

TRANSFERRING TERRITORIAL GOVERNANCE IN THE EUROPEAN UNION



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Territorial Cohesion in Europe
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ESPON TANGO – Territorial Approaches for New Governance



(Priority 1 – Applied Research)

Time frame:

Inception Report – Dec 2011

Interim Report – June 2012

Draft Final Report/Draft Final Handbook – June 2013

Final Report and Final Handbook – Nov 2013

- Nordregio (Lead Partner)
- Delft University of Technology / OTB Research
- **Politecnico di Torino**
- University of Newcastle upon Tyne
- Centre for Regional Studies of the Hungarian Academy of Sciences
- University of Ljubljana, Faculty of Civil and Geodetic Engineering

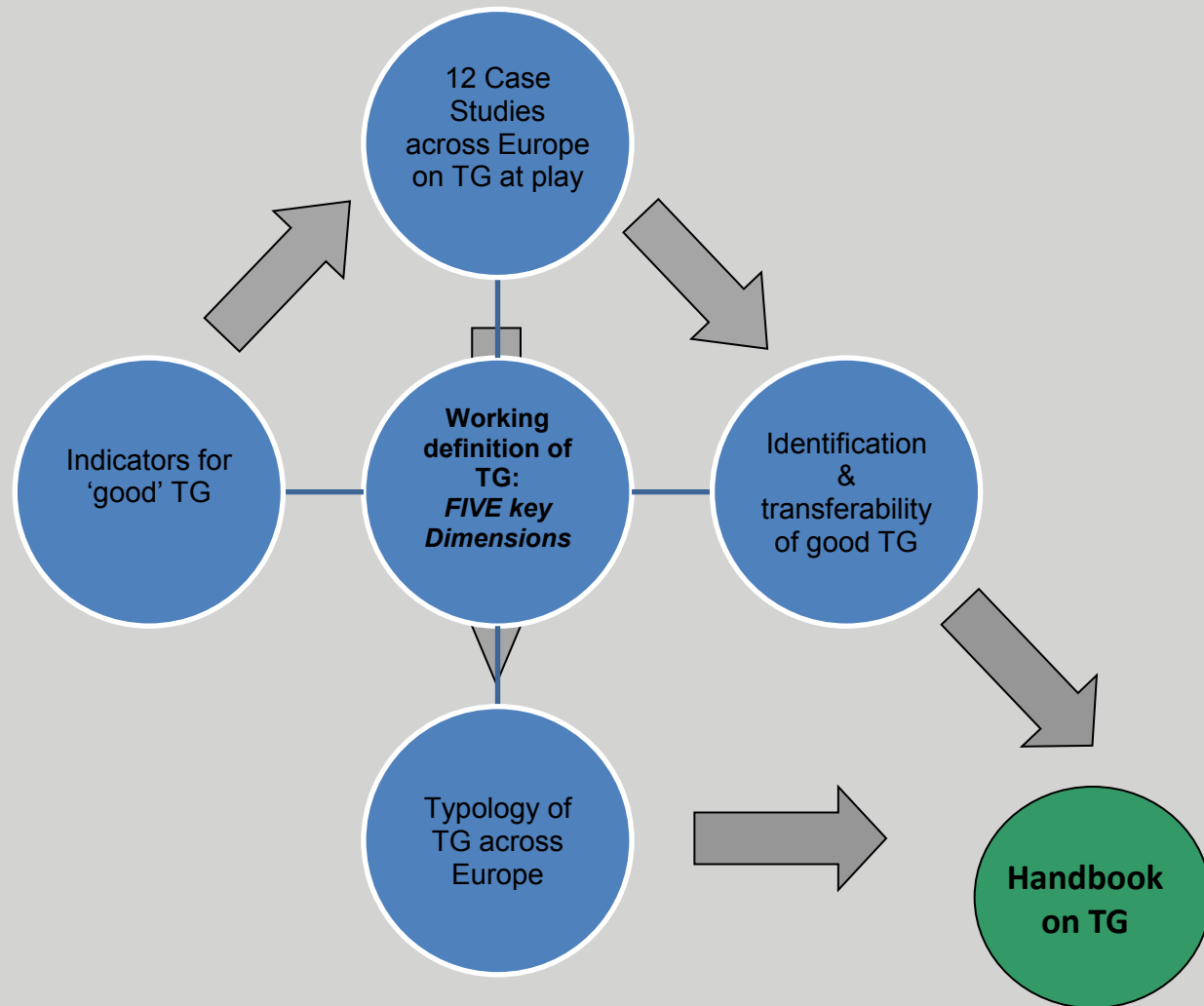
Outline

1. The ESPON Tango Approach
2. Understanding Territorial Governance Transferability in the EU
 - 2.1 What can be Transferred?
 - 2.2 How can it be Transferred? (which target audience?)
3. Conclusive Remarks

The ESPON TANGO approach

- Territorial governance matters for territorial *cohesion* ...
but how, to what extent and under which circumstances?
- Conceptualizing & defining (good) Territorial governance:
→ *Literature review – difficult to distinguish between analytical and normative notions*
- A dozen of Case Studies
→ *Studying Territorial Governance 'on the ground'!*
- Making our research valuable and practical for future Cohesion Policy/EU 2020 delivery:
→ *Distilling features of 'good' (and 'bad') territorial governance and reflecting upon their transferability*

