Working Group 4c (2001): “*Multi-Level Governance: Linking and Networking the Various Regional and Local Levels*”. (http://europa.eu.int/comm/governance/areas/index_en.htm).

and greater focus should be given to the needs and potentials of functional urban areas in order to attain the objectives of urban sustainability and to increase the effects of intervention as a result of European policies.

This leads to the interesting question of urban-rural partnerships and the concept of metropolitan governance, both closely related to the objectives of polycentrism, rational urban expansion, rur-urban equilibrium and accessibility (ECPR, 2002)¹¹. The concept of *Metropolitan Governance* emerged in the mid-90s and focuses on the analysis of networks and cooperation between actors (the most important ones) of metropolitan areas. It combines mechanisms of self-government of metropolitan authorities with those of conflict-resolution between actors. Ultimately, it is a mix of government and networks based on negotiation capable of producing binding decisions. In this way, the metropolitan government acquires a legitimacy as manager of the territory and the political order which it lacks from the democratic representation and distribution of goods and services perspective¹².

Metropolitan governance benefits from both internal and external factors (ECPR, 2002: 22-24). Among the internal factors we can highlight: a) the organisation of the metropolitan area (metropolitan government, formal or informal cooperation mechanisms, a regional structure...); b) a typology of the network of cities: polycentric (group of strong nuclei) or monocentric (where a main city determines the relations between all other municipalities); c) the number and size of municipalities subject to the coordination; d) political considerations such as the political colour of the different municipalities or levels of government, political culture, capacity for leadership, model of territorial structure (central or federal), etc.

The external factors are becoming more important in the context of greater internationalisation. Supranational dynamics (globalised economy, European construction, events of an international character such as the Olympic Games...) demand new coordination and cooperation strategies between cities which give them greater weight in their decision-making (lobbying). A good example of this kind of initiative is Eurocities (www.eurocities.org), an association of the largest cities in Europe that aim to develop new economic opportunities for the promotion of sustainable development and social cohesion¹³.

These two types of factors correspond to the two types of networks arising under the current climate of globalisation: local and supralocal networks. These in turn correspond to the two levels of territorial spatial representation: local and global. The first interprets space in terms of proximity (physical space) and the latter as a network of flows and relations between cities, irrespective of physical distance (virtual space). In local networks, the scope of interaction is very limited and takes place between nearby cities (e.g. rur-urban partnerships or '*edge cities*'). In supralocal networks, interaction depends not so much of distance, with large cities playing an important role as nodes of access to the global network. These cities have to compete and collaborate all at once: they have

¹¹ "Metropolitan Governance", European Consortium for Political Research (ECPR) Joint Sessions, group n° 12, organised by EPCR and Torino University, 22-27th March.

¹² An exploration of relationships between the arrangements for metropolitan decision-making and the coordination of spatial policy, comparing approaches across a wide range of European cities, can be seen at Kreukels, A.; Salet, W. & Thornley, A. (eds.) (2002): "Metropolitan Governance and Spatial Planning: comparative case studies of European city-regions", Spon Press.

¹³ Eurocities Paper to The European Comisión: "*European Governance White Paper: Towards a New Role for Cities in a Network Europe?*" (europa.eu.int/comm/governance/areas/group10/index_en.htm).

to be competitive in their strategy vis-à-vis the external world (in the global network) and cooperative in their internal strategy (the local level)¹⁴.

Networks replace the continuous physical territory as spatial reference upon which to apply governmental competences. The networked-territory demands political organisation adapted to its peculiarities and going beyond the continuous, simplified and hierarchical vision of government action. Here what is important is not the allocation of functions and responsibilities at a given governmental level or in a given private or public entity, but the policy which needs to be supported and the objectives to be pursued.

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¹⁴ See Follow-up Report to Conference "European Cities in a Global Era – Urban Identities and Regional Development", Copenhagen, 14-15 November 2002. (http://www.lpa.dk/Topmenuen/Publikationer/Andre_sprog/2003/European_cities.pdf ; <http://www.byplanlab.dk/english/Europeancities.htm>).

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4.2 Understanding of the Task: Aims, Objectives and Expected results of the ESPON project 2.3.2.

This section summarises the general objectives and expected results of ESPON 2.3.2 based on the Terms of Reference of ESPON 2.3.2.

4.2.1 Aims and objectives

The task is the assessment of the situation in EU25 as well Romania, Bulgaria, Norway and Switzerland, as regards how efficient different integrated approaches and legal systems are in meeting common spatial development strategies and objectives such as polycentric urban system, improvement of access and connectivity, balancing urban-rural needs, derelict urban areas, urban regeneration, use of natural and cultural assets and location on waste facilities.

Complementarity between the territorial and urban scalar approaches is present in the European Spatial Development Perspective (ESDP), the European Framework for Urban Sustainable Development as also in Third Report on Economic and Social Cohesion. Particular importance is given to polycentric development in the European space. Polycentric development requires the participation of cities (each in the context of its geographical location and at local scale) to achieve territorial balance, to obtain sufficient critical mass for economic activity and to coordinate key aspects such as environmental protection (compaction, versus sprawl and mobility) and environmental and transport infrastructure. All these documents highlight the strategic role of interventions taking place in the territory and in the city to produce changes in current development models.

The future of the territory and its cities depends to a large extent on the impulse they receive from the complex institutional and organisational apparatus, in other words, on the way in which new forms of governance are projected. This translates to research and extract conclusions regarding the different and most efficient forms of governance in practice.

One strategic question is how new or emerging practices in Spatial Development stands out for its non-authoritarian conciliatory character. There has been little discordance regarding the need for greater involvement of civil society in European affairs (much progress has in fact occurred in environmental matters; for instance with the Aarhus Convention). However, some problems have arisen in the search for alternatives to advance a new style of multilevel government. Recently there have been developments in the area of analysis of inter-scales relations in the public management of interventions with territorial impacts.

Governance is a far more complex process than simply decentralisation of responsibilities to pursue more appropriately economic development, or the search for democratic legitimacy offering a solution to the *democratic deficit* in decision-taking affecting all citizens.

New forms of governance are best developed at the local scale, whether they pursue goals of economic development or more political ones. From the local perspective the two elements that define local government are easier to identify, namely territory and institutions.

As suggested by some authors (cited in the above state of the art epigraph), spatial development planning at the European scale, could be considered an integral part of an emerging system of multilevel government. Planning implies vertical (multilevel) and horizontal (multi-sectoral) inter-institutional relations, relations between public and private agents as well as relations with the local communities. It is here that coordination between the different levels of government and the different policies with territorial impact become most apparent.

Some pilot projects have already been launched: the Integrated Management of Coastal Areas Programme, LEADER, the employment initiative (development at the local level of the “European Employment Strategy”, INTERREG or environmental policy (especially Local Agenda21). The metropolitan scale can be used as an example and even a reference for territorial cooperation at the supra-local and sub-regional scales. The Oporto Declaration recognises that: “*The regions and metropolitan areas constitute the optimum level to attain in the most efficient way certain spatial planning and development targets and objectives in an enlarged Europe, as well as Transnational Visions...*”. This leads us to the objective of rural urban partnerships, one of the propositions contained in the ESDP to attain polycentrism, and to the concept of metropolitan governance, directly related to the objectives of polycentrism, rational urban expansion, rur-urban balance and accessibility.

According to Section (ii) of the Terms of Reference, ESPON 2.3.2 holds an important position in the definition and elaboration of a common ground for investigating the institutional and instrumental aspects of implementation of territorial and urban policies in Europe, and their assessment. This evaluation will be referred to practices of governance themselves, its level of development and intensity, also as its territorial impact.

Political authority and powers have become increasingly dispersed and fragmented in the EU over recent decades. Simultaneously, there has been administrative decentralisation and a strengthening of local and regional democracy. Within this context, the widely accepted view that decision-making and policy application processes in the Union should be organised hierarchically, following a top-down sectoral approach, is in many places being revised, to obtain an important added value in terms of integration, compatibility, convergence, and therefore efficiency of actions.

The coordination method, over all after Lisbon Summit, is changing the traditional so-called sectoral approach used for a long time for territorial development, with a relatively top-down, hierarchical approach is conducted in which general policies, discarding specific characteristics of spatial areas, are formulated. In view of this identified shift to a more space-based (cross-sectoral) paradigm and integrated approach, described in and promoted by ESDP, it is probably nowadays the only governance solution capable to adequately face this paradigm:

- By improving coordination between the relevant institutions at different territorial levels (vertical partnerships, multi-level governance), and between a wide range of actors coming both from public and private sector, as well as civil society (horizontal partnerships).
- By enabling different circumstances, potentials and problems, of each territory to be taken into account and the tuning of policy mix to be adjusted according to the specific needs of those varying circumstances.
- Therefore, by setting up “more integrated policy packages”, encompassing a spatial dimension.

The web of spatially relevant policy delivery and application mechanisms, in particular considering the authorities responsible for regional and local economic development and infrastructures in all countries, need therefore to be better understood and coordinated.

