Berlin

Freie Universität

New Regionalism and Metropolitan Governance in Practice: a Major Smart Growth Construction Project in the Waterloo Region – the Light Rapid Transit-Project

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METAR

METAR - Papers in Metropolitan Studies

New Regionalism and Metropolitan Governance in Practice: a Major Smart Growth Construction Project in the Waterloo Region – the Light Rapid Transit-Project

Master Thesis

Zur Erlangung des akademischen Grades Master of Science (M.Sc.)

Table of contents:

List of abbreviations:

BRT	Bus Rapid Transit
Cf	Confer
CTC	Central Transit Corridor
CSIF	Canada Strategic Infrastructure Fund
EA	Environmental Assessment
E.g.	For example (lat. exempli gratia)
Etc	Et Cetera
Esp.	Especially
Fig	Figure
FS	Feasibility Study
GGH	Greater Golden Horseshoe (Area)
GRCA	Grand River Conservation Authority
GTA	Greater Toronto Area
GTAH	Greater Toronto Area and Hamilton Area
Ibid	Ibidem
ICC	Implementation Coordinating Committee
LRT	Light Rapid Transit
LRT	also Light Rail Transit if specifically mentioned
MG	Metropolitan Governance
MKRO	Ministerkonferenz für Raumordnung
MOE	Ontario Minister for the Environment
MP	Member of Parliament
MPP	Member of Provincial Parliament
MR(s)	Metropolitan Region(s)
MROW	Metropolitan Region of Waterloo
NIMBY	Not in my backyard - attitude
NR	New Regionalism
P2G	Places to Grow Plan
PAC	Public Advisory Committee
PAWC	Public and Works Committee
PCC	Public Consultation Center
PPS	Provincial Policy Statement
Region	Metropolitan Region of Waterloo
RGMS	Regional Growth Management Strategy
RoW	Region of Waterloo
ROPP	Regional Official Policy Plan
ROP	(new) Regional Official Policy Plan
RTI	Rapid Transit Initiative
RTMP	Regional Transportation Master Plan
SC	Steering Committee
SG	Smart Growth
Tab	Table
TDM	Travel Demand Management
ToR	Terms of Reference
TS	Technical Studies
US (A)	United States of America

List of Tables:

List of Figures:

CHAPTER 1

Introduction and Purpose of the Study

1.1 Problem Definition

Metropolitan Regions underlay more and more the focus of geographical investigation. Several reasons account for that interest. The first aspect is that those urban agglomerations are pressured by an ongoing globalization process to compete in the global hierarchy of regions. Secondly, a formation of a Metropolitan Region is not always unproblematic due to the aspect that several jurisdictions are involved and may be undetermined or even compete about objectives, responsibilities and capacities within that region. The main goal of a Metropolitan Region – to achieve the capacity to act as a unified entity in order to be competitive either within the national, European or even international context – is threatened by such incompatibilities of the different levels of jurisdictions (local, regional, state/provincial and federal level). It is therefore necessary for a Metropolitan Region – in order to achieve the above goal – to find solutions to existing problems that occur in governing such an urban agglomeration. Pressure is not only caused by economic actors, but also by actors that have committed themselves to ecologic and social factors or deficiencies. It is therefore necessary to include the above mentioned actors in regional (decision-making-) processes that affect the Region as a whole. Due to failures in such attempts, new approaches have found their way into governing such Metropolitan Regions. Comparing geographic literature, it is noticeable that three keywords are more and more present in geographic language usage: Region, New Regionalism and Governance (cf. amongst others: DOWNS 2005; PÜTZ 2005; FÜRST 2003; FREY 2003).

The first term Region refers to the organizational structure of an urban agglomeration. Due to the global competition, Regions emerge as the key players in the global network of cities. The discourse of the importance of for example German Metropolitan Regions only contributes to that predication (cf. amongst others: KÜBLER 2003; ADAM & GÖDDECKE-STELLMANN 2002; FICHTER 2002). The regional level can refer to different – not only administrative and functional – scales between the national and local level. Therefore, regions are not territorially fixed and enable problem-oriented and actor-specific access to

spatial development processes. Many economic and social problems (e.g. public transportation, infrastructure, health issues, etc.) have to be addresses at a regional scale because they exceed the local level and overstrain single communities (cf. PÜTZ 2005: 2).

The second term, New Regionalism, is the theoretic approach that underpins the above described practice. It can be seen as a policy agenda as well as an action approach to effectively govern those regions. As a policy agenda, the approach calls for the abolishment of intraregional barriers. As an action approach, the concept of New Regionalism concentrates on Governance, the third term mentioned above (cf. VISSER 2004: 51ff). According to PÜTZ, New Regionalism goes hand in hand with a shift in policy which refers to the changing role of the state and state participation in times of globalization. "The focus on the political process and decisions in understanding and explaining spatial development" is brought back in the discourse (PÜTZ 2005: 2). He furthermore states that those two trends are illustrated by changing terms and concepts of spatial planning and agrees with THIERSTEIN that semantic shifts in the language of planning and development have occurred: from spatial planning to spatial development, from regional planning to regional management and from structural policies to regional policies (cf. PÜTZ 2005, 2 & THIERSTEIN 2002: 10). Besides the above mentioned terms, another term has emerged: Governance. Governance can be seen as the action approach of the concept of New Regionalism and concentrates on the question how social relations or interactions – in for example regions – are coordinated and implemented. The ongoing globalization processes demand a collaboration of various sectors of society as described above. Governance as an instrument for integrating different regional interests means the combination of different mechanism of coordination and network-like structures, involving public and private actors in the making of region-wide decisions.

Since the above terms are quite new, there exists no one-size-fits-all solution, how to effectively organize regions and how to govern those. A lot of literature has been published about the theory of Governance and how this theory is put into practice by Metropolitan Regions, but there exists hardly any analytical framework that deals with measuring the effectiveness of such an implemented decision-making system. While scientific literature primarily deals with the establishment of regions and the various theoretical forms of organizational structures to govern those, in means of the above explained new

Governance structures, hardly any research concentrates on the outcomes of such a decision-making-strategy. Questions on the responsibilities and capacities of actors, financial flows, dependencies of actors involved in the making of a regional decision, the degree of involvement of participating parties as well as the outcomes and thus the effectiveness of the created organizational structures within a Metropolitan Region are – due to a missing evaluation framework – not fully answerable at this stage of scientific investigation on Governance. This thesis is intended to fill this gap. To give an answer to the above questions, an evaluation framework based on indicators has to be developed, that allows for a measurement of governance systems with all its role assignments, degrees of participation and capacities/competencies.

With the establishment of such an analytical framework, the rules and determining factors of such a decision-making process become transparent – the effectiveness-aspect of the created organizational structure becomes measurable. Especially the comparison of such created structures helps to locate differences in decision-making in Metropolitan Regions – success and failure of the systems will be elucidated which may help to optimize such systems to create an organizational structure that allows for decision-making in the sense of Governance to lead the Metropolitan Region towards sustainable development and reposition the it in the global hierarchy of Regions.

It has to be clarified now in what latitude a particular urban agglomeration functions and legitimizes decisions. As stated above, this thesis is intended to develop a framework that allows for a measurement of the implementation of the concept of New Regionalism and its main component Metropolitan Governance.

The Waterloo Region in the Province of Ontario, Canada, is chosen as a case study. The Region was picked as the main interest of investigation due to its strong efforts in creating an organizational structure that allows for sustainable development by including various sectors of society in the making of region-wide decisions. Under special investigation is the Region's effort to realize Smart Growth principles. The main Smart Growth project is a higher order transit system to reduce the residents' car dependency, limit urban sprawl and minimize ecologic deficiencies and thus enhance the regional quality of life. On the basis of this major construction project, the created governance structures are reconstructed, and

with the created analytical framework, the effectiveness of the system becomes measurable.

To establish such a framework to measure the quality of the decision-making process, the following questions arise which are answered throughout this thesis:

- What indicators have to be developed to measure the effectiveness of the created organizational structures?

- What organizational structure has been created by a Metropolitan Region? What rules and regulations do exist (Where are responsibilities, capacities and competencies located – in consideration of responsibilities, interplay/interaction and influence capabilities of governmental, economic and societal actors)?

- How effective is the created organizational structure in the Waterloo Region (in consideration of the implementation of the concept of New Regionalism and its main component Metropolitan Governance)?

1.2 Goals and Limitations

According to PÜTZ "both market and government failure have led to ongoing processes of state restructuring in order to meet the challenges of sustainability and competitiveness at the regional scale. While goals, strategies and instruments of spatial planning have been intensively discussed, surprisingly little attention has been paid to governance modes and the distinct role of power in shaping the practice of strategic spatial policy making" (PÜTZ 2005: 1). This thesis is intended to close this gap. By exemplarily investigating a major Smart Growth construction project – the LRT-Project in the **Metropolitan Region** of Waterloo – in terms of the implementation of the concept of **New Regionalism** and **Metropolitan Governance**, answers to the above questions are possible. The three keywords that have not been given scientifically consistent definitions yet are implied to the Waterloo Region context, which makes a contribution to closing the definition gap. By focusing on a major Smart Growth construction project each of the three yet theorized keywords is put on a practical level to investigate the decision-making-mechanisms in terms of Governance. The degree of the implementation of the concept of New Regionalism clarifies whether the Metropolitan Region acts as a unified regional entity that

limits its deficiencies and bundles its potentials to achieve competitiveness in the globalized economy.

To give an answer to the above questions, a model is developed that – based on a set of indicators – allows for scientific conclusions. The model raises the claim for universality in order to allow a comparative research. Such a comparative research would exceed the framework of this thesis. But it is nevertheless decisive for further geographical research concerning the governance-mechanisms in Metropolitan Regions – this thesis is supposed to lay the cornerstone for such necessary undertakings. Since hardly any research has been done that investigates the process of decision-making itself[1], this thesis closes this gap by developing a model that allows for the analysis of single undertakings of a Metropolitan Region to identify single steps of the decision-making-process and to allow for a conclusion about the governance-system as a whole.

This research is limited to the investigation of one particular project in the Waterloo Region. On the basis of this project, the governance and decision-making processes are explored, using the developed model for investigation. The aim is to fragment single steps which the realization of the project surpasses until its final implementation. By doing so, decision-making in the Waterloo Region becomes traceable, and problems/difficulties as well as positive outcomes of the process can be discovered that contribute to or hinder the implementation of the concept of New Regionalism. The importance of this research is not put on the outcomes of the project itself, but rather on the implementation of governance-structures and the new regionalist approach.

With the developed model and its exemplified usage on the case study Waterloo Region, a contribution and orientation guide to current research is made, since this approach allows for further comparative studies of governance-mechanisms in the diversity of Metropolitan Regions.

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[1] A lot has been written that focuses on the outcomes of decision-making but not on the process of making decisions itself (among others: KÜBLER 2003; FREY 2003; FÜRST 2003; FICHTER 2002; HAMILTON & MILLER & PAYTAS 2004; SANCTON 2005). Created has been a fairly theoretical understanding of metropolitan governance itself, a model that allows for analyzing decision-making-processes itself that is flexible enough to give clarification about "failure" or "success" of such a regional decision-making is still missing. A model to measure such a process is able to give an answer to whether or to which degree the concept of New Regionalism is implemented and where difficulties of this implementation arise.

1.3 Course of Investigation

In chapter 2, the theoretical background that supports the research is explored. Constitutive terms and concepts are explained and are defined, since some of the terms are not clearly scientifically defined yet in geographical literature. Chapter 2 is intended to set the framework for the empirical investigation by connecting the different theoretical approaches of Metropolitan Region, New Regionalism, Metropolitan Governance and Smart Growth.

Chapter 3 concentrates on the development of the research question as well as all its supporting sub-questions that have arisen due to the theoretical literature review in chapter 2. The posted questions in this chapter are supposed to guide the empirical investigation and are answered in the last chapter 5 of this thesis.

The following chapter 4 concentrates on the Waterloo Region and its Smart Growth Light Rapid Transit Project. While geographical data and the particularities of the Region – geographical and organizational structure as well as information on public transportation in the Region in general – are in the focus of the first part of chapter 4, the second part of this chapter concentrates on the basic conditions of the Light Rapid Transit (LRT) Project as well as on the project itself. The general framework of the Project constitute the Places to Grow Plan (P2G) – a superior rather theoretical plan for the implementation of Smart Growth principles of the Province of Ontario – as well as the Regional Growth Management Strategy (RGMS), the regional coordination mechanism that puts Provincial leitmotifs regionally and locally into practice. The LRT-Project is explored further since this project represents the backbone of the whole strategy. Questions that concern technical details as well as the organizational capacity of the Region to realize a project of such a huge scale are clarified in this chapter. Chapter 4 also includes which realization steps the Region has to go through and where regional particularities are located, who is responsible for decision-making, and what role actors of various fields of society play in that decision-making equation.

The last chapter 5 focuses on the establishment and explanation of a model to measure the ongoing governance structures and the implementation of the concept of New Regionalism in the Metropolitan Region of Waterloo. Indicators are developed that allow for an evaluation of the ongoing processes in the Waterloo Region through the revelation of the causes of success and failure that contribute to or hinder the implementation of a

functioning governance system and the concept of New Regionalism. The second part of chapter 5 concentrates on the practical usage of the theoretical model which is established in the fist part of this chapter. Quantitative data, collected through primary and secondary literature reviews, and qualitative data, collected through interviews with project relevant persons, deliver the basis for the empirical part of this thesis. The thesis concludes with the response of the main research question as well as its supporting sub-questions.

CHAPTER 2

New Regionalism and Metropolitan Governance in Theory

2.1 Current Geographical Discussion

"If the political and economic future of our globe is shrouded in obscurity and controversy, there is one striking trend of which we may be certain: our collective future will be even more urbanised than it is now" (CAMERON & STREN 2005: 275). Since this process of urbanization progresses extremely rapidly, urban agglomerations will be even more under the focus of geographic investigation. Paralleled with this process of urbanization are several other processes like globalization and digitalization, which lead the cities as well as their nations as a whole to face new challenges. One aspect that these processes entail is a visible change of spatial politics. Along with the process of globalization is a reorganization of state and society, also known as "rescaling". The emerging landscapes of a rescaled global economy do not reveal a diminishing role for the local, but rather a resurgence of place – cities – as deterritorialized centers of global control. Therefore, globalization describes a process of order – a "new" order – that has brought a new scale and location to long entrenched social, political and economic relationships. The integration of a city into this new global economic system of exchange and circulation has altered the relationship between cities, regions and nations. They are all facing an intensification of global competitiveness; the main factors here are locational competition and advantage of location respectively. The success of a city, a region or a country depends hugely on the capability to adapt to this new situation (cf. Hannah & WALTON-ROBERTS 2004: 37ff).

