proSpects

Report on Task 14:
Cities' Decision-Making Processes

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Preface

PROSPECTS (Procedures for Recommending Sustainable Planning of European City Transport Systems) is a project funded under the European Commission's Environment and Sustainable Development Programme. It is designed to provide cities with the guidance they need in order to generate optimal land use and transport strategies to meet the challenge of sustainability in their particular circumstances. The PROSPECTS consortium is led by ITS, University of Leeds (Great Britain) and includes the partners TUW (Austria), TØI (Norway), KTH (Sweden), UPM (Spain) and VTT (Finland).

This note contains the report on task 14 of PROSPECTS, for which VTT has had the responsibility. It is not a part of the formal deliverables of the project. The report was written by Tuuli Jarvi-Nykanen, Jukka Rasanen and Marko Nokkala of VTT. All PROSPECTS partners have contributed to the work on the task.

Espoo, March 2001
VTT Building and Transport

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CITIES' DECISION-MAKING PROCESSES

Summary

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The report presents the results of Task 14 of the first work package which reviews cities' decision-making processes of the project PROSPECTS: Procedures for Recommending Sustainable Planning of European City Transport Systems. The work was conducted in close collaboration with six Core Cities: Edinburgh, Helsinki MA, Madrid, Oslo, Stockholm, and Vienna.

The review of decision-making processes has demonstrated that they are complex, and differ considerably from one city to another. In addition, the views expressed by the interviewees even in the very same city may differ remarkably depending on the authority or stakeholder group they represent as well as of their personal attitudes.

In the core cities especially land use transport planning process may be very complex on the one hand because of the lenght of the term and on the other hand because of the often multi-stage decision making structure of the metropolitan area and its municipalities.

Cities are more likely to have direct responsibility for land use and traffic management and more likely to share responsibility for infrastructure. Public transport services, information and pricing are more likely to be the responsibility of others.

Cities' decisions are often strongly influenced by adjacent authorities and national government. The impact of regional authorities depends on the local government structure, and what is meant by the region, the Metropolitan Area or the county. The EU currently has only limited impact.

Cities are most likely to involve the business community in their decisions, and least likely to involve the media. The business community is considered to have the greatest influence on decisions, followed by the media and environmental groups. Public involvement ranges from intensive participation to limited involvement in public inquiries on specific projects. Nevertheless, transport users are considered to have the least influence on decisions.

Based on the interviews no comparison between the decision making structures identified, which works best or is most appropriate in different circumstances, has been made.

The results have been used to formulate a wider city survey to cover the full range of European cities.

1 Introduction

This report presents the results of Task 14 of Work Package 10 of the project that reviewed cities' decision-making processes. As with other parts of the project, the initial work has been conducted in close collaboration with a set of six Core Cities, who have committed themselves to contributing intensively to the project. These six cities, one from each of the partners' countries, are Edinburgh, Helsinki, Madrid, Oslo, Stockholm, and Vienna. Especially for this task the the personal interviews conducted with the different interest groups in each core city played a key role, since there is a relatively limited literature on decision-making processes in practice.

The report is structured as the questionnaire for the interviews having six main subjects. It first lookes at the organisational framework of and different decision levels in the decision-making processes, including both responsibilities of the city itself and the level of influence of other authorities. The technical methods for planning assistance are reviewed, as well models as other methods used. Who in practice is involved in the process officially or unofficially is discussed, and lastly the past and ongoing major changes affecting the processes are listed. The full questionnaire for Task 14 can be found as Appendix 3.

1.1 Aim

The goals of this task correspond to the sub objective 1 of the whole project, identifying the decision-making needs of cities. Although cities differ in their size, circumstances, needs etc. the aim of this task is to discover common practices of the decision making processes, bodies involved as well as the areas with most different approaches.

In Task 14 the broad approaches to decision-making were reviewed in the Core Cities to give guidance for a wider but limited city survey conducted in Task 16. The task will also give more thorough information for the Guidebooks where appropriate.

1.2 Background

Cities' decision making contexts may have substantial differences depending on the operational environment and the administrative structure adopted in each country and city (Le Gales, 1998). Some cities are fairly autonomous municipalities but some cities are composed of several separate municipalities with autonomous and joint decision making organisations. In addition, the national and regional administration may have an influence in the process; especially the commuting municipalities may need to be considered.

Two dimensions have been distinguished in the urban (regional) governance (le Galès 1998):

- the internal integration of organisations, actors, social groups and interest groups. In some cities these groups have been integrated to the mutual strategies, in others social or political conflicts block all collective action.
- the external integration is the ability to represent a undivided opinion of the region to other local authorities, the state or the EU.

Institutions in decision making can be categorised in three levels (Hukkinen 1999): operational rules, collective choice rules and constitutional choice rules. Operational rules

determine when, where and how to utilise certain resource; who monitors the action of others and how; what information has to be exchanged or withheld; and what prices apply to resource use. Collective choice rules have an indirect impact on operational choices. Managers and officials use the rules to form policy and to design management systems. Constitutional choice rules influence the formulation of policy and management agendas, and determine who may use the supplied resources.

Models of decision making have been developed to highlight the process (Page, 2000). In Appendix 2 two models of the decision making are presented in order to provide some background on the theoretical foundation on the optimal processes. The paper also describes the main limitations and the main characteristics of real life policy making.

The problem in the decision making is how to guarantee autonomy to global, long-term and primarily environmental imperatives against local, short-term and primarily economic demands. Pricing has been widely accepted as a suitable tool to allow individuals to maximise their utility, but at the same time keep the use of limited resource on a sustainable level. Another way is to include political discourse procedures in environmental management. Land use planning and environmental impact assessment could be developed into institutionalised forms of interaction between diverse interest groups. Public participation and democratic decision forums, of course, are likely to slow down the procedures, but this price has to be paid. (Hukkinen 1999).

1.3   Decision Making Structures

To understand how policy-making and decision-making are arranged in different European countries one has to remember also their political and economical histories. Even though all European countries are considered capitalist economies, the social, organisational and democratic regulations differ. The main categories may be simplified to three groups (le Galès 1998):

- extensive role of market economy – as in the UK

- greater interventionist role of the state – as in France

- institutionalised compromises between interest groups – like the Scandinavian countries and Germany.

These frameworks can be seen also when decision making in the fields of transport and land use studied.

The six core cities as regarded in this study are all except Vienna composed of several municipalities the main municipality being the city (regarding core cities the capital) giving the name of the metropolitan area. Oslo MA is composed of the city itself and 22 municipalities, Helsinki MA of four independent cities, Edinburgh MA of four, Madrid MA of 49 and Stockholm MA of 26 municipalities. A more detailed description of core cities' decision making structure can be found in Appendix 1.