According to Section (iv) of the Terms of Reference, ESPON 2.3.2 is to:

- **Elaborate a research framework which allows to comprehensively investigate the issue of governance, through:**

* *Theoretical work:*

- How understand “governance”. Different focus according to mean objectives to achieve are possible:
 1. Governance and economic development. Line of research well developed with an important number of studies on governance as social capital that, through confidence, favour local and regional economic development (new regulations in *milieux innovateurs*).
 2. Governance as citizen participation, specially at urban level: Social constructivism, studies on civil society. Abundant bibliography, studies and programmes, Communitarian (DISCUS, SINGOCOM, URSPIC) or not (Eurocities’ programmes as DEMOS and PLUS).
 3. Governance as Multi-Level government: Subsidiarity, Contracts Theory.... Also well represented.

4. Governance as horizontal coordination: among policies (with territorial impact –territorial policy packages) or among territories (contiguous –metropolitan governance, rur-urban partnerships- or not –net territory). This is the less developed focus where this project could achieve its most added value.

Some projects as TRANSPLUS, Eurocities' Initiatives as INTERACT or PEGASUS (Eurocities) and research programmes as IMAGES (Nordregio) GAP (Nijmegen School of Management, Radboud University of Nijmegen), leaded for some Partners of this TNG, will be a good point of start.

- Inventory of official references on various forms of governance: binding (treaties, laws, regulations) or non-binding (declarations, political decisions, White Papers...). Main attention will be paid to the Open Method of Coordination, and associated tools, in structuring cooperation and coordination among territorial oriented policy delivery and application processes, as SDU Expert Document "Managing the Territorial Dimension of EU Policies After Enlargement" points out. That allow in further stages to deep in some hypothesis recently presented by professor Andreas Faludi¹⁵.
- * *Comprehensive overview* of vertical and horizontal cooperation and coordination practices and tools (formal and informal, legal or non statutory) to territorially oriented policies, both in design and application stages, from European to local level. For this purpose will resort to mainly to policy documents in the field, but also scientific and methodological literature. This first overview literature on Europe will provide different experiences in 15 EU Member States, the 10 Acceding Countries, Romania, Bulgaria, Norway and Switzerland.

A first approximation to the different planning styles and their relation to the new governance at Member State level (EU Compendium) is required. There are numerous references to local governance, especially cities and metropolitan areas. Many partners of this project have been actively involved in ESPON projects and other European initiatives dealing, albeit superficially, with the question of governance. So far, we have some clues, perhaps offering only a partial view, of concrete applications, which need to be explored with greater integrated knowledge of urban and territorial governance.

- **Definition of a set of indicators related to specific factors that characterise successful governance or obstruct it:**

This task includes first an identification and gathering of existing indicators, coordinating efforts with results and tasks developed by other ESPON projects, that can help to assess in each Member States successful governance of territorial and urban policies in both elaboration and implementing phases. But the project has to be specially oriented to obtain comparable data and new indicators (qualitative but also quantitative as far as possible), also as to elaborate methods (from existing and new data) to measure and demonstrate the degree, trends and positive impacts (added value) of governance processes (institutional and instrumental) in effectiveness of policies with territorial impact. Trough these methods a comparison among situations will be able and, as result, identifying different models of governance.

¹⁵ Faludi, A. (2004): "The Future of the ESDP Process", paper to the International Conference 'Present and future of the European Spatial Development Perspective', Turin, Ministero dello Infrastruttura e dai Trasporti.

Comprehensive overview above mentioned, also as experience and knowledge of particular situation of each Member State by each Partner of our broad TNG, will contribute to a broad knowledge on relative weight of hard and soft law measured through indicators related to degree of legitimacy, transparency and representativeness, application of subsidiarity principle and accountability of policy delivery mechanisms.

- **Preparation of comparable case studies, with particular focus on governance at transnational level:**

Drawing on the cross-analysis of results of initial phase, specific topic or geographical areas will be selected for further investigation through case studies. The expected results of this cross-analysis are:

- a) clusters of countries being similar in governance, urban policies and integrated planning,
- b) investigate further specific topics in a selection of the best case studies by: type of territories, geographical scale, type of territorial and urban oriented policy and type of stakeholders and cooperation forms.

		VERTICAL COOPERATION					
GOVERNANCE		Local	FUA	Regional	National	Trans-national	EU
HORIZONTAL	Policies	→	↔	↔	↔	↔	←
	Territories (Neighbouring or not)	→	↔	↔	↔	↔	←
	Partnership/Participation	→	↔	↔	↔	↔	←

 Special attention according with ToR. FUA = Functional Urban Areas

This cases have to represent both governance at (horizontal) and between (vertical) different scales as represents the above chart. From a vertical approach –flows and interactions between the different territorial scales- study cases will be selected in order to achieve a better understanding of interaction between top-down and bottom-up approaches. Impact of Open Method of Coordination and associated tools in structuring cooperation and coordination among territorial oriented policy delivery and application processes will be assessed.

Cooperation between levels is greatest in relation to the contract model (contract theory) under the form of *contracts* or *agreements*. Nevertheless, other softer instruments can also be envisaged. In decreasing order: *memorandum of understanding; declaration of intent; consultation round table* (report group 4c, White Paper on European Governance). Contractual relations can adopt two distinct forms or styles according to the report cited above: *the option proposed by Group 3b*, leading to a type of contractualisation that is particularly targeted on one element of a policy, for example a directive; *or the option of a more comprehensive contract over*

a coherent geographical area enabling a coordinated application of Community policies, together with, if possible and if necessary, more flexibility in terms of the basic laws, or in terms of the complexity of systems of application, and taking account of a differentiated approach between groups of states

When horizontal, special attention should be paid to mechanisms of integration and cross-sectoral coordination of policies (land use / transport / environment / social services / housing...) regarding to different territorial issues as polycentrism, urban clusters, urban sprawl, urban-rural balance, accessibility and sustainability. In a first phase the project will present at Community and National level the already pre-existent groups of policies, tentatives of integrated and cross-sectoral approaches of territorial development policies. In a second phase, the analysis should be deepened and supported case studies, at different territorial levels, focusing on the most relevant policy packages or groupings, with respect to the achievement of the ESDP objectives.

Horizontal governance also refers to implication of citizens in achievement of desired territorial goals, level of development of partnerships between public-private-third sector, and its impact in final quality of results. Territories, contiguous or not, also develop horizontal cooperation. In the case of territories contiguous this cooperation could be at different levels: of proximity (at local level: metropolitan, rur-urban, FUA) or at a greater scale (inter-regional o macro-regional level) inside a same Member State or cross-border. This last case takes a great relevance because is built upon a more permanent and structured network of national and regional partners linked through specific and innovative cooperation mechanisms, a veritable testbed of governance.

- **Draw conclusions and strategic recommendations on improvement of governance at EU level**

Based on the results obtained in the two previous phases, identification of different models of governance as a set of cooperation and coordination procedures used to develop a more spatially integrated policy approach. Recognition of the best conditions and cooperation mechanisms (horizontal and vertical) on the governance in urban and territorial related decision making:

- Identification of reasons for failed experiences and best practice examples (success conditions, actor constellations, cooperation mechanisms) on the governance in urban and territorial policies
- The assessment of good governance has to be undertaken at two different phases of the policy process: decision making and application.
- Comparison between this identified factors of good governance in the two phases and the key proposals developed in the Commission White Paper of European Governance: coherencies/incoherencies.
- Elaboration of a “Good Practice Guide” on procedures and institutions.

Based on correlation between degree of spatial integration of the policies and degree of governance mechanisms, make operational recommendations to:

- Improve governance at EU level, in support of territorial cohesion and in a longer perspective.
- Is of greatest relevance for this objective offering practical recommendations, that as far as possible fit into political agenda, on the transnational level, also as

about vertical cooperation between actors at the Community, National and Regional/Local levels.

- Contribute to a better achievement of ESDP objectives, focusing on procedures and mechanisms required for the application of the ESDP recommendations for a better balanced and sustainable spatial development of the EU territory.
- Provide suggestions, orientations to a future possible revision of the *EU Spatial Planning Compendium*.

To meet these objectives this project shall make best use of existing research and relevant studies that already have examined the delivery of sectoral policies, also as avoid overlaps by a strong coordination of the projects: outstandingly 2.3.1 (Application and Effects of the ESDP in Member States), 3.2. (Spatial Scenarios and Orientations in Relation to ESDP and Cohesion Policy), 2.2.1 (Territorial effects of the Structural Funds), 2.1.1. (Territorial Impacts of EU Transport and TEN Policies), 2.2.2 (Territorial Effects of Applying the EU “Acquis” and Community Policies as Well as Pre-Accession Aid and PHARE), 1.1.1. (Polycentric development) and 1.1.2 (Urban-Rural Relations in Europe).