Local conditions must be assessed in order to save jobs and allow a sustainable economic, ecologic and social development – in terms of balance.[2] These aspects are all elements that need to be considered to play a role in the globalized economy. The factors are interrelated which means that actors of these diverse fields need to work together in order

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[2] Economic sustainability: competitiveness (businesses, associations...); Ecologic sustainability: environment, landscape-, and nature- conservation; Social sustainability: societal cohesion through reduction of personal, regional and sectoral disparities (labor unions, political parties, humanitarian organizations) (cf. FREY 2003: 451ff).

to achieve sustainability and make a place competitive and position it within the "new order" (cf. FREY 2003: 451ff). As globalization progresses, urban regions are emerging as key players in the world economy. The pursuit of competitiveness in urban regions has become a major local and national policy objective. In regard to geographical literature, competitiveness is the key aspect in the ongoing globalization process. Terms like the "competitive city", "entrepreneurial city" or "innovative city" go hand in hand with this globalization discourse. Cities now play a part in an economy increasingly oriented towards competition. Therefore, they engage in selling their goods and services – so that they are not sidelined from the circuits of global capital (cf. HANNAH & WALTON-ROBERTS 2004: 40f). The aspect of "quality of place" also plays a major role when it comes to competitiveness. The concept of quality of place deals with the interrelated aspects of environmental quality, growth management, social services and infrastructure. It challenges the traditional concepts of how urban agglomerations are organized just as much as the need to maintain sustainability: this is because as urban regions grow, all these elements become more difficult to manage (cf. HANNAH & WALTON-ROBERTS 2004: 43ff). The question that results from the above described circumstances is how urban agglomerations organize themselves to maintain in this ongoing globalization process. Since extreme pressure is imposed on these agglomerations to combine economic, ecologic and social aspects to achieve sustainability and to stand their ground in the global competition, it is of main interest how the urban agglomerations respond to the demand to include the above fields of society in the planning process (and therefore decision-making-process). Geographical literature on globalization as well as on challenges for cities which go hand in hand with this process, conclude: "times, in which overall concepts and governmental programs were smoothly realized through the government and administration with support of the court are over" (FREY 2003: 454). Nowadays, decision-making is no longer assigned to consensus finding ("bottom-up") and realization ("top-down") processes of the government. Rather they are permanently superposed by negotiation processes of diverse kinds. New actors emerge in decision-making-processes that want to play a key role when it comes to managing urban agglomerations. Cities are underlying the pressure to make actors of various fields of society a part in those decision-making-processes. Therefore, the hierarchical-political governing mechanisms are increasingly replaced by partnerships and market analog

mechanisms. In this case, competition and collaboration between various actors of society supersede coordination of the government. The global locational competition constrains cities and member states to better aim for the needs of the population and economy (cf. FREY 2003: 456).

To summarize, there is a new transparency created by this economic globalization, technological changes and the pressures exercised by them. In this setting the term "Government" is no longer the appropriate term to describe the way populations and territories are organized and administered. Today, the participation of companies and civil lobbyists has become the state of the art. Because of this aspect, the term "Governance" is a better term when it comes to describe the process in which interest groups collectively solve problems and meet their needs – but still using the government as an instrument.

2.2 New Regionalism

This powerful regional consciousness which emerges out of the need of being competitive in the ongoing globalization process can be described with the concept of New Regionalism. Since urban agglomerations grow in size, regions appear as the key players in the global economy. Here are some examples:

*In England, British Prime Minister Tony Blair expanded the boundaries of the historic City of London - an area of about one square mile - to encompass the entire **region**. His action simultaneously created the post of mayor, which has the potential of becoming the second most powerful position in the nation.*

*In the Silicon Valley area of California, a private industry group led development of a **regional** vision and plan, and has been tracking progress toward its implementation through annual benchmark reports.*

*In the metro **region** of Denver, Colorado, county and municipal governments have joined together in a voluntary compact to establish an urban growth boundary* (cf. WALLIS 2002).

All of these examples demonstrate the emergence of a powerful regional consciousness, driving a wide variety of efforts to invent a new capacity for governing regions. The motivating force behind the renewed interest in regionalism is emerging from several sources:

1. Globalization of the economy (i.e. NAFTA, European Union) – the establishment of international trade agreements demonstrate a reduced economic competitiveness on a country-by-country basis and increased competitiveness on a region-by-region basis

2. Achieving sustainable development – in the highly industrialized nations around the world, people are pushing against environmental capacity. They are trying to balance growth, with environmental preservation and social equity. Some of the approaches require acting regionally (like water basins or air shed)

3. Devolution revolution – more of the policy making and service delivery functions mandated by federal, state or province governments are being transferred to the local level. There is a requirement that many of those functions have to be carried out on a regional basis (like transportation, quality planning, social services) (cf. WALLIS 2002).

Due to these elements, a global system of regions based on the concept of New Regionalism has emerged.

The concept of New Regionalism can be seen as both a policy agenda as well as an action approach to effectively govern regions. As a policy agenda, NR promotes a cost-effective provision of area-wide public infrastructure and services as well as the balanced distribution of fiscal resources and development benefits across the region. It calls for removing intraregional barriers of access to economic and social opportunity and supports global economic competitiveness of the region and ecologically and economically sustainable patterns of land use and development. As an action approach, NR focuses on Governance – the use of interorganizational approaches rather than a hierarchical regional government to (re-) solve area-wide public problems and meet region-wide needs (cf. VISSER 2004: 51ff). It is visible that definitions which describe the above approach of New Regionalism are rather imprecise. Key elements that the concept comprises are clearly noticeable, but nonetheless, questions remain to be open. What is meant by an effective provision of area-wide public infrastructure? What is an interorganizational approach?

In this thesis, the concept of New Regionalism is viewed as a regional approach rather than a policy agenda. While rough spatial guidelines of the concept are visible such as the independent region (rather than the nation state) as the vital locus/ focal point and the aim to empower communities and actors within the (metropolitan) region, the concept is subject to different interpretations which are practiced locally in different ways.

While in the past, in the United States existed and still exist hardly any working examples of functioning metropolitan governments due to a strong economic bias towards the

development of low density suburbia, a decentralized urban growth continues to prevail[3] (through cultural resistance to restrictions on property rights and the strong lobbying of interest groups, e.g. developers and homebuyers who favour typical suburban greenfield development), Canadian and European metropolitan regions have been quite successful in establishing Metro governments – managerial institutions and structures to secure binding regional powers (cf. BRAUN & SCOTT 2007: 7ff). Nowadays, the concept of New Regionalism defines itself in opposition to those previous top-down initiatives for creating Metro Governments. The "old regionalist" campaign as described above attempted to make a membership in regional councils obligatory and to secure binding regional powers (especially planning) for Metro Governments. The concept of New Regionalism in contrast speaks at least ideologically that such top-down approaches to governing a Metropolitan Region through Metro governments have become "politically incorrect" (cf. BRAUN & SCOTT 2007: 11). The concept of NR aims to empower communities and actors within the Metropolitan Region and thus to generate significant changes in how policies for the region are negotiated and defined.

According to WALLIS there are six principles that distinguish the New Regionalism (1980s until present) from the Old Regionalism (1880s until 1980s).

1. Governance vs. Government

2. Process vs. Structure

3. Open vs. Closed

4. Trust vs. Accountability

5. Empowerment vs. Power

6. Collaboration vs. Coordination

Governance versus Government implies the process of making non-governmental actors a part of decision-making. While the Old Regionalism dealt with the question of how to insert a new layer in the hierarchy of state-local- or province-local relations, New Regionalism deals with the establishment of visions and goals and setting policy to achieve them – this involves public, private and nonprofit interests. It is in the responsibility of all these actors to

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[3] Exceptions are clearly visible in the US: new understandings of the concept of NR paired with emerging economic, social or mostly ecologic pressures lead urban agglomerations to act as unified regions. One example is the Metropolitan Region of Portland, Oregon. Under the umbrella liveable or sustainable metropolis, the region has found new ways to bundle its potentials and to minimize negative effects of sprawl. A powerful regionalizing influence is visible (cf. http://www.portlandonline.com/osd/index.cfm?c=41463)

ensure a future quality of life and competitiveness of regions which requires shared powers of the actors.

While the Old Regionalism concentrated on looking at structural alternatives such as city or county consolidations or the formation of special purpose bodies, the New Regionalism sometimes uses structural alternatives as a strategy for achieving an objective, but rather focuses on processes such as visioning, strategic planning, building consensus or resolving conflicts.

During the period of Old Regionalism, regions were seen as closed entities. Boundaries and jurisdictions were clearly defined; supporters of the Old Regionalism wanted to clearly demarcate regions in terms of boundaries for growth, service delivery, job markets and so on. Supporters of the New Regionalism instead accept that boundaries are open, flexible or elastic – the extent of a region varies with the issues addressed.

While the concept of Old Regionalism sees accountability as the binding element in such relations, the New Regionalism regards trust as the binding element. It relates to the idea of employing regional social capital and civic infrastructure.

Another point in differentiating the Old from the New Regionalism is empowerment versus power. In the Old Regionalism, the power emanates from the government – this was often viewed as a zero sum game. New Regionalism gets power from empowerment. Part of this empowerment is for example directed to communities or neighborhoods with the objective of getting them – as well as other actors – constructively engaged in regional decision making (cf. WALLIS 2002 & PÜTZ 2004).

Collaboration versus coordination is one of the main terms when defining the concept of New Regionalism since these are the main criteria when it comes to measuring the Governance vs. Government aspect. WALLIS only distinguishes between coordination (hierarchical coordination of tasks) and collaboration (voluntary agreement among equals) as forms of participation of actors in decision-making. I argue that there needs to be added another term: cooperation. WALLIS argues only for black and white while I argue there exists also grey – that actors of various fields of society are participating in decision-making

but are that some of them are outweighed by others. Consequently, the terms are defined for this research as follows:[4]

Coordination: hierarchical (coordination of tasks through government)

Collaboration: some actors are outweighed by others

Cooperation: the different parties are treated as equals

In summary, the Old Regionalism is a system that can be characterized as a hierarchy, while the New Regionalism is rather a network-based system.

Here, the question arises, how is the process of responding to the challenges focused on a regional-scale answered by these new emerging regions?

2.3. Metropolitan Regions

Regions emerge as the key players in the globalized economy. As stated above, the regional level can refer to different – not only administrative and functional – scales between the national and local level. Therefore, regions are not territorially fixed and enable problem-oriented and actor-specific accesses to spatial development processes (cf. PÜTZ 2005: 2).

In this thesis, the focus is put on a particular type of region - the Metropolitan Region (MR). According to ADAM and GÖDDECKE-STELLMANN, MRs rank over other city regions because of their size, their integration into the global system of cities and their outstanding function within the national context (cf. ADAM & GÖDDECKE-STELLMANN 2002: 513). Size, functional significance and the consequential attractiveness hold locational potential which confers a special importance to those Metropolitan Regions – especially as business locations. Within those regions, a high degree of workforce- and employment- potential is concentrated, they are significant locations for sciences and research and hubs for trade, transport and information. At the same time, those regions are pressured by the need for development which causes ecologic and social conflicts and which leads to an intensification of intra- and interregional tension and competition (cf. ibid: 513).

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[4] Literature does not distinguish clearly between those terms. It rather seems that the terms coordination, collaboration and cooperation are used optionally. But since those terms imply so much weight when it comes to distinguishing between the old and the new regionalism (important for the understanding of governance and the legitimization and distribution of power within networks) and they comprise all of the other terms as well, it is necessary to give them a final and clear definition.

Metropolitan Regions are therefore under more pressure in the global competition because of their national importance and the functions they have to fulfill – MRs are the regions that emerge as key players in the global economy. For that reason, it is even more important that those regions adapt the principles of New Regionalism to resolve area-wide public problems and meet region-wide needs, so that competitiveness can be guaranteed. Metropolitan Regions are therefore a perfect example for exploring organizational structure and functionality.

In Canada, the main criterion to be selected as a Metropolitan Region is quite different from the situation in Germany.[5] While in Germany, MRs have to fulfill certain criteria to be selected as such[6], the main indicator in Canada is population size. Northern American Metropolitan Regions are defined as: "cities with a very large urbanized core, together with adjacent urban and rural areas which have a high degree of economic and social integration with that core" (CAMERON & STREN 2005: 275). According to CAMERON and STREN, two more elements can be added to this definition: the threshold size for the core city of a 100,000 inhabitants and the idea of political and cultural importance. As those Metropolitan Areas grow in size, they have often become regions, which are a step higher in the geographical lexicon than areas or agglomerations (cf. CAMERON & STREN 2005:

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[5] The strategical meaning of Metropolitan Regions for the spatial development was ignored for quite a long time in Germany (cf. BLOTEVOGEL 2002: 345). Since the mid 1990s, a change in this behavior can be stated. In the year of 1995, the MKRO (Ministerkonferenz für Raumordnung) called for the creation of so-called "European Metropolitan Regions". Such MR are defined as the following: "Metropolitan regions are spatial and functional areas, whose outstanding importance of an international scale radiates over national borders" (Blotevogel 2002: 345). As motors of corporate, economic, social and cultural development processes, they should obtain the efficiency of Germany and Europe and help to speed up the European integration process (cf. Blotevogel 2002: 345). The term metropolitan region is therefore supposed to be a quality label for those regions. There are two criteria, those regions are supposed to fulfill. One is that the polycentric net of efficient MR should guarantee a competitiveness of Germany and Europe respectively in a globalized economy. Secondly, the merging of Europe should be assured through those MR. The federation (Bund) as well as the states (Länder) are now trying to open up new development chances – against the background of increasing inter-regional locational competition as a result of internationalization and globalization – through the bundling of allotted development potentials of single regional centers to a regional networked entity (cf. Blotevogel 2002: 345).

[6] Determination and controlling function, Innovation and competition function, Gateway function (for more information see BLOTEVOGL 2002: 346; KUJATH 2002: 328). In the year of 1995, the MKRO elected six regions to become metropolitan regions – Berlin-Brandenburg, Hamburg, Munich, Rhein-Main, Rhein-Ruhr and Stuttgart. By the year of 2005, four more regions were accepted in the net of metropolitan regions – Hannover-Braunschweig-Goettingen, Bremen-Oldenburg, Rhein-Main and Nuremberg. The Halle-Leipzig-Sachsendreieck was adapted to this concept earlier, in the year of 1997 (cf. FÜRST 2003: 441ff). Because hardly any city could fulfill all three functions at the same time, they formed collaborations and built regions themselves in order to become a part of the network system and to apply at the MKRO. By setting up those regions, a construct is created, which stretches beyond set political-administrative boundaries – thus a functional space based on functional-economic linkages emerges.