Exploring Territorial Governance



TANGO *working definition* of Territorial Governance (TG)

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

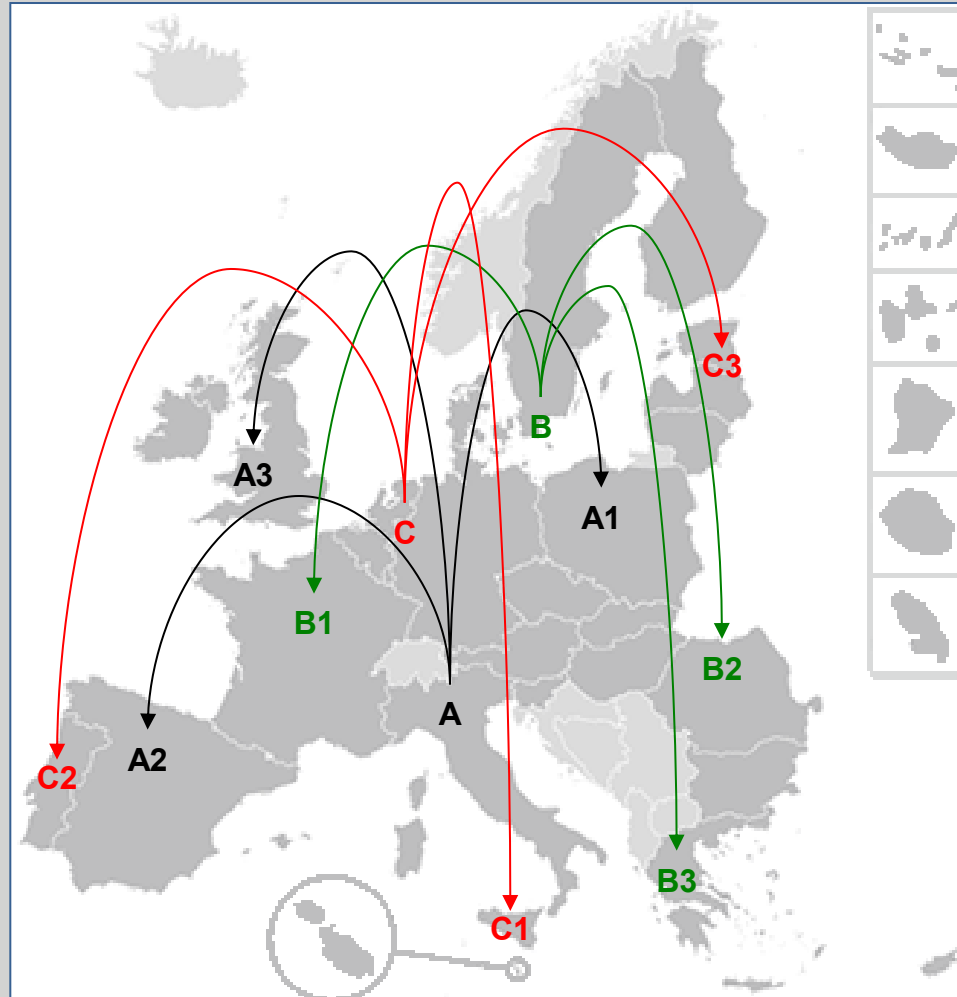
- 1) Integrating relevant policy sectors,**
- 2) Co-ordinating the actions of relevant actors and institutions by considering in particular the multi-level interplay,**
- 3) Mobilising stakeholder participation,**
- 4) Being adaptive to changing contexts**
- 5) Addressing the place-based/territorial specificities and characteristics.**

The project considers **1) to 5)** as “**dimensions**” of Territorial Governance (TG) which provide added value to achieving territorial cohesion.

The 12 TANGO case studies

Case	Geographical coverage
1. Macro-regional climate change governance in the Baltic Sea region	Baltic Sea Region, DK and DE
2. Resource efficient urban development	Stockholm (SE,)
3. Coordination of land-use and transport	Southern Randstad (NL)
4. Cross-border water management	Rhine River basin, in particular NL and DE
5. Target-based Tripartite Agreement (CEC, Italy, Lombardy)	Southern Europe, Alpine Space, IT
6. Innovative economic development strategies (Saint Etienne)	Southern Europe, Western Mediterranean, FR
7. Sub-regional governance through Local Enterprise Partnership (LEP)	England
8. Localism through Neighbourhood governance (NG)	England
9. Managing of Structural Funds in Central Eastern Europe	Hungary, Poland, Slovakia, Romania
10. European Capital of Culture, Pécs (2010)	Hungary (European wide comparison)
11. Implementation of regional development and spatial planning policies in Slovenia	Slovenia, Ljubljana Urban Region
12. Governance of natural areas in the Alpine Adriatic area	Alpine Adriatic area (SI, IT, AT, HU, HR)

Understanding TG Transferability in the EU



Understanding TG Transferability in the EU

A Policy Transfer Framework

(Dolowitz & Marsh, 2000)

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

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

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**

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

158 features

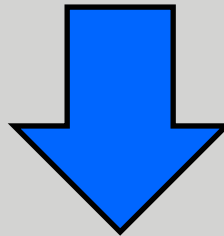
- 30 – dimension 1 (Integrating policy sectors)
- 42 – dimension 2 (Co-ordinating actions of actors and institutions)
- 34 – dimension 3 (Mobilising stakeholder participation)
- 27 – dimension 4 (Being adaptive to changing contexts)
- 25 – dimension 5 (addressing place-based/territorial specificities)