2   Organisational framework

Within the organisational framework part of the survey, there seems to be a rather uni-
fied view of the planning horizons among the institutions interviewed. Table 1 below
presents a summary of the time-horizons in the cities. The long-term planning horizon is
generally considered to last up to 10-25 years, the medium-term planning horizon is
from 5 up to 15 years. This is very much depending on the type of the organisation, for
administrative bodies the time-horizons tend to be longer than those of the non-
administrative organisations. Short-term planning was considered for one year time pe-
riod in most of the organisations. For some of the organisations, the length of the plan-
ning period was linked with the funding resources, which usually made the period
shorter. Regarding the distinction between various types of time horizon, there seems to
be less unified opinion of the significance of time period in decision making. For most
of the organisations the period of planning was considered to make a difference, for few
it had no particular importance.

Table 1 Planning horizons in core cities.

City	Planning horizons				
	Short-term	Medium-term	Long-term	Update period	Scenario
Edinburgh	1-4	5	10-20	3-5	15
Helsinki	1	5	10-25	4-5	20-25
Madrid	1-3	4	10-20	4-8	20
Oslo	N.A.	4	10-20	4	12&15
Stockholm	1-3	10-15	20-30	4-10	15&30
Vienna	<5	5-12	10-20	5-10	20

In the medium-term, the plans were considered more directly followed than in the long-
run. The plans are more related to budgetary resources and in this sense more binding.
Some of these plans are also subject to public hearings as part of the decision making
process. The long-term plans are normally considered binding, often not by legal
framework but more like an agreement. It may help to maintain the strategy focus that
the long-term plans are reconsidered every few years, commonly every 4-8 years. This
will allow political cycles to influence the long-term plan. This may also change the
intended outcome of the strategy. Therefore, these long-term plans are not considered
final, but rather subject to consultation when something is going to be realised. Thus,
the role of long-term planning is more to provide some guidelines rather than strictly
oblige the authorities to follow the plan.

There are different reasons for producing the long-term and medium-term plans.
Although the plans are not binding and they are reconsidered every few years they may
be mandatory or at least common practice thus assisting regional cooperation and
guaranteeing sustainable development.

3   Decision levels

The purpose of this section is to illustrate the levels at which different decisions are made as a part of the formal process. We can distinguish between the EU, national, regional and local decision making levels. In this context the regional level covers both county and region levels and local level refers to municipality or city and metropolitan area levels of decision making. In some cases even subcity level may be important and has to be distinguished.

Although decentralised, the decision making at the regional and local levels may be to some extent regulated or supervised by authorities at a higher level. An important question is the extent to which local authorities have autonomy in their decision-making, or are subject to higher level verification.

For the cities (and regions) the construction of a European polity means that in order to develop collective project they have to be able to mobilise an extensive range of actors (private and public, local, national and international). If the cities already have substantial resources (finances, powers and collective actions) at their disposal, such co-operation is much easier to organise. So far, European integration has not homogenised the modes of government in different regions, but the confrontation between cities, regions and state is diminishing. Anyway, the degree of freedom and room for manoeuvre of the cities is growing, and different actors seem to change their behaviour accordingly. (le Galès 1998).

3.1   Responsibilities

The extent to which individual policy areas are the sole responsibility of the core cities is summarised in Table 2. In most cities, land use and traffic management are the sole responsibility of the city, perhaps with other agencies having a minor role. Conversely, infrastructure projects are predominantly the responsibility of others. Bus and rail service levels, information and pricing are shared in different ways in different cities. In practice, the position is not clear cut. Most cities commented that more substantial decisions involved other higher level organisations. Regional cooperation was a key issue for most cities; regional structures are in place in Helsinki. Madrid, Oslo and Stockholm, and were in operation in Edinburgh until 1996. Only in Vienna have they not been considered necessary.

Even if the responsibility would lie on a lower level authority there might be the possibility of national bodies to intervene with the local decision making, especially in the case of planning permissions. As put out by the Edinburgh authorities, there are cases where sufficiently significant applications can be referred to higher level authorities. In addition, most local authorities would liaise with the regional or national government official to discuss any initiatives and in the case of a problem it could be flagged at an early stage.

Table 2 Responsibilities in core cities

(E = Edinburgh, H = Helsinki, M = Madrid, O = Oslo, S = Stockholm V = Vienna)

Measure	Your Responsibility		Joint Responsi-bility	Other's Respon-sibility	If Joint or Other please identify them
	Municipality	Metropolitan Area			
Land-use	EHMOSV			MO	-Regional
Road building	EMS		HSV	EMO	-National -Regional
Public transport infrastructure	EO	S	HMOSV	E	-National -Regional Gov. - PT org.
Traffic management	EHMOSV		S	MO	-National -Regional -police
Bus and rail opera-tion	HO	HOS	MV	EO	-Regional Auth. -PT operators
Information provi-sion	EMOS	S	HMOV		-PT Regional Auth. -PT operators
Pricing	EHMOS	HS	MV	EHOS	-National Gov -PT Regional Auth.

The answers from city to city may also differ depending on the different authorities interviewed in each city, local representing a municipality or the metropolitan area, regional or even national.

3.2   Influence of other authorities

In general, adjacent authorities and national government have the greatest influence, and the EU the least. The influence of regional authorities depends on the regional structure, as indicated above. Most cities commented that they expected the influence of the EU to increase, particularly through funding.

In practice influence will depend on the issue under consideration, and there will have been some subjectivity in respondents' assessments of the degree of influence of different authorities.

In more detail, there is hardly any common pattern of interaction between authorities of different levels or authorities and decision makers to be established from the surveys. In some cases there exists even statutory guidance and cooperation and in the other the relationship is totally voluntary. However, the seemingly independent role of the local decision maker is admitted to be influenced to some extent by national, regional or local authorities and political parties but is practically free from the control of other administrative bodies.

Given the results of the survey it seems that the local authorities and decision makers do not have significant interaction with the EU officials, but there are likely to appear changes in the near future. Local research projects, transportation planning and even infrastructure are more often linked with the EU funding, which may require more interaction between the local and EU level administrators of the project funds. The participation of EU in the funding of a project can also have a positive effect on the acceptance of a project proposal, as pointed out by the representative of the Vienna Chamber of Commerce. However, even in such cases the local decision making is not linked with the instructions of the EU, although the requirements of tendering process must be taken into consideration. Furthermore sustainable development appeared to be an issue where the influence of the EU can increase.

It has also been pointed out that different authorities interviewed may have different opinions on the importance of the other authorities. This is a subjective matter, but it also depends on the issue. The influence of the authorities relates to their jurisdictions and hence the issue that is stake becomes relevant for the evaluation of the influence of the authority.