275f). Canada currently has 25 Metropolitan Areas (see Tab. 1 in appendix A)[7]. During the past 50 years, the country experienced an exceptionally rapid urban growth, especially outside the boundaries of central city municipalities. But there is an attempt to shape this growth efficiently and effectively, since populations and land areas increase, economies and social systems become more complex. Thus, the governing structure comes under more and more pressure. According to SANCTON, only a few of the Metropolitan Areas or Regions are administered as a single entity, most of them are fragmented. Since this urban growth is mainly taking place outside the cities' boundaries, jurisdictional change lags behind the growth of MRs. The political fragmentation refers to the presence of numerous local governments within an urban area (SANCTON 2005: 318f). The problem of governing the region as a whole entails aspects like the delivery of infrastructure, social services, water supply and planning and municipal financing for the entire region (CAMERON & STREN 2005: 276).

Due to these aspects, the question arises, what form of organization is the most appropriate one for a Metropolitan Region? Canadian MRs face – like many other Metropolitan Regions worldwide – the challenge of overcoming jurisdictional municipal or city boundaries and finding ways to reorganize themselves in networks that can cope with large scale urban conditions as well as competition.

Metropolitan Regions require a special consideration for reorganization because of the density of population, the existence of multiple overlapping jurisdictions, the increasing social and economic polarisation and the need to co-ordinate services over larger areas while simultaneously ensuring proximity between rulers and ruled (cf. CAMERON & STREN 2005: 276).

Canadian MRs are facing the same challenges as many Metropolitan Regions in various countries – they have to find solutions to establish new systems to create a functional area which emerges either from the regions growth or the merging of cities. The government structures need to give way to a network based society and to a new structure – Metropolitan Governance.

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[7] Kitchener is seen as a Metropolitan Area which forms together with its neighboring cities (Waterloo and Cambridge) and townships (North Dumfries, Woolwich, Wilmot and Wellesley) the Metropolitan Region of Waterloo – the case study for this thesis.

2.4. Metropolitan Governance

The focus of this research is on the action approach of New Regionalism. As stated above, NR as an action approach focuses on Governance – the use of interorganizational approaches rather than a hierarchical regional government to effectively govern Metropolitan Regions. Therefore, Metropolitan Governance (MG) is the main criterion for investigation.

But what is Governance at all? The term Metropolitan Governance is not a scientifically settled term yet. Some definitions will help to get a better understanding of the principles of this concept:

"Metropolitan governance is not a scientifically settled term, yet. I understand by it a combination of mechanism of self-government for metropolitan regions which are to enable the <u>issue-oriented cooperation and patterns of conflict resolution between actors of different logics of action</u> (economic, political and associative). Governance in that sense is more than regional cooperation of actors. Rather it is a mixture of government and <u>net-work based negotiating systems</u> and capable of producing binding decisions" (FÜRST 2002: 2).

"Governance is the act of <u>public decision making</u> and is no longer the exclusive domain of a single government (...). The metropolitan region is not a government but <u>all governments at all levels</u>, <u>nonprofit organizations</u>, and the <u>private sector</u> working together in new partnerships that blur sectoral, jurisdictional, and geographic lines" (HAMILTON ET. AL. 2004: 150).

"There are many definitions of governance, but we prefer one that speaks of governance not only as a destination, but as a journey. Governance is more than government, more than public administration, more than a governing model or structure, though of course these are important. Governance (...) is about effective ways of continuously engaging <u>various sectors of society</u>" (INSTITUTE ON GOVERNANCE 2006: 4).

To recapitulate the above definitions, Metropolitan Governance is understood in this research as: a combination of tools and mechanisms, which allows task- and problem-oriented collaboration and which provides conflict solving patterns to integrate the various aims and goals of different actors, allowing a self- governing Metropolitan Region.

2.4.1 Universal Model of Governance

According to the above definitions, Governance is an organizational structure of urban agglomerations which implies a regional liaison of actors based on networks. It is a decision-making-process which not only involves the government, but also the society, the private sector, and organizations (see figure 1).

Figure 1: Actors in decision-making-processes
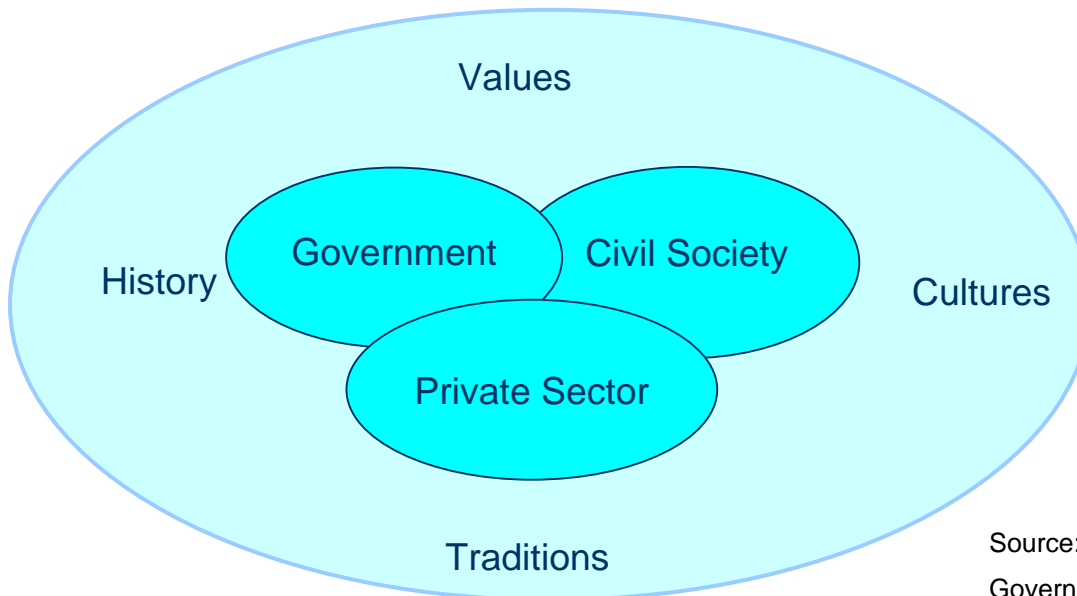
Source: Institute On Governance 2006, modified

As can be seen in figure 1, three sectors of society participate in the Governance equation, all of them situated among citizens at large. The relative size and strength of each of the players varies depending on the history, culture, and politics of the country. There are no firm boundaries between these players and in fact, they often overlap – because the borders of their sectors are permeable (cf. INSTITUTE ON GOVERNANCE 2006: 6).

In which ways do these actors come together in decision-making-processes? They do so by establishing networks/partnerships.[8] Such partnerships are defined as a venture between two or more actors that pool resources in pursuit of common objectives. The key reasons for entering partnerships are seeking input and change[9] – thus working together in such networks means the sustained commitment to move forward together to reach a common objective. Sustained commitment in this context varies depending on the complexity of the issue, the actors involved, the political and cultural background or the resources available to support the partnership. It is important to mention that partnerships do not imply an equal distribution of power, resources, skills and responsibilities. Therefore, such networks may encompass a broad array of arrangements. A successful partnership

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[8] In this research there is no distinction made between networks and partnerships.
[9] Or retaining the status quo if this status is accepted by all members of the Governance-equation.

values and openly acknowledges the different types of power that each actor possesses (cf. INSTITUTE ON GOVERNANCE 2006: 7).

Working together in networks implies a liaison between the actors shown in figure 1. The difference between coordination, collaboration and cooperation is essential in these partnerships, as stated in section 2.2 of this chapter. Only when all involved actors are treated as equals in decision-making processes, cooperation between those actors can be implied and a common objective to achieve regional goals that are confirmed not only on a political, but also on a societal level, can be assured. And only when those common objectives are accomplished, the region can develop as a whole and a maximization of its potentials and minimization of its deficits can be achieved.

How can Governance be applied to the level of Metropolitan Regions? Figure 2 clarifies about the different actors that emerge when it comes to decision-making in a Metropolitan Region.

Figure 2: Generalized model of relations of various actors in Metropolitan Regions
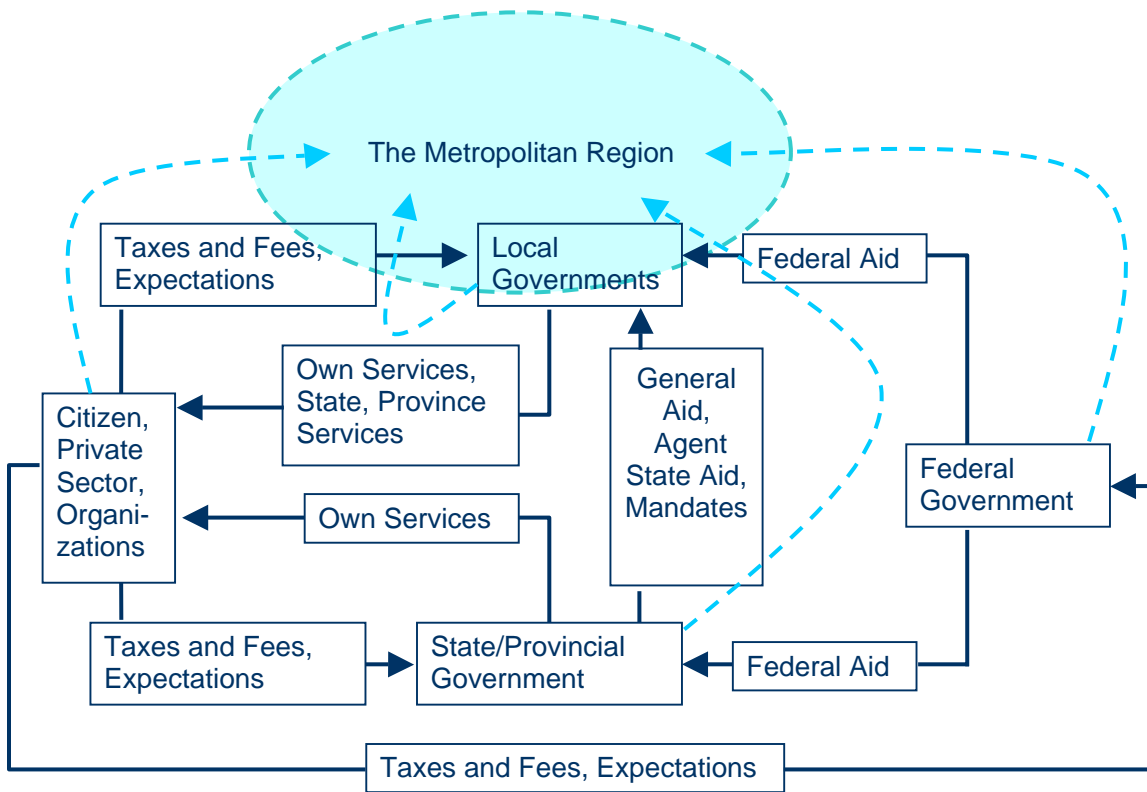
Source: Hamilton et al. 2004: 150, modified

The above model is a generalized flow chart of Metropolitan Governance. The Metropolitan Region is located around the local government(s), because the obligation to make decisions concerning the region is mainly the responsibility of these local governments (for example the provision of certain services). But as stated before, Metropolitan Regions are of political and cultural importance, not only on a local or regional level, but also on a state or Provincial level – these governmental actors therefore also intervene in decision-making-processes as well as Federal governments do. The dashed arrows clarify that the amount of influence the states and Provinces respectively as well as the Federation have in those processes, varies from one MR to another, depending on how strong and in what ways the hierarchical government structure is manifested.

Since the concept of New Regionalism is based on co-operation/collaboration rather than on coordination, the model also involves the public and private sector as well as (nongovernmental/non-profit) organizations. Their role in decision making is just as important as the role of the jurisdictional entity of the various governments. According to the concept of NR, those actors solely emerge on a voluntary basis. All of the different parties involved in decision-making-processes are considered as distinct yet equal and are all responsible for the development of the Metropolitan Region as a whole.

According to FÜRST, there are four key aspects that Metropolitan Governance entails:

- Integration of actors of different logics of action
- A minimum of binding ties ("rules" that secure the reliability of results)
- A combination of government and net-work-centered patterns of action (access to implementing bodies)
- Negotiating or bargaining as mode of integrating the actors' interests

(cf. FÜRST 2002: 2).

2.4.2 Norms of Governance

Furthermore, Governance is characterized by seven norms. According to the Global Campaign for Good Urban Governance, those seven norms give value to any governance system chosen by (Metropolitan) Regions:[10]

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[10] It is to mention that these seven norms do not display new paradigms of decision-making since their achievement is probably the aim of all – at least Western – governments. Nevertheless, the newness applies

- **sustainability** in all dimensions of urban development

- **subsidiarity** of authority and resources to the closest appropriate level

- **equity** of access to decision-making processes and the basic necessities of urban life

- **efficiency** in the delivery of public services and in promoting local economic development

- **transparency** and **accountability** of decision-makers and all stakeholders

- **civic** engagement and citizenship

- **security** of individuals and their living environment

(cf. www.unchs.org/govern/).

The seven norms are interdependent and mutually reinforcing. The ways in which those principles are implemented, depends on how the MR is structured and organized. Factors that determine those norms are the long-term strategic vision of the region as well as the consideration of the priorities of the citizens in regional policies and initiatives, the treatment of citizens as equals in decision-making-processes, the achievement of sustainability through the involvement of various actors, the question who benefits from decisions and actions and the contribution of actors to the common good (cf. www.unchs.org/govern/). The norms chosen at the Conference on Urban Governance give urban agglomerations a guideline on how to develop a "good" governance system that will lead them to physical growth, social quality and environmental quality – without ignoring the voice of society.

Therefore, those principles are not only about the results of power but about how well power is exercised. It is not enough to meet only some of the principles, all of them need to be present – at least to some degree to ensure good Governance. There can be friction between the norms, but it is rather important to recognize those conflicts and find a balance among them (cf. INSTITUTE ON GOVERNANCE 2006: 5f).

As stated in this section, MG is theoretically a process of decision-making that includes networks of actors from various fields of society. Decisions are made in a negotiation

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to the way how these aims are to be achieved – through Governance and the possibilities for non-governmental participation and thus through alternatives to governmental decision-making. The seven norms constitute an indication on how effectively a government involves nongovernmental actors based on the concept of partnership and Governance respectively.

process based on trust[11], where all actors involved may not share equal powers but are treated as equals. The main goal of this process of collaboration or cooperation rather than coordination is to achieve a common good for society and to develop the region as a whole in consideration of economic, ecologic and social sustainability. The seven norms of Governance give regions an indication for establishing a "good" system of decision-making. They offer a guideline on how to measure the effectiveness of a governance system in order to give value to the ongoing processes (is the governance system established really a system of good Governance or is for example one party profiting more than another from the decisions made?).

