



THE REVISED
METREX PRACTICE BENCHMARK

of effective
METROPOLITAN SPATIAL PLANNING PRACTICE

**Metropolitan governance
and the development of effective
Integrated Metropolitan Strategies**

Discussion note 2004

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INTRODUCTION

Purpose of this discussion document

As a Network of practitioners (politicians, officials and advisers) in spatial planning and development, METREX has long recognized the strong link between effective metropolitan governance and effective spatial planning and development practice. The Porto Metropolitan Magna Carta of 1999, promoted by METREX and the Aréa Metropolitana do Porto, set out the intention of the Network to,

- *Pursue the aim of effective spatial planning and development at the metropolitan level in Europe, by promoting the necessary competence, capability and process*
- *Cooperate in the exchange of spatial planning and development knowledge, understanding and experience, including the establishment and adoption of good practice*

Competence, Capability, Process

Competence means having the powers to approve, implement and safeguard a metropolitan strategy. Capability means having the knowledge and understanding to take informed spatial planning and development decisions. Process means having in place the means to regularly monitor, review, consult on and roll forward a metropolitan strategy.

Since 1999, METREX has successfully promoted the InterMETREX project, first through Interreg IIC as a pilot project, and then through Interreg IIIC to apply and develop the METREX Practice Benchmark of effective metropolitan spatial planning practice over the period 2003 to 2006 (see METREX web site at www.eurometrex.org for details and documents). METREX has also established an Expert Group on Metropolitan Governance and this Discussion Note summarises the outcome of its exchanges as a contribution to the evolving Practice Benchmark.

It will be for the InterMETREX project partners to consider how to reflect this Discussion Note in the outcome of the InterMETREX project

European context and the metropolitan dimension

The European context within which the issue of metropolitan governance now needs to be considered has changed since the Porto Convocation of 1999. The Lisbon Strategy has established European competitiveness as a key objective over the coming decade. The Third Cohesion Report now recognises territorial cohesion as a third aim of the European Union, together with social and economic cohesion. These aims have also been embodied in the draft European Convention.

Metropolitan regions and areas have a key role to play in responding to these European objectives as well as to the already established objective of the European Spatial Development Perspective (ESDP) to promote the more balanced and sustainable development of the territory of the EU. There are conflicts of interest between these related objectives of *competitiveness, cohesion and sustainability*, many of which can only be resolved at the metropolitan level. It is at the metropolitan level that the *integrated* consideration of these issues can be considered most *effectively* and the necessary balances struck between them.

This is the metropolitan dimension to European affairs

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1 The definition of European functional urban areas (ESPON)

The European Spatial Planning Observatory Network, ESPON, was established in 2003, under the Interreg III C programme, to advise Member States and the European Commission on spatial planning issues (see www.espon.lu)

With the ESPON 2006 Programme, and by addressing an enlarged EU territory and larger territorial entities, the Commission and the Member States expect to have at their disposal,

- * *a diagnosis of the principal territorial trends at EU scale as well as the difficulties and potentialities within the European territory as a whole*
- * *a cartographic picture of the major territorial disparities and of their respective intensity,*
- * *a number of territorial indicators and typologies assisting a setting of European priorities for a balanced and polycentric enlarged European territory,*
- * *some integrated tools and appropriate instruments (databases, indicators, methodologies for territorial impact analysis and systematic spatial analyses) to improve the spatial co-ordination of sector policies.*

ESPON has now identified 1595 Functional Urban Areas (FUA's), with populations over 50,000, 149 groups of FUA's and 64 potential Metropolitan Growth Areas (MEGA's). The methodology and indicators used are set out in ESPON project 1.1.1 (see ESPON web site). Other organizations, such as DATAR and the Conference of Peripheral Maritime Regions (CPMR), have also carried out analyses on the basis of similar methodologies and indicators (mass, connectivity, competitiveness, etc.).

As a general conclusion it would appear that there are probably some 150 to 180 *metropolitan* FUA's that have many *strategic issues* in common. Of these, perhaps 40 to 60 are of particular significance in terms of the wider European economy.

The policy issue that now arises from these analyses is,

What are the strengths, weaknesses, opportunities and threats within each of Europe's recognised metropolitan FUA's and what is the form of metropolitan governance that will be effective in each individual set of circumstances?