4.2.2 Expected Results

According to Section (v) of the terms of Reference, ESPON 2.3.2 is expected to produce four reports along its around two years length : three interim reports and one final report, with the following contents:

First Interim Report

The First Interim Report (Project Month 4) will contain the following information:

- a) Presentation of indicators and information needed after a precise analysis of the availability and comparability of data/information at EU level. For this analysis, the results of the ESPON project in course, in particular project 2.3.1 and 2.2.1 (ESDP impact in Member States and Territorial effects of structural funds), should be taken into account.
- b) Presentation of a sound review of the relevant territorial and urban oriented policies to be addressed, and insights of “policy packages” with a high degree of synergy¹⁶.
- c) First outline of the methodology of the impact assessment analysis. This first step in the methodology for impact assessment should provide a list of core indicators, for qualitative assessment and also, as far as possible, quantitative.
- d) Selection and preparation of the case studies with reference to countries (transnational, National, Regional/local level) and policy tradition and styles.

Second Interim Report

¹⁶ This review should, in a first phase, present at Community and National level the already existing groupings of policies, tentatives of integrated and cross-sectoral approaches of territorial development policies. In a second phase (Second and third Interim Report), the analysis should be deepened and supported by case studies, at different territorial levels, including sub-national, focusing on the most relevant policy packages/ groupings , with respect to the achievement of the ESDP objectives.

The Second Interim Report (Project Month 7) will contain the following information:

- e) Presentation of first results, in terms of governance trends, tools and practices, based on a sound review of the accumulated amount of data and information. A specific part should be devoted to the description and analysis of the implementation of the Open Method of Coordination: added-value of the Open Method as well as limits should be addressed.
- f) Presentation of first results on the basis of case studies.
- g) Tentative of outlining models of governance, in relation to types of territories, types of policy packages, territorial level of the analysis...
- h) Presentation of the achieved methodology for impact assessment of “good governance”, including presentation of the definitive list of case studies, as a full elements of the methodology, to illustrate and provide results on best practices and also limits of governance. Added-value of the methodology, in terms of the qualitative elements it allows to envisage, as well as limits should be presented.
- i) Presentation of hypotheses on the territorial effects of governance of the territorial and urban oriented policies.

Third Interim Report

The Third Interim Report (Project Month 16) will contain the following information:

- j) Presentation of a comprehensive analysis/diagnosis of governance trends, applications, mechanisms at EU, transnational, national and sub-national levels, as well as existing territorial disparities in that respect.
- k) Definition of models of governance resulting from the above-mentioned analysis, including a more cross-sectoral approach.
- l) First results of the impact analysis previously developed, including finalisation of comparable case studies.
- m) First propositions on possible and/or necessary improvement of governance: definition, of institutional settings and instruments which could support “good governance” for a better spatial integration and coordination of policies, and in the perspective of a balanced and sustainable territorial development.

Final Report

The Final Report (Project Month 21) will contain the following information:

- n) Final results of the analysis of institutional and instrumental aspects of governance through a territorial and urban policy approach. Finalised models.
- o) Presentation of new territorial indicators (qualitative, and quantitative if feasible) and datasets for the ESPON database including EU Member States, candidate countries and neighbouring (Norway and Switzerland).
- p) Final results of the impact analysis, including comparable case studies. Focus should be made on best practices and added-value of governance, as well as limits, in relation to specific territorial or policy context.

- q) Formulation of final conclusions and policy recommendations for improved governance (considering institutional and instrumentals aspects of governance) in a long-term perspective, taking into consideration the fact governance, in the case of territorial development policies management, is not an alternative but complementary solution to the “classic” top-down, hierarchical approach

4.3 Experience in the Research Area.

Giving the understanding of the task, a team has composed which is best suited for carrying out the study.

Full details of the research experience held by each of the sub-contractors is included in annex IV. However the detailed experience of the tenderer and summaries of the experience of each of the sub-contractors is set out below.

4.3.1. Department of Geography of University of Valencia

Department of Geography (GD - www.uv.es/depgeo) consists in three organisational and knowledge areas: Physical Geography, Human Geography and Regional Geographical Analysis, and several research groups: Sustainable Spatial Development, Planning and Spatial Planning, Rural Development and Assessment of Public Policies, Tourism and Territory, Demography, Litoral Geomorphology, Hidrology, Soils and Erosion.

DG has 34 staff: 6 professors, 25 research fellows, 3 support staff involved in management; and an important group (20) of PhD students and scholarship holders in different European, national and regional projects. DG has conducted a large number of research projects on rural, urban, local, regional, national and European planning matters financially supported by the Spanish Ministry of Science and Technology, Regional and Local Governments also as European projects. DG edit ‘Cuadernos de Geografía’, the first geographical university journal in Spain since 1964, also as other editions in collaboration, among others, with University of Valencia Service of Publications.

Research is the main activity undertaken by the staff of the Department. Researchers focus on some working lines, which have been already long ago consolidated, or as other new ones which have been recently incorporated. Between the first ones, different members of the department have a wide experience in the study of local productive systems, territorial impact of public politics, local development and strategies in the rural development. As it can be seen within the relation of European, national and regional financed projects, Geography Department is placed in a good position within Universities and presents a wide relation of publications. DG maintains active relative collaborations with an important number of university and research institutions along Spain, also as in European Union. In this sense, Sustainable Spatial Development research group leads a coordinate Spanish research project titled “Co-operation Strategies and Sustainable Spatial Development in Spain”, which join together 14 Spanish universities and 55 researchers, under the acronym ‘*Grupoterritorios*’. In the

- Interreg III B CADSES (2000 – 2006): “READY” – Rehabilitation and Development in Mining Regions. LP City of Oelsnitz
- Interreg III C “Eco Profit International”. LP City of Graz – Department of environment
- Rapid Expansion of Winter Tourism and Problems with the Summer (Western European Tourism Research Project, Universität Exeter, England)
- The leading Tourist Regions in the Alps (Internationales Forschungsprojekt an der Universität Grenoble, Frankreich)
- Österreich - Raum und Gesellschaft (Forschungsschwerpunkt des FWF) Teilprojekt: "Produktionsstile im Tourismus"

5. PROPOSAL OF SERVICES

5.1. Meeting the award criteria

5.1.1. *Research knowledge in the field*

We are fortunate to be able to call upon the services of a network of experts that have a considerable expertise in the field and a sufficient knowledge about territorial and urban governance, and knowledge of state of the art. An increasing body of literature on territorial and urban governance has been published in the last couple of years, also with important contributions by TNG members, among others Francesca Governa, Simin Davoudi, Alain Thierstein, Valérie Biot, John Jorgensen and Kaisa Lähteenmäki-Smith ... (see CV in annex V). We hope that we have clearly demonstrated our extensive experience of the various fields of regional policy, European spatial development policy and territorial trends in the context of the Community territory. All those involved also have extensive experience of working as a part of trans-national research and consultancy projects, working with, and managing, similar services across the Union, e.g. recent COST Action A-26 “European City-Regions in an age of multi-level governance” and COMET “Competitive Metropolises: Economic Transformation, Labour Market and Competition in European Agglomerations”.

5.1.2. *Research experience*

Research experience within the terms of reference is also described previously (see table of specialisation in p. 5-6) and in epigraph. Again we are pleased to be able to provide a team that has extensive experience of the particular aspects of the terms of reference. We are indeed fortunate to be able to draw upon the experience of experts that have been urban and territorial governance at different levels, European spatial and urban policies, EU comparison and good knowledge on national particularities. In addition, for particular subjects, as the Open Method of Coordination, external scientific experts have been committed. Also this experience is demonstrated for broad participation in related ESPON projects (see table below), and both University of Valencia itself and the other partners have long experience in co-ordination and management of projects at national and international level.

Table of TNG participation in other ESPON projects:

Field	Action		Partner		Task
Thematic Projects	1.1.1	The role, specific situation and potentials of urban areas as nodes in a polycentric development (2002-2004)	Nordregio	LP	
			CUDEM	PP	
			UMR	PP	
			OTB	PP	WP2 "Application of the concept of polycentrism"
			NTUA	PP	
			P Torino	PP	Polycentrism in Southern Europe
	1.1.2	Urban-Rural relations in Europe (2202-2004)	OTB	PP	WP1 "Concepts and Definitions" Leader
			CUDEM	PP	WP4 "Policy Recommendations" Leader
			Merit	S	WP2 "Indicators and Data" GIS platform, cartographic presentations
			Nordregio	PP	
	1.1.3	Enlargement of the European Union and the wider European perspective as regards its polycentric spatial structure (2002-2006)	Nordregio	PP	WP2 "Data inventory, indicators" Leader
			NTUA	PP	
			IGSO	AP	
	1.1.4	The spatial effects of demographic trends and migration	IGEAT	PP	
1.2.1	Transport services and networks: territorial trends and basic supply of infrastructure for territorial cohesion (2002-2004)	Merit	PP	WP5 "Implementation of advanced indicators"	
		NTUA	PP		
1.2.2	-	-	-	-	
1.3.1	The spatial effects and management of natural and technological hazards in general and in relation to climate change (2002-2004)	IRPUD	PP	WP4 "Risks and responses" Participating partner	
1.3.2	-	-	-	-	
Policy Impact Projects	2.1.1	-	-	-	-
	2.1.2	-	-	-	-
	2.1.3	The territorial impact of CAP and rural development policy (2002-2004)	IRPUD	PP	
	2.1.4	-	-	-	-
	2.1.5	-	-	-	-
	2.2.1	Territorial effects of structural funds (2002-2005)	Nordregio	LP	WP1 "Elaboration of Concepts and Methods" Leader WP6 "The influence of the structural funds on territorial cohesion an specialisation" Main Partner WP7 "The impact of the Interreg Community Initiative on spatial integration" Main Partner WP8 "Final Analysis" Leader WP9 "Evelopment of policy recommendations" leader WP10 "Information sharing and overall co-ordination" Leader