2.5 Smart Growth

2.5.1 The Concept Smart Growth

How can (Metropolitan) Governance be exercised in practice? In fact, it can be exercised in all intents and purposes of political decision-making-processes. One possibility where Governance is put locally or regionally into practice is by implementing Smart Growth projects. Where the interrelation of the concepts of Smart Growth, New Regionalism and Metropolitan Governance is situated will be clarified in the following section.

First of all it has to be stated, that Smart Growth is not an academically defined term yet. Rather it is a gathering of ideas from various actors involved in urban planning – more like a shared vision that seeks to obtain for example variances, rezonings, official plan amendments and public infrastructure investments to build more roads, malls, houses and condos, bridges, or office towers and assembly plants (cf. WELLAR 2001: 1). The question arises, what lies beneath the concept of Smart Growth?

"Smart growth" means different things to different people. Since there is no single definition of SG, its meaning depends on context, perspective and timeframe. It is rather a set of urban development practices that has emerged from US-American as well as Canadian policy experience since the 1970s (cf. BRAUN & SCOTT 2007: 1). "Smart Growth (…) has

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[11] It can not be said that the old saying "trust is good but control is better" is gone with the emergence of Governance. The legislative party still has to account for decisions made. Even with Governance, a certain kind of hierarchy in decision-making exists since nongovernmental actors are not legitimized of producing binding decisions – especially in planning. Trust rather implies new forms of how those decisions are reached. Solo attempts of governmental actors should be avoided through the possibility of nongovernmental actors to intervene. A common goal or consensus should be reached through the instruments negotiation and bargaining.

evolved out of governance quandaries in North American urban regions; these have been characterised by a continued trend towards political fragmentation and the politics of no-growth, exacerbated in the United Stated by a remarkable increase in plebiscitary (…) planning. These in turn have served to facilitate sprawl and detract from coherent attempts to address sprawl related issues" (BRAUN & SCOTT 2007: 2).[12] The new movement SG is – as an answer to the above described struggles in planning – characterized by: "new rules governing urban development logics, promote institutional change and thus discourage entrenched practices that perpetuate urban sprawl and its negative effects" (BRAUN & SCOTT 2007: 3).

SG is seen as a comprehensive strategy that suggests:

- economic efficiency
- environmental protection
- high quality of life
- social equity

(cf. BRAUN & SCOTT 2007: 1f).

The common thread among different views of SG is development which revitalizes central cities and older suburbs, supports and enhances public transit, promotes walking and bicycling, and preserves open spaces and agricultural lands. "Smart growth is not no growth; rather, it seeks to revitalize the already-built environment and, to the extent necessary, to foster efficient development at the edges of the region, in the process creating more livable communities" (www.abag.ca.gov/planning/smartgrowth/whatis SG.html).

Smart Growth can be seen as an approach to face municipal fragmentation as well the existing governance vacuum within most Metropolitan Regions in the US which fostered a complex political economy of suburban development and therewith sprawl. Especially in the United States and to a varying degree in Canada, there exist widespread failures to

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[12] In Northern America, sprawl has been associated with urban regions growing much faster than the actual population for the city (cf. GILBERT 2000). Sprawl is prevalently understood as: widely dispersed low-density development with homes separated from shops and workplaces, as well as a lack of well-defined thriving downtowns (cf. GELLER 2003). Negative consequences of sprawl are: loss of wildlife habitat and green space, loss of farmland, contribution to climate change, poor air quality, negative impacts on water quality and quantity, decreased economic efficiency and increased municipal costs as much as increased congestion, health issues, lack of mobility, negative social costs like the loss of community and local identity are also to mention (cf. BRAUN & SCOTT 2007: 13; PIM & ORNOY 2005:8; WINFLIED 2006: 14).

address the negative consequences of sprawl at a regional level. This is due to the failure of establishing Metro Governments[13] during the period when the concept of "Old Regionalism" was prevalent, especially in the United States, with the aim to create managerial organizations and structures that represent electoral constituents and secure binding regional powers. Results of the struggle to manage growth on a regional level are visible in the forms of "mass suburbanization, urban-suburban diseconomies in service provision, the rapidly deteriorating air quality in urban areas and a loss of open space" (BRAUN & SCOTT 2007: 11).[14]

Those failures have called for new approaches on how to effectively govern Metropolitan Regions to minimize the outcomes of old regionalist top-town initiatives (like local institutions that were unwilling to cede planning powers to regional bodies because of mistrust and the regional lack of authority, competition between local governments hindered local so-operation, the fragmentation of regional land-use planning through local referenda, or exclusionary zoning) and thus the deficiencies that resulted from suburbanization and sprawl. Since the contradictions between local and regional bodies have – according to BRAUN and SCOTT – proven almost impossible to reconcile using traditional Governance approaches (or in other words old regionalist top-down government approaches), the Smart Growth movement has set the goal to offer strategies which mitigate against exclusionary zoning and the NIMBY-attitude of local institutions. The SG movement can be seen as an approach that promotes a much more comprehensive notion of planning and spatial development which elicits local support. The involvement of public and private actors in the (re-) creation of the quality of life is also an essential element of the movement (cf. BRAUN & SCOTT 2007: 15ff).

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[13] While there exist quite a few examples of functioning Metro Governments in Europe and Canada, the situation of the United States was quite different because of "deep cultural resistance to restrictions on property rights and the effective lobbying of interest groups with a clear economic stake in continued sprawl" (BRAUN & SCOTT 2007: 10).

[14]According to BRAUN and SCOTT, this "growth and development goes on as long the core is able to concentrate the functions also to be provided for the growing periphery. An amoeba division will be the consequence first in a hierarchical order, then in specialized and finally in completely independent forms. This development towards the periphery happens even without growth as long as the functions and their related forms are demanded, economies of scale are not outweighed, and economies of scope exist" (BRAUN & SCOTT 2007: 5).

Smart Growth is therefore a practical example how the Governance approach of New Regionalism finds its way into practical usage.

As a planning concept, SG is the maximum operational expression of the new regionalist discourse in Northern America and can bee seen as the "political" face of new planning paradigms. It suggests a set of strategies that seek to manage growth at the regional level, rather than to restrict it at the local level (cf. BRAUN & SCOTT 2007: 18). The movement of SG refers to land use and development practices that limit urban sprawl, use tax dollars more efficiently and create more livable communities. It is more town centered, transit and pedestrian oriented, offers a greater mix of housing, commercial and retail use, and preserves open space and many other environmental amenities (cf. www.smartgrowth.org).

Questions that have to be asked are: the term Smart Growth is relatively new, the concept behind it is not, so what is new about the approach/ is it really a paradigm-shift? Is SG simply a buzz-term of choice, a phrase of persuasion to sell the notion of growth? What offers the concept to Metropolitan Regions?

Like definitions of sprawl, there are no agreed upon definitions of Smart Growth. Neither what it is, nor how it works is clearly defined yet. Rather most definitions are based on whether an organization favors development or conservation. But it can be stated, that in most definitions the following ideas are embedded:

- acknowledgement of continued construction of single-family homes,
- importance of balancing development with natural resources,
- importance of managing growth rather than stopping it,
- recognition that cities are important for the quality of life,
- recognition that new development patterns favor compact and walkable/ bikeable communities are possible and allow for a wider range of transportation choices, and
- recognition that intergovernmental cooperation is a key factor in addressing growth

(cf. http://www.uwsp.edu/cnr/landcenter/tracker/spring2003/SmartGrowth.html &

www.smartgrowth.org & DOWNS 2005 & www.smartgrowth.on.ca).

There exists no "one-size fits all solution". But all regions need to establish a vision of where they want to go and what things are valued in their community. The Smart Growth

Network established ten principles[15] as a guideline for urban agglomerations to establish the Smart Growth concept in their already existing planning policies. One example of the ten principles of SG is to provide a variety of transportation choices.[16] The issue area of transportation is supposed to improve the quality of life[17] in communities by promoting new transportation choices and transit-oriented development (cf. www.smartgrowth.org). The implementation of SG principles leverages new growth to improve the community and needs to invest time, attention and resources (cf. www.smartgrowth.org). According to BRAUN, the concept of Smart Growth is often equated with sustainability and should fulfill three objectives: Ecology, Economy and (social) Equity. Only when all three objectives are achieved, the concept of SG is fully implemented and a quality of life can be assured in these Metropolitan Regions (cf. BRAUN 2005).

To attain those sustainability goals, the focus cannot only be limited to **where** growth is best to occur, but attention needs to be shifted to **how** this planned growth is realized. The how comprises issues like who is involved in the realization of planned regional growth and how decisions around projects are made which leads the focus back to Governance and New Regionalism. Only if all actors are included in the implementation of SG principles economic, ecologic and social sustainability can be strived for all residents of a region.

The specific bias towards the development of low density suburbia for home buyers in Northern America has been discussed above. Government purchasing patterns, local

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[15] The ten principles of SG according to the Smart Growth Network are: create range of housing opportunities and choices, create walk able neighborhoods, encourage community and stakeholder collaboration, foster distinctive, attractive communities with a strong sense of place, make development decisions predictable, fair and cost effective, mix land uses, preserve open space, farmland, natural beauty, and critical environmental areas, provide a variety of transportation choices, strengthen and direct development towards existing communities, and take advantage of compact building design (cf. www.smartgrowth.org).

[16] Given the problems associated with sprawl, one wonders why cities (still) abandon city infrastructure only to rebuild it further out. This reason is due to conventional planning principles/practices and to choices people make given what planning allows people to do. One example which is part of the problem concerning sprawl has been rigid zoning. Although originally intended to keep factories and incompatible uses away from residential areas, it has made "smart" planning difficult and made transportation planning even more of a challenge. This restrictive zoning type of planning has allowed the automobile to dominate and left little room for public transportation which is more efficient and reliable (cf. MATTSON 2002). In addition to planning pressures, there appears to be a widespread movement of people wishing to live in the outer areas. There are many reasons why people are moving to the outer areas of the cities, both economic and aesthetic. Thus, when people demand more roads for their cars, the problem is further compounded by more outward expansion, resulting in people seeking areas that are less congested and where planning allows for more open space. The most "automobile dependent" cities display low density, dispersed and uniformly zoned land uses and high priority for car use. This type of development has for example characterized most of urbanized Canada, especially Southern Ontario (cf. HAMIN 2003:369ff & RAAD 1998:12ff).

[17] See section 2.5.2

government autonomy, mercantilist zoning for higher tax revenues, transportation policies, tax reform measures, etc. have contributed that extreme suburbanization is not merely limited to mere market forces or mass consumption. The approach of New Regionalism aims to empower communities and actors within a Metropolitan Region to create significant changes in how policies for the regions are defined and negotiated and to thus find new ways and approaches on how to limit urban sprawl. (cf. BRAUN & SCOTT 2007: 8f). The difficulties to cope with regional affairs and regional growth has led to a new understanding that regards overtly top-down approaches as "politically" incorrect. The new regionalist understanding, which accepts that the "old" established structures (as described in section 2.2) can not cope with the provision of regional services, suburbanization and sprawl with all its negative effects, as well as the new demands of private and public actors,[18] postulates that the Governance rhetoric of Old Regionalism needs to shift in favour of municipal partnerships, horizontal coordination and greater burden sharing at the local level. A much more comprehensive notion of planning and spatial development, which is an element of the concept of SG, can be nurtured through these changes. Municipal fragmentation and governance vacuum are supposed to be countered by this ideological change – the basic approach involves the participation of various actors from all parts of society to assure a sustainable development and thus a regional quality of life.

To conclude, SG is not a scientifically defined term yet. There exist guidelines which will help (Metropolitan) Regions to tackle regional problems and implement SG principles. But the new Governance shift is very complex and presents a huge challenge to those regions since there exists no "one-size-fits-all-solution" on how to effectively (re-) organize regional decision-making to successfully bring a SG project to life which in turn requires the establishment of intermunicipal and multiactor partnerships based on voluntarism in order to contain the negative costs of sprawl and strengthen the core areas of cities and thus create a quality of place for all residents.

According to BRAUN and SCOTT, the problems involved in defining and implementing a long-term regional strategy based on the principles of SG are inherent in the complex nature of the governance processes envisaged. The notion of SG "suggests an entire set of knowledge, understanding, and policy tools that most regions (…) do not yet possess"

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[18] For example ecologic balance/stability, social equity and co-determination.

(BRAUN & SCOTT 2007: 21). Smart Growth and its associated new Governance-structures do thus signify a learning-by-doing-process and success and failure[19] of implementation are due to the individual Metropolitan Region.

2.5.2 Quality of Place/Life

Why is the concept of Smart Growth important in times of globalization and economic competition? This is due to the fact that SG recognizes the connection between development and quality of place/life.[20]

The concept of quality of place deals with the interrelated aspects of environmental quality, growth management, social services and infrastructure. It challenges the traditional concepts of how urban agglomerations are organized just as much as the need to maintain sustainability: because as urban regions grow, all these elements become more difficult to manage (cf. HANNAH & WALTON-ROBERTS 2004: 43ff).

 "Quality of Place – particularly natural, recreational, and lifestyle communities – is absolutely vital in attracting knowledge workers and in supporting leading-edge high technology firms and industries. Knowledge workers essentially balance economic opportunity and lifestyle in selecting a place to live and work. Thus, quality of place factors are as important as traditional economic factors such as jobs and career opportunity in attracting knowledge workers…Given that they have a wealth of job opportunities, knowledge workers have the ability to choose cities and regions that are attractive places to live as well as to work." (FLORIDA 2000 in CURRAN 2003: 5).

Therefore, in order for (Metropolitan) Regions to stay competitive in a globalized economy and knowledge-based society, the necessity emerges to control the growth of these regions more efficiently and to thus create a place that provides the quality of life to attract the important knowledge or high-potential workforce.

How can Metropolitan Regions now implement SG structures to become a more livable place and consequently attract foreign investment and knowledge workers? As stated above, there exists no one size fits all solution (cf. www.smartgrowth.org).