This Discussion Note explores the forms of metropolitan governance that might be considered by metropolitan regions and areas when they are addressing this issue

PolyMETREXplus Interreg IIIC project. Comparison of ESPON 1.1.1 and CPMR study typologies

ESPON Project 1.1.1

Key

Global nodes

European engines

Strong MEGA's

Potential MEGA's

Weak MEGA's

1 Paris
2 London

3 Munich
4 Frankfurt
5 Madrid
6 Milan
7 Rome
8 Hamburg
9 Brussels
10 Copenhagen
11 Zürich
12 Amsterdam
13 Berlin
14 Barcelona
15 Stuttgart

16 Stockholm
17 Helsinki

CPMR study

Key

Peripheral gateways 1
Peripheral gateways 2

Rising stars 1
Rising stars 2

Promising systems

Dilemma systems 1
Dilemma systems 2

11 Madrid

6 Roma

5 København-Malmö

18 Barcelona

7 Stockholm
2 Helsinki- Tampere

PolyMETREXplus

Key

19 PolyMETREXplus partners

10 Invited contributors
16 Invited METREX members

Paris
1 London

Madrid
Lombardia
Roma
Hamburg
Bruxelles
Øresund

Amsterdam
Berlin-Brandenburg
2 Calalunya
3 Stuttgart

4 Stockholm
5 Helsinki

18 Oslo
19 Düsseldorf
20 Vienna
21 Cologne
22 Manchester
23 Athens
24 Dublin
25 Gothenburg

26 Lyon
27 Antwerp
28 Turin
29 Rotterdam
30 Malmö
31 Marseille
32 Nice
33 Bern
34 Lisbon
34 Prague
36 Bremen
37 Toulouse
38 Budapest
39 Warsaw
40 Lille
41 Bergen
42 Edinburgh
43 Birmingham
44 Luxembourg
45 Palma de Mallorca
46 Bologna
47 Valencia
48 Bratislava

49 Naples
50 Bordeaux
51 Genova
52 Bucharest
53 Tallinn
54 Sofia

43 Oslo

25 Manchester-Liverpool

26 Göteborg

14 Lyon-Grenoble

4 Torino

5 København-Malmö

24 L'aire Métropolitains Marseillaise

22 Nice/Cannes/Antibes

19 Lisboa

12 Toulouse

13 Glasgow-Edinburgh

21 Birmingham-Black Country/Coventry

1 Bologna

29 Valencia

38 Napoli

15 Bordeaux

9 Genova

Not included

Ruhr
Wien
Ruhr

6 Athens

Lyon

Torino

7 Rotterdam

Øresund

Alpes-Maritimes

Lisboa

Prague

Budapest

Warsaw

8 Glasgow

9 Emilia-Romagna

Valencia

Napoli

Genova

10 Sofia

55 Sevilla
56 Porto
57 Ljubljana
58 Katowice
59 Vilnius
60 Krakow
61 Riga
62 Gdansk-Gdania
63 Wroclaw
64 Valetta

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42 Guadlaquiver
40 Porto

3 Venezia-Padova
8 Firenze
10 Bristol/Cardiff/Swindon
16 Leeds-Bradford
17 Belfast
20 Pais-Vasco
23 Nottingham/Derby
27 Zaragoza
28 Loire-Bretagne
30 Newcastle
31 Montpellier-Nîmes
32 Cagliari
33 Asturias
34 Alicante-Murcia
35 Bari
36 Palermo
37 Catania
39 Galicia
41 Malaga

11 Andalusia
Porto

Vilnius
12 Krakow

Wroclaw
13 Malta PA

14 Veneto

Pais-Vasco/Eurocity Basque

15 Zaragoza

16 Thessaloniki
17 Dresden/Leipzig/Chemnitz
18 Szczecin

19 METREX

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2 Metropolitan governance and the issues of sustainability and subsidiarity

The process of urbanisation across Europe has resulted in metropolitan areas and their hinterlands, or areas of social and economic influence, becoming the primary urban form. They are *metropolitan* in character because they function as one coherent and interdependent urban region or area. Some of the key features of this coherence and interdependence are as follows.