4   Models and/or other planning methods

The municipal authorities are in the position, where they need relevant information on the effects of alternative scenarios planned and on different transportation or land-use policy options. Decision makers need to base their decisions on the best possible information available on the current and future state of the region, regarding economy, sustainability, absolute amount of traffic etc. The purpose of this section of the questionnaire was to find out how common the use of models is and how the results are made use of in the decision making.

It seems that the models are widely used in local and regional planning in large regional units, such as those subject to this study. The models can be classified into transportation models, strategic or tactical and land use models. All of the core cities have their own models of the transport system, in many cases they have land use models as well. The models are either operated by the cities themselves or consultancies or even both. In some cases the municipalities operate their own somewhat simple models and then the results are used as inputs in more complex or special-purpose models operated by the consultants. Although model results are used to inform decision-making, they are not used alone, expert judgement is also very important. The models used and their categories are given in Table 3. (Note: Some open modelling suites can be applied in both strategic and tactical planning.)

Table 3 Models used in the core cities

Model type/ City	Transportation		Land use
	Strategic	Tactical	
Helsinki		PKS-model+EMME/2, SATURN	MEPLAN
Oslo	Fredrik+EMME/2	Fredrik+EMME/2	PANDA
Edinburgh	START, SATURN	TRIPS	DELTA
Madrid	-	EMME/2	-
Stockholm	Fredrik, T-RIM , Sampers, SIMS (+EMME/2, VIPS)	Fredrik, T-RIM , Sampers, SIMS	IMREL, ISP
Vienna	VISUM/VISEM	VISUM/VISEM	

The models are considered as a good aid for the decision makers. In general, the models are considered objective by their nature. However, a reference was made that the user of the model must also remain objective so that the interpretation of the models is not influenced by the researcher. Regarding the outcomes of the policy simulations, there have been checks to verify the results by some of the interviewed organisations, but not on the frequent basis and with varying results. Thus, it is very difficult to arrive to exact conclusions regarding the degree of explanation and credibility of the models based on our data.

5   Participation – persons involved officially/unofficially

Participation is an area in which practices differ greatly between countries. Some cities are required to consult with the public and business interests; some do so informally; few do so intensively (Flyvbjerg, 1998). Consultation can also take several forms, from comprehensive participation in decision-making to public inquiries into specific proposals. While there is a widely held view that the former is preferable, the latter is the norm in many cities.

The threat is that administrators and politicians turn reasoning into rationalisation and conversation into forcible persuasion. In such cases, power distorts policy deliberations. Strong interest groups (economy, media, etc.) can outweigh political groups, experts and even administrative bodies. (Flyvbjerg 1998)

The core cities' assessments of the influence of different interest groups in determining land use and transport strategies differ widely. Business and commercial interests are regarded to have very much influence in many cities, but only the media is assessed as having quite a lot of influence in all cities (Table 4). Business and commerce were considered to operate in many levels, through planners, authorities, politicians and finance. The media was stated to have control over the decision makers, both at the national and the regional level. The Helsinki MA authorities and politicians pointed out that the local, free-of-charge, papers are most problematic because of their lower standards for publishing articles and editorials.

The majority of the core cities considered that the public or any special group had rather limited influence. In the extreme case, the politicians were not in contact with the public at all. However, it has been part of the legal process in municipalities to have the public hearing regarding projects. These sessions can also attract politicians in addition to the administrative personnel responsible for organising the meetings. There is no clear opinion whether these hearings bear a greater weight in the decision making than simply fulfilling the required procedure.

Considering the participation of administrative officials in the decision making process, the officials are considered to carry out practical work, technical and administrative, in preparing the decisions.

Some groups, such as neighbourhood associations in Madrid, associations of local transport operators, health institutions, academic institutions, ethnic minority groups etc. may be involved in and have some influence on decision-making in the cities, but these organisations are considered to lack real power.

Table 4 Influence of interest groups in the decision making in core cities.

(E = Edinburgh, H = Helsinki, M = Madrid, O = Oslo, S = Stockholm V = Vienna)

City	Very much	Quite a lot	A little	Not at all
Public	ES		HMO	
Media	ES	HMOV		
Associations	E	SO	HMV	
Commerce	EHO	SV	M	

In conclusion, the decision makers are more or less under the influence of different interest groups, yet there seems to be no single group that could be classified as an unofficial decision maker. Political parties have control over the civil servants as well, meaning that the local decision making has political forces underlying. A decision maker gets most of his information from officials and is perhaps influenced mostly by the media and the commerce, which have significant amount of enforcement power. Media is also the most common channel for authorities and politicians to influence public as illustrated in Figure 1. However, it is difficult to establish a certain pattern of interaction, because different interest groups interfere only in the areas of decision making which concern their interests.

An individual person will not be able to influence the decision making greatly, as the process is not too considerate for individual opinions. The forum where an individual best can express his or hers opinion, the public hearing, is more of a mandatory part of the process than an interactice negotiation platform. Other means of influence, for instance the local movements, do not seem to have any significant influence.

Officials   **Public**

Decision maker

Commerce   **Media**
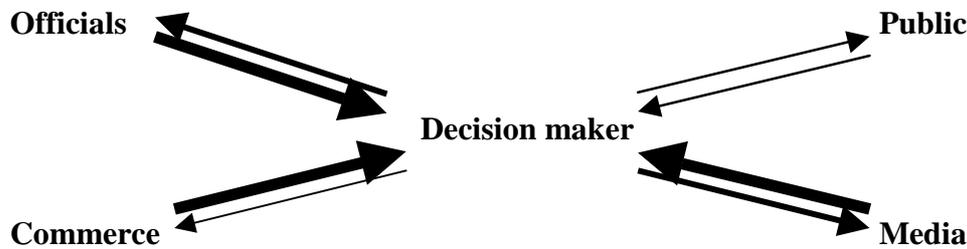
Figure 1 The interaction and influence of the political decision maker.

6   Changes

Factors, which core cities consider to have been the cause of the greatest changes in the decision-making process, are listed in Table 5. Most identified changes in political structures and responsibilities as driving forces. Also the introduction of Environmental Impact Assessment, and legislation and new technology was mentioned.

The changes taking place were listed to have effect on political, economic and technical environment of the decision making. Legal standards were considered to be more and more adjusted to the technical standards. New technologies have also contributed to the increased cooperation and information sharing. These have been important changes in terms of the know-how development and new means of cooperation between authorities at different levels and institutions. It seems that the changes pointed out in the interviews are mainly linked to either political or technical issues or regulatory framework. No direct comment on economic changes was made, but economic factors were regarded to contribute to the changes mentioned as driving forces.

Table 5 Major changes taking place in the core cities.

