



## TRANSFERRING TERRITORIAL GOVERNANCE IN EUROPE What, How and Through Whom?



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## Transferring Territorial Governance in Europe What, How and Through Whom?

- 1. The research context: ESPON TANGO
- 2. Territorial Governance: What to Transfer?
- 3. How Territorial Governance spreads across Europe?
- 4. Three modes of spreading
- 5. Final remarks







### **1. The research context: ESPON TANGO**

#### ESPON TANGO: Territorial Approaches for New Governance

(Priority 1 – Applied Research)

#### Time frame:

- Inception Report Dec 2011
- Interim Report June 2012
- Draft Final Report / Handbook June 2013
- Final Report / Handbook 20 Dec 2013

- Nordregio (Lead Partner)
- Delft University of Technology / OTB
- Politecnico di Torino
- University of Newcastle upon Tyne
- Hungarian Academy of Sciences (CRS)
- University of Ljubljana,
   Faculty of Civil and Geodetic Engineering









## **1. The research context: ESPON TANGO**

#### Policy and Research questions - "rephrased"

- 1) Understanding how vertical and horizontal coordination of policy levels and sectors respectively is managed across Europe.
- 2) Identifying the **barriers** to 'good' territorial governance processes and mechanisms and determining how these barriers are **being overcome**.
- Examining **institutional needs and capacity** at different levels. 3)
- Analysing what role national and regional spatial planning instruments can 4) play in creating better territorial governance.
- 5) Assessing the 'good' or innovative elements of territorial governance outcomes and processes and determining which aspects can be transferred to other cases (such as Cohesion Policy).
- Distilling a number of 'good' territorial governance practices for the 6) Handbook of good territorial governance. What to transfer and how?















A Policy	A Policy Transfer Framework (Dolowitz & Marsh, 2000)										
Want T	Why Transf Continuur	n	Who Is Involved in Transfer?	What Is Transferred?	2	From Whe	ere	Degrees of Transfer	on	How To Demonstrate Policy Transfer	How Transfer leads to Policy Failure
Voluntary	Mixtures	Coercive			Past	Within-a Nation	Cross- National				
Lesson Drawing (Perfect Rationality)	Lesson Drawing (Bounded Rationality)	Direct Imposition	Elected Officials	Policies (Goals) (content) (instruments)	Internal	State Governments	International Organizations		Policy Complexity (Newspaper) (Magazine) (TV) (Radio)	Media	Uniformed Transfer
	International Pressures		Bureaucrats Civil Servants	Programs	Global	City Governments		Emulation	Past Policies	Reports	Incomplete Transfer
	(Image) (Consensus) (Perceptions)						Governments			(Commissioned) (uncommission	
	Externalities Conditionality (Loans) (Conditions Attached to Business Activity)	Pressure Groups Political Parties	Institutions Ideologies			Local Authorities		Mixtures Inspiration	Structural Institutional Feasibility (Ideology) (cultural proximity) (technology) (economic) (bureaucratic	Conferences Meetings/ Visits	Inappropriate Transfer
	Obligations	Policy Entrepreneurs/ Experts	Attitudes/ Cultural Values Consultants Think Tanks Transnational Corporations Supranational Institutions	Negative Lessons			Past Relations		Language	Statements (written) (verbal)	







A further complexity: **Territorial governance** is not per se a 'policy'

- Rather a complex process integrating several policies for the improvement of a place
- Even the best practices of territorial governance are a mix of more and less good features
- Can territorial governance be transferred?
- What can be transferred in territorial governance?

ESPON TANGO's proposal:

Identifying 'features' of territorial governance within practices

#### **Promoters & Inhibitors**







## Main research components of the **ESPON TANGO project**



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#### **Conclusions from the Literature Review on territorial governance**

- Building on existing 'theories' of MLG and (territorial) governance to develop our five dimensions
- "Territorial" governance is a process .... the core question is how it contributes to achieving a specific territorial goal (<u>TG of *what*</u>?).
- "Territorial" governance is a way of helping to define or reify new types of "softer" or "functional" territories. <u>It may help to "unravel the territory"</u>
- Distinguish carefully:
  - a) governance of territories: "inevitably always there"

b) <u>territorial governance</u>: "how territorial knowledge/perceptions feed into (multi-level) governance"

 debate on "resilience" can offer fruitful insights into the role of knowledge and the adaptive/reflective capacity of actors & institutions