- 1 A significant population (500,000 plus) that lives within a coherent journey to work, or commuting, area.
- 2 Relationships that require strategic consideration and an integrated spatial planning and development response, including, particularly,
 - Land use and transportation
 - Urban renewal and regeneration and urban sprawl
 - City and town centre and out of centre retailing, commercial and leisure development
 - Urban and *greenfield* economic development
 - Urban and rural recreation and leisure activities and *green* open space networks
 - Environmental impact of strategic policies, programmes and projects
- 3 The need for the integrated strategic consideration of all such relationships in order to achieve the most *sustainable and effective* approach possible in an *integrated metropolitan strategy*.
 - Many of the strategic spatial planning issues of concern at the European level, such as *sustainability*, can only be addressed effectively at the metropolitan level. It is because the above issues are inter related, and balances have to be struck between them, that *effective* spatial planning and development is required at the metropolitan level.
- 4 The need for an appropriate form of *metropolitan governance* to identify and address such key issues and produce, update and sustain an integrated metropolitan strategy.
 - The concept of *subsidiarity* means that metropolitan areas are now the level at which wider European spatial planning objectives and can be realized most effectively. Without such metropolitan governance the populations of metropolitan areas are unable to influence some of the key issues affecting their future and its sustainability.

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3 Forms of effective metropolitan governance

Across Europe there are now a number of forms of effective metropolitan governance. They range from authorities with comprehensive statutory powers, through authorities with selected core powers to voluntary groupings of authorities with advisory powers only. They can be summarised as follows.

- Elected metropolitan authorities with a comprehensive range of social, economic, infrastructural, environmental and spatial planning powers, through which to plan and implement effective and integrated strategies.
- Elected or appointed authorities with selected core powers through which to plan and implement effective strategies to address key issues.
- Appointed metropolitan agencies or joint bodies with strategic planning responsibilities and advisory implementation functions.

The comprehensive form (see Diagram 1)

The establishment of elected metropolitan authorities with comprehensive powers for integrated strategic planning and implementation usually requires the restructuring of traditional forms of local government based on communities, towns and cities. It is therefore much less easy to establish than other forms of metropolitan governance based on the voluntary cooperation of existing authorities to address key issues of common interest such as economic change or transportation. However, the scale of the pressures, problems and opportunities being faced by some metropolitan areas can make the comprehensive form the most effective option.

The core powers form (see Diagram 2)

Where the key issues being faced by a metropolitan area are more specific or intense then it may be effective to establish a metropolitan authority with the core powers necessary to address these. Such forms usually involve the core spatial planning, transportation, economic and environmental powers necessary to achieve substantial urban renewal and regeneration or urban expansion.

The voluntary form (see Diagram 3)

Where there are established and integrated national and regional strategies in place, which have the support of the key stakeholders involved, it may be easier to plan and implement at the metropolitan level with fewer powers and a more voluntary approach.

Metropolitan finance

The financial resources available for effective metropolitan governance can include government revenue support and capital grants, local taxes or charges, loans (bonds etc.), public/private finance and revenue income. Only an elected metropolitan authority will have the mandate to raise finance from local taxes or charges and the discretion to allocate these resources according to its own priorities. Financial independence and discretion will be one consideration in choosing the appropriate model of metropolitan governance in any given circumstances.

Diagrams 1-3 offer forms of metropolitan governance that might be considered by metropolitan regions and areas when considering the most effective way to address the key issues that they face in their own particular circumstances

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Examples of forms of European metropolitan governance

Comprehensive model

- The former Scottish Regional Councils, which were disbanded in 1996 with the advent of the Scottish Parliament (For example, Strathclyde Regional Council 1976-1996. Initial European Commission/ECTP award for effective Regional Planning 1991)
- Landeshauptstadt Hannover

Core powers model

- Organisations for the Environmental Protection and Planning of Athens and Thessaloniki (2 separate authorities)
- Verband Region Stuttgart (VRS)
- Area Metropolitana de Lisboa and do Porto (2 separate authorities)
- Helsinki Metropolitan Area Council (YTV)
- Conseil Régional d'Ile-de-France