	Driving forces	**Changes**	
City		Political	Technical/regulatory
Helsinki	Education, information, economic and political reasons, public hearings		EIA
Oslo	Attitudes and awareness of the public, administrative districts		Legislation change to allow collecting new tolls
Edinburgh	Modernisation of Government	Restructuring of political DM-bodies	
Madrid	Political and economic factors	Increased cooperation in the planning process	New technologies facilitate coordination and information provision
Stockholm	Political and economic factors	Uncertainty of measures needed in the current situation	EIA
Vienna	Economic, political and social	Increased effectiveness in DM	EIA

Many interviewees placed the environmental impact assessment (EIA) among one of the major changes that has taken place over the last decade. This is also a legal constraint put into effect by the EU in order to increase the environmental sustainability in different regional projects. As the EIA process is necessary in certain types of projects, there has been an increase in the awareness of project designers regarding the inclusion of environmentally friendly elements into projects.

Not all cities responded to the question about changes expected in the next twenty years. The main differences concerned public participation, with some expecting it to increase, and others seeing it as having a diminishing role. Some mention was made of changes in technology. It was assumed that the process decision-making process could be shortened by using more efficient procedures and improved information systems. New technologies were also considered to improve the modelling and forecasting exercises.

7   Conclusions

The review of decision-making processes has demonstrated that they are complex, and differ considerably from one city to another. It should also be remembered, that the views expressed by the interviewees have been personal and do not necessarily in all aspects reflect the standpoints of the cities. The interviewees' opinions and attitudes may differ remarkably depending on the authority or stakeholder group they represent. However, some common conclusions can be drawn:

- in large cities like the Core Cities especially land use transport planning process may be very complex on the one hand because of the lenght of the planning term and on the other hand because of the often multi-stage decision making structure of the metropolitan area and its municipalities;

- cities' decisions are often strongly influenced by adjacent authorities and national government; the impact of regional authorities depends on the local government structure; the EU currently has only limited impact;

- cities are more likely to have direct responsibility for land use and traffic management and more likely to share responsibility for infrastructure; public transport services, information and pricing are often to be the responsibility of others but the cities may have kept the responsibility of some subsector themselves;

- the business community is considered to have the greatest influence on decisions, followed by the media and environmental groups; transport users are considered to have the least influence;

- public involvement ranges from intensive participation to limited involvement in public inquiries on specific projects;

- cities are most likely to involve the business community in their decisions, and least likely to involve the media.

While we have identified a range of decision-making structures and processes, no conclusions can be made which of these work best, or are most appropriate in different circumstances.

8 References

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APPENDIX 1

Cities' Decision Making Structures

EDINBURGH

Edinburgh is the capital city of Scotland which, since 1999, has enjoyed devolved government within and as a part of the UK. The Scotish Executive, the new governing body, now has substantially wider powers over transport and land-use policy in Scotland than did the Scotish office prior to devolution and these powers are democratically controled through the Scotish Parliament. There is, therefore, a UK, a Scotish and an Edinburgh city dimension to transport and land-use policy in Edinburgh. In addition, there is a private, as well as public, sector dimension to transport planning as the majority of public transport in Scotland (as it is in great Britain as a whole) is operated by the private sector.

The guiding principles for UK-wide transport and land-use policy are set out by the UK government, through the Department of the Environment, Transport and the regions (DETR). The Scotish Executive then provide guidance on the application of these principles to transport and land-use planning in Scotland.

City of Edinburgh Council's land-use and transport responsibilities are managed together within a single department. This department has exclusive responsibility for land-use planning and for local roads, whilst it has varying degrees of shared responsibility for strategic roads and local public transport.
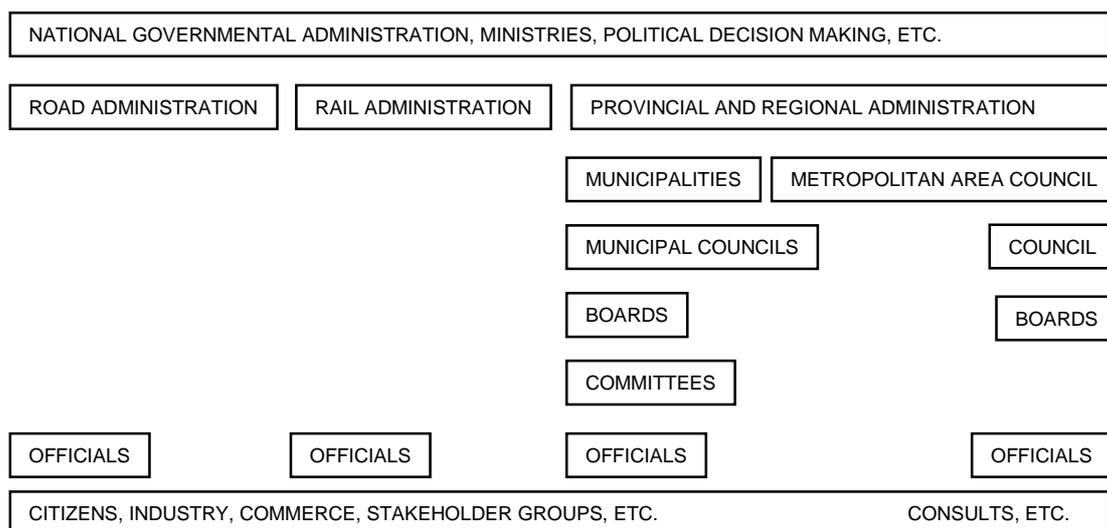
The vast majority of roads in Edinburgh are classified as Local roads which are the sole responsibility of City of Edinburgh council. The planning of strategic roads is the responsibility of the Scotish Executive, though City of Edinburgh Council would clearly be involved as a key stake-holder. Rail planning across Great Britain is the responsibility of the Shadow Strategic Rail Authority, an institution of UK national government, though it is dependent upon the collaboration of the private sector train operators and the private sector infrastructure manager for implementation. Local authorities would also be involved in this process, particularly for local rail planning. Thus, whilst the Shadow Strategic Rail authority is responsible for over-seeing the planning of the rail system, Scotrail (as the operator of all local rail services and some strategic rail services), Virgin Trains and Great North Easter Railway (as operators of the other strategic rail services in Scotland), Railtrack (as the rail infrastructure manager), the Scotish Executive and City of Edinburgh Council, perhaps along with other neighbouring local authorities, would be involved in the process in Edinburgh. Bus planning would, in the main, be the responsibility of the private sector bus operating companies, though with involvement and influence from City of Edinburgh Council through it being responsible for local roads and for allocating subsidy to operators.