			Mcrit	PP	WP1 Leader WP6 Leader
	2.2.2	-	-	-	-
	2.2.3	Territorial effects of structural funds in urban areas (2002-2004)	Nordregio	PP	WP 1 “ Literature review and analysis” Leader
			Mcrit	PP	WP7 “Carrying out a mapping exercise” Leader
	2.3.1	-	-	-	
	2.3.2	-	-	-	-
Co-ordinating cross-thematic projects	3.1	Integrated tools for European spatial development (2002-2004)	Nordregio	PP	WP2 “Networking and promotion strategy” Participating partner WP4 “Thematic and territorial orientations” Participating partner WP5 “Networking with the Interreg III B” Participating partner WP7 “Data collection and indicators” Participating partner WP9 “GIS and Hyper-Atlas” Participating partner WP13 “Cross-sectoral analysis” Participating partner WP14 “Recommendations for future policy” Leader WP15 “From integrated tools toward political scenarios” Participatin partner
			Mcrit	PP	WP2 Participating partner WP4 Participating partner WP5 Participating partner WP8 “Interactive web-based cartography” Participating partner WP11 “Spatial analysis models” Participating partner WP12 “Europe in the world” Participating partner WP15 Participating partner
	3.2	Spatial scenarios and orientations in relation to the ESDP and EU cohesion policy (2004-2006)	IGEAT	LP	
			CUDEM	PP	
			Nordregio	PP	
			Mcrit	PP	
			NTUA	PP	
3.3	-	-	-	-	
New Projects	1.3.3	-	-	-	-
	2.4.2	-	-	-	-
	3.4.1	-	-	-	-
Data Navigator	4.1		IGEAT	C	
			Mcrit	C	
			UMR	C	
			Nordregio	C	

5.1.3. Description of few suggestions of concepts and methodology

As we said before, political authority and powers have become increasingly dispersed and fragmented in the EU over recent decades. Simultaneously, there has been administrative decentralisation and a strengthening of local and regional democracy. Within this context, the widely accepted view that decision-making and policy

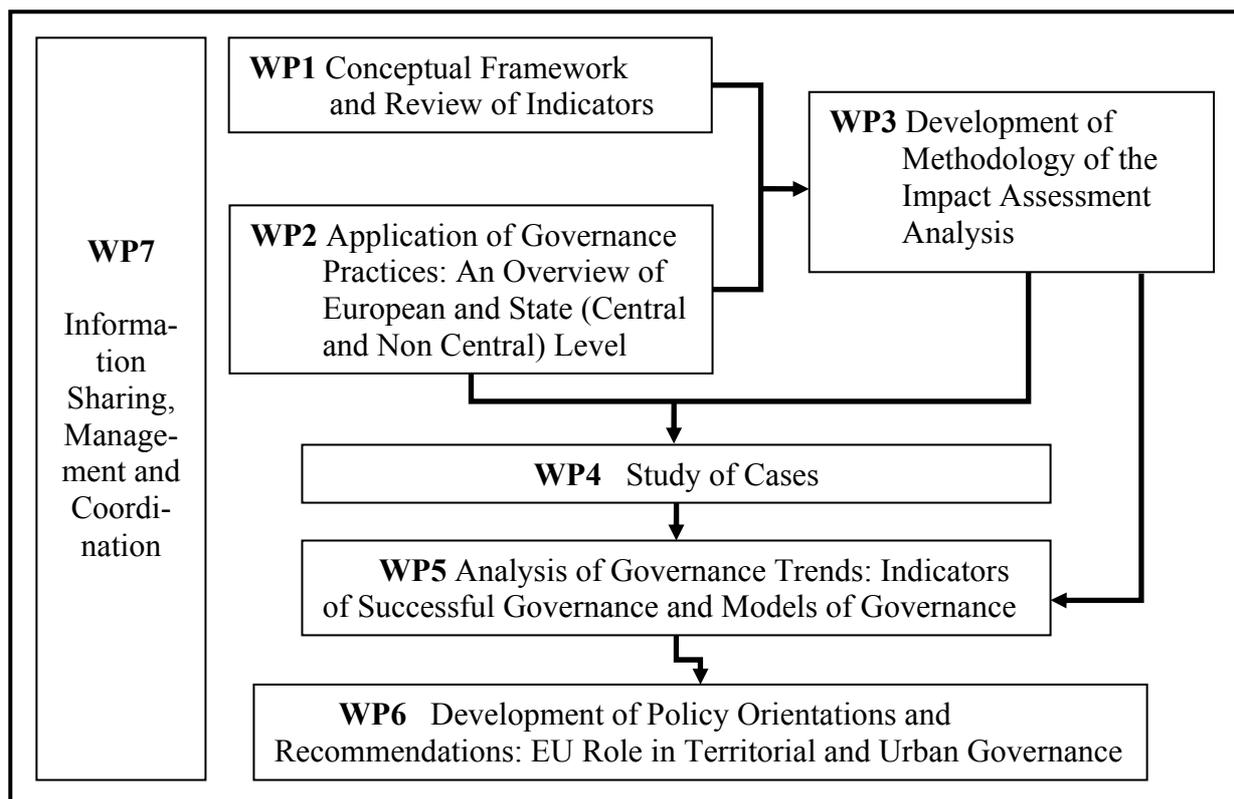
application processes in the Union should be organised hierarchically, following a top-down sectoral approach, is in many places being revised, to obtain an important added value in terms of integration, compatibility, convergence, and therefore efficiency of actions.

The coordination method is changing the traditional so-called sectoral and hierarchical approach in which general policies, discarding specific characteristics of spatial areas, are formulated. In view of this identified shift to a more space-based (cross-sectoral) paradigm and integrated approach, described in and promoted by ESDP, it is probably nowadays the only governance solution capable to adequately face this paradigm.

The web of spatially relevant policy delivery and application mechanisms, in particular considering the authorities responsible for regional and local economic development and infrastructures in all countries, need therefore to be better understood and coordinated. This change to a space based paradigm needs a tuning of the policy mix to be adjusted according to the specific needs of varying circumstances, potentials and problems of each territory. So, policies are adapted to territories, basis of idea of territorial cohesion, instead of, as it has been the norm until now, adapt territories to general policies. In this emergent context, potentials for improved spatially oriented policy has to be monitored. The methodology to do it is comparative research about how effective different systems and different forms to application are, considering the policy mix of spatial planning. Analysis is focused on instruments used and stakeholders involved in various policy areas and in various types of territorial areas, mainly through qualitative methods as documentation reviews, interviews to strategic stakeholders or the Delphi method; but also quantitative methods to available or new data and indicators sets (e.g. voter data on national, regional/local elections, regional/local budget and employees data...)

Each type of territorial area presents different characteristics with regard to institutional systems in and among diverse geographical scales or political-administrative levels: National, Regional, Cities and Supra-Local. Cities have been favourite subject of study (URBAN) to know how sectoral policies are integrated (Urban Governance). While the Supra-Local level is emerging as a particularly appropriate field to study with many aspects of governance related to territorial cooperation and partnerships (rur-urban, metropolitan, functional urban areas –FUA). But also there seems to be, appropriate to the transnational scale, the most adequate level to build territorial cohesion (in turn related with the objective of polycentrism).

The working methodology is divided into 7 moments as shows figure below:



In addition we propose to arrange 4 workshops in the course of the project as has been detailed in part one of this tender document. The major purpose of this workshops/projects meetings is thus stimulate in a constructive way these expected exchanges of information between partners, also as with external scientific experts in particular subjects as Open Method of Coordination in order to benefit a fruitful exchange of intellectual capital among a members of a broader network of external experts that can continue its collaboration for ESPON territory interests in the future.

In the case of OMC Susana Borrás Associate Professor in European Political Economy, Ph.D, Department of Social Sciences and Centre for Democratic Network Governance, Roskilde University, Denmark, is already involved as external expert for the second meeting in February 2005. So project could, in its own way, increase competencies and knowledge about particular aspects about governance at European level.

5.1.4. Description of data sources and qualitative information sources

Even though the major data have to be designed and generated by the project itself, there are some previous results on data and indicators sets developed within the frameworks of:

- Other ESPON projects (particularly 2.3.1, 2.2.1, 1.1.1., 1.1.2, 3.2): 1.1.1 WP2 (about application of polycentricity in planning and sectoral policies in ESPON states) & WP5 (Governance Relationships). 1.1.2 WP1(concepts)+2(indicators&data), 2.1.1 WP 6, 2.2.1-WP5, 2.2.2 WP7 (INTERREG's impact on spatial integration in terms of macro-regions and cross-border cooperation), 3.2. (*Assessment of available data; Territorial Impacts of public policies and of their governance* and the European Territorial Cohesion Index that will be developed in this project), and complementary project 2.3.1, more focused on contents while 2.3.2 do in processes.