Voluntary model

- Glasgow and the Clyde Valley Structure Plan Joint Committee (GCVSPJC)
- Øresund Committee (Copenhagen/Malmö)
- Regionalplanung Zürich und Umgebung (RZU)
- Planungsverband Äußerer Wirtschaftsraum München
- Gemeinsame Landesplanung Berlin-Brandenburg

Elected metropolitan authority with comprehensive planning, operating and managing powers

22 primary stakeholders in the metropolitan strategic planning and development process (denotes privatised)

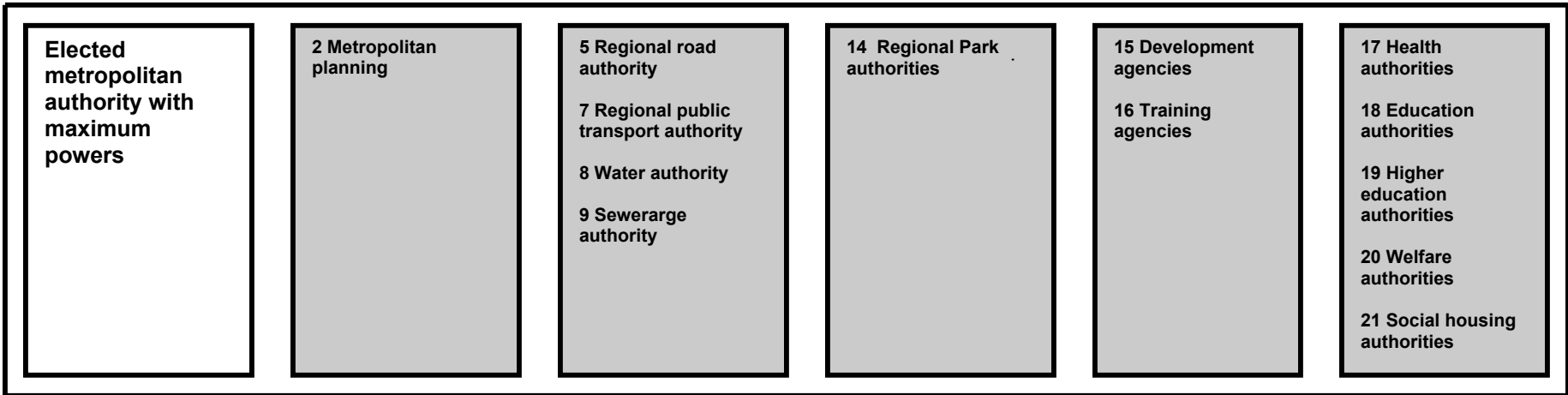
Spatial planning and development

Infrastructure
Transportation, Water and Sewerage

Environment
Natural and built heritage protection and conservation

Economic
Development and training

Social
Health, Education, Welfare and Housing



Related stakeholders

1 National government
3 Local planning

4 National road authority
6 National rail authority
10 (Rail operators)
11 (Bus operators)

12 Natural resources agencies
13 Built heritage agencies
14 National Park authorities

21 Social housing agencies
22 Private housebuilders

Elected metropolitan authority with core planning, operating and managing powers

22 primary stakeholders in the metropolitan strategic planning and development process (denotes privatised)

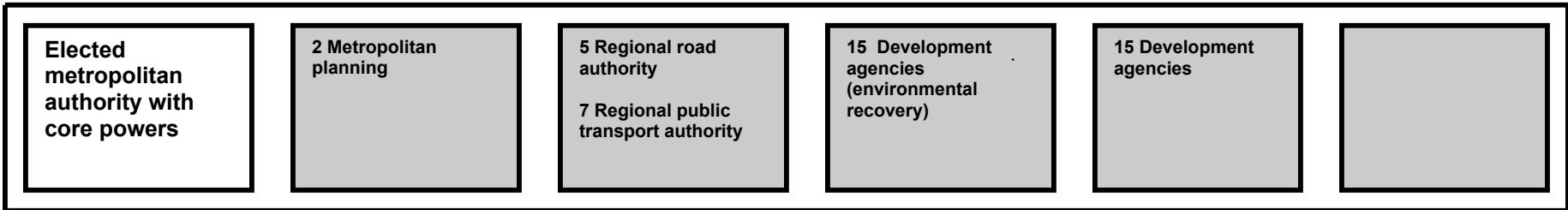
Spatial planning and development

Infrastructure
Transportation, Water and Sewerage

Environment
Natural and built heritage protection and conservation

Economic
Development and training

Social
Health, Education, Welfare and Housing



Related stakeholders

1 National government
3 Local planning

4 National road authority
6 National rail authority
8 Water authority
9 Sewerage authority
10 (Rail operators)
11 (Bus operators)