HELSINKI MA

In Finland municipalities have planning monopoly concerning land use and transport plans. Master plans are guided by province level plans prepared by provincial government and approved by national government. In some cases master plans need to be confirmed by Regional Environment Centres, but otherwise governmental involvement is rare.

Road Administration is in charge of planning, financing, building and keeping of public roads, but co-operation with municipalities during planning is keen and also vital if the plans are to be fulfilled easily. Some local roads are kept jointly by the Road Administration and the municipality. Streets are solely planned, financed, build and kept by the municipalities.

In the Helsinki Metropolitan Area some responsibility has been transferred from the four cities Helsinki, Espoo, Vantaa and Kauniainen to the Metropolitan Area Council, YTV. Such areas of responsibility are regional public transport, waste management, general land use and transport planning and air pollution control and monitoring. The Council also has advisory and research functions.

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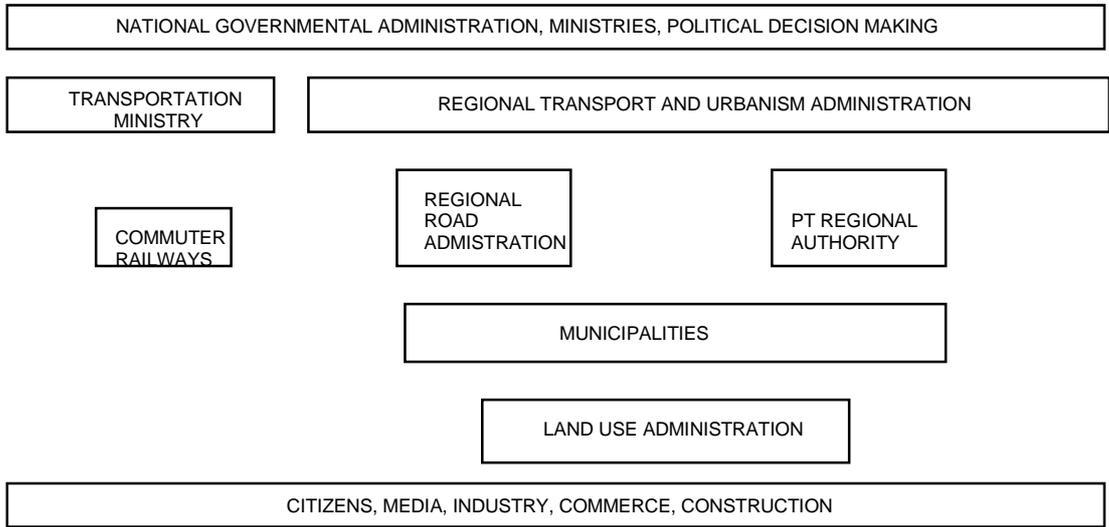
Figure A-1   Organisational framework and actors in Helsinki Metropolitan Area

The organisational framework and different actors are shown in Figure XX. There are differences between the four cities of the area. As an example, Helsinki as the biggest city has held more independence in internal public transport planning. Vantaa has already joined its internal public transport planning to YTV organisation. Kauniainen, being the smallest of the cities and totally enclosed in Espoo, relies heavily on Espoo and YTV in public transport questions.
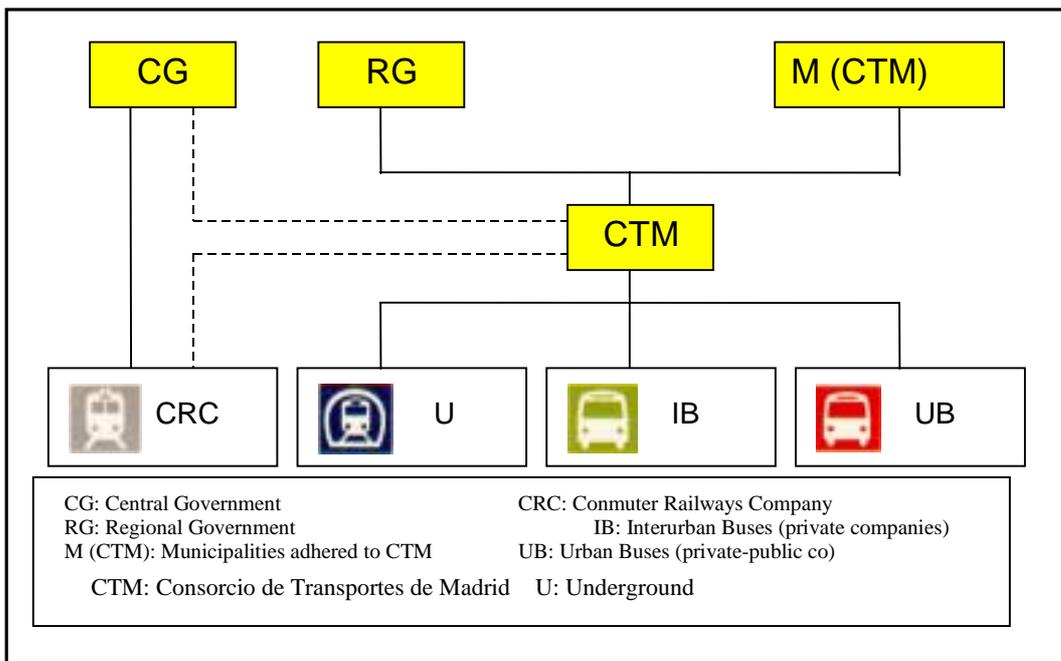
MADRID MA

Competencies in Spain are divided in three administrative levels. Central Government is responsible for trunk road network and rail network. Then the 17 Regions are responsible for land use co-ordination and planning. Regions manage second level road networks and public transport within their territories. Finally, Municipalities have competencies on local transport plans and land use development plans. Regional Government revise and approve development plans submitted by Municipalities.

Figure A-2   Organisational framework and actors in Madrid Metropolitan Area

In the case of Madrid Region, in 1986 was founded a Regional Public Transport Authority (Consorcio Regional de Transportes) which assumed competencies in planning of public transport lines, fares levels and modal integration.

Figure A-3 Institutional framework for Public Transport (Region of Madrid)

OSLO

There are three levels of government in Norway: central, county and municipal government. Oslo is an exception as it can be categorised both as a county and as a municipality. In the context of transport and land-use planning Akershus County and Oslo should be considered one system. Akershus County consists of 22 municipalities.