Territorial Cohesion Index should take into account not only measurements of socio-economic data but also assessment on the ability of political coordination at different scales, between different actors (public/private) and between different polices. Regarding to complementarity.

- Congress of Local and Regional Powers of Europe (CLRPE), OECD's Working Party on Territorial Governance and Public Governance and Territorial Development Directorate... among others.
- Eurostat Structural indicators
- Technical literature and policy documents.

5.1.5. Description of few suggestions of territorial indicators and maps representation

To achieve Community cohesion and ESDP policies, territorial governance actions shall refer to territorial cohesion as it is defined in the Third Report on Economic and Social Cohesion (EC, 2004). It is common to consider, nowadays, that territorial policies at the different scales, from EU level to the regional and local ones, mainly consists in promoting and governing development processes, addressing them towards cohesion objectives. These policies are not authoritative and cannot be coercive, at least not at any level or sector. They are usually defined through governance actions in which the accordance of the territorial action to the objectives is mainly assured thanks to the different projects admission and evaluation criteria. These criteria have to be more transparent and as definite and clear as possible. This is quite simple as long as sectoral objectives are concerned (e.g. employment rate, GDP growth, etc.), while the complex and multi-sectoral nature of territorial cohesion asks for more concise and "qualitative" indicators. In this perspective it is important to allow the comparison among different territorial situations trying to avoid the excessive simplification of the analysed contexts complexity. In many cases, then, it will be necessary to take for good a description, which will be preferable to apparently more precise measurements unable to focus the pertinent realities.

So, in order to assess the level of development of governance processes qualitative indicators are a necessary reference. Also in this sense it is necessary change minds from hard to soft point of view. This qualitative approach is specially appropriate to analyse how practices of governance themselves developed: degree of legitimacy, transparency, representativeness, subsidiarity, popular accountability of policy delivery mechanisms. In this case it is necessary to produce both:

- a review of different initiatives of these spaces will be made through study of initiatives, and their own documentation produced, as INTERREG, PHARE, Congress of Local and Regional Powers of Europe (CLRPE), Conference of Peripheral Maritime Regions of Europe (CPMR), Association of European Border Regions and the observatory Linkage Assistance and Cooperation for the European Border, results of OECD "Questionnaire on Territorial Policy Trends and innovations" ... among others.
- A set of interviews/discussions with relevant agencies and stakeholders that could inform not only about level of development of governance but also about most important elements for good practices, for instance through Delphi method.

However is not the only qualitative information we can found. Quantitative indicators could help to assess this level of development of governance processes, with the risk of

excessive simplification, as was said above. More useful seems in order to assess territorial impact of new governance practices.

The elusive nature of the governance concept, together with the well-known scarcity of harmonised pan-European datasets, creates specific challenges when measuring and representing governance across European territories.

Indicators developed by all ESPON TPG's, collected and harmonised by ESPON 3.1, will be the starting point, as well as core governance-related indicators used on the specialised literature:

- Number of local, regional, national and administrative levels
- Relative sizes (population, GDP)
- Budgets for specific issues (e.g. social transfers, economic investments...)
- Financial mechanisms
- Political representativity
- National governance indices (among them the voice and accountability indices and rule of law indices)
- Voter data on national and regional elections
- Selected indicators from the relevant pan-European population surveys (e.g. Eurobarometres, European Value Surveys).

Also indicators on the relevant EU and national programmes leading to new cooperation forms (e.g. LEADER, INTERREG) shall be included in order to allow for a separate "test" of their relevance. This indicators can be used to "explain" the interregional variation of economic variables (e.g. level of GDP per capita, growth of GDP per capita, employment growth) or social variables (e.g. "life satisfaction"). Moreover, some of the interrelations between the pre-conditions of governance (e.g. social capital endowments, political constellations, degrees of civic engagement) and some of the existing forms of governance (e.g. city networks, regional fora etc.) could be explored. In this case, proxy-variables (such as number of regional cooperations per area) on the types and quality of governance systems would serve as dependent variables.

The way quantitative and qualitative information will be represented is not an independent question, it is closely attached to the measures definition. Maps have, of course, an indivisible dichotomy between being communication means and scientific tools. As arbitrary and abstract language code, maps help human communication: They are arbitrary symbols (as words) that help both to difference reality (the Earth as it is for all of us) and imagination (the World as each one of us refers when talking). But Maps can also be scientific measures of reality (as numbers), supporting a better understanding of reality. Actually, any map is a synthesis of quantitative and qualitative information, often in conflict.

Is not surprising that visual representations, because of their communication and scientific contradictions, have always generated controversial reactions from readers. But controversy is also intrinsic to the complexity of the concepts being measured and represented, such as governance. Any successful attempt to visualise territorial policies have to understand the spatial dimension of most national conflicts dealing with it (then assuming the risk of being rejected) or somehow avoiding it (then assuming the risk to oversimplify questions).

In conclusion, two major approaches must be considered when producing images to communicate spatial development policies and represent space-related problems:

- Rational methods which propose to follow strict systematic methods to develop “policy-oriented” maps starting from cartography produced by GIS software tools. In the ESPON programme specific guidelines have been adopted regarding geographic projections (Lamber Azimutal), administrative levels to be included (NUTSIII), and map layouts and legends; these guidelines will be used for all maps that we will produce.
- Creative methods which produce images based on arbitrary symbolic languages, invented somehow based on the tradition of spatial planning studies. To represent governance-related questions, a new symbolic language will be developed.

Since scientific methods have advantages providing objective visualisation of real problems and opportunities, as well as future trends, they could be used as cartographic basis. Since creative methods have advantages representing abstract aims and actions, imagining desired futures, they could be used to invent the symbolic languages expressing policies. From more strict rational methods (so scientific-oriented, involving an objective searching process) and creative methods (so artistic-oriented, involving a subjective imagination process), in between approaches can be developed as well. In fact, any purely scientific method involves an implicit process of translating conventional scientific languages (in this cartographic rules) into a “policy-oriented” language, and the purely creative methods try to follow the opposite direction. Therefore, none of them can be labelled as “pure”.

5.1.6. Description of the approach to developing territorial governance typologies.

The main task of this project will be not to develop territorial typologies as regards physical characteristics (geographical and infrastructural constraints and advantages), that in due case should come from other ESPON project, but more based in their functional and institutional characteristics: level of planning competencies, relative political position of planners in relation to other sectoral policy fields, types of planning instruments, availability of coordination mechanisms (institutional attitude to multi-level cooperation, inter-departmental committees, communication lines within governments), social capital, etc.

We will consider two different territorial typologies according to their level of institutionalisation: administrative or functional. More attention each time is paid to functional regions because their adaptability to real situations and exigencies, face to more rigid political-administrative regions (Cattan, 2002)¹⁷.

The analysis of formal horizontal/vertical links should be based on the classification of administrative regions / sub-regions (e.g. Länder, Kreise, Gemeinden in Germany; regioni, province and comuni in Italy, autonomous regions in Spain...); and in the *quality* and *intensity* of both horizontal and vertical links and level of cooperation between the jurisdictions at the different spatial levels. For horizontal links the task is understand which sectors/ministries that have traditional been involved in ‘territorial policies’ (e.g. urban and regional policies, physical/spatial planning) and how they have been transformed according to EU-developments. In the analysis of multilevel governance it is crucial to understand how relations between national authorities and

¹⁷ Cattan, N. (2002): “Redefining territories: functional regions”, 15 p. Document prepared for the Working Party on Territorial Indicators, Territorial Development Service, Territorial Development Policy Committee, OECD. This document was proposed by The Secretariat to be published in the “OECD Territorial Outlook, 2002”.

sub-national authorities were worked out - constitutionally as well in practice – as preconditions for governance. That has to be related with typologies on different European approaches to planning put forward by other researchers, among others Newman and Thornley (1996), Williams (1996) or in the European Compendium of Spatial Planning (CEC, 1997)¹⁸. These, and other, previous typologies present some limitations in geographical terms (for instance for Eastern countries), classification criteria or need for an update. This is one of the expected results of this project.

For functional regions (e.g. urban centres with their sub-urban hinterland, defined according to the commuting patterns), horizontal/vertical links are more *informal*. In this case the task should be to identify the different sectoral or integrative forms of cooperation/partnerships within each functional urban region and to clarify whether these cooperations include all/most relevant actors of the respective FUR, and whether the spatial coverage of the FUR and its various cooperations coincide. The functional classification of regions could benefit from previous work undertaken in ESPON projects 1.1.1 and 1.1.2.

This forms the background by which the governance relations can be understood: what are the main principles on which public-public corporation/coordination as well as public-private corporation/coordination is based.

In order to mapping these typologies, this TGN presents a technical capacity, GISG laboratory, an important list of software (see table in section 3.3) also as contrasted experience and professional capacity (see last part of previous 5.1.5 section). This capacity has been demonstrated, among other programmes, in previous ESPON projects.