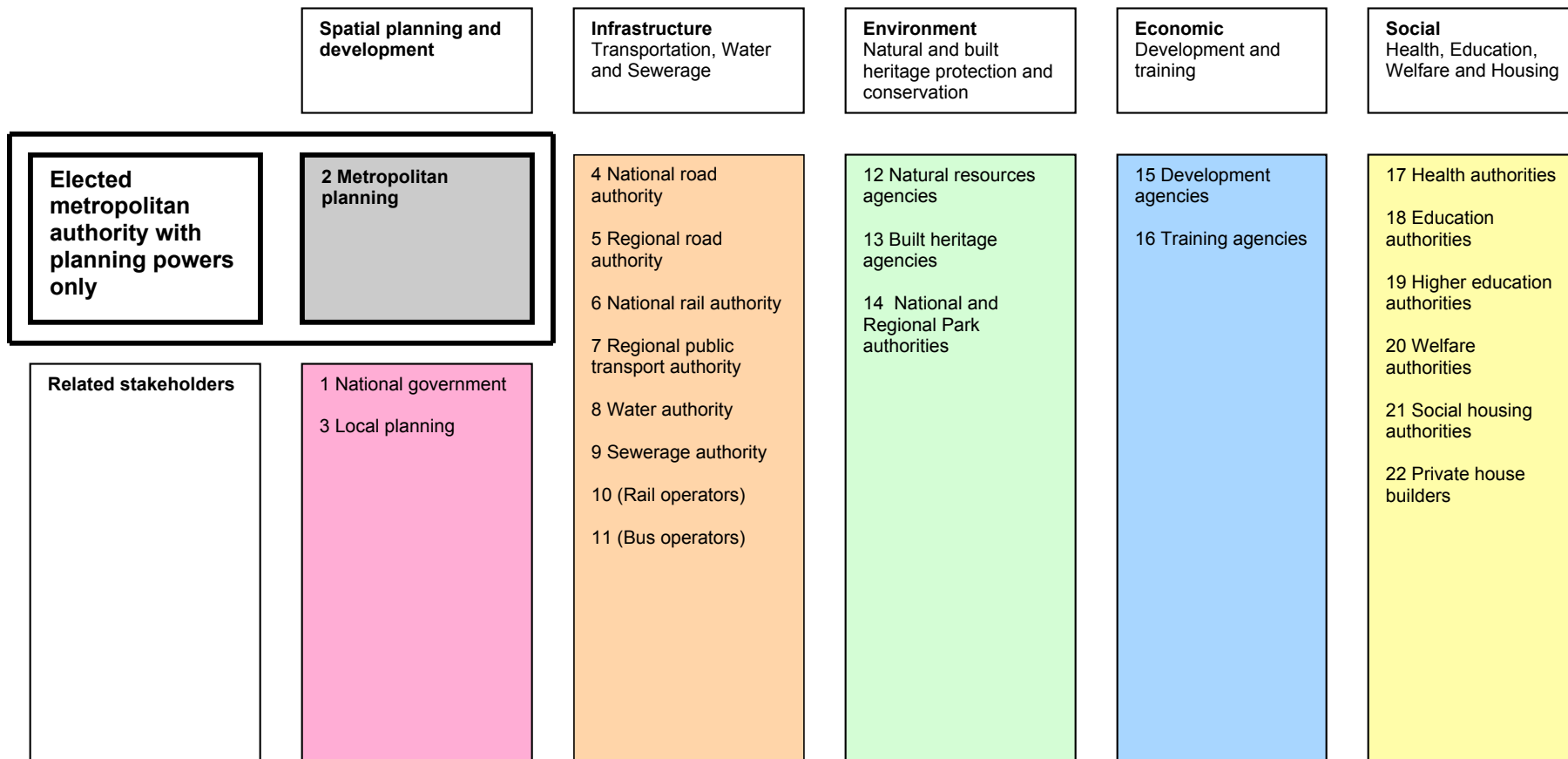
12 Natural resources agencies
13 Built heritage agencies
14 National and Regional Park authorities