#### TANGO working definition of Territorial Governance: 5 Dimensions

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

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

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







#### 5 Dimensions and 12 Qualitative "Indicators"... and 42 Case Study Questions

Five dimensions of territorial	Twelve indicators for assessing	
governance	the performance of territorial	
	governance	Deleveradoria
Co-ordinating actions of actors and	Governing Capacity	Relevance and practicality of
institutions	Leadership	these indicators
	Subsidiarity	have been
Integrating policy sectors	Public Policy Packaging	positively
	Cross-Sector Synergy	validated by
Mobilising stakeholder	Democratic Legitimacy	<b>Delphi-survey</b> in
participation	Public Accountability	autumn 2012
	Transparency	
Being adaptive to changing	Reflexivity	
contexts	Adaptability	
Realising place-based/territorial	Territorial relationality	11
specificities and impacts	Territorial knowledgeability and	
	impacts	
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Deconstructing territorial governance at play: 12 cases





2. Good practices, policy transfer and territorial governance

12 Case Studies --> 158 features --> 67 "abstract" features

- 30 -> 13 for dimension 1 (Integrating policy sectors)
- 42 -> 14 for dimension 2 (Co-ordinating actions of actors and institutions)
- 34 -> 11 for dimension 3 (Mobilising stakeholder participation)
- 27 -> 15 for dimension 4 (Being adaptive to changing contexts)
- 25 -> 14 for dimension 5 (addressing place-based/territorial specificities)





# ESP ON

#### Understanding TG Transferability in the EU: What can be Transferred?

#### Example:

#### Dimension 2 "Co-ordinating actions of actors and institutions"

I	Features in practice	Case
4	Previous collaborative experiences on a similar urban development project	2stockholm_a
4	A stability in relation to organizational structures and on the whole a stabile memberships of these structures, which prevent breaks in terms of cross- border and transnational learning and also stimulates the building up of trust across borders	4rhinebasin
3	Previous collaborative experiences	12alpineadriatic



#### TG Promoter: Stability of cooperative experience





		Case Studies
Dimension	TG Promoters	
	<ul> <li>Acknowledgement of, and integration with, a multi-level policy framework</li> </ul>	3, 4, 5, 12
	<ul> <li>Political support to policy integration at the appropriate territorial scale</li> </ul>	4, 7, 11
	<ul> <li>Spatial tool favouring sectoral integration</li> </ul>	9, 10, 11
	Rationale catalysing integration	2
	• Involvement of relevant public and private stakeholders	2, 3, 4, 7
1. Integrating	Organizational routines favouring cross-sector fertilisation	6, 9, 11, 12
policy sectors	<ul> <li>Strong political commitment towards a shared territorial vision</li> </ul>	1, 2, 6, 8
	<ul> <li>Balance between flexibility and legal certainty</li> </ul>	4
	Monitoring process	Stakeholders w.shop
	Win-win situation – interest	Stakeholders w.shop
	Effective strategic framework – strategies	Stakeholders w.shop
	Leadership – vision	Stakeholders w.shop
	Compatible policy sectors	Stakeholders w.shop







#### **Dimension 1: Coordinating actions of actors and institutions**

#### • Distributing power across levels:

→ formal/informal – *regulatory/normative* – asymmetrical in practice due to territorial specificities

#### • Distinguishing modes of leadership:

- clear/transparent leadership influences positively other dimensions of TG

#### • Structures of coordination:

→ forums/conferences/workshops – *clear territorial goal or outcome important* – question of inclusion dependent on *financial and capacity resources* 

#### Dealing with constraints to coordination

→ Willingness to work up and down tiers and levels, but sometimes *no idea how to do this*; principles of coordination important (e.g. subsidiarity/solidarity/creation of a certain image)