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

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

Dimension	TG Promoters	Case Studies
1. Integrating policy sectors	<ul style="list-style-type: none"> Acknowledgement of, and integration with, a multi-level policy framework 	3, 4, 5, 12
	<ul style="list-style-type: none"> Political support to policy integration at the appropriate territorial scale 	4, 7, 11
	<ul style="list-style-type: none"> Spatial tool favouring sectoral integration 	9, 10, 11
	<ul style="list-style-type: none"> Rationale catalysing integration 	2
	<ul style="list-style-type: none"> Involvement of relevant public and private stakeholders 	2, 3, 4, 7
	<ul style="list-style-type: none"> Organizational routines favouring cross-sector fertilisation 	6, 9, 11, 12
	<ul style="list-style-type: none"> Strong political commitment towards a shared territorial vision 	1, 2, 6, 8
	<ul style="list-style-type: none"> Balance between flexibility and legal certainty 	4
	<ul style="list-style-type: none"> Monitoring process 	Stakeholders w.shop
	<ul style="list-style-type: none"> Win-win situation – interest 	Stakeholders w.shop
	<ul style="list-style-type: none"> Effective strategic framework – strategies 	Stakeholders w.shop
	<ul style="list-style-type: none"> Leadership – vision 	Stakeholders w.shop
	<ul style="list-style-type: none"> Compatible policy sectors 	Stakeholders w.shop

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

Dimension	TG Promoters	Case Studies
2. Coordinating actions of actors and institutions	<ul style="list-style-type: none"> Stability of cooperative experiences 	2, 4, 7, 12
	<ul style="list-style-type: none"> Pro-active public organisation 	3; 4, 10
	<ul style="list-style-type: none"> Motivation 	4, 5
	<ul style="list-style-type: none"> Capacity of negotiation 	8, 11
	<ul style="list-style-type: none"> Clear and uncontested leadership 	2, 3, 6, 7, 11,12
	<ul style="list-style-type: none"> Self-committed leadership 	1, 4
	<ul style="list-style-type: none"> Effective strategic framework 	4
	<ul style="list-style-type: none"> Political commitment 	9, 11,12
	<ul style="list-style-type: none"> Common goals, common history 	Stakeholders w.shop
	<ul style="list-style-type: none"> Code of conduct – guidelines 	Stakeholders w.shop
	<ul style="list-style-type: none"> Institutional capacity – qualified staff 	Stakeholders w.shop
	<ul style="list-style-type: none"> Follow-up – monitoring 	Stakeholders w.shop
	<ul style="list-style-type: none"> Leadership at the right level 	Stakeholders w.shop
<ul style="list-style-type: none"> Quality of motivation 	Stakeholders w.shop	

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

Dimension	TG Promoters	Case Studies
3. Mobilising stakeholder participation	<ul style="list-style-type: none"> Political commitment 	2, 4
	<ul style="list-style-type: none"> Usage of various mechanisms of participation 	8, 12
	<ul style="list-style-type: none"> Mix of indirect and direct democratic legitimacy 	3, 11
	<ul style="list-style-type: none"> Mechanisms allowing for broad stakeholders' involvement 	1, 2, 11
	<ul style="list-style-type: none"> Information flow ensured 	7, 9
	<ul style="list-style-type: none"> Effective means of communication/dissemination of information 	2, 3, 4, 6, 10, 11
	<ul style="list-style-type: none"> High level of accountability 	2
	<ul style="list-style-type: none"> Clear stakeholder process of involvement (choice, mechanisms, expectation) 	Stakeholders w.shop
	<ul style="list-style-type: none"> How to motivate stakeholder (vision, benchmarking, learning) 	Stakeholders w.shop
	<ul style="list-style-type: none"> Feedbacks to stakeholders 	Stakeholders w.shop
	<ul style="list-style-type: none"> Ownership of questions 	Stakeholders w.shop