16 Training agencies

17 Health authorities
18 Education authorities
19 Higher education authorities
20 Welfare authorities
21 Social housing authorities
22 Private house builders

Appointed metropolitan authority with strategic planning powers only

22 primary stakeholders in the metropolitan strategic planning and development process (denotes privatised)



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4 Key issues and stakeholder planning for effective strategy formulation and implementation

Diagrams 1-3 show 22 indicative categories of stakeholders in the metropolitan strategic planning process

The *key issues* that require to be addressed should be clarified and defined by the appropriate metropolitan stakeholders.

- Bodies with responsibility for specific social functions such as housing, welfare, education, health and culture and also for wider common issues such as social inclusion.
- Bodies with responsibility for specific economic functions such as promotion and training and also for common issues such as economic development and environmental renewal.
- Transportation authorities or companies with specific responsibility for operating the road or rail networks and services and also with wider common interests in urban change and the location of development.
- Environmental authorities or bodies with specific responsibility for safeguarding natural resources or urban heritage but also with wider common interests in sustainability. These include bodies responsible for water supply, sewerage and waste disposal.

Diagram 4 sets out the vertical and horizontal relationships that need to be considered when integrating metropolitan stakeholders into the process of strategy formulation and implementation

Strategic planning will not always be the primary function of such stakeholders but their integration into the strategic planning process means that the plan can be prepared on a more informed basis. It also means that the implementation of the plan will be that much more certain and effective.

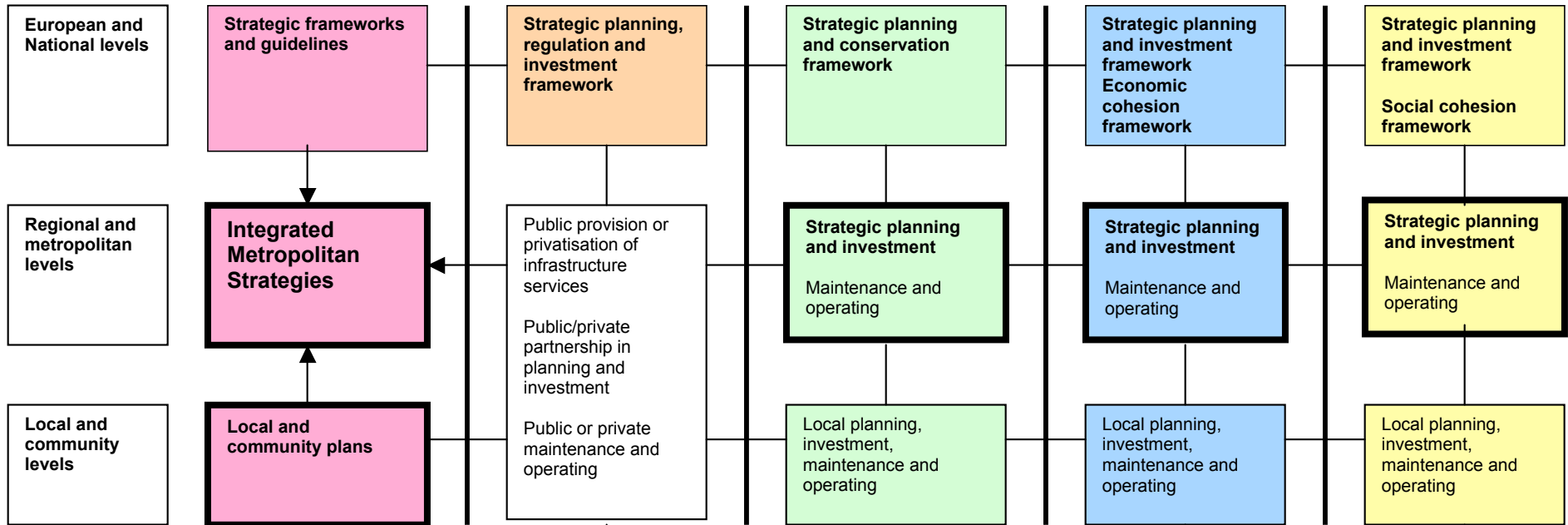
Diagram 5 is taken from the METREX Benchmark development Discussion Note (see METREX web site) and show the components of an Integrated Metropolitan Strategy