According to the U.S. Smart Growth Initiative, the involvement of major private actors as well as major environmental organizations and community activist groups is an essential

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[19] For example the exposure to rivalries between actor groups, funding problems, absent upper municipal support or the creation of social inequity.
[20] There is no distinction made in this research between quality of place and quality of life since both of those terms stand for the same goal – the equal distribution of resources.

element to successfully implement the guidelines of Smart Growth into the already existing planning policies. Furthermore the funding for the implementation of Smart Growth policies relies not just upon innovative public sector funding programs, but also upon the relatively new concept of public-private-partnership (cf. www.newcolonist.com/sg_toronto.html).

According to DOWNS, the successful implementation of SG principles requires adopting policies that give up long established traditions. One is that in order to fulfill Smart Growth objectives, it is important to shift power and authority from local to regional levels (cf. DOWNS 2005: 369f). Here, the question arises, what structures have the Metropolitan Regions created to organize themselves on a regional level on the one hand and to involve all the participating actors in the implementation of the Smart Growth strategies/projects – in other words, what principles of New Regionalism and Metropolitan Governance respectively have they applied to develop the MR as a whole?

2.6 Summary of Chapter 2

Which structures of Governance have Metropolitan Regions established to meet the criteria of involving not only regional official actors but also public actors? How are decisions made in such Regions (bottom-up, top-down, consensus-finding) to achieve the objectives of Smart Growth? The focus of this thesis is not put on how well SG principles are exercised in practice, but on how actors of various fields of society work together to realize the projects implemented through the SG strategy. The importance is therefore not on the result, but rather on the "how", the journey of the realization-process. Since representatives of the Smart Growth movement argue for the necessity to involve the public and private sector as well as non-governmental organizations in the realization of the vision of quality of life, it is necessary to explore the created structures for public involvement in decision-making processes. Are all actors equally involved? Which role plays the federal, provincial/state or regional government in those decision-making processes? Is the governance structure based on coordination (hierarchical), collaboration (some actors involved are outweighed by others), or co-operation (all actors are treated as equals)? These are important aspects when it comes to the successful realization of SG principles. Only if all actors act in concert, quality of life can be achieved in the Metropolitan Region and the objectives of Smart Growth – Ecology, Economy and Equity – can be realized.

To summarize the key elements and connect the above explained approaches:

Globalization	competition→ regions are key players	New Regionalism
New Regionalism	to develop the Metropolitan Region	Smart Growth
Smart Growth	action-approach	Metr. Governance
Metr. Governance	manner of realization	(Construction) Projects
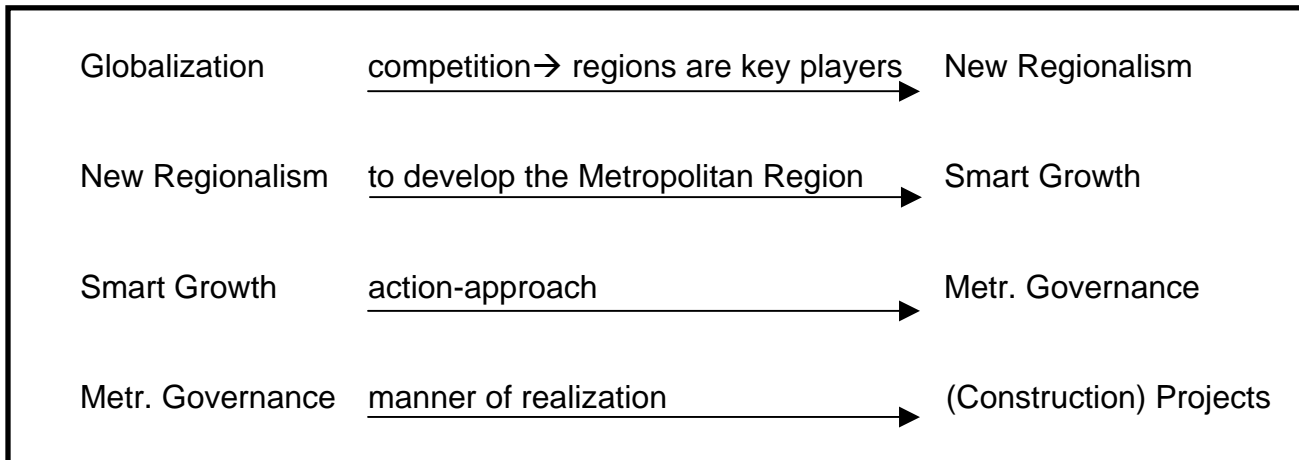
Questions that need to be asked and scientifically explored are how different urban agglomerations deal with the emergence of New Regionalism and the pressure of implementing Smart Growth strategies and realizing appendant projects? Are Regions successful in establishing a Governance model that meets the criteria of working together in co-operative networks?

The following chapters specify the previously posted questions in a concise research question and sub-questions, introduce the case-study Waterloo Region and its effort to implement Smart Growth principles with its LRT-Project, which the project that guides the exemplary evaluation of ongoing governance structures within the Metropolitan Region of Waterloo.

CHAPTER 3

Research Question and Methodology

3.1 Research Question

According to the literature review, MRs are facing opportunities and threats that the competition among urban agglomerations entails and are well aware of the necessity to act regionally in order to stay competitive and to enhance the quality of place. It is now to measure to what extend Metropolitan Regions implement the theoretical concept of New Regionalism and Metropolitan Governance respectively in practice.

The question is how are decisions made to utilize the maximum of the potential of a region and to minimize its deficiency in reference to the concept of NR? What are the solutions for Metropolitan Regions, where is the difference in the implementation strategies? What frictions emerge when strengthening the capacity to act as a unified region? How are decisions made, where is the difference? What can one MR learn from the other in consideration of success and failure in the implementation of the concept of NR and MG?

As stated in chapter 1, the Waterloo Region is taken as a case study (see chapter 4) to answer the above questions. Within the framework of this thesis, a model is developed[21] (see chapter 5) that is able to measure implemented governance structures and the degree of realization of the concept of New Regionalism. The established model is able to comprehend single project relevant realization steps and is therefore able to highlight differences that result in success or failure of the Metropolitan Region of Waterloo when it comes to the implementation degree of the concept of NR and MG respectively.

To evaluate the implementation of the concept of NR and therewith the decision-making-process, the thesis concentrates on the realization of a major construction project within the Waterloo Region – the Light Rapid Transit Project (LRT).[22] This major construction project – which is based on the extension of public infrastructure to reduce ecologic deficiencies,

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[21] Since an analytical framework on how to measure an effective governance-system is still missing in scientific research and literature, it is the task of this thesis to close this gap by developing an adequate instrument to analyze and evaluate such a system. The evaluation will be based on a set of indicators developed in chapter 5 of this thesis.

[22] An evaluation of the complete governance-system would exceed the framework of this thesis. On this account, the evaluation was reduced to the governance-mechanisms of one particular project.

assist reurbanization and boost the economy – is part of the regional SG strategy. The decision to concentrate on a major SG project is caused by public interest and its importance of realization to a Metropolitan Region in consideration of competitiveness and the integration of interests of various participating parties. A project of a huge scale does comprise environmental as well as social and economic effects and is therefore a perfect fit when it comes to exploring relationships and forms of liaisons between governmental and nongovernmental actors as well as the consolidation of (new) regional interests and action/activity to achieve those. The opportunities to gather data concerning the project is therefore not as limited as it may be the case with smaller Smart Growth projects. The manner of decision-making – the structures established for participation of actors of various fields of society – may be more traceable and thus give an answer to the ongoing governance structures in MRs based on the principles of New Regionalism. An evaluation with the established model in chapter 5 therefore provides lucidity what solutions the Waterloo Region has found in implementing the principles of New Regionalism as well as a functioning governance-system.

The main research question therefore is:

> **To what extent are the principles of New Regionalism represented in the decision-making processes of the Waterloo Region?**

Since the research question is not directly gaugeable, it has to be defined and operationalized in order to make it measurable through the usage of indicators:

Extent: the scope of incorporation (which varies from a degree of full implementation of the principles of New Regionalism over the implementation of only some principles to the implementation of none of the principles of New Regionalism)

Decision-making-process: the structures created for the involvement of various actors of all fields from society to participate in the implementation of a project

Waterloo Region: The area that contains the three cities of Cambridge, Kitchener and Waterloo as well as the four townships (Woolwich, Wilmot Wellesley and North Dumfries)

Principles of New Regionalism[23]:

1. Governance vs. Government [establishment of visions/goals → setting policy to achieve them (shared powers of actors)]

2. Process vs. Structure [structural alternatives as a strategy for achieving an objective (focuses on processes such as visioning, strategic planning, building consensus or resolving conflicts)]

3. Open vs. Closed [boundaries are open, flexible or elastic (extend of regions varies with issues addressed)]

4. Trust vs. accountability [not accountability as binding element, but trust]

5. Empowerment vs. Power [part of power is directed to other actors (NGOs, public or private actors)]

6. Collaboration vs. Coordination vs. Cooperation

For the research of the governance structure created in the case studies, the forms of decision-making processes are defined as the following:

- coordination: hierarchical structure (governmental actors make final decisions)
- collaboration: some actors involved are outweighed by others
- cooperation: all actors involved are treated as equals

Sub-questions that will give an answer to the research question are:

- How are decisions made in the Metropolitan Region?
- What success has the Region experienced in the decision-making process to realize the Smart Growth project and where has it failed[24]?
- What are the reasons behind both success and failure?
- What lessons can be learned from the case study?

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[23] New Regionalism is seen as a regional approach rather than a policy agenda in this research: as a regional approach, New Regionalism focuses on Governance – the use of interorganizational approaches rather than a hierarchical regional government to resolve area-wide public problems and meet region-wide needs (cf. Visser 2004: 51ff).

[24] Success is defined as the degree of full implementation of all principles of NR (only when all of its principles are fully implemented, the Smart Growth project can ensure the provision of a quality of life for all of the region's residents). Failure is defined as a low degree of implementation of only a few or non principles of New Regionalism (a quality of life can not be assured for all of the residents, the implementation of the project subserves governmental ideals).

The research question(s) become operationalized through the development of a set of indicators (see chapter 5 of this thesis). This set of indicators is able to measure to ongoing processes and to valuate them by fragmenting the decision-making process into its parts and identifying objectives that need to be achieved to establish a functioning Governance-mechanism and to implement the principles of New Regionalism. In chapter 5, the indicators are combined with actions and relationships of actors, both governmental and nongovernmental, to a model which is able to measure and judge ongoing decision-making mechanisms and thus evaluate the degree or extent of the implementation of the principles of New Regionalism.[25]

3.2 Methodological Framework

The methodical conception of the research is divided into four theoretical inquiries that can be outlined as follows:
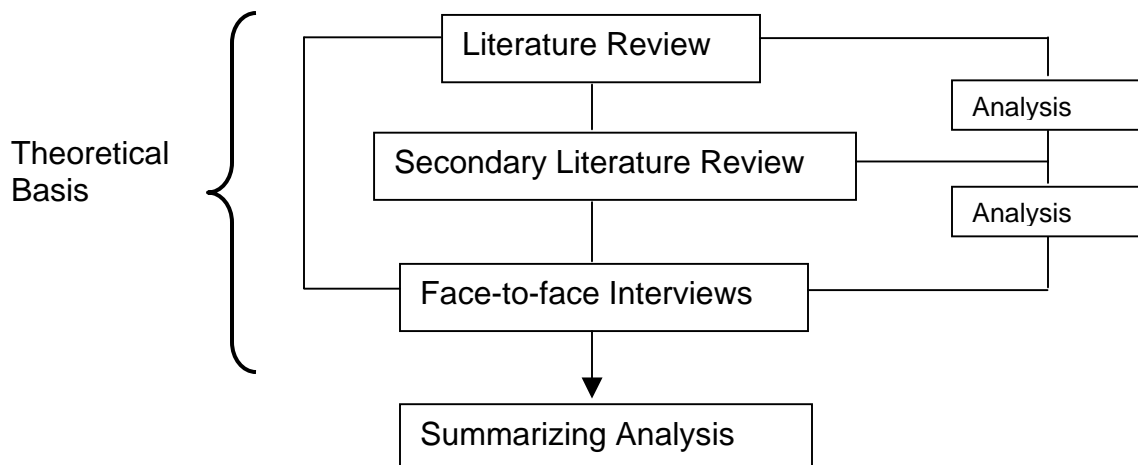
A theoretical framework (chapter 2) forms the basis for this investigation in order to interpret and analyze the results of the case study. Furthermore, primary literature as well as secondary literature reviews (council documents, local newspaper archives, published profiles, and published research with focus on specific project related issues) are part of the investigation. Face-to-face interviews complete the exploration. Interview partners are government representatives, regional and local planning staff, members of community

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[25] The description of the Waterloo Region (chapter 4) was inserted between the operationalization of the research question and the development of the indicators to measure and evaluate the operationalized research question (see chapter 5) to fully comprehend and reconstruct the selection of the chosen indicators by visualizing and thus comprehending an example of what a decision-making-mechanism may look like.

groups or organizations, as well as residents[26] of the Waterloo Region in order to answer questions concerning organization of and participation in decision-making processes. The face-to-face interviews are held on the basis of a semi-standardized questionnaire – changes occur depending on the specific expertise of the interviewees.[27] Therefore, the analysis to this research is based on a qualitative approach. The main goal is to identify what success the Metropolitan Region has experienced and where it has failed, what reasons underlie success or failure of the chosen Governance mechanism, and what lessons can be learned from the case study Waterloo Region.

The research question and all the posted sub-questions are defined and thus operationalized and measurable through the development of indictors. The analysis of the indicators gives judgmental answers to the chosen governance system of the Metropolitan Region of Waterloo (ROW). A final analysis offers information about the actual condition of the case study and therefore allows for a final conclusion that gives an answer to the main research question.

The outcomes of this investigation are highly relevant for Metropolitan Regions and the ongoing discussion of decision-making processes. They give an example of how one specific MR deals with the need of regional (re-) organization in the realization of SG projects. The model that guides the research is applicable to various Metropolitan Regions. Future comparisons of organizational structures of Metropolitan Regions will shed light on the aspect where differences occur and why some regions are more successful than others in establishing a functioning governance system and in the realization of the principles of NR. It will also be classifiable to what extent and in what manner the principles of NR have to be implemented in order to allow for sustainable regional development and the aspect of (re-) positioning a MR in the hierarchy of Metropolitan Regions.

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[26] According to the timeframe of this thesis, there have not been made any face-to-face interviews with residents, since a representative questioning would have gone beyond the scope of this thesis. Therefore, a participative observation of the residents and their interaction with regional and local officials has taken place at several regional meetings in conjunction with the LRT-Project.

[27] The interviews can be found in appendix C. The interviews are used in chapter 5 to empirically support the qualitative approach of the developed model by providing expert insights on specific new regionalist issues of decision-making and to therefore validate qualitative conclusions drawn by the author of the thesis.