5.1.7. Description of the envisaged approach to recommendations.

This project and its work packages are designed in such a way that they will feed into policy recommendations. Because large diversity in policy making Europe, which is often founded in long national traditions in which such things as path dependency, the type of recommendations will be easier with regard to the EU and transnational levels than regional level. It probably will be difficult to develop recommendations that apply to all regions of Europe, therefore the aim will be to give an indication of the kind of conditions under which recommendations are useful or not.

Continuous emphasis on the importance of integrated spatial planning, but also on its integrative role in bonding together disparate policies, will be a significant feature of our approach. An equally constant theme will be the recognition of spatial diversity, of the importance of “difference” in territorial and social structures and of the need to move to a more complex and collaborative approach, which relies heavily on improved and widespread communication and exchange of ideas on policy making. The importance of mutual learning as an ingredient of policy, recognized already in the early 1970s by authors such as John Friedmann and Donald Schon, will have to inform our recommendations.

In this sense our approach will differ from, albeit building on it, the approach of “The EU Compendium of Spatial Planning Systems and Policies”. Here we shall strive to

¹⁸ Thornley, A. & Newman, P. (1996): *Replanning European Cities: International Competition, National Systems and Planning Projects*, Routledge, 304 pages. Williams, R.H. (1996): *European Union Spatial Policy and Planning*, Londres, Paul Chapman Publishing Ltd., 283 pages.

proceed through an alternative logic, that of identifying and interpreting the variety of modalities which produce territorial results, whether or not they pursue territorial objectives, which often they do, without necessarily acknowledging it. This brings us to the old issue of sectoral policies which impact on spatial development, frequently undermining official spatial policies. This was addressed in the ESDP, but also long before that in research documents, e.g. of the World Bank (Renaud, B., *National Urbanization Policy in Developing Countries*, A World Bank Research Publication, Oxford University Press, Oxford, 1981). We shall consider carefully the choice of policy areas which have a hidden indirect effect on spatial development or, inversely, can be successfully co-ordinated and integrated through a more open strategy of spatial policy. In the EU Compendium an attempt was made to present policy areas which are related to, or impact upon, territorial development, and to provide a broad picture of trends which already existed in the mid-1990s. Naturally a lot has changed since then, especially in the domain of dominant ideas (or paradigms), but also in official policy documents, such as the ESDP. The link between policies, which were originally seen as external to territorial developments, e.g. on innovation, and space is now more than obvious and officially recognised, e.g. in the 6th Framework Programme on Research and Development.

What is more than obvious is that conventional institutional structures become more and more distant from emerging *ad hoc* practices, which respond to the internationalization of decisions and to the challenge of major policies, actions and projects. A typical example is that of the organization of major events, such as the Olympic Games or International Exhibitions. The Olympic Games are indeed an excellent example of the new configuration of forces, in the context of greater internationalisation. The interplay between traditional state structures and supra-national dynamics is very evident in this example and deserves attention, because it shows quite well how the old structures are effectively bypassed in these extraordinary conditions.

In this changing context, official hierarchical structures find themselves at a loss to adapt to a more differentiated, fluid, multi-cultural and less amenable social and institutional environment. Governance, in the sense already outlined earlier, seems to them an elusive practice, which they have enormous difficulties to accommodate in their logic of rational, comprehensive, top-down approach. It will be essential to recognize these difficulties and to make constructive recommendations for tackling them, without becoming patronizing. We shall have to admit that often the entire legal, administrative, professional and organizational background of their operation is frequently hostile to a change of approach. Equally, we shall have to recognize that the “brave new world” of a more participatory and partnership - oriented governance, is not a panacea, i.e. inequalities in the new sharing of power will have to be faced and reflected in our recommendations.

5.1.8. Description of interaction intended for the thematic co-ordination and networking with other projects

The team will co-ordinate closely with other research projects within the ESPON programme in order to be able to cross-reference and share knowledge and data as it emerges. The aim, as stated within the Terms of Reference, will be identifying, gathering of existing, and proposition of new indicators and data, conceptualisation and elaboration of methods to measure and to display the degree, trends and impacts of governance processes. IGEAT as the ESPON Contact Point will have a key role to play

in this area as part of the core team: 2.3.1 Application and Effects of the ESDP in Member States, 3.2. Spatial Scenarios and Orientations in Relation to ESDP and Cohesion Policy (4.1.1. *Assessment of available data*; 4.3.2. *Territorial Impacts of public policies and of their governance*), 2.1.1. Territorial Impacts of EU Transport and TEN Policies (WP6: Institutional Issues), 2.2.1 Territorial effects of the Structural Funds (WP5: Comparative Analysis of National Systems Affecting the Structural Funds), 2.2.2 Territorial Effects of Applying the EU “Acquis” and Community Policies as Well as Pre-Accession Aid and PHARE (WP7: INTERREG’s impact on spatial integration in terms of macro-regions and cross-border cooperation), 1.1.1. Polycentric development (WP2: Application of polycentricity in planning and sectoral policies in ESPON states) & WP5: Governance Relationships), 1.1.2 Urban-Rural Relations in Europe (WPs 1: Concepts and Definitions & 2: Indicators and data).

An important feedback could be obtained from some specific WP of different projects: We will also feed policy recommendations and findings into other ESPON projects. We envisage that this will be particularly useful as regards the horizontal measures under Priority 3: ESPON 3.1 and ESPON 3.2.

In this respect different partners will have key roles to play, they are also member of the transnational project groups carrying out all this mentioned projects, for instance:

- CUDEM is part of the transnational project group working in ESPON project 1.1.1 which is very useful in definition and understanding of territorial governance, and 1.1.2 they were responsible for WP4 on Policy recommendations.
- IGEAT is National Focal Point and Lead Partner of ESPON project 3.2, also very close to 2.3.2 regarding to available data base and governance of public policies
- NORDREGIO is Lead Partner also as part of different transnational groups working in different ESPON projects, among them, with interest to this tender: 1.1.1, 2.2.1. Also is potential Lead Partner of 2.3.1 ESPON project improving possibilities or a good and necessary coordination between 2.3.1 and 2.3.2.
- OTB is partner of the transnational project groups of ESPON 1.1.1 and 1.1.2 in which OTB is concerned with respectively WP 2 about the application of polycentricity in planning and sectoral policies in ESPON states and WP 1 about concepts and definitions.
- IRPUD participates in a number of ESPON research projects (1.3.1, 2.1.3) and other EC projects for DG Regio and other Directorates. IRPUD is also partner to a recent COST Action on multi-level European governance.
- POLI TORINO is involved in 1.1.1 ESPON project and has participated to the CPMR study on Polycentrism in Europe, which are useful in definition and understanding of territorial governance. Also is potential member of the core group of 2.3.1 ESPON project improving possibilities or a good and necessary coordination between 2.3.1 and 2.3.2.
- NTUA is involved in the following related ESPON projects: 1.1.1, 1.2.1, 3.2 and 1.1.3 on “*Enlargement of the European Union and the wider European perspective as regards its polycentric spatial structure (2002-2006)*”.

- Mcrit, the most experienced spanish Partner takes part, with a significative role, on different ESPON projects with interest in relation for 2.3.2, among them 1.1.2, 1.2.1, 2.2.1, 2.2.3, 3.1 and 3.2.
- NSM-GaP is currently working in the following three projects as participating partner: Cross-border commuting in the EU: Obstacles and Barriers (CROBOCOB) (<http://www.dass.stir.ac.uk/CROBOCOB/>), Lines of Exclusion as Arenas of Cooperation: Reconfiguring the External Boundaries of Europe. Policies, Practices and Perceptions (EXLINEA) (www.exlinea.org), Environmental Governance in Europe: The Impact of International Institutions and Trade on Policy Convergence (ENVIPOLCON) (<http://www.envipolcon.uni-jena.de/knill2.html>)

5.2 Project Activities: Work Package Organisation.

The tasks presented in Terms of Reference and award criteria have been structured into seven work packages, as has been represented in chart allocated in previous 5.1.3. epigraph.

WP 1. Conceptual Framework and Review of Existing Indicators (WP leader: CUDEM)

Aim and Objectives

The method of research will consist of double analysis: of research literature (scientific and methodological) and data & indicators. An approach to bibliographical basis has been presented at the ‘State of the Art’ epigraph. Regarding to data and indicators, this work package will involve a review of *existing* data, statistical sources and indicators. A central task in this review is to provide an analysis of the comparability at Community level of all the available data. The aim of this work package will be to develop an understanding of the kinds of data and indicators *readily available* on different aspects of governance processes. This preliminary analysis of that data allows us to identify gaps in the data available – in terms of types of data and indicators available and of spatial levels which it is available for –, to make preliminary suggestions as to what other data might be required and at what spatial levels and how this might be collected. Some sources: Data and indicator sets developed within the frameworks of:

- Other ESPON projects: 1.1.1.WP5. 1.1.2 WP1(concepts)+2(indicators&data), 2.1.1 WP 6, 2.2.1-WP5, 2.2.2 WP7 (INTERREG’s impact on spatial integration in terms of macro-regions anmd cross-border cooperation), 3.2. (*Assessment of available data; Territorial Impacts of public policies and of their governance*), and 2.3.1 (particulary 2.3.1, 2.2.1, 1.1.1., 1.1.2, 3.2),
- Congress of Local and Regional Powers of Europe (CLRPE), OECD’s Working Party on Territorial Governance and Public Governance and Territorial Development Directorate... among others.