4 Metropolitan governance and Integrated Metropolitan Strategies

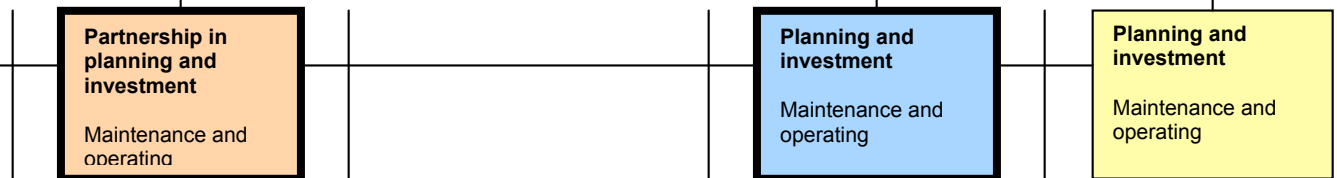
Vertical and horizontal relationships between stakeholder functions in the formulation and implementation of Integrated Metropolitan Strategies



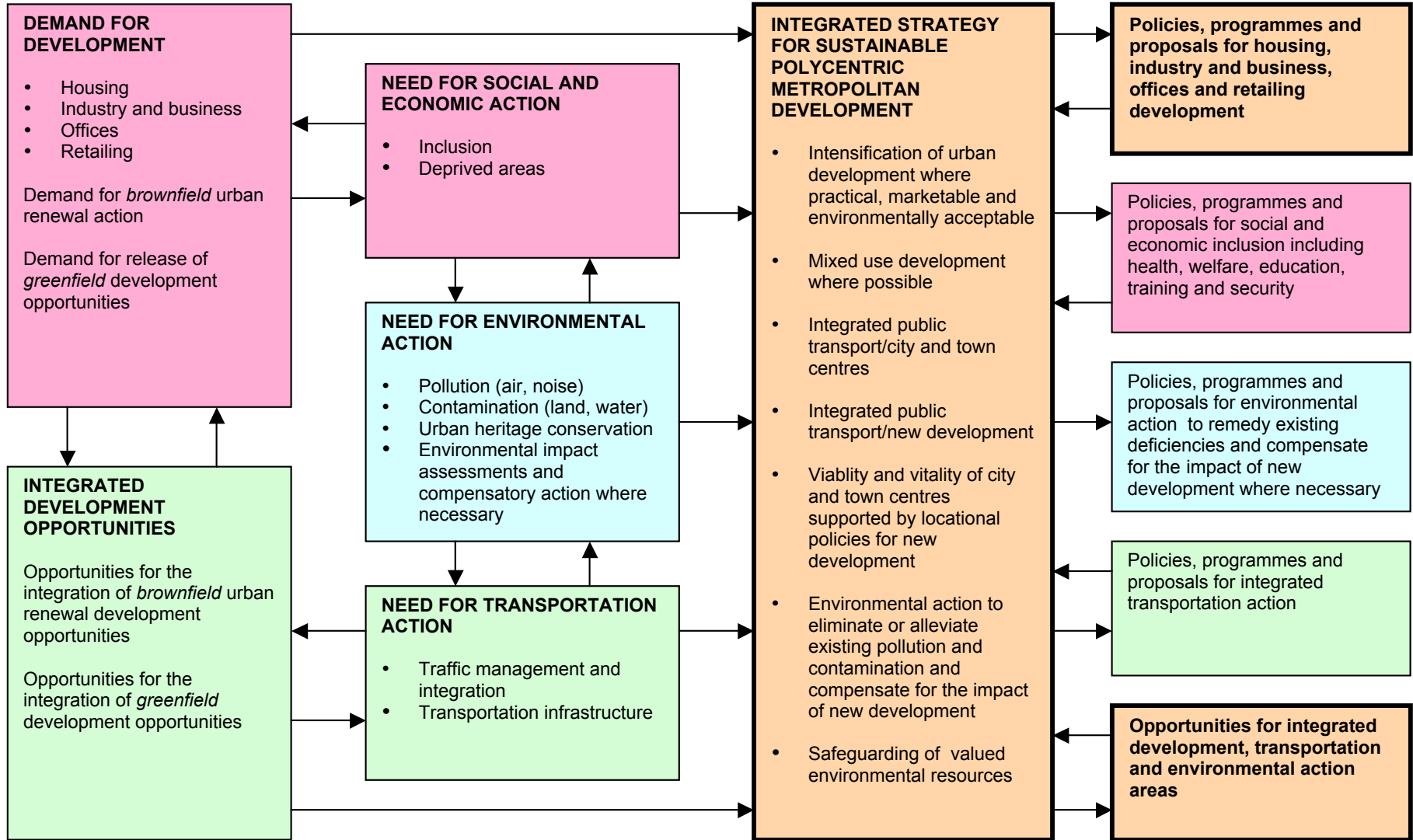
Subsidiarity - Public sector stakeholder functions usually organized vertically on a geographic and tiered basis