National government. 17 Ministries, among others:	
• Ministry of Transport and Communications. Agencies include the Public Roads Administration, the National Rail Administration (rail infrastructure), and Norwegian State Railways (NSB). The Public Roads Administration is in charge of national and county roads and has a district office in each county (including Oslo). • Ministry of the Environment. Responsibility for regional planning. Especially relevant laws/guidelines: The Planning and Building Act, and the national guidelines for integrated transport and land-use planning.	
Oslo City Council: Among the counsellors are: • Counsellor for Development. Departments include the Planning and Building Department (land-use planning). • Counsellor for Transport and Environment. Subordinate bodies include the Transport Department (planning and administration of municipal roads) and the public transport company Oslo Sporveier.	Akershus County Municipality (democratically elected body of the county): • Transport sector: construction and mainte-nance of county highways, the co-ordination of subsidies to public transport and school bussing, and traffic safety. • Land-use sector: regional planning and co-ordination (county plans are required by law)
	Municipalities in Akershus

Figure A-4 Actors and responsibilities in land-use and transport planning

Municipal planning according to legislation includes:

- Long-term plan (challenges and strategies in 10-12 years perspective)
- Financial plan (4 years)
- Programme of actions (concrete goals and strategies, sector-wise)
- Sector plans and land-use planning (plans for some specific sector or for some specific geographic area of the county or municipality)
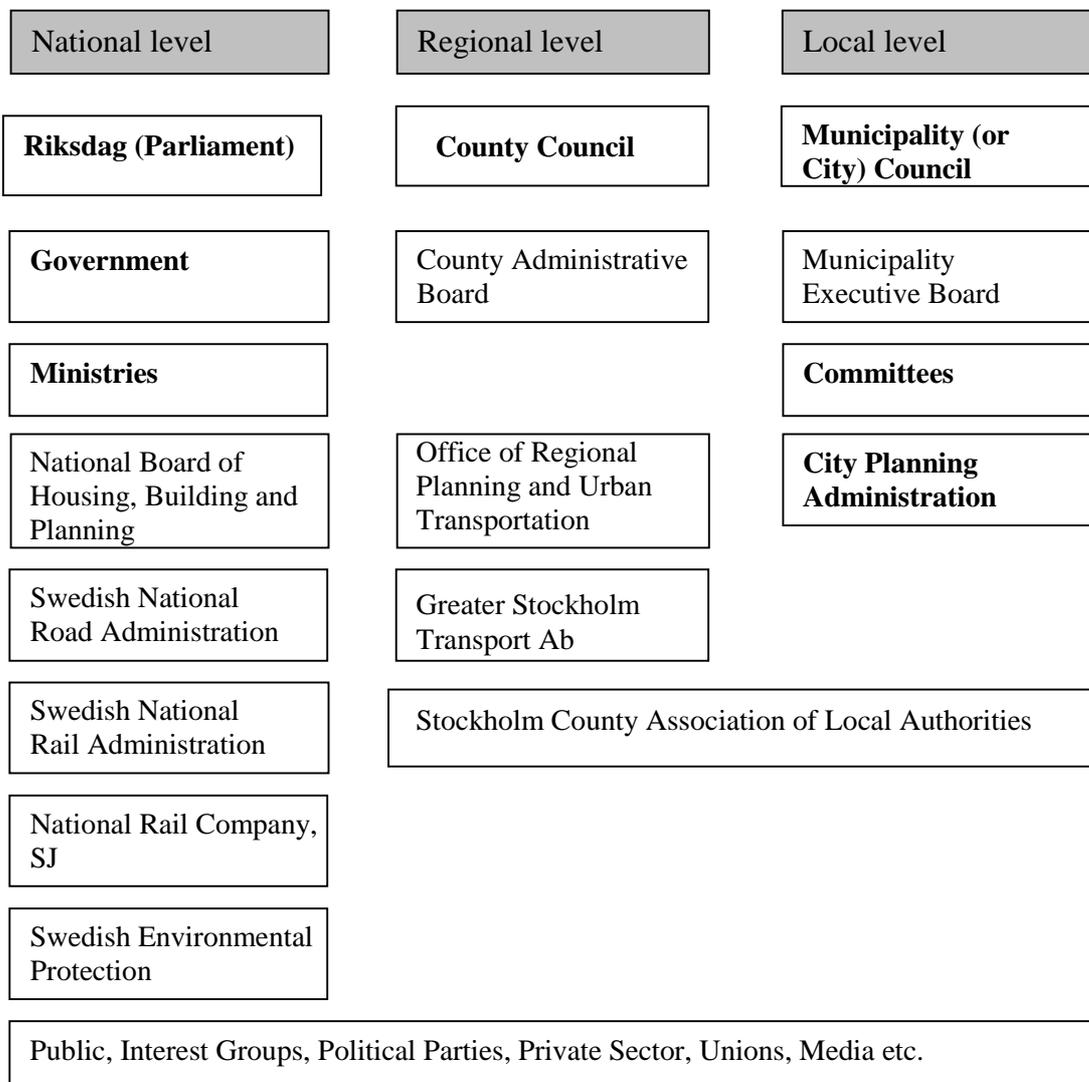- Annual budgets

Municipalities should make the strategic (long-term) plan publicly available. If there are objections from affected public agencies the plan must be sent to the Ministry of Environment for decision. However, the Ministry's access to make changes in the plan is limited.

STOCKHOLM

Municipalities in Sweden have monopoly over land use and transport planning.
Municipalities are responsible for their own economy and have the right to plan their
land use. Even so, the Stockholm County Council, the regional planning body for
Stockholm, has a key role in the planning process. The Planning and Building Act
describes the role which includes the co-ordination of municipal outline planning and
providing the State and the municipalities with information on issues such as land use,
traffic and environment. County Administration Board is responsible for co-ordinating
regional plan with national interests and for safeguarding that planning legislation is
adhered to.

Municipalities, together with National Road Administration and National Rail
Administration have the responsibility for the transport infrastructure.

Figure A-5 is a diagrammatic presentation of the organisational structure of different
actors in the Stockholm County.

National level	Regional level	Local level
Riksdag (Parliament)	**County Council**	**Municipality (or City) Council**
Government	County Administrative Board	Municipality Executive Board
Ministries		**Committees**
National Board of Housing, Building and Planning	Office of Regional Planning and Urban Transportation	**City Planning Administration**
Swedish National Road Administration	Greater Stockholm Transport Ab	
Swedish National Rail Administration	Stockholm County Association of Local Authorities	
National Rail Company, SJ		
Swedish Environmental Protection		
Public, Interest Groups, Political Parties, Private Sector, Unions, Media etc.		