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

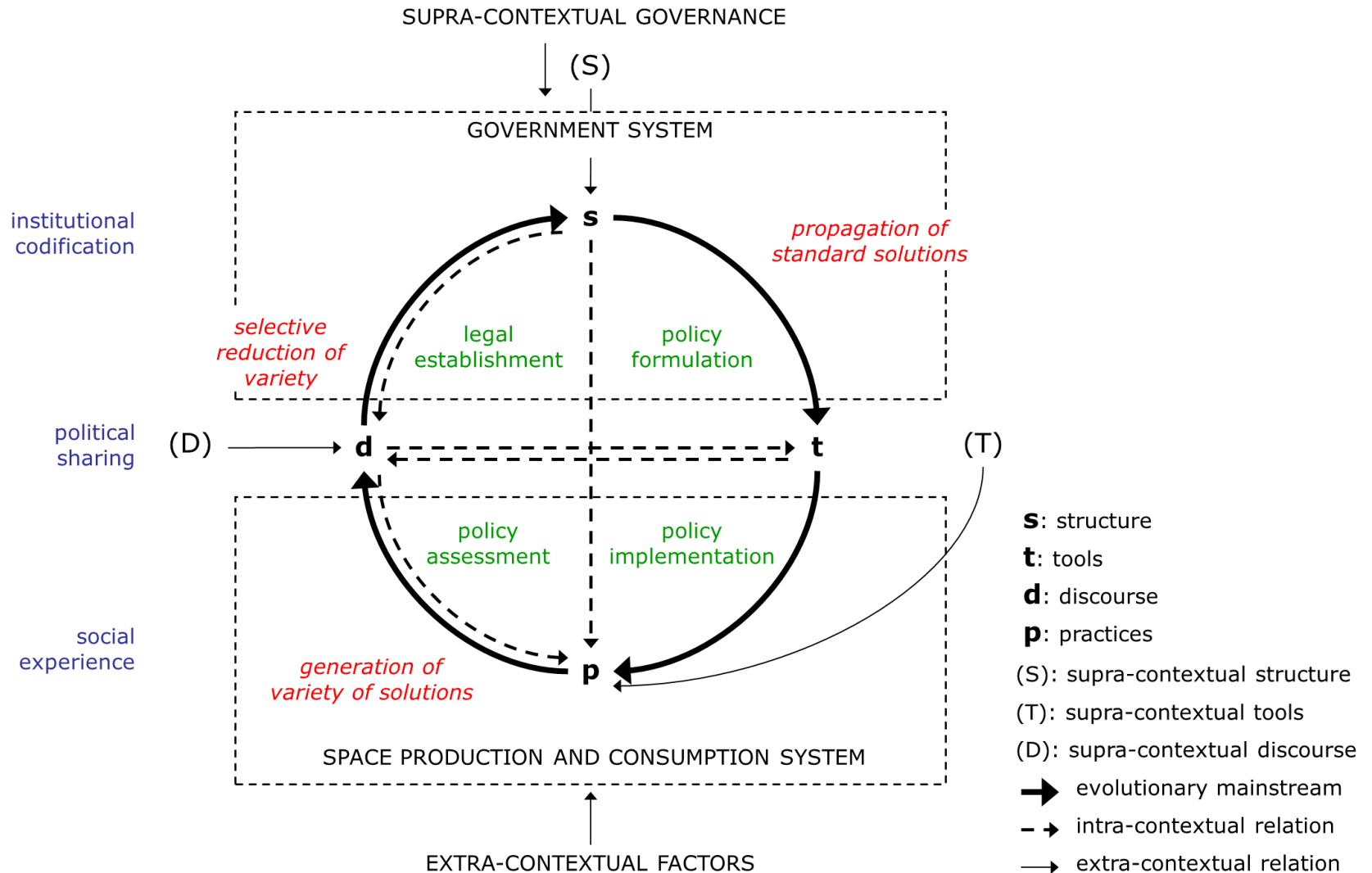
Dimension	TG Promoters	Case Studies
4. Being adaptive to changing contexts	<ul style="list-style-type: none"> Co-production of knowledge, knowledge transfer 	4, 9, 10, 11, 12
	<ul style="list-style-type: none"> Institutional mechanisms that favour learning 	2, 7, 10
	<ul style="list-style-type: none"> Feedback procedures 	1, 2, 3
	<ul style="list-style-type: none"> Institutional mechanisms supporting adaptivity 	6, 7
	<ul style="list-style-type: none"> Role of people in charge of responsibility 	2
	<ul style="list-style-type: none"> Flexibility of governance structure 	3
	<ul style="list-style-type: none"> Experience in complex programming 	11
	<ul style="list-style-type: none"> Multi-annual programming 	Stakeholders w.shop
	<ul style="list-style-type: none"> Involvement, participation, commitment 	Stakeholders w.shop
	<ul style="list-style-type: none"> Adaptive management (small-steps, flexibility, room to change direction) 	Stakeholders w.shop
	<ul style="list-style-type: none"> Exchanging best practices to understand the right amount of adaptation 	Stakeholders w.shop
	<ul style="list-style-type: none"> Methods for attracting change 	Stakeholders w.shop
	<ul style="list-style-type: none"> Power to decide change at the right level 	Stakeholders w.shop
<ul style="list-style-type: none"> Integrative holistic approach 	Stakeholders w.shop	
<ul style="list-style-type: none"> Being conscious and being inspired 	Stakeholders w.shop	