CHAPTER 4

The LRT-Project in the Waterloo Region

4.1 Waterloo Region

4.1.1 The Waterloo Region

The Regional Municipality of Waterloo (see figure 3 in appendix B) is located approximately 100 kilometers west of the City of Toronto in the outer ring of the Greater Golden Horseshoe (GGH). Waterloo-Region (formation in 1973) is ranked as one of the fastest growing communities in Canada. With a current population of approximately 500,000, the Region is the 10th largest urban area in Canada and the 4th largest region in the Province of Ontario. The three principal cities, Cambridge, Kitchener and Waterloo account for approximately 89% of the Region's population, and a significant share of the Region's employment (cf. CASELLO 2003: 7).

Waterloo Region is expanding in both commercial and population terms. The presence of two universities, the University of Waterloo and Wilfrid Laurier University, acts as a catalyst for growth in the high-tech area (cf. REGIONAL GROWTH MANAGEMENT STRATEGY 2003: 2 & www.answers.com/topic/regional-municipality-of-waterloo-ontario). The regional government predicts that population will increase by 240,000 residents by the year 2031; 167,000 jobs are projected to be added to the Regional economy (cf. CASELLO 2003: 7). New housing, jobs and services will be required to meet the needs of that growing population. Further these needs will be influenced by the changing demographic profile of the community including the aging population and increasing numbers of new Canadians (cf. REGION OF WATERLOO 2007: 4).

The economic base for the three cities is very strong; in 2001, the unemployment rate in the Region was 4.3%, below both the Provincial and Canadian national rate. The Region is also largely "self-contained"; in the late 1990s, 92% of residents also worked within the Region. The primary employment sector in the cities, and in fact the entire Golden Horseshoe[28], is manufacturing. Unlike many mid-sized cities, the weakening of the

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[28] Located at the western tip of Lake Ontario, the Golden Horseshoe is the most populous region in Canada. This 250 km strip is the home of more than one-sixth (8.1 million) of Canada's population. The area makes up

manufacturing sector has had only minor negative impacts in the Region. Manufacturing currently composes 27% of the Region's economic base (cf. CASELLO 2003: 8).

In other cases, the economic focus has changed; the City of Waterloo has adapted largely as a result of strong universities' presence as well as a growing high-tech sector.

Outside of developed areas, the Region contains prime agriculture lands and therefore an active farming industry. Of particular concern to regional planners is maintaining an identifiable, permanent boundary between developed, commercial and residential areas with the more rural, agricultural landscapes. Further, there is a need to protect regional groundwater, from which 80% of the population is supplied, making Waterloo Canada's largest groundwater dependent community (cf. CASELLO 2003: 8f).

Regional land use patterns have two defining features. As in many North American Metropolitan Areas, suburban development has grown rapidly in the past 40 years. A second defining point is that growth has remained contiguous and largely centered around the primary transportation corridor in the Region – the highway 8 corridor connecting the urban cores of Cambridge, Kitchener and Waterloo (cf. CASELLO 2003: 9).

This "Central Transportation Corridor" (CTC) has been and continues to be the focus of planning efforts within the Region. For many decades, official regional planning documents have included provisions to intensify development along the CTC to obtain all the benefits of increased urban density recognized in the planning literature, particularly fewer negative externalities associated with land use and transportation as well as enhanced accessibility and economic growth.

These previous efforts have only been marginally successful. Suburbanization and greenfield development have occurred, as shown in figure 4 in appendix B. In terms of transportation, the Region of Waterloo lags the Province of Ontario in terms of non-single occupancy vehicle journeys to work. Only 3.7 percent of Regional residents used public transit for their commutes versus 7.1 percent Province wide (cf. Casello 2003: 9).

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over a quarter (25.6%) of the population of Canada and contains approximately 75% of Ontario's population (http://dialect.topography.chass.utoronto.ca/tu_basic.php). Although it is a geographically named sub-region of Southern Ontario, Greater Golden Horseshoe is more frequently used today to describe the Metropolitan Regions that stretch across the area in totality (like for example Niagara Falls, Hamilton, Toronto, Oshawa or Waterloo-Kitchener).

4.1.2 Planning in the Waterloo Region

The solution made for governing this Region is the one of a two-tier (regional) government[29] which was established in the year of 1973 by the Province of Ontario. This aspect affirms the above statement that Canadian Provinces do play a huge interventionist role in municipal affairs and it also is an example of the early introduction of Metro Governments which is characteristic of the period of Old Regionalism (cf. BRAUN & SCOTT 2007: 9f). The Regional or Metro Government can be seen as an extension of the lower tier municipalities. The Region's governing body consists of 16-members. The council comprises the regional chair, the mayors of the three cities and four townships (the seven area municipalities), plus four additional councilors from Kitchener and two additional councilors from both Cambridge and Waterloo. Since 1985, the regional chair has been Ken Seiling. Starting with the 1997 election, he is directly elected by the citizens of Waterloo Region. Prior to 1997, the chair was appointed by the elected councillors. Since the year 2000, not only the chair but all of the Regional Councilors are directly elected by the population of Waterloo. Of the nine regions in Ontario, Waterloo Region is the only one with an elected chair. (cf. http://www.region.waterloo.on.ca/web/region. nsf/0/D2B906BEEAB4DAF9852571FF005506EE / $file/CC-06-003.pdf?openelement).

In the case of the Waterloo Region, a jurisdictional entity exists, that covers the entire Metropolitan Region and the provision of services for it. But who is involved in which way when it comes to planning decisions that relate to the management of growth?

Efficiently accommodating the growth within the Greater Golden Horseshoe requires three levels of planning. First, the Province of Ontario defines a policy which directs the growth patterns and, more tangibly, funds infrastructure to support the growth. Further, the Province confers general powers and authority to municipalities through the Municipal Act; a series of legislation including the Planning Act, the Environmental Assessment Act, the

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[29] "The Regional Municipality of Waterloo officially came into being on January 1st, 1973 pursuant to the legislative provisions of Bill 167 of the Province of Ontario. This Bill, also known as the Regional Municipality of Waterloo Act, reduced the number of local governments in the area from 16 to 8 and established a two-tier system of local government. The regional tier being the Regional Municipality of Waterloo and the local tier being comprised of the 7 area municipalities, namely, Cambridge, Kitchener, Waterloo, Wellesley, Wilmot, Woolwich, and North Dumfries. The Region was to be generally responsible for services and programs that cross municipal boundaries while the local tier was to be responsible for services and programs that were community specific and local in nature" (http://www.region.waterloo.on.ca/web/region. nsf/8f9c046037662cd985256af000711418/e233f69b6fda116685256b10006d5eb2!OpenDocument).

Development Charges Act and the Aggregates Act prescribe specific planning authorities. Regional governments, as a middle tier government, interpret Provincial policies and apply them to municipalities within the Region. For example, regional governments can implement land use controls (creating urban growth boundaries or regulating environmentally sensitive areas, etc.), plan and operate regional transportation systems, or recommend infrastructure investments. Regional governments also typically have responsibility for infrastructure-related matters such as water, wastewater, waste management, public transit and major roads. Finally, municipal governments through traditional means (zoning, permitting, funding, etc.) oversee the development patterns. Local municipalities also develop area-specific policy and plans with regards to heritage planning, parks and recreation, local roads, traffic and parking (cf. CASELLO 2003: 2ff).

As can be seen, all levels of government are involved when it comes to managing growth through planning initiatives. Here, the question arises how all these separate jurisdictions work together to achieve a common goal – the management of growth and the direction of the new developments towards a sustainable community for all residents.

The main focus of this thesis is to introduce certain actions by all levels of governments that have been taken to shape growth and to maintain or enhance the quality of life. As stated before, the focus is put on one particular project – the LRT-Project – and the structures that have been created to realize the project. Basing on this project, structures that have been created by the Region to include governmental as well as various sectors of society are going to be reconstructed to clarify how the Waterloo Region deals with the emergence of New Regionalism and its main component Governance. Since the LRT-Project is a project based on public transportation, a short digression concerning public transportation in the Waterloo Region has to be given, to fully understand the background or framework in which the Region operates the implementation of its LRT-Project.

4.1.3 Public Transportation in the Waterloo Region

In the year of 2000, the authority over public transportation was shifted from the local level to the regional level. Before 2000, public transportation for the Region was provided by the City of Kitchener and the City of Cambridge. The City of Waterloo did not have an own transit provider but bought its services from Kitchener's transit service (Interview with

Cameron Rapp). In 2000, the Region decided that the existing transportation structure is not an effective one because of the lack of coordinated inter-municipal transit between Cambridge and Kitchener-Waterloo and the lack of transit services to the townships. The implementation of a Regional Transit Service was seen as an opportunity to introduce new routes and improve the coordination of service between the Cities and the Townships. The Regional Transportation Master Plan which was approved in 1999 established a target of a 7% reduction in the future use of the automobile. This reduction is seen to be sustainable and requires a 115% increase in the current regional transit ridership to achieve those goals. The Central Transit Corridor (see figure 5 in appendix B) is a fundamental element in the Regional Transportation Master Plan (RTMP). Without this core facility which was already part of the first Regional Official Policy Plan (ROPP) there is very little hope of increasing transit use over the long term. The fragmentation of planning (8 official plans exist in the Region), the lack of a shared vision and the inability of the lower tier municipalities to coordinate and invest in transit at an appropriate scale, resulted in failure to achieve the Plan's objective. The 1999 version of the CTC cannot be successfully implemented unless by a single operating agency and co-ordinated, supportive land use decisions. Therefore, the Regional Council approved on June 23rd, 1999 that "conventional transit services and services for disabled be assumed by the Regional Municipality of Waterloo January 1st, 2000". (cf. REGION OF WATERLOO 2000: 26ff).

4.2 The Regional Growth Management Strategy

4.2.1 Current Debates in the Waterloo Region

"Waterloo Region's explosive growth continues to outpace both the province and the country, though most new residents are still ending up in the region's suburbs. […] The region's population grew by nearly nine per cent or about 37,000 new residents since the last census was taken in 2001. We were the fourth-fastest growing urban area in the province, slightly behind Toronto" (THE RECORD March 14th, 2007). While Canada's population grew by 5.4 per cent in the years from 2001 to 2006, Ontario's population increased by 6.6 per cent. Focusing on the Waterloo Region, the growth in the City of Waterloo (12.1%) outnumbers the other two core centers (Kitchener 7.5% and Cambridge 9.1%) (see tab. 2). But the City is reaching the last of its available lands, which could –

according to MCMAHON – signal an end to the growth spurt. While most of the growth occurred in the suburban area of Waterloo, the core saw only little growth and populations of some central neighborhoods declined (THE RECORD March 14th, 2007). Waterloo's mayor Brenda HALLORAN responded to these facts that "the challenge now is to funnel new high-density development into the city core" (THE RECORD March 14th, 2007). Kitchener's mayor Carl ZEHR represents the opinion that "Waterloo's limited open land will likely force that city's growth to spill over into new developments in Kitchener" (THE RECORD March 14th, 2007). Officials of all cities expect the next census in 2011 will reflect a trend towards more development in cores. Cambridge's mayor Doug CRAIG holds the view that "the growth in the suburbs presents challenges for public transportation" (THE RECORD March 14th, 2007). According to Ken SEILING, Chair of the Regional Council, the "challenge isn't to stop growth, but to manage it". He says, "This isn't a case where you can turn the tab on or you can turn the tab off (…)." In his opinion, the Region has got to plan and plan well for growth in the coming years (THE RECORD March 14th, 2007).

It can be seen that occurring growth and the issue how to manage that ongoing growth in the Waterloo Region are broadly discussed topics among local and regional officials of the Region. While local governments are trying to push growth into existing developments, the most recent census data shows continued booming expansion in new suburbs, while the city cores stagnated or even lost some of their residents. One problematic issue with the current growth patterns is the continued development on Waterloo's moraine which is threatening the water quality by paving over lands that are essential for purifying water (cf. THE RECORD March 15th, 2007). Other relevant aspects are growth related traffic congestions, gridlock and debasing air quality. According to David WELLHAUSER, a regional environmentalist, the Region has to act immediately: "By making bad decisions now and not making strategic decisions now, we are really shooting the future in the foot" (THE RECORD March 15th, 2007).

The Region is challenged by various groups of society to act and to manage the ongoing growth and direct it towards a sustainable development for all of the Region's residents. What actions has the Region taken to bear that challenge? Are strategies being developed to manage growth and direct it to the urban cores or will ongoing patterns of development continue because of the desire for new single-family homes on undeveloped land? These

are all questions that have to be asked when it comes to the future development of the Region and the need to create an environment that guarantees sustainability and ensures a quality of life. One project that has been developed to face the challenges of growth and to direct further growth towards the urban cores is the SG project Light Rapid Transit. How the Region plans on implementing this project and what structures have been created to meet the needs of society as well as Provincial pressure will be explained in the following sections.

Tab. 2: Population increase of Waterloo Region 2001 to 2006

	Population 2006	Population 2001	Population Change	Density per sq-km
City of Kitchener	204,668	190,399	7.5	1495.2
City of Cambridge	120,371	110,372	9.1	1066.5
City of Waterloo[9]	97,475	86,543	12.6	1520.7
Woolwich Township	19,658	18,201	8.0	60.3
Wilmot Township	17,097	14,866	15.0	64.8
Wellesley Township	9,789	9,365	4.5	35.2
North Dumfries Ts.	9,063	8,769	3.4	48.4

Source: The Record March 14th, 2007, page A2

4.2.2 Ontario – Places to Grow

4.2.2.1 Places to Grow Plan

On June 16th 2006, the Province of Ontario released the Places to Grow Plan for the Greater Golden Horseshoe (P2G). Prepared under the Places to Grow Act 2005[30], it is part of the Places to Grow initiative to "plan for a healthy and prosperous growth throughout Ontario". The P2G plan was approved by the Province in June 2006 (REGION OF WATERLOO 2007: 6).

The document outlines a proposed vision for growth in the Greater Golden Horseshoe Area over the next 30 years and beyond. The GGH Area includes the Greater Toronto Area and

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[30] The Places to Grow Act 2005 provides the legislative framework for this plan. It gives the Lieutenant Governor in Council the authority to establish any area of land in the Province as a growth plan area and requires that the Minister of Public Infrastructure Renewal prepare a growth plan for all or part of that area (PROVINCE OF ONTARIO 2005: 34f).