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Dimension		TG Promoters	Case Studies
	•	Stability of cooperative experiences	2, 4, 7, 12
	•	Pro-active public organisation	3; 4, 10
	•	Motivation	4, 5
	•	Capacity of negotiation	8, 11
	•	Clear and uncontested leadership	2, 3, 6, 7, 11,12
	•	Self-committed leadership	1, 4
2. Coordinating actions of	•	Effective strategic framework	4
actors and institutions	•	Political commitment	9, 11,12
	•	Common goals, common history	Stakeholders w.shop
	•	Code of conduct – guidelines	Stakeholders w.shop
	•	Institutional capacity – qualified staff	Stakeholders w.shop
	•	Follow-up – monitoring	Stakeholders w.shop
	•	Leadership at the right level	Stakeholders w.shop
	•	Quality of motivation	Stakeholders w.shop







### **Dimension 2: Integrating policy sectors**

#### Structural context for sectoral integration

→ More explicitly addressed in *softer/functional contexts* (more experimental) otherwise *nested* in the governmental/administrative context

#### Achieving synergies across sectors

→ Less obvious than the structures (see above), working concretely for synergies often occurred through *dialogue among networks/(PP-)partnerships* 

#### Acknowledging sectoral conflicts

→ First step for dealing with it! *Dominating/powerful* sectors versus softer ones; often influenced by the tension between *short-term* political/sectoral goals and *long-term* territorial goals

#### Dealing with sectoral conflicts

→ Gathering info/knowledge about the (non-) dominating sectors; established traditions of cooperation/dialogue – boosting institutional capacity







Dimension	TG Promoters	Case Studies
Differsion	Political commitment	2, 4
	• Usage of various mechanisms of participation	8, 12
	<ul> <li>Mix of indirect and direct democratic legitimacy</li> </ul>	3, 11
	<ul> <li>Mechanisms allowing for broad stakeholders' involvement</li> </ul>	1, 2, 11
	<ul> <li>Information flow ensured</li> </ul>	7, 9
3. Mobilising stakeholder participation	<ul> <li>Effective means of communication/dissemination of information</li> </ul>	2, 3, 4, 6, 10, 11
	High level of accountability	2
	<ul> <li>Clear stakeholder process of involvement (choice, mechanisms, expectation)</li> </ul>	Stakeholders w.shop
	<ul> <li>How to motivate stakeholder (vision, benchmarking, learning)</li> </ul>	Stakeholders w.shop
	Feedbacks to stakeholders	Stakeholders w.shop
	Ownership of questions	Stakeholders w.shop







#### **Dimension 3: Mobilising Stakeholder participation**

#### • Identification of stakeholders

 $\rightarrow$  Freat variations: transparent processes  $\leftarrow \rightarrow$  no consistency at all

->question of power: who is designated to select - risk of nested networks

#### • Securing of democratic legitimacy and accountability

→ Democratic principle – question of ownership; seldom considered carefully within soft governance (i.e not congruent with jurisdictional boundaries)

#### Integration of interests/viewpoints

→ overall little consistency, often dependent on level of *political importance* (strategic/contested); some dynamics in terms of widening range of viewpoints e.g. through social media

#### Insights into territorial governance processes

 $\rightarrow$  how the viewpoints are dealt with; important understanding of the TG process as such (*where/when* to feed in), various media make TG more visible





		Case Studies
Dimension	TG Promoters	
	Co-production of knowledge, knowledge transfer	4, 9, 10, 11, 12
	<ul> <li>Institutional mechanisms that favour learning</li> </ul>	2, 7, 10
	Feedback procedures	1, 2, 3
	Institutional mechanisms supporting adaptivity	6, 7
	Role of people in charge of responsibility	2
	Flexibility of governance structure	3
	Experience in complex programming	11
	Multi-annual programming	Stakeholders w.shop
4. Being adaptive to changing contexts	Involvement, participation, commitment	Stakeholders w.shop
Changing contexts	<ul> <li>Adaptive management (small-steps, flexibility, room to change direction)</li> </ul>	Stakeholders w.shop
	• Exchanging best practices to understand the right amount of adaptation	Stakeholders w.shop
	Methods for attracting change	Stakeholders w.shop
	Power to decide change at the right level	Stakeholders w.shop
	Integrative holistic approach	Stakeholders w.shop
	Being conscious and being inspired	Stakeholders w.shop
		».