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

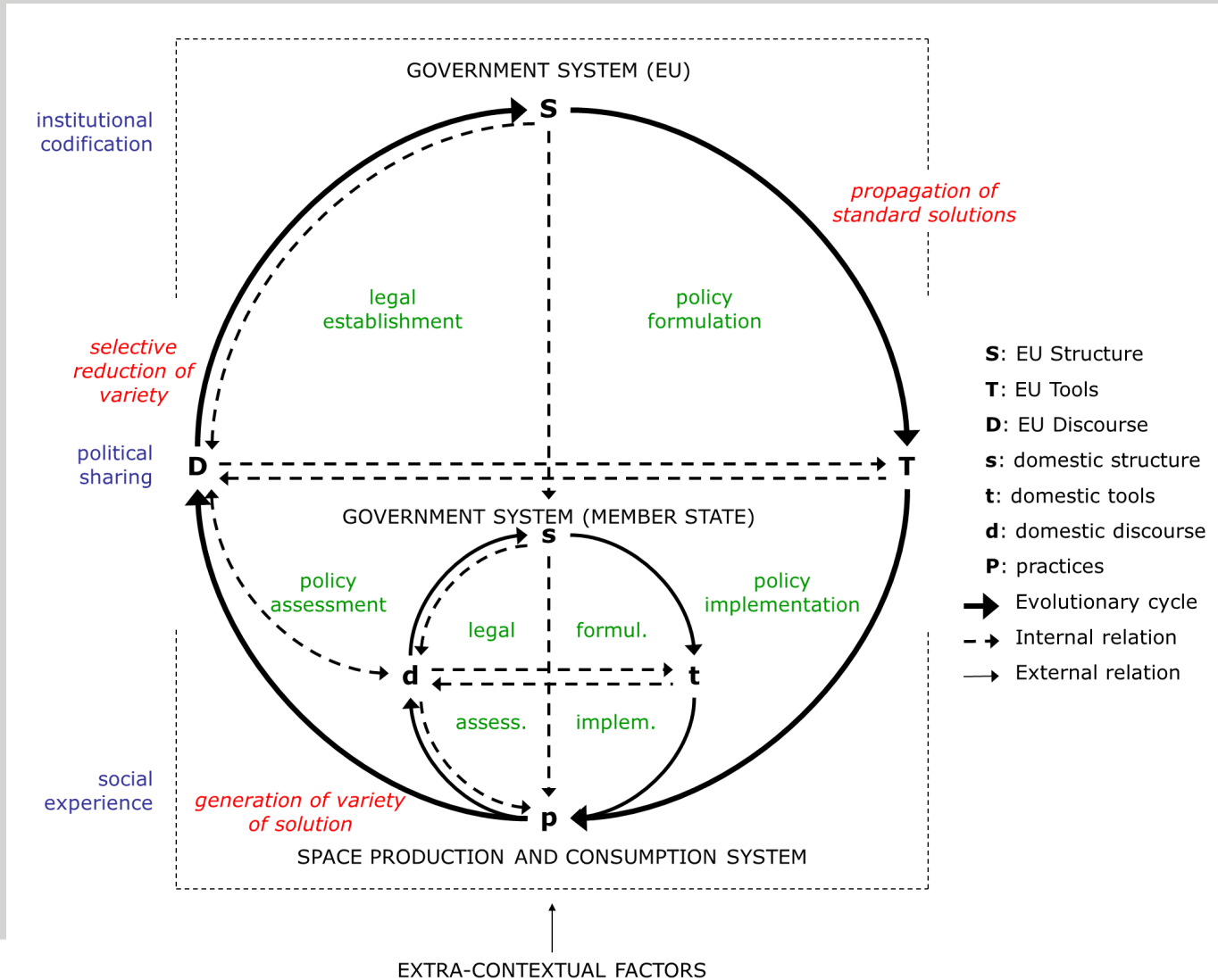
Dimension	TG Promoters	Case Studies
5. Realising place-based/ territorial specificities and impacts	<ul style="list-style-type: none"> • Awareness of territory 	2, 7, 8, 10
	<ul style="list-style-type: none"> • Involvement of different levels of government 	3, 12
	<ul style="list-style-type: none"> • Spatial tool for coordination 	2, 4
	<ul style="list-style-type: none"> • Acknowledgement and use of territorial potentials 	2, 3
	<ul style="list-style-type: none"> • Co-production of knowledge, knowledge transfer 	4, 11
	<ul style="list-style-type: none"> • Existing shared territorial knowledge 	7, 12
	<ul style="list-style-type: none"> • Evidence of larger territorial context 	Stakeholders w.shop
	<ul style="list-style-type: none"> • Spatially differentiated policies 	Stakeholders w.shop
	<ul style="list-style-type: none"> • Territorial Impact Assessment 	Stakeholders w.shop
	<ul style="list-style-type: none"> • Functional regions 	Stakeholders w.shop
	<ul style="list-style-type: none"> • Territorial oriented evaluation 	Stakeholders w.shop
	<ul style="list-style-type: none"> • Territorial challenges 	Stakeholders w.shop
<ul style="list-style-type: none"> • Building trust – permanent cooperation 	Stakeholders w.shop	
<ul style="list-style-type: none"> • Eliminate barriers to cooperate 	Stakeholders w.shop	