Functionality – Private sector stakeholder functions usually organized horizontally on a sectoral basis



Inter related action involved in the preparation of an integrated and sustainable Metropolitan Development Strategy



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5 METROPOLITAN initiative

This Discussion Note leads to the following conclusions.

- European policy should recognise the need for a *response* at the metropolitan level to take forward the related European objectives of sustainability, economic competitiveness and economic, social and territorial cohesion
- The *metropolitan* level is capable of definition
- Appropriate and effective metropolitan *governance* is required across Europe
- The *key issues* that require to be addressed should be clarified and defined by the appropriate metropolitan *stakeholders*
- An *integrated metropolitan strategy* is required to guide investment and action in the medium to longer term (5-20 years)
- The development of specific *measures* at the European level, to *promote and support* effective metropolitan governance and integrated metropolitan strategies, will *enable* a metropolitan response to European objectives
- These measures might be collectively embodied in an initiative such as METROPOLITAN

METROPOLITAN could have the following objectives.

Promote *recognition* of the importance of the metropolitan level across the wider Europe of the EU and the accession countries

- The work of ESPON, and others, on the definition of Functional Urban Areas enables a debate to be initiated, with the authorities and other stakeholders involved, on the recognition of those regions and areas that might be considered to be metropolitan in that they have international/European, national/interregional or regional significance.

Promote and support the *establishment* of appropriate and effective metropolitan governance

- Within such recognised regions and areas appropriate and effective models of metropolitan governance could be considered and promoted through further discussion between the authorities and other stakeholders involved. The form of governance adopted will depend on the key issues that the stakeholders conclude need to be addressed. The key issues will determine the competencies, capabilities and processes that the metropolitan body requires.

Promote and support the *production, implementation and regular review* of integrated metropolitan strategies with stakeholder involvement (see also the related METREX Benchmark development Discussion Note)

- The form and content of the integrated metropolitan strategy will depend on the key issues it seeks to address. The emphasis will vary depending on whether the balance in the strategy between the need for economic restructuring, social inclusion, environmental renewal, urban expansion, improved accessibility etc.

Support integrated metropolitan *action* on economic competitiveness, economic, social and territorial cohesion

- The strategy will set out the basis for the required action in the medium to longer term (5-20 years+). The emphasis will vary depending on the balance in the strategy between the need for capital investment and/or investment in human resources. Support could take the form of specific financial assistance, on a partnership basis, for the development of key strategic programmes and major projects.

Support a *sustainable* approach to the renewal or restructuring of metropolitan regions and areas on a polycentric basis

- A sustainable approach to European metropolitan strategies will involve compact urban forms and mixed use, public transport orientated development focused on city and town centres. A polycentric approach of this kind within metropolitan areas will require effective metropolitan governance.

Support the development of *polycentric relationships* between metropolitan regions and areas

- Metropolitan regions and areas might be specifically assisted to develop polycentric strategies for complementarity and cooperation between them in order to develop collective strengths and the territorial cohesion and better urban balance sought by the European Convention, emerging Cohesion policy and the European Spatial Development Perspective (ESDP).