#### **Dimension 4: Being adaptive to changing contexts**

#### Institutional learning

Question of structures and routines and available resources; very dependent on prevailing leadership style

#### Individual learning and reflection

A prerequisite of the former - very central in the more soft arrangements; interpersonnel networking and trust; degree of motivation/passion – otherwise often given to little room/resources for absorption of info, reflection etc.

#### • Evidence of forward-looking actions

Only sporadically – almost no indicative practices; partly intrinsically built-in in the PPP (e.g. Flood risk, climate change) or part of scenario/monitoring work;

#### Scope of flexibility/experimentation

the less formalised, the more is the scope for flexibility or even experimentation









		Case Studies
Dimension	TG Promoters	
	Awareness of territory	2, 7, 8, 10
	<ul> <li>Involvement of different levels of government</li> </ul>	3, 12
	<ul> <li>Spatial tool for coordination</li> </ul>	2, 4
	<ul> <li>Acknowledgement and use of territorial potentials</li> </ul>	2, 3
	<ul> <li>Co-production of knowledge, knowledge transfer</li> </ul>	4, 11
5. Realising place-based/ territorial specificities	<ul> <li>Existing shared territorial knowledge</li> </ul>	7, 12
and impacts	Evidence of larger territorial context	Stakeholders w.shop
	<ul> <li>Spatially differentiated policies</li> </ul>	Stakeholders w.shop
	Territorial Impact Assessment	Stakeholders w.shop
	<ul> <li>Functional regions</li> </ul>	Stakeholders w.shop
	<ul> <li>Territorial oriented evaluation</li> </ul>	Stakeholders w.shop
	<ul> <li>Territorial challenges</li> </ul>	Stakeholders w.shop
	<ul> <li>Building trust – permanent cooperation</li> </ul>	Stakeholders w.shop
	Eliminate barriers to cooperate	Stakeholders w.shop







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

#### • Criteria/logic of defining intervention area

a) pre-defined by jurisd. boundaries or b) functional-based criteria (e.g. catchment area of river)

#### Coping with hard and soft/functional spaces

Tension between the two – concrete interventions dealt within hard spaces in the end; soft approach can challenge prevailing perceptions and routines being locked in hard spaces

#### Utilisation of territorial (expert) knowledge

High across all cases; who collects and owns this knowledge (and becomes knowledgeable) and to what extent it is built into routines?

#### Integration of territorial analysis

Strong variations; Ex-ante high – ex-post (low)



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



## How to transfer those features?

- **ESPON TANGO focuses on Territorial governance in** Europe
- A major opportunity: **Europe** allows a wider range of pathways for policy transfer
- "As for institutional matters, policy transfer in the EU and Europeanization may be considered as two sides of the same coin" (Wishdale et al, 2003)







## **Territorial governance**

- a policy process driving the spatial organisation of social life
- belonging in nature to artificial phenomena known as "institutions"
- its genesis and development should be thought as a cyclical evolutionary process of human trial and error based on:
  - 1) the generation of variety (in particular, a variety of practices and rules);
  - 2) competition and reduction of the variety (of rules) via selection;
  - 3) propagation and some persistence of the solution (the system of rules) selected.

(Moroni, 2010)









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## A. Dialogic mode

- "European policy affects domestic arrangements indirectly, by altering the beliefs and expectations of domestic actors" (Knill & Lehmkuhl, 1999)
- cognitive logic, "discursive integration" (Böhme, 2002)
- $\rightarrow$  ideas, principles, philosophy...
- e.g. European territorial cooperation programmes and projects
- spontaneous and "easier"
- voluntary, based on lesson drawing
- single cases, minor spread





#### A. Dialogic mode











## **B.** Operational mode

- "European influence is confined to altering domestic opportunity structures, and hence the distribution of power and resources between domestic actors" (Knill & Lehmkuhl, 1999)
- economic conditionality
- → methods, techniques, know-how...
- e.g. UPP, Urban initiative, territorial employment pacts
- rather complex
- all Member States involved
- direct and targeted







## **C. Institutional mode**

- "European policy-making may trigger domestic change by prescribing concrete institutional requirements [...]; EU policy 'positively' prescribes an *institutional model* to which domestic arrangements have to be adjusted» (Knill & Lehmkuhl, 1999)
- legal conditionality
- → rules, codes, laws...
- e.g. 'sustainable development'
- Ionger but 'enveloping' process
- coercive on all Member States
- most powerful but difficult to apply