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

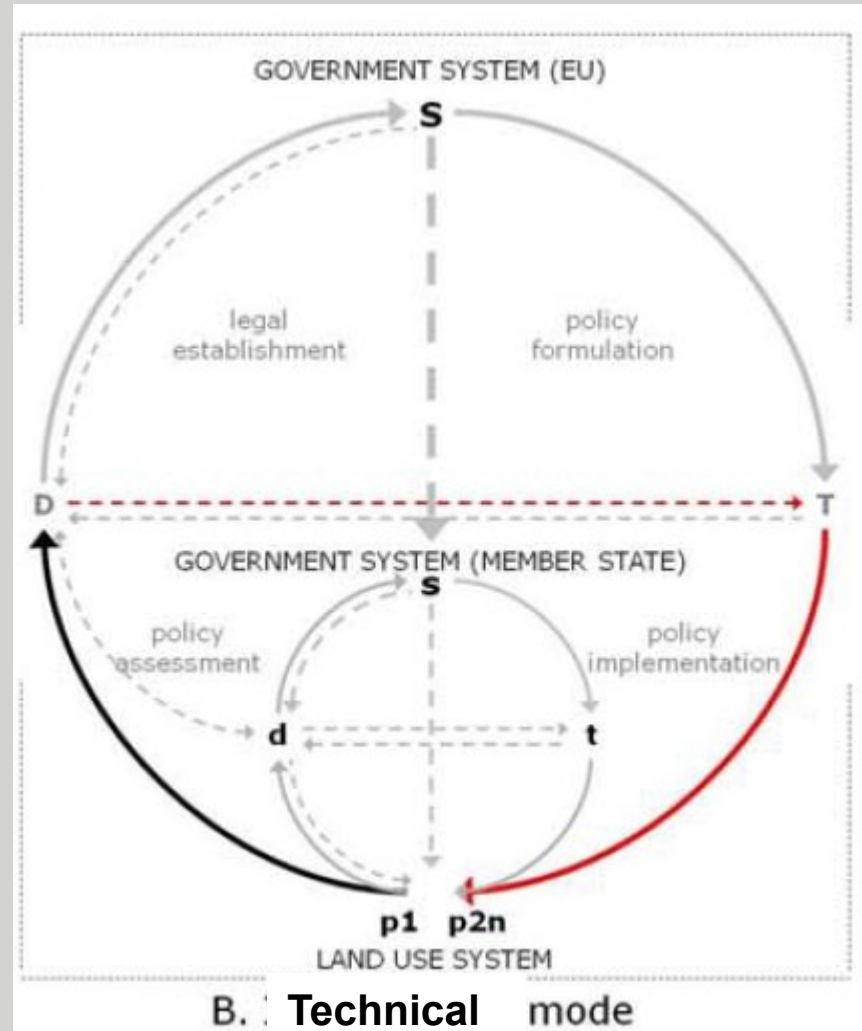
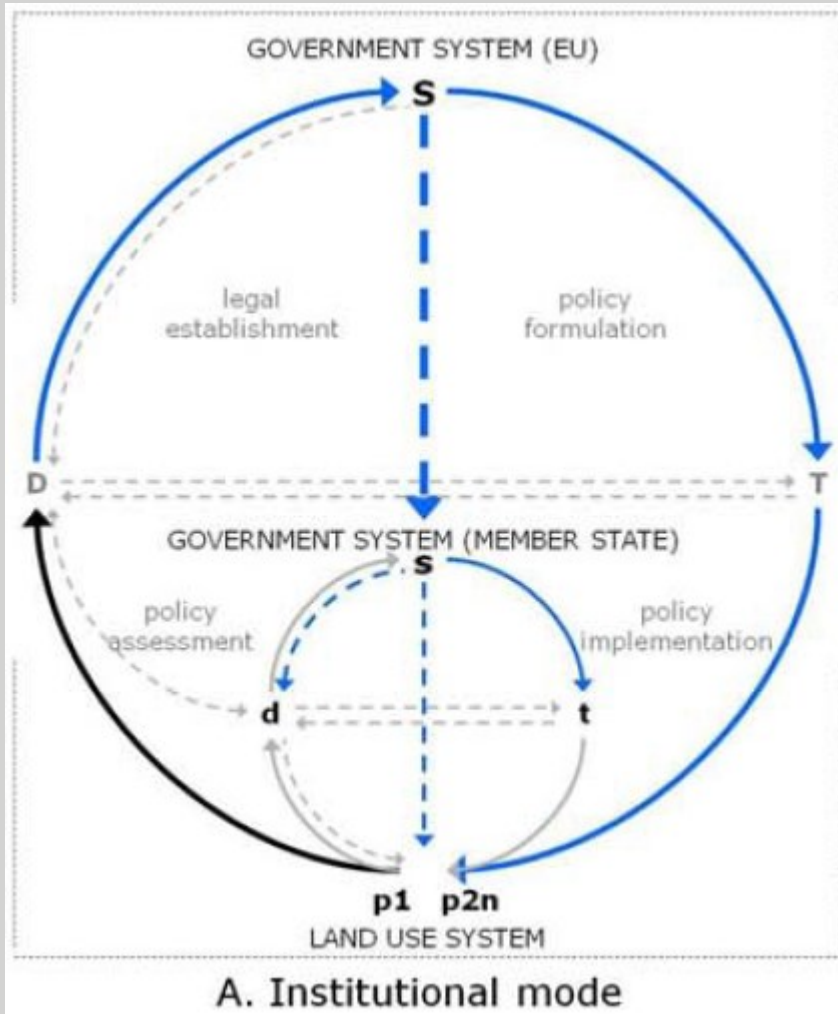
Understanding TG Transferability in the EU: How can it be Transferred?