Hamilton Area (GTAH) as well as an outer ring which includes several communities, amongst other also the Waterloo Region. The discussion paper represents an essential element of the government's "Building Strong Communities" agenda, and provides initiatives currently under way (like the Strong Communities Act, the Golden Horseshoe Greenbelt Act, the review of the Planning Act and the Provincial Policy Statement, the Ontario Municipal Board Reform, and the Growing Strong Rural Communities Initiative) (cf. REGION OF WATERLOO 2004).

The GGH currently houses approximately eight million people. Based on past and current growth trends, the area's population is expected to grow by almost four million people and two million new jobs by the year 2031. The Province estimates that about three quarters of this growth will occur in the GTAH with most of the remaining growth occurring in the larger urban centers in the outer ring. The discussion paper identifies a hierarchy of "Priority Urban Centers" and "Emerging Urban Centers". Priority Urban Centers are understood as the primary focus of future growth – Kitchener and Waterloo were identified as such priority centers. Those centers will be the targets for intensification and promotion of mixed use and compact developments as well as transportation nodes. The Province has proposed a target of at least 40 per cent of new growth occur through intensification within the already built-up areas and a minimum target of 200 people and jobs per hectare within those Urban Growth Centers have to be achieved. The overall goal is to develop a network of well-managed urban centers that will strengthen the economy of the GGH (cf. REGION OF WATERLOO 2004).

According to the P2G-plan "Urban Growth Centers will be designated in official plans and planned:

- as focal areas for investment in institutional and region-wide services as well as commercial, recreational, cultural and entertainment uses
- to accommodate and support major transit infrastructure
- to serve as high density major employment centers that will attract provincial, national, or international significant employment uses
- to accommodate a significant share of population and employment growth

(cf. IBI-GROUP 2006: 6).

Therefore, the Growth Plan for the Greater Golden Horseshoe aims to:

- revitalize downtowns to become vibrant and convenient centers
- create complete communities that offer more options for living, working, shopping, and playing
- provide greater choice in housing types to meet the needs of people at all stages of life
- curb sprawl and protect farmland and green spaces
- reduce traffic gridlock by improving access to a greater range of transportation choices

(cf. REGION OF WATERLOO 2007: 6).

The vision for the GGH is grounded in the following principles that provide the basis for guiding decisions on how land is developed, resources are managed and public dollars are invested:

1. build compact, vibrant and complete communities
2. plan and manage growth to support a strong and competitive economy
3. protect, conserve, enhance and wisely use the valuable natural resources of land, air and water for current and future generations
4. optimize the use of existing and new infrastructure to support growth in a compact, efficient form
5. provide for different approaches to managing growth that recognize the diversity of communities in the GGH
6. promote collaboration among all sectors – government, private and non-profit – and residents to achieve the vision

(cf. PROVINCE OF ONTARIO 2005: 10).

The Province of Ontario has established a vision and a framework with the P2G plan that is supposed to guide the Urban Growth Centers to accommodate that growth and is a response to the ongoing Smart Growth movement. The paper outlines for example a new approach to infrastructure planning and investment that will make better use of existing infrastructure, identify investment priorities over the next ten years, and coordinate long-term strategies across regions and with other levels of government. The plan proposes that "priority will be given to provincial infrastructure investments that support growth in the

Growth Plan concept"[31] (IBI GROUP 2006: 6). The Province intends to develop an integrated transportation network that promotes an efficient movement of people, goods and services throughout the Greater Golden Horseshoe. The P2G plan shows a higher order transit system linking the three core areas of the Waterloo Region – Cambridge, Kitchener and Waterloo (see figure 6 in appendix B). This higher order transit system – or Light Rapid Transit system – is supposed to act as a catalyst for re-urbanization along the Region's CTC. In doing so, the proposed system is supposed to support the revitalization of the downtown areas as well as several other objectives of the Province (cf. REGION OF WATERLOO 2004).

It can be stated that the Province of Ontario is taking the future growth in consideration and is preparing to shape that growth in a way to create more livable communities throughout the Province. While trying to create a more sustainable environment for the residents, the Province establishes guidelines for the regions to manage future growth and to create communities which guarantee or protect the quality of life, environmental sustainability and economic viability.

4.2.2.2 Provincial Policies Statement

In order to give the P2G plan a legislative framework, a new Provincial Policies Statement (PPS) had to be established by the Province. The new PPS that contains this framework was released in 2005 by the Province of Ontario. Part IV of the PPS provides a new vision of Ontario's land-use system:

"The Provincial Policy Statement focuses growth within settlement areas and away from significant or sensitive resources and areas which may pose a risk to public health and safety (…). Efficient development patterns optimize the use of land, resources and public investment in infrastructure and public service facilities. These land use patterns promote a mix of housing, employment, parks, open spaces, and transportation choices that will facilitate pedestrian mobility and other modes of travel. They also support the financial well-being of the Province and municipalities over the long-term, and minimize the undesirable effects of development, including impacts in air, water and other resources" (Region of Waterloo, Report P-06-102, 2006).

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[31] Policy 3.2.2.1 of the Places to Grow Plan states that "Public transit will be the first priority for transportation infrastructure planning and major transportation investments". Schedules 2 and 5 of the Plan show a higher order transit system linking the three Urban Growth Centers in the Waterloo Region as part of the "Proposed Higher Order Transit to 2031" system for the GGH (cf. PROVINCE OF ONTARIO 2005: 49).

Part V of the PPS provides the policies to implement the legal requirements of the Strong Communities Act, 2004. Section 1.0 of this Statement is entitled "Building Strong Communities" and provides numerous policies that directly support stronger municipal public transit systems. Five policies mention public transit directly while other additional policies address issues of infrastructure and transportation systems (see tab. 3 in appendix A).

With the vision and the legal framework established, it is in the hands of the regional and local municipalities to bring those visions to life on a regional or even local scale. It needs a comprehensive approach to planning and managing land-use relationships to achieve the objectives of transportation choice and transit-oriented development. According to the P2G plan, the key to success is an effective implementation. Such an effective implementation "will require that all levels of government, non-governmental organizations, the private sector, and citizens at large work together in a co-ordinated and collaborative way to implement the policies of this Plan and to realize its goals" (PROVINCE OF ONTARIO 2005: 34).

The question is what actions have Ontario's Regions taken to achieve the vision that is entailed in the P2G plan and how are the different levels of government as well as the above stated actors involved when the theory is put into practice? The following sections will give an answer to which actions the Region of Waterloo has taken to bear that challenge.

4.2.3 The RGMS in Waterloo Region

"With the two tier model, the Region has traditionally provided growth opportunities for all municipalities. However, given financial, practical, environmental, and other issues, we cannot continue to do this in the manner we have in the past" (cf. http://www.region.waterloo.on.ca/web/region.nsf/8f9c046037662cd985256af000711418/ba 825f443795dcad05256cd400508a7a!OpenDocument). With that insight in mind, the Regional Council adopted the Regional Growth Management Strategy (RGMS) in June 2003, entitled "Planning Our Future". It is a long-term vision that identifies where, when, and how future residential and employment growth will be realized. The strategy is

consistent with the Province's "Smart Growth" principles[32] and seeks to overall preserve and improve the quality of life. It represents a forward looking planning initiative linking land use and transportation, initiated by the adoption of the first Regional Official Policy Plan (ROPP) in 1976. The key elements of the RGMS are: big picture environmental planning, a firm urban boundary, reurbanization, transportation choice, targeted greenfield development, and quality of life initiatives (cf. REGION OF WATERLOO 2007: 5).

According to the Regional Council, the RGMS is supposed to:

- positively shape the urban as well as the rural form
- build on past initiatives
- focus growth
- promote a more compact, transit and pedestrian oriented community
- focus on financial stability
- recognize that time is required to implement significant change and provide flexibility

(cf. RGMS 2003: 1).

The six goals that are intended to be achieved through the implementation of Smart Growth principles are:

1. enhancing the natural environment
2. building vibrant urban places
3. providing greater transportation choices
4. protecting the countryside
5. fostering a strong economy
6. ensuring overall coordination and cooperation

(cf. RGMS 2003: 4).

The most important key elements[33] of the RGMS are the establishment of a firm countryside line (to limit urban sprawl, protect valuable lands and maintain rural sites), the

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[32] The Strategy is consistent with the Province's P2G even though the RGMS was developed in 2003, two years before P2G was established by the Province of Ontario.

[33] Other components and actions are the preparation of urban design guidelines, the protection of unique heritage landscapes, the pursuit of new and environmentally friendly forms of housing and transportation, the facilitation of brown field and downtown core redevelopment and revitalization. The RGMS is supposed to encourage and provide for new investment in the Region while speaking to the preservation and enhancement of quality of life (cf. RGMS 2003: 5 & http://www.region.waterloo. on.ca/web/region.nsf/8f9c046037662cd985256af000711418/ba825f443795dcad05256cd400508a7a!Open Document).

intensification of the CTC including the implementation of a Light Rapid Transit-System (to leverage capital investment and support the revitalization of the downtown cores; urban design guidelines are also established), the protection and preservation of environmentally sensitive landscapes (including the moraine areas) and the development of new employment lands (cf. RGMS 2003: 5). The backbone of the RGMS is the higher-order transit system within the CTC[34] to leverage capital investment and support the revitalization of the downtown core areas. This transportation opportunity calls for more intensification along the CTC while greenfield development is not prohibited but limited (see figure 5). The primary reurbanization area is therefore along the CTC – and an intensification of the CTC will support a higher-order-transit system – while the urban growth boundary or countryside line is seen as nearly permeable (according to Kevin Eby, 75 per cent of the boundary are fixed, solely the northeast is seen to be flexible – Kevin Curtis at the PAC meeting on March 6th 2007).

Reshaping the urban environment will require the Region to consider changing demographic characteristics including an aging population and an increasing diverse ethnic mix. These changes may result in a growing demand for higher density residential dwellings and an increasing number of people who do not or cannot travel by private automobile[35] (cf. IBI GROUP 2006: 5). The strategy was developed over the course of two years. To define the above goals, the Regional Council worked together with various stakeholder groups, the area municipalities, community agencies, the project Steering Committee and the public at large. The implementation is ongoing, with over 70 projects underway or completed (cf. RGMS 2003: 3).

What are the Region's actions to implement the above Smart Growth strategies to achieve the intended goals and enhance the quality of life? What structures has the Region created to involve the public and private sector as well as non-governmental organizations in the realization of the SG projects to fulfill goal number six? These are questions that are highly relevant when it comes to the successful implementation of the Smart Growth projects that are supposed to enhance an equal quality of life for all residents. The research example for

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[34] Central Transit Corridor which connects the downtowns of the cities of Cambridge, Kitchener and Waterloo.
[35] Benefits to the reshaping of the urban environment are seen in the possibility to reduce air pollution, improve public health, reduce dependency on fossil fuels and a long-term protection of ecologic systems, rural lands and agricultural resources (cf. RGMS 2003: 10ff).

the Waterloo Region – the LRT-Project – is situated within goal number six: providing greater transportation choices. Since the establishment of the CTC, anchored by a higher order transit system using a LRT technology, is one of the key initiatives identified in the RGMS, its realization is of great importance to the Waterloo Region and its residents.[36]

4.3 The Rapid Transit Initiative (RTI)

4.3.1 The RTI

The growth challenges the Waterloo Region is facing – which include traffic congestion, outward pressure on urban boundaries, public health concerns and downtowns that are in need of revitalization – are to a great extend directly related to the society's dependence on the automobile. The reactive rather than proactive transportation planning system of the past does only contribute to those challenges (cf. VINCENT & EBY 2004: 1). The Region is now taking action and considers the implementation of a higher-order or rapid transit system in the Region's primary reurbanization area – the approximately 40 km CTC – to be an essential catalyst to achieving the goals set out in the RGMS. The RTI is therefore not only expected to shape future growth and intensification but it is also a critical piece of transportation infrastructure to provide greater mobility and transportation choice for the community. The system is supposed to be a high quality transit alternative with a redesigned feeder bus system and is seen as a possibility to be an attractive alternative to car travel (cf. REGION OF WATERLOO 2007: 7).[37] The RTI is a key part of the Regional Transportation Master Plan (RTMP) which is currently being updated by the Region.[38] It can be stated that the Rapid Transit Initiative is a regional project, mainly developed by staff and the Regional Council. SEILING, the Chair of the Regional Council is taking on the role of leadership when it comes to the implementation of a higher-order transit system in the Region (Interview with Yanick Cyr). It was a huge election issue in 2006 and the

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[36] According to the Regional Council, a higher order transit system improves access to jobs and services, balances the transportation system, improves transit service, integrates different transportation modes, improves the air quality, increases physical activity, enhances cycling facilities, creates more pedestrian-friendly environments and maximizes efficiency and effectiveness of the road network (cf. RGMS 2003: 12).
[37] The RTI is the overall initiative; the LRT-Project is the main project within the RTI and concentrates on the establishment of a higher-order-transit system in the CTC of the Waterloo Region.
[38] The new RTMP is supposed to concentrate on sustainable community transportation vision for the Waterloo Region and will include future planning for rapid and conventional transit, roads, pedestrians, and cyclists (cf. REGION OF WATERLOO 2007: 7).

Regional Chair saw his initiative affirmed with his reelection in fall 2006 (Ken SEILING at a media announcement on March 23rd 2007).

But what is rapid transit after all? The Region defines it "as a public transportation system operating for its entire length primarily on a dedicated right-of-way or transit lane. The definition includes systems operating at road level, and systems operating elevated or underground facilities. Rapid transit involves new forms of transit services designed to improve travel time, reliability, passenger comfort and convenience in order to be more competitive with car travel" (cf. REGION OF WATERLOO, Information Handout for Public Consultation Center, Phase 2, Step 1 2007:5). The provision of transportation infrastructure is seen to allow new residential and non-residential development to be focused in areas served by rapid transit – an associated reurbanization within the proximity to transit is set as a goal. The RTI is stated to provide an opportunity to slow the historical trend of the Region's outward expansion. Four types of activity are captured when the Region defines reurbanization: infill, intensification, adaptive reuse and redevelopment. All of those reurbanization activities are supposed to increase the residential or employment density on sites located within the existing, built-up area. The RGMS identifies a "Primary Reurbanization Area" (see figure 5) which describes the area that will eventually be served by rapid transit. This is supplemented by the direction provided in the P2G relating to where reurbanization should primarily be directed and the form development should be taking.[39]

To conclude, through the RTI:

- transportation infrastructure should focus new residential and commercial development to areas served by rapid transit and therefore influence the urban form (and not vice versa – transit supportive/oriented development as anticipated/ holistic approach)
- more people should switch from car use to public transportation (environmental and health benefits)
- historical trend of outward expansion should be slowed down (protection of environment, moraines and ground water through reduction of sprawl and establishment of urban growth boundary).