Transfer modes	Interactive resources	Beneficiaries	Addressed dimension	Following paths to reach the borrowers	Influence mechanisms
	Practices of implementation	Practitioners	Domestic practices (p)	p1→D→d2n→p2n	lesson drawing
Dialogic	Techniques and methods for policy-making tools	Domestic policy-makers	Domestic tools (t)	p1→D→d2n→t2n	lesson drawing
	Rules for structuring TG	Domestic decision- makers	Domestic structure (s)	p1→D→d2n→s2n	lesson drawing
Operational	Techniques and methods for policy-making tools	EU policy- makers	EU Tools (T)	p1→D→T→p2n	Economic conditionality
Institutional	Rules for structuring TG	EU decision- makers	EU Structure (S)	p1→D→S→s2n p1→D→S→T→p2n	Legal conditionality Economic conditionality

Table 1: Modes for transferring good territorial governance in Europe.

















The "Rubikube" of better territorial governance in Europe









The five dimensions as such constitute a robust framework to consider territorial governance in daily practice.





- Territorial governance is not a policy per se, therefore is not transferrable as a whole (there is no one-size-fits-all approach to Territorial governance)
- Building on the case studies analysis and the working definition of territorial governance, it was possible to individuate, for each territorial governance dimension, a set of promoters and inhibitors of territorial governance, whose application (or avoidance) in other context may trigger good territorial governance processes.
- Still, several questions raise on the actual transferability of these features: who should be involved in the transfer? How to foster transfer?
- Various modes of spreading where identified, as potentials pathways that a TG feature may take when travelling from one context to another
- Those modes of spreading primarly involve specific groups of stakeholders







#### The Project:

- Provide a "toolbox" for those concerned with territorial governance in Europe
- **Overcomes complexities of policy transfer** through a pragmatic  $\succ$ approach, founded on the institutional nature of territorial governance
- Casts further light on European territorial governance as an evolutionary process based on articulated forms of policy transfer between the EU and the Member States
- Is relevant for policymaking insofar as it distinguishes various opportunities to spread good territorial governance in Europe

Deeper analysis of the relationship between possible policies/actions and specific place-based issues might improve the understanding of processes of "filtering out" and "in"







- The primary hope is that the Handbook may be of some usefulness to practitioners, policy and decision makers concerned with territorial governance in Europe
- Learning from the experience of directly involved players proved to be crucial for a complex policy field such as territorial governance
- A further hope is thus that after this guide's publication, the ESPON Coordination Unit may receive reactions and suggestions from stakeholders on its major strengths and weaknesses
- Continuous cooperation of scholars and stakeholders is a perhaps minor, but necessary, step towards the common aim of making the EU a smart, sustainable and inclusive place







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Thank you for the attention!





## 5. Building a Handbook

## **Options for the Future of Cohesion Policy**

- More practical tools to deal with conflicting sectoral interests
- Institutional capacity building investments as complementary priorities increase the level of preparedness for the "next" crisis.
- Make Partnership contracts truly collaborative forums financial measures and capacity for broad participation (ie smaller businesses)
- Territorial knowledge can be utilized in the new programmes. More timely utilization of ex ante or on-going evaluations in the policy design for the drafting of new programmes should be considered.
- Programmes could be more adaptable in terms of finding ways of transcending the "project" form. Includes questions of the "ownership" of results and the possible "institutionalisation" of sustainable strategies.







## 5. Building a Handbook

## Policy options for national, regional and local authorities

- Five dimensions framework offers a simple heuristic or guideline for considering, reviewing and eventually doing territorial governance processes
- Flexible governance or "softer" structures may have greater opportunities of building more forward-looking developments into projects. But how to incorporate in rigid administrative routines?
- Acknowledging territory by:
  - 1. the creation and work towards a **common territorial goal** or developing **a specific territorial rationale**,
  - 2. utilising a **high degree of flexibility** in policy design and implementation
  - 3. developing a **culture of collaboration** to link the policy, planning, civil society and scientific communities to coordinate territorial knowledge