Figure A-5   Organisational structure of different actors in the Stockholm County
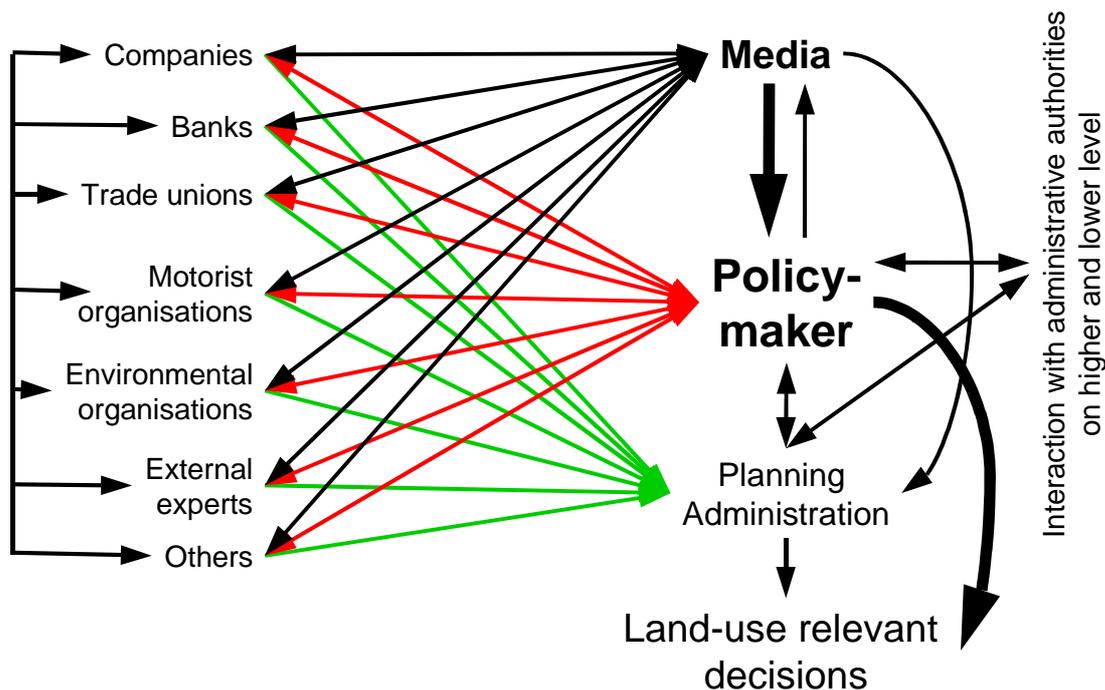
VIENNA

Figure A-6: Interaction between different players involved in urban land-use and transport decision making processes (KNOFLACHER, PFAFFENBICHLER ET. AL., 2000)

KNOFLACHER H., PFAFFENBICHLER P., FISCHER P. (2000), "Wirtschaftliche Vorteile für österreichische Regionen durch eine institutionelle Koordinierung von Verkehrs- und Raumplanung (Economic Benefits of an Efficient Institutional Co-ordination between Transport and Land Use policy, Illustrated on Austrian Level BENEFICIAL)", COST332, unveröffentlichter Forschungsbericht im Auftrag des österreichischen Bundeskanzleramts, Wien, 2000

Vienna City Administration

Source: http://www.wien.gv.at/english/mib/cityadministration/constitution.htm; accessed 04/12/00

Constitution

The general administrative structure of Austria

There are 3 levels of administration in Austria:
- Federal State
- 9 Federal Provinces (Burgenland, Carinthia, Lower Austria, Upper Austria, Salzburg, Styria, Tirol, Vorarlberg, Vienna)
- About 2,300 municipalities

The whole federal territory is subdivided in municipalities.

Administrative functions of the federal state and of the federal provinces

- Legislation and enforcement are federal tasks in general fields such as foreign affairs, civil law, industrial and trade law, federal police force

  - Direct federal administration: enforcement by federal authorities
  - Indirect federal administration: enforcement by provincial authorities

- Citizenship, police, etc.: federal legislation, enforcement on the provincial level
- Hospitals, electricity, etc.: federal legislation on general provisions, implementation regulations and enforcement on the provincial level
- Legislation and enforcement are provincial tasks in all areas not assigned to other levels, such as building law, nature conservation law

The City of Vienna

The City of Vienna is both a municipality and a federal province. This means that
- the City Council also fulfils the functions of the Provincial Diet
- the City Senate also fulfils the functions of the Provincial Government
- the Mayor is also the Governor of Vienna
- the City Administration is also the Office of the Provincial Government
- the Chief Executive Director is also the Head of the Office of the Provincial Government

The distribution of finances between the federal state, the provinces and the municipalities

- Duties collected on the federal level: e.g. corporation tax
- Taxes divided between the state and the provinces: e.g. income tax, value added tax
- Exclusive provincial or municipal taxes: e.g. land and real property tax, local tax, beverage tax
- Municipal taxes according to independent resolutions: the federal state and the federal provinces can authorise the municipalities to levy duties

Distribution of finances (rounded figures of 1999)
- revenues: ATS 131 billion
  - Taxes and duties: ATS 19 billion
  - Federal subsidies: ATS 60 billion
  - Services: ATS 21 billion
  - Credits and loans: ATS 3 billion
  - Other revenues: ATS 27 billion
- expenses: ATS 140 billion
  - Personnel: ATS 35 billion
  - Pensions: ATS 9 billion
  - Housing promotion: ATS 9 billion
  - Credits for third parties: ATS 9 billion
  - Debt service: ATS 11 billion
  - Investments: ATS 15 billion
  - Other expenses: ATS 52 billion

The Viennese administration is subdivided into eight Administrative Groups:
- Integration, Women's Issues, Consumer Protection and Personnel
- Finance, Economic Affairs and Vienna Public Utilities
- Youth, Social Affairs, Information and Sports
- Cultural Affairs
- Public Health and Hospitals
- Planning and Future Developments
- Environment and Transport Co-ordination
- Housing, Housing construction and Urban Renewal

Three of them have land-use and transport related responsibilities. The Administrative

Groups are subdivided into Municipal Departments.

APPENDIX 2

Models of policy making

(Page, M (2000) TRAN1010 course: Introduction to Transport Policy, Session 15: Approaches to decision making, Institute for Transport Studies ,University of Leeds)

Looking at the wider context of policy making generally two models of the decision making are presented in order to provide some background on the theoretical foundations. The models are due to Smith, Lindblom and Dror.

The first model involves relating the consequences of all options to all values, the main actions are:

1. Intelligence gathering – identify all relevant present and potential problems and opportunities.
2. Identifying all options – for the perceived problems and opportunities.
3. Assessing the consequences of options – identify all the costs and benefits.
4. Relating consequences to values – relate the costs and benefits to some system of values whereby the consequences of actions can be evaluated.
5. Choosing preferred action

Note that the crucial aspect is at 4 – the system of values to be used in assessing the consequences of each option, in a sense, the objectives of a policy might creep in here as a framework of values.