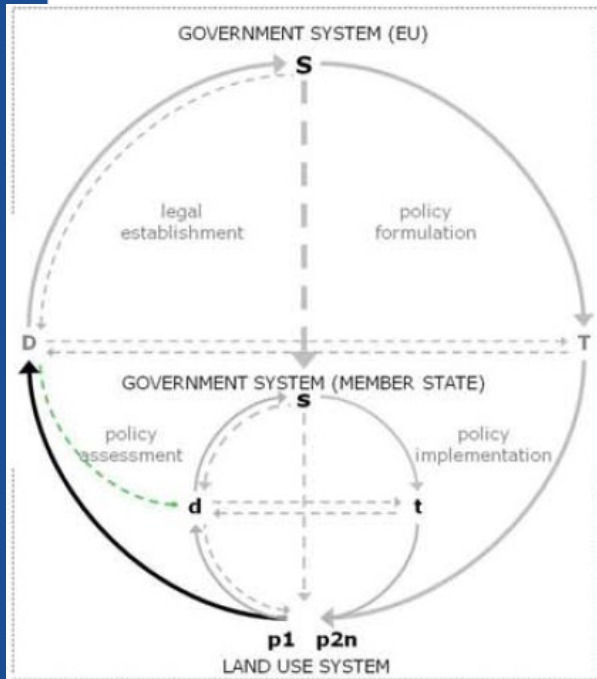
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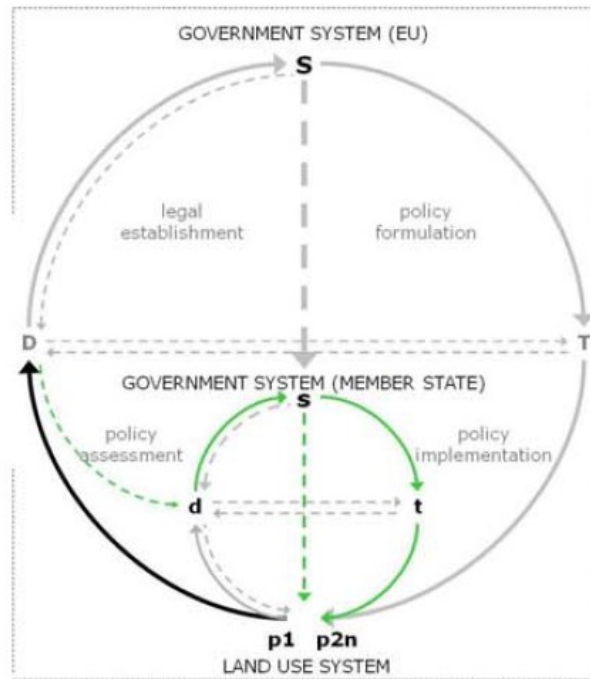
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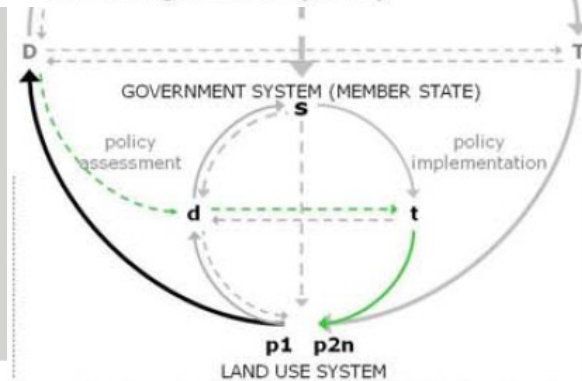
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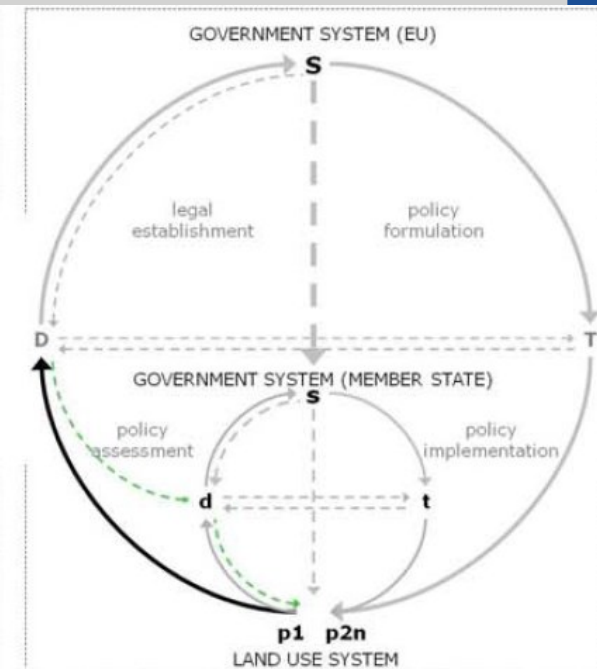
C1. dialogic mode (ideas)



C2. dialogic mode (rules)



C3. dialogic mode (techniques)



C4. dialogic mode (practices)

Understanding TG Transferability in the EU: How can it be Transferred?

Modes and components of transfer

A. Institutional transfer

- Rules
- Codes
- Laws

B. Technical transfer

- Methods
- Techniques
- Know-how

C1. Dialogic transfer (ideas)

- Ideas
- Principles
- Philosophy

C2. Dialogic transfer (rules)

- Rules
- Codes
- Laws

C3. Dialogic transfer (techniques)

- Methods
- Techniques
- Know-how

C2. Dialogic transfer (practices)