- Eurostat Structural indicators

Experiences and results from these projects are the starting point for work in this work package.

Timescale:	Months 1 – 4 of the project.		
Financing:	18.400 Euro labour only.		
Deliveries :	<ol style="list-style-type: none"> 1. Critical analysis of the concept of governance and its scientific usages. 2. Overview of concepts, a dictionary of governance: Comprehensive definition of governance and of the major concepts and expressions linked to it. Definitions and official (binding and non-binding) references on various forms of governance (Treaties, laws, regulations, declarations, political decisions, White Papers...e.g.: the Commissions White Paper on European governance, Open Method of Coordination, Broad Economic Policy Guidelines-BEPG, European Employment Strategy...). 3. Collection of existing data sets on or related with governance. 4. List of core indicators for qualitative and quantitative impact assessment analysis. 5. Presentation of existent and tentative groupings of relevant territorial and urban oriented policies (cross-sectoral approach of territorial development) at EU level. Results will be useful to the complementary, elaboration of Guidelines for the elaboration of national reports (WP2). . 6. Basis for selection of concrete examples of governance processes. 		
Key tasks	Key partners	No of days	Months
Review of scientific literature in the field of governance for territorial development	Poli Torino & NSM	12	1-3
Review of policy documents and methodological literature of relevance for the formation of typologies in the field of territorial and urban governance	CUDEM & Poli Torino	12	1-4
Inventory of Data and Indicators	IRPUD & NSM	12	1-3
Formulation of detailed working hypothesis	CUDEM & UV	10	3-4

WP 2. Application of Governance Practices: An Overview at European and National Level (WP leader: NTUA)

Aim and Objectives

One of the primary issues envisaged for the research is a comprehensive overview of formal and informal cooperation and coordination tools and mechanisms (institutional and instrumental approach), relevant for the management of territorial and urban

oriented development policies. A theoretical review of them would have been introduced in the context of WP1.

Since the conclusions of European Compendium of Spatial Planning, recognized as second (among four) model of European territorial planning systems, the subject of Governance can be understood in different ways and developed in strategic (spatial) planning at various levels and/or scales. The integrated and cross-sectoral approach is described in and promoted by the ESDP in its Application chapter. As European Union lacks competences in, spatial planning is seen as a task for increasing coordination and cooperation. The ESDP calls for an integrated spatial development approach, including horizontal and vertical cooperation. Also trans-national cooperation is, from an EU point of view, a key dimension. However, the integration of spatial planning in both, multi-level and cross-sectoral, does not mean that traditional forms of regulation are totally obsolete or in disappearance.

An overview to the great diversity of situations will be made through the elaboration of national reports using national policy documents and reports, secondary and specific bibliography. (There is a close relation between this task of each national group and Main Partners of WP1 will be established and developed). Also Interviews with selected stakeholders and good knowledge and contacts with national related research groups will be developed in this phase for each national team involved.

This work package aims at national level to identify existent and tentative groupings of relevant territorial and urban oriented policies (cross-sectoral approach of territorial development). Also how new ways of governance - included level of implication of civil society - are present in both phases, design and application of policies at national level.

Particular focus will be paid to the involvement in experiences of governance at trans-national level, highlighting the progressive construction of a “macro-region system”. A review of different initiatives of these spaces will be made through study of initiatives, and their own documentation produced, as INTERREG, PHARE, Congress of Local and Regional Powers of Europe (CLRPE), Conference of Peripheral Maritime Regions of Europe (CPMR), Association of European Border Regions and the observatory Linkage Assistance and Cooperation for the European Border... among others.

From a vertical approach, national studies should take in consideration different policy traditions and regional planning systems. As a specific part of them, each national report must describe and analyse how far (or not) Open Method of Coordination has been implemented. This subject will be developed in the last part part of WP2: months 4-6, between interim reports one and two. Also special attention will be paid to the OMC in the context of the February 2004 meeting, with participation of all partners also as some external international specialists in this subject, responsibilities for research and editorial projects on comparative research on the OMC, that already have given commitment to their participation.

Timescale:	Months 2 – 6 of the project.		
Financing:	80,000 Euro labour only.		
Deliveries :	<p>7. EU 29 mini-compendium on governance practices:</p> <ul style="list-style-type: none"> • Wide approach to horizontal and vertical cooperation and coordination practices and tools (formal and informal, legal and no statutory—including civil society participation) existing in decision-making and application processes of territorially oriented policies at national level. • Identification of “policy packages” to territorial development at national level. • Description and analysis of the Open Method of Coordination: an overview to each State’ situation <p>8. Typology of territorial governance constellations. 29 countries belong to a much smaller number of different types of government and spatial structure: British, Scandinavian, Napoleonic, German, post-communist... and regional planning systems in Europe. A typology will be set up in order to present results of each group.</p> <p>9. First list of case studies with reference to countries (trans-national, national, regional and local level) and policy tradition and styles.</p> <p>10.Guidelines for case study work.</p>		
Key tasks	Key partners	No of days	Months
National overview	All partners	145 (29x5)	2-4
Drafting EU 29 mini-compendium and setting up of a typology	OTB & NTUA	10	3-4
Preparation of case studies, including the development of selection criteria.	CUDEM & OTB	10	4
Development of guidelines for case studies	IGEAT & UV	6	4
Overview to OMC in each State	All partners	29	5-6

Work package 2 will contribute to the completion of the other work packages (WPs 3 & 4) in various ways. The numerous ways in which the concept of governance is applied will be used as a filter for selecting important cases that will be further elaborated to develop policy relevant indicators and typologies, e.g. according with regional planning systems in Europe (WPs 3 and 4). National reports will constitute an important basis to deep in analysis of the implementation of the Open Method or Coordination (WP 4) and update governance chapters of *European Compendium of Spatial Planning* (WP6).

WP 3. Development of Methodology of the impact assessment analysis (WP leader: IRPUD)

Aim and Objectives

WP 3 aims at establishing a consensus on indicators and data needed, after a precise analysis of the availability and comparability of data at Community level (WP1), to develop new database (WP4), including territorial indicators and the facilities needed for mapmaking (in WP 5)

In order to assess the effectiveness of territorial governance systems, different approaches can be chosen. WP 2 and the case study approach, as presented in WP 4, allows for an in-depth analysis of the prerequisites, “mechanisms” and side-effects of successful cooperations and partnerships. In this sense, public policies assessment documents done by local authorities and states should be an useful source for qualitative data. As the selection of case studies is based on the comprehensive typology of territorial governance constellations developed in WP2, it is possible to analyse the most frequent and relevant types of territorial governance in this way. However, by their nature case studies only partly allow for generalisations. Hence, we propose to pursue a second, quantitative approach, covering the whole of the EU25 territory. Its main objective will be to quantitatively enquire some hypotheses on the relation of governance systems and their social and economic outcomes. This quantitative, indicator-based analysis will rely on the following working steps:

- 1) *Data collection*: Input- and output-indicators on both national and regional governance systems need to be collected. The range of available sources includes e.g. national governance indices (among them the voice and accountability indices and rule of law indices), voter data on national and regional elections, regional budget data, and selected indicators from the relevant pan-European population surveys (e.g. Eurobarometres, European Value Surveys). Besides, also indicators on the relevant EU and national programmes leading to new cooperation forms (e.g. LEADER, INTERREG) shall be included in order to allow for a separate “test” of their relevance. This working step will largely benefit from previous work already carried out at IRPUD in the course of the EU 5th FP research project AsPIRE (Aspatial Peripherality, Innovation and the Rural Economy)¹⁹.
- 2) *Definition of dependent variables*: The set of indicators on national and regional governance systems gathered in working step 1 can be used to “explain” the interregional variation of economic variables (e.g. level of GDP per capita, growth of GDP per capita, employment growth) or social variables (e.g. “life satisfaction”). Moreover, some of the interrelations between the pre-conditions of governance (e.g. social capital endowments, political constellations, degrees of civic engagement) and some of the existing forms of governance (e.g. city networks, regional fora etc.) could be explored. In this case, proxy-variables (such as number of regional cooperations per area) on the types and quality of governance systems would serve as dependent variables.
- 3) *Definition of samples*: The large number of spatial units (NUTS2-regions) included in the quantitative analysis makes it possible to analyse different samples of regions separately. On the basis of the typology presented in WP2, statistical analyses (see

¹⁹ See Lückenköter, J; Panebianco, S; Spiekermann, K & Wegener, M (2003): “EU Database of Statistical Indicators for Aspatial Peripherality”, AsPIRE Deliverable D18, Dortmund.

working steps 4 and 5) could be carried out e.g. for large metropolitan areas, lagging / successful rural areas, peripheral areas, border regions respectively.