The second model involves specifying objectives before looking for options which might achieve them:

1. Define and rank governing values
2. Specify objectives compatible with these values
3. Identify all relevant options or means of achieving these objectives
4. Calculate the consequences of these options and compare
5. Choose the option or combination of options which would maximise the values defined above

The most obvious criticism of both of these models is that they are unrealistic or impractical, they assume 'perfect' knowledge of all options and their consequences. They are also 'static', in the sense that the future situation may be very different from the present in a sense that is difficult to predict. They also rely on 'values' or 'value judgments' which become all important, but could be seen as subjective or intuitive. Whose values should prevail?

There are five important limitations to the type of rationality implicit in the models described above:

*   Psychological limitations – we can never have complete knowledge of all possible options, or know all the consequences or be able to accurately attribute values.
*   Multiple values – there is no rational way of resolving a conflict of interest.
*   Organisational limitations – should the problem be considered at the level of the sub system or the whole picture.

- Cost limitations – it costs to be rational and the benefits might not outweigh the costs.

- Situational limitations – we are influenced by past decisions and existing circumstances.

It has been proposed that the main characteristics of real life policy making include the following:

- Implicit not explicit objectives – policy makers avoid spelling out objectives to avoid conflict.

- Incremental remedial action – relatively small changes are made.

- Serial policy making – we keep coming back at the same problems.

- Interactive power networks – few decisions are made by individuals, instead there is 'polycentricity'.

- Partisan mutual adjustment – actor adjust to each other by bargaining and compromise.

- Consensus seeking – a compromise policy emerges.

This model is often termed 'muddling through'. There have been criticisms of this model, in particular the role of incrementalism, for instance incrementalism may not be appropriate where:

- Present policies are manifestly inappropriate.

- The problems are changing very fast.

- Major new opportunities exist.

There have also been criticisms of the consensus seeking elements of the model.

To conclude, it is important that the policy analyst is aware of the models, the ones they are using (implicitly or explicitly) and their limitations. They should be aware of the 'political nature of the policy process, the subjectivity of much analysis, and the need for the analyst to concern himself with the consumption as well as the production of policy advice.' (Hogwood and Gunn, 1984).

APPENDIX 3

PROSPECTS Task 14 questionnaire

T14: DECISION-MAKING PROCESSES

ORGANISATIONAL FRAMEWORK

A distinction needs to be made between long term "strategic" plans and medium/short term more "tactical" plans.

- Long Term (LT)
- Medium Term (MT)   (See task 12 definition of medium/long term in each case).

Questions:

1. What are the typical time horizons for strategic plans? Long term? Medium term?

2. Are decision-making processes different for long term and medium term plans? Describe the processes in general outline.

3. How often are the strategic plans reconsidered (regularity)? LT? MT?

4. How prescriptive in practice is a strategic plan with respect to intermediate future years?, i.e. are future decision-makers expected to be bound by decisions made in the present day? (The other way round: Are present-day tactical plans consistent with strategic plans made in the past?)

5. Is there a difference of importance and/or credibility between long term and medium/short term plans?

6. Are there laws requiring municipalities to produce strategic plans for land-use and transportation? If so, with what regularity? Do such laws require that the national government must agree to these plans (so that if the government does not agree, new plans need to be produced)?

RESPONSIBILITIES

Questions:

1. Who has responsibility for the following in the city
   - road building
   - traffic management
   - public transport infrastructure
   - bus and rail operations
   - parking and demand management
   - land use control?

   If there are several bodies jointly responsible how is decision making coordinated (if at all)?

2. Are there any aspects of policy not listed in 1. which are not the responsibility of the city council?

DECISIONS LEVELS

It is important to understand at what level decisions need to be made as part of a formal procedure.

- EU
- National
- Regional
- County
- Region/Metropolitan Area
- Municipality/City
- Subcity

Questions:

1. Even if a decision needs to be made formally at municipality level, can national or regional governments exert practical control over the decision (for example by withholding grants if the "wrong" decision is made)?

2. What role does the EU have in influencing city decision making?

3. How do neighbouring municipalities coordinate decision making? Do such municipalities try to agree upon integrated packages of measures or single measures?

MODELS AND/OR OTHER PLANNING METHODS

One aim in PROSPECTS being to produce guidance on using models in particular and analytical techniques in general, an important question concerns the role of such techniques in the planning process.

Questions:

1. Does a municipality run its own models?

2. Has a municipality employed consultants who run models?

3. If models are used:

    – What role do model results take in the decision-making process?

    – Are model results given more weight than the observable success/failure of particular policies in other municipalities? (i.e. the logic that policy X works successfully in City Y, and since city Y is similar to our city, policy X should work here)?

    – Are the models believed to be "objective"? If so, what does this mean?

    – Has any attempt been made to verify whether model results from studies in the past actually turned out to be correct?

4. If models are not used:

  – Does decision-making use any other sort of quantitative prediction?

  – Is any form of qualitative prediction used?

PARTICIPATION - PERSONS INVOLVED OFFICIALLY/UNOFFICIALLY

It is important to understand who is actually driving the adoption of policies. Whilst it might be clear who the "official" decision-makers are, are they in practice subservient to "unofficial" decision-makers?

- Planners/officers
- Consultants etc.
- Politicians
- Public
- Commerce
- Residents groups
- Private providers of public transport, parking etc
- Police
- Media (both local and national)
- Other lobbying groups

Questions:

1. What is the relationship between officers and politicians (both in theory and in practice)?

2. What is the relationship between the public and politicians (both in theory and in practice)?

3. Is the municipality proactive in obtaining the views of the public or organisations with vested interests (such as chambers of commerce):

  – Does it organise public meetings or meetings with organisations? If so, who is involved in these meetings and how much power do they have in practice?

  – Are there laws governing whether there needs to be public participation in the planning process? If yes, in which stage and to what extent?

4. Some sections of society will have no part to play in the decision making process, and are thus by definition "socially excluded".

  – Who are these people and what are the mechanics underlying their exclusion?

  – Is it common practice to make special efforts to draw socially excluded people into the decision-making process?

5. How much control over policy does commerce have (as recipients of transport services)?

6. How much control over policy do private sector transport operators have?

7. How much control over policy does the media (both local and the national) have?

CHANGES

It is important not to look at decision making in an atemporal manner. The answers to most (if not all) of the questions given above will change over time.

Questions:

1. What major changes have taken place over the past 20 years with respect to decision making processes (as opposed to the decisions that result from these processes)?

2. What changes are currently taking place in both decision making processes and their consequent decisions?

3. What is driving these changes? (could the agents for change be categorised as political, economic, technical or some other category?)

4. What happens if there is a change in political control of the city or nation?

5. If current trends persist, what form will decision making take in the future (say in 2020)?

6. Ways of improving decision making?