- Practices
- Joint projects
- Interaction

Discursive mode	Practical mode	Technical mode	Institutional mode
• Strong political commitment towards a shared territorial vision	• Organizational routines favouring cross-sector fertilisation	• Effective strategic framework – strategies	• Political support to policy integration at the appropriate territorial scale
• Win-win situation – interest	• Involvement of relevant public/private stakeholders	• Institutional capacity – qualified staff	• Spatial tool favouring sectoral integration
• Compatible policy sectors	• Common goals, common history	• Follow-up – monitoring	• Balance between flexibility and legal certainty
• Rationale catalysing integration	• Motivation	• Stability of coop. experiences	• Code of conduct – guidelines
• Acknowledgement of/ integration with, a multi-level policy framework	• Capacity of negotiation	• Pro-active public organisation	• Leadership at the right level
• Quality of motivation	• Effective means of communication/dissemination of information	• Mechanisms allowing for stakeholders' involvement	• High level of accountability
• Clear and uncontested leadership	• How to motivate stakeholder (vision, benchmarking, etc.)	• Information flow ensured	• Multi-annual programming
• Self-committed leadership	• Usage of various mechanisms of participation	• Feedback procedures	• Power to decide change at the right level
• Ownership of questions	• Exchanging best practices to understand the right amount of adaptation	• Methods for attracting change	• Role of people in charge of responsibility
• Adaptive management (small-steps, flexibility)	• Involvement, participation, commitment	• Territorial Impact Assessment	• Institutional mechanisms that favour learning
• Integrative holistic	• Co-production of knowledge and knowledge transfer		• Institutional mechanisms supporting adaptivity
• Being conscious and being inspired	• Experience in complex programming		• Involvement of different levels of government
• Evidence of larger territorial context	• Existing shared territorial knowledge		• Functional regions
• Territorial challenges	• Acknowledgement and use of territorial potentials		• Eliminate barriers to cooperate
• Awareness of territory	• Building trust – cooperation		• Spatially differentiated policies

Conclusive Remarks

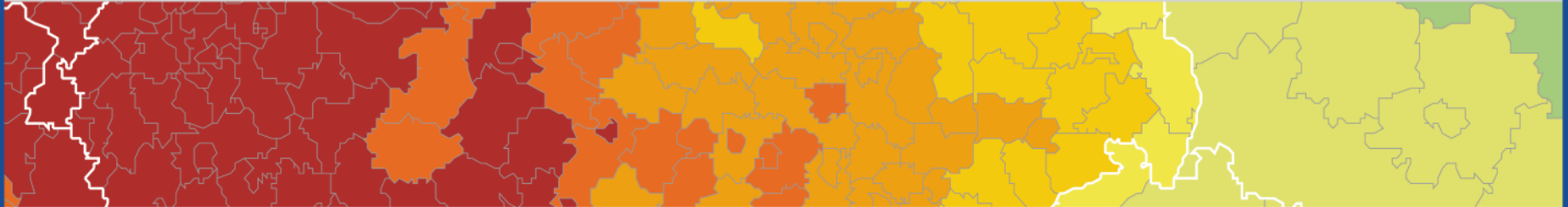
- Territorial governance is not a policy *per se*, therefore is not transferrable as a whole (there is no one-size-fits-all approach to Territorial governance)
- Building on the case studies analysis and the ESPON TANGO working definition of territorial governance, it was possible to individuate, for 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 transfer** where identified, as potentials pathways that a tg feature may take when travelling from one context to another
- Those modes of transfer target specific groups of stakeholders

Conclusive Remarks

Modes of transfer	Type of exchange	Main components	Target beneficiaries	Addressed dimension	Following paths to reach the borrowers	Influence mechanisms
Institutional	Coercive policy transfer	rules, codes, laws (specific)	EU decision-makers	EU Structure (S)	$p1 \rightarrow D \rightarrow S \rightarrow T \rightarrow p2n$ $p1 \rightarrow D \rightarrow S \rightarrow s \rightarrow p2n$ $p1 \rightarrow D \rightarrow S \rightarrow s \rightarrow t \rightarrow p2n$ $p1 \rightarrow D \rightarrow S \rightarrow s \rightarrow d \rightarrow p2n$	Legal conditionality
		Technical	methods, techniques, know-how (specific)	EU policy-makers	EU Tools (T)	$p1 \rightarrow D \rightarrow T \rightarrow p2n$
Dialogic		ideas, principles, philosophy (general)	Everyone	domestic discourse (d)	$p1 \rightarrow D \rightarrow d2$	discursive integration
		rules, codes, laws (specific)	Domestic decision-makers	Domestic structure (s)	$p1 \rightarrow D \rightarrow d \rightarrow s \rightarrow p2$ $p1 \rightarrow D \rightarrow d \rightarrow s \rightarrow t \rightarrow p2$ $p1 \rightarrow D \rightarrow d \rightarrow s \rightarrow d \rightarrow p2$	discursive integration
		methods, techniques, know-how (specific)	Domestic policy-makers	Domestic tools (t)	$p1 \rightarrow D \rightarrow d \rightarrow t \rightarrow p2$	discursive integration
		practices, joint projects, interaction (specific)	Practitioners	domestic discourse (p)	$p1 \rightarrow D \rightarrow d \rightarrow p2$	discursive integration
		Voluntary lesson drawing				

Conclusive Remarks

- Still, it does not seem neither possible nor profitable to look for ‘one-size-fits-all’ solutions concerning the transferability of territorial governance
- Rather ESPON TANGO aimed at building an evidence-based set of opportunities for innovation in territorial governance practices at different levels/in different contexts, from which various stakeholders may draw lessons according to their own peculiar needs
- Additional research is needed concerning:
 - **‘filtering out’** processes of translating and combing various features of good territorial governance from one context
 - **‘filtering in’** process through which specific territorial governance features may be taken on board in a different domestic context - (i) process of adoption, that gives origin to policies/actions according to new contextual forms or shapes (ii) degree of territorialisation, that is the relationship between these possible policies/actions and specific place-based issues at stake)



THANKS A LOT FOR YOUR ATTENTION !



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