- 4) *Multi-variate cluster analyses*: The data set will be used for carrying out multi-variate cluster analyses, exploring the spatial patterns of regional governance within EU 25. A result of this analysis could be the description of a number of typical, types of territories (e.g. relevance with respect to specific policies) with regard to their governance characteristics (e.g. “areas lacking integrative regional cooperation structures”, or “areas with weak horizontal cooperations”).
- 5) *Multiple regression analyses*: Eventually, the various governance indicators will be entered in a series of regression analyses, differentiated according to territorial type (samples) and factors to be explained (dependent variables). The outcomes of these final analysis steps will allow to assess some of the pre-conditions and economic/social outcomes of individual governance features. Again, this analysis could draw on similar research carried out in the context of the AsPIRE project.

Timescale:	Months 2 – 7 of the project.		
Financing:	18,800 Euro labour only.		
Deliveries :	11. Proposition of new indicators and data. 12. A set of governance indicators for ESPON space (25+2+Norway+Switzerland), both at national (NUTS0) and regional (NUTS1, NUTS2) level related to specific factors that characterise successful governance among the member states.		
Key tasks	Key partners	No of days	Months
Identification of gaps in the data and indicators available at different scales: suggestions on other data required and at what spatial levels and how this might be collected.	IRPUD, CUDEM UMR	12	2-4
Guidelines for data collection	IRPUD, CUDEM, IGEAT	15	3-5
Conceptualisation and elaboration of methods to measure and to display the degree, trends and impacts of governance processes	IRPUD, Nordregio	20	5-7

WP 4. Study of cases (All Partners)

Aim and Objectives

Following recommendations and guidelines of WP 1 and WP 3, 50-60 selected cases will be studied. All 29 countries of the ESPON space should be represented through different types of territories, territorial scales, stakeholders and cooperation forms, and territorial and urban oriented policies. Comparable case studies must represent different level or scales, territorial matters, types of countries (according to its regional planning

system, typologie of Non Central Government (NCG's) levels or its role in design and application of policies²⁰.

These case studies must illustrate in a comparable basis good and failed examples of governance processes from a double point of view:

- Multi-level governance processes (vertical approach), included OMC (see WP 2).
- Integrated cross-sectoral governance processes (horizontal approach) at different territorial levels.

Special attention will be paid to trans-national (cross-border) and subnational levels (urban, metropolitan and FUA) focusing on the most relevant policy packages procedures and mechanisms required for the application of the ESDP recommendations and objectives: integration of policies mechanisms, regarding wide common territorial issues such polycentrim, urban clusters, urban sprawl, urban-rural balance, accesibility and sustainability.

In order to provide quantitative information on these governance processes, data should be collected, at each territorial level, following the guidelines prepared in working package 3.

Timescale:	Months 5 – 15 of the project.		
Financing:	139,200 Euro labour only (12 days x 29 countries x 400 €/day)		
Deliveries :	13. 50-60 case studies 14. Data sets on urban and territorial governance		
Key tasks	Key partners	No of days	Months
Data collection	All partners	58 (2x29)	5-7
Case Studies	All partners	290 (10x29)	5-15

WP5. Analysis of Governance Trends: Indicators of Successful Governance and Models of Governance (WP leader: Nordregio)

Aim and Objectives

Having carried out the case studies, in a comparative basis, analysis of this amount of information will provide a comprehensive diagnosis of governance trends and disparities in order to:

- Develop typologies of governance processes in relation to:
 - types of territories (metropolitan, rural, peripheral),
 - types of policy packages (in relation with spatial planning tradition) and

²⁰ See e.g., among others criteria, Greiving, S. & Kemper, R. (1999): Integration of Transport and Land Use Policies: State of the Art. Dortmund (IRPUD); Taylor S, Bacthler J and Rooney M (2001), *Implementing a new Generation of Programmes: Project Development, Appraisal and Selection*, IQ-Net Paper 7.2.

- territorial levels (local –municipalities-, functional urban areas –FUA-, regional –NUTS 2- and transnational).
- Identification of territorial factors for a successful governance within territories. Governance requires four types of capital (also as territorial development planning): intellectual, social, political (all three part of Capital Institutional) and material (financial provision, quantity and quality of infrastructures...)
- Identification, in due case, of emerging and new planning paradigms

This work package will also directly feed into proposals for recommendations on governance (procedures and institutions)

Timescale:	Months 14 – 20 of the project.		
Financing:	25,600 Euro labour only		
Deliveries :	15. Development of governance typologies <ul style="list-style-type: none"> • A set of maps indicating the spatial distribution of governance structures and features in ESPON space. • An “inductive” classification of regions (NUTS2) according to the similarities of their governance features (cluster analysis). 16. A statement of identified indicators of effective territorial governance 17. An assessment on the economic and social relevance of a selection of governance indicators, differentiated according to region type (e.g. metropolitan area, rural areas, peripheral areas). 18. Overall findings and identification of emerging and new planning paradigms		
Key tasks	Key partners	No of days	Months
Comprehensive analysis/diagnosis of governance trends, applications, mechanisms at EU, transnational, national and sub-national levels, as well as existing territorial disparities and tentative of outlining models of governance	Nordregio & IGEAT	14	14-18
Mapping typologies	Nordregio & IRPUD	10	14-18
Statement of identified indicators	IRPUD & CUDEM	10	14-18
Assessment of territorial impact of good governance	IRPUD & Nordregio	12	15-19
Comprehensive findings: best practices and added value (and limits) of governance.	Core team	18	19-20

WP6. Development of Policy Orientations and Recommendations: EU Role in Territorial and Urban Governance (WP leader: UV)

As final step and taking together the work carried out under this project, policy orientations and recommendations will be developed. These policy recommendations will include:

- Recommendations for dissemination of good advice on governance
- Recommendations on improvement of governance at EU level in support of territorial cohesion in a longer term perspective.
- Proposals for actions of different kind at Commission level, trans-national and national level:
 - If arise divergences between identified factors of good governance in this project and the strategy developed in the Commission's White paper on European Governance
 - In order to reinforce the progressive construction of a macro-region (cross-border) system in the EU27+2 territory based on a more permanent and structured network of national and regional partners, and new (informal or not) cooperation mechanisms.
 - Special attention will be paid to the types of flows and interactions between the different territorial scales: question of the reciprocity of the top-down and bottom-up approaches

An expert workshop with professionals and practitioners will be held to test the models of governance relationships at various scales
- The task developed in this project, over all I some specific work package (as WP2) will allow us provide suggestions and orientations for a possible update or revision of the EU Spatial Planning Compendium.

Timescale:	Months 19 – 21 of the project.		
Financing:	21,600 Euro labour only		
Deliveries:	19. Recommendations for dissemination of good advice on governance 20. Recommendations on improvement of governance at EU level in support of territorial cohesion in a longer term perspective 21. Suggestions and orientations for a possible update or revision of the EU Spatial Planning Compendium		
Key tasks	Key partners	No of days	Months
Drafting and discussion of policy recommendations	Core team & all partners	36 (4x6; 1x(18-6))	19-20
Workshop for improving the policy recommendations	Core team	6	20
Discussion of draft policy recommendations with various stakeholders	Core team	12	21

WP7. Information sharing, management and coordination

The overall aim of this working package is to ensure the smooth and effective running of the project, to co-ordinate working group meetings, and networking with other ESPON projects and institutions in neighbouring and candidate countries, and to discuss finding at the interim stage. As part of this work package there are four working group meetings planned (see next section on travel expenses).

For a successful project implementation it is important to strengthen the overall research finding, to disseminate these widely across the research community, policy makers and practitioners, and ensure that the value of the research action is maximised.

University of Valencia, will ensure that the partners with the main responsibility for taking forward each working package will be kept up to date with progress on other ESPON projects. This will be facilitated by the development of an e-mail or web-based network with a series of key experts working on relevant ESPON projects. An additional network will also be set up with interested institutions from the candidate countries to facilitate the dissemination of research findings to these institutions.

In addition, the role and function of the project during the half-yearly ESPON symposiums will be utilised in order to achieve a fruitful exchange with all research and policy communities in the field.

Timescale:	Ongoing throughout the entire project: Month 1-21		
Financing:	40,000 labour costs plus 34,000 Euro travel expense: 30,000 for 4 meetings (3 core team +1 all partners) + 4,000 for participation in ESPON seminars		
Deliveries:	22. Smooth and effective running of the project 23. Dialogue with other ESPON projects and stakeholders		
Key tasks	Key partners	No of days	Months
Internal co-ordination of the project, organisation of working meetings etc.	University of Valencia	65	1-21
Dissemination of results and dialogue within the project and with other ESPON projects, the policy community and institutions from the candidate and neighbouring countries	University of Valencia	35	1-21

6. PROPOSED TIME TABLE

WP N°	Month																				
	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
1																					
2																					
3																					
4																					
5																					
6																					
7																					
Report																					
Meeting	★					★									★					★	
Year	2004				2005												2006				

★ Core team meetings ★ All partners meeting

WP 1: Conceptual Framework and Review of Indicators

WP 2: Application of Governance Practices: An Overview of European and State (Central and Non Central) Level

WP 3: Development of Methodology of the Impact Assessment Analysis

WP 4: Study of Cases

WP 5: Analysis of Governance Trends: Indicators of Successful Governance and Models of Governance

WP 6: Development of Policy Orientations and Recommendation: EU Role in Territorial and Urban Governance

WP 7: Information Sharing, Management and Coordination