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[39] According to P2G, intensification in the built-up area include: urban growth centers, major transit stations, intensification corridors and site specific reurbanization opportunities. Not included are stable neighborhoods, heritage resources and urban green spaces (cf. REGION OF WATERLOO 2007: 8).

The RTI is divided into two phases. The first phase of the initiative includes the construction of 14 km of LRT within the intensification CTC, connecting the Regional Shopping Centers in Kitchener and Waterloo (Fairview Mall in the south and Conestoga Mall in the north) through key destinations central to the Region of Waterloo and is anticipated to be fully completed before the higher-order transit is expanded – in phase 2 – to the City of Cambridge.[40] (cf. VINCENT & EBY 2004: 3).

On March 15th, 2004 the Federal and Provincial governments announced a joint funding partnership with the Region of Waterloo to provide for the completion of Technical Studies and the Environmental Assessment (EA) for the LRT-system to measure possible technologies, routes and stations that could serve the Waterloo Region.

4.3.2 Feasibility Study

Before the decision for the actual RTI took place, the Region launched a CTC – Feasibility Study (FS) in 2001 to ensure whether a higher-order transit system is feasible in the Region and if so, which technology would serve it best. This FS was conducted by the Region's long term consultants – the IBI-Group – and completed in 2003. The study concentrated on specific land use densities and circumstances necessary to make the Central Transit Corridor feasible. The study included potential CTC ridership and required passenger capacity, potential on-road and off-road technologies, combinations of technologies and staging of technologies, opportunities and constraints with respect to potential CTC route location, a preliminary potential route, the location of potential transit nodes and stations, requirements for grade-separations from other transportation facilities, design features that will be required for the stations, the timing, staging and method of implementation of the transit corridor, and future land use and transportation strategies that are needed to support the transit corridor, and changes to land use zoning policy. Even though the study concentrated on several possible technologies, a Light Rail Transit technology was advanced by the Regional Council for the purposes of the Region's application for Federal infrastructure funding in April 2002. A Light Rail Transit system "will

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[40] Express Buses would connect the city of Cambridge to the LRT-system to help build ridership for the future expansion of the LRT to the city of Cambridge which is considered to be phase 2 of the LRT-Project (cf. VINCENT & EBY 2004: 3).

be necessary to shape our urban form and attract investment to the community" (cf. REGION OF WATERLOO 2002).

In combination with the outcomes of this feasibility study, the Region retained a consulting team in 2003 led by Deloitte & Touché to assess the development of an implementation strategy for the Light Rail Transit. The Project Delivery Framework analysis concluded that the proposed Light Rail Transit system is financially feasible utilizing Federal and Provincial capital investment (cf.http://www.region.waterloo.on.ca/web/region.nsf/$All/2A250352B6 E2CCAF85256FC400713C91/$File/Terms%20of%20Reference.pdf?OpenElement).

As can be seen, the Region expressed a favor of Light Rail Transit as the preferred technology very early in the process, even before the EA process was launched. In the EA process the term LRT which was used as light rail transit during the Feasibility Study was redefined to Light Rapid Transit.

4.4 Technical Studies

In April 2002, the Region of Waterloo submitted a proposal under the Canada Strategic Infrastructure Fund (CSIF) for the funding of a Light Rail Transit Service which has been proven feasible trough the first Feasibility Study. The original proposal was modified a year later to focus on the first phase of the Rapid Transit Initiative, the 14km CTC as outlined above (cf. REGION OF WATERLOO, Report P-05-101 2005).

The Federal Government of Canada provided funding for the Technical Studies (TS) in May 2004 to support the Region in its Smart Growth attempts. The purpose of the TS was to answer several questions which were posed by the Federal Government. The TS can therefore be seen as another feasibility study or cost/benefit analysis. The study was required by the Federal Government to apply for funding for the Light Rapid Transit Project and therewith necessary to finish before the actual Environmental Assessment[41] (see section 4.5). The Federal Government provided the Region with CAN $250.000 from the CSIF to complete the Technical Studies. The Region of Waterloo hired a consultant team named CANSULT Ltd. to work on the TS; public involvement was not a part of the studies (Interview with Becky Schlenvogt).

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[41] An EA is a process that a project of huge scale and has to go through by Federal law. In general, an EA describes the critical appraisal of the likely effects of a proposed project, activity, or policy on the environment, both positive and negative (cf. www.ec.gc.ca/water/en/info/gloss/e_gloss.htm).

The TS mainly concentrated on:

- formulation of transit technology, route and, where appropriate, station location scenarios

- corridor development scenarios, as characterized by differences in population and employment growth within the CTC and supplemented by transit supportive measures

- ridership forecasts associated with each corridor development scenario for the following three distinct CTC transit options (BAU – business as usual, BRT – Bus Rapid Transit and LRT – Light Rail Transit)

- benefit-cost-analysis of the three transit options

- transit supportive policies and programs

(CANSULT LIMITED 2005: 2).

The main outcomes of the TS were:

- ridership forecasts support Light Rail Transit

- benefits of LRT are more than double those of BRT, even though costs of LRT are higher ($306 million vs. $112 million)

- LRT is much more likely to achieve the goals of the RGMS and the P2G plan than BRT

- LRT has more potential to attract transit ridership and to shape an urban form

- CTC has both the market strength and physical capacity to attract and accommodate a major portion of the expected regional population and employment growth

(REGION OF WATERLOO, Report P-05-101, 2005).

It can be concluded that the TS are mainly based on a cost-benefit analysis and were required by Infrastructure Canada, Transport Canada and the Federal Treasury Board to consider funding the later project. The outcomes of the study were based and compared to seven case studies, amongst them Portland, Oregon[42] with its MAX LRT in order to make

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[42] Regional staff has visited Portland, Oregon several times throughout the actual EA process. The main purpose was to obtain information about LRT-systems. "The purpose of the visit was mainly to look at technical issues of LRT. With what speed does the LRT operate, how it looks, the road right of way or the total road allowance in general since we are planning on dedicating a lane only to public transportation. Since

results measurable and viable. The TS were submitted to the Federal and Provincial governments in consideration of the Region's request for funding assistance for the rapid transit component of the RGMS (REGION OF WATERLOO, Report P-05-101, 2005).

Even though the CANSULT Ltd. team claims to have worked with developers of the Region, regional planning staff and real estates experts, the TS is mainly based on a top-down perspective. Furthermore, the Federal and Provincial guidelines used to judge the investments of worthiness of public transit capital expenditures say that the expected costs of rail transit – over 30 years – will exceed the benefits. The Region responded that local officials are pitching an alternative cost-benefit analysis that they consider more reasonable and that the local model works differently to conclude that the benefits of rail transit exceed its cost (cf. THE RECORD, November 15th 2005).[43]

4.5 Environmental Assessment in the Waterloo Region

The Environmental Assessment Act[44], passed by the Ontario Government in 1975, sets up a process for reviewing the environmental impact of proposed activities prior to the granting of government funds. The act applies to government ministries and agencies, conservation authorities and municipalities only, not to private projects. The undertaking can be assessed individually or as part of a class. A class EA would for example be a type of activity with common characteristics and potential effects, a road widening for example. For a class EA, the Terms of Reference (ToR)[45] have already been established; the EA process is mainly pre-approved. With an individual EA, individual ToR have to be developed (cf. http://library.mcmaster.ca/research/ont-back.htm & Interview with Alain Pinard). Since the LRT-Project is a project of a huge scale with a major impact on the (ecologic) environment as well as potential impacts on the social, economic and cultural environment, the Rapid Transit Initiative thus requires an individual EA process.

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we are going to discuss those issues very shortly, all three visits provided a very good insight on LRT" (Interview with Becky Schlenvogt).

[43] As time proceeds, it will show if this issue is getting solved by analyzing the indicator of Federal funding approval or disapproval. While the Province has already made its contribution to cover one third of the Project costs (see section 4.5.3), the Federation has yet not made any declaration whether it financially supports the Project or whether it abandons its financial help.

[44] See Tab. 4 in appendix A for more information about the EA Act.

[45] The ToR provide binding approval on what must be addressed in an EA (cf. REGION OF WATERLOO, Background Information, Public Workshop Phase 2, Step 2 March 21st 2007).

4.5.1 Terms of Reference

The Region must obtain approval under the EA act for a major undertaking like a rapid transit system. An individual EA is required which starts off with the ToR. Those have to get approval by the Ontario Minister of the Environment. The purpose of the ToR is to provide the project proponent with a binding approval on what must be addressed in the actual EA; it is therefore a defined framework for the proposed EA. The establishment of the ToR can be seen as a process which begins with the proponent developing a draft of the ToR. Requirements of the draft are its unrestricted availability to the Ministry of the Environment[46] and other public interest agencies for review. The public also plays a major part in the ToR. The document has to be available for the public to review and to allow for comments. After the possibility to get public input, the proponent is able to modify the ToR which are then passed to the Minister of the Environment for final submission. The Minister now has the opportunity to either approve the ToR, approve them with amendments or to refuse them (cf. REGION OF WATERLOO, Terms of Reference, 2005: 5).

The ToR for the Waterloo Region were established by the Region in collaboration with the consultants of the IBI-Group. Part of the set up of any ToR is the involvement of the public. The Region held its first public workshop on December 8th 2004. This workshop discussed group work-issues and concerns the public would like to see addressed through the ToR and the subsequent EA study, ways to consult with the public during the EA study and ways to be informed about the ToR preparation. According to Yanick Cyr – the Project Manager – individual meeting and presentation have been given to various stakeholder groups also. Amongst them were the Chambers of Commerce, the Business Improvement Associations, the Grand River Conservation Authority and the Area Municipalities (Interview with Yanick Cyr). During the period of March 2nd to April 1st 2005, the Region held a pre-submission review of the ToR to provide agencies, stakeholders and the public with the opportunity to review the draft Terms of Reference. The final ToR were approved by the Ontario Minister of the Environment (MOE) on April 29th 2005. (cf. www.transitea.region.waterloo.on.ca/pdfs/tor/pdf).

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[46] The ToR were prepared in accordance with clause 6 (2) of the Ontario Environmental Assessment Act (cf. www.transitea.region.waterloo.on.ca/pdfs/tor/pdf).

4.5.2 Environmental Assessment Process

The Region proposed to carry out a three phase Environmental Assessment (see figure 7).

- Phase 1: evaluation and selection of a preferred transportation system strategy
- Phase 2: evaluation of alternative route designs and technologies and the identification of a preferred rapid transit system including stations and route locations
- Phase 3: preliminary design of the recommended rapid transit system (technology route design and station locations)

According to the ToR, each phase will:

- describe and state the rationale for the undertaking and considered alternatives
- describe the environment within the study area likely to be affected by the undertaking and considered alternatives
- describe the likely environmental effects of the undertaking and considered alternatives
- describe the measures taken to enhance beneficial effects or avoid or reduce adverse effects of the undertaking and considered alternatives
- develop the methodology to be used in evaluating the undertaking and considered alternatives, in consultation with interested and affected persons and groups
- evaluate the advantages and disadvantages to the environment of the undertaking and considered alternatives
- consult with the public

(REGION OF WATERLOO, Terms of Reference 2005: 28).

Figure 7: Environmental Assessment Timeline[47]
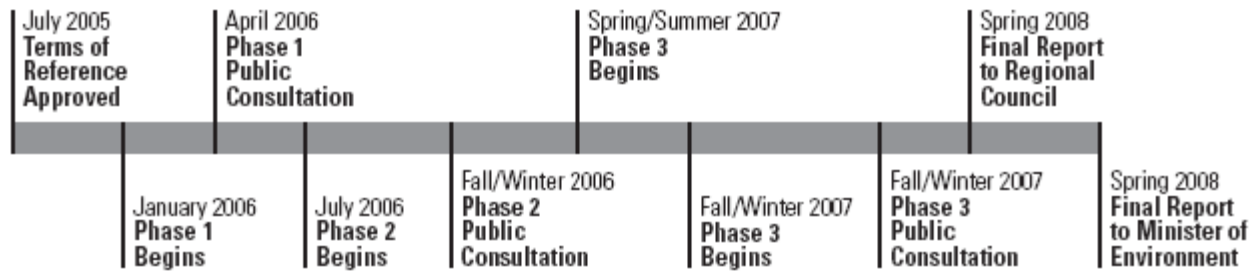
Source:http://transitea.region.waterloo.on.ca/pdfs/CDK_FactSheet3.pdf

The Environmental Assessment Process is a process that is required by the Province of Ontario to apply for funding. According to Becky Schlenvogt, a principal planner for the Region, the EA is a process that reviews the Technical Studies. The difference is that the EA not only concentrates on Waterloo and Kitchener, but on the Region as a whole. Furthermore, the EA requires public input. "We are now looking at the benefits to the community and to what people actually want. There were several more studies before the EA because an EA is expensive and we did not want to spend money on it if a rapid transit proved not to be feasible for the Region" (Interview with Becky Schlenvogt).

Phase 1: Phase 1 of the EA was conducted with the Region's primary consultant team, the IBI-Group. The rapid transit initiative and three alternative transportation strategies were evaluated. The tree alternatives were:

- baseline alternative (or do nothing)
- road improvement and expansion alternative
- improved conventional transit alternative

(cf. REGION OF WATERLOO, Background Information at Public Workshop Phase 2, Step 2 2007: 3).

The RTI and the two alternative transportation strategies were evaluated using 15 criteria[48] of the ToR which are related to the RGMS. The Rapid Transit Initiative was found to

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[47] As the timeline is clearly illustrating, the EA is not completed yet. The research will therefore be based on a snap-shot of the LRT-Project, as already mentioned above.

[48] Those criteria consisted of the RGMS goals and its indicators: Enhance the Environment (1. relative amount of land consumed; 2. relative impact on air quality; 3. relative impact of emissions generated that contribute to climate change), Built vibrant Urban Places (4. relative contribution to Region re-urbanization objectives; 5. relative contribution to innovative urban design; 6. relative contribution to public health), Provide

- best achieve the goals of the RGMS and the P2G plan

- support the Region's reurbanization objectives, downtown revitalization and innovative urban design

- increase transportation choice and transit ridership

- provide a safe mode of transportation and promote active and healthy lifestyles

- use the least amount of land and minimize the impact on air quality

Consultation Process during Phase 1: A criterion of the EA process is the consultation of various members of society. On the one hand, the Region held a Public Consultation Center (PCC) for the public at large. This PCC took part on in two locations (Waterloo and Cambridge) on April 5th and April 6th of 2006. The public was given a short presentation of the outcomes of the Rapid Transit Project Team and was able to give comments on those outcomes (comment sheets were also prepared for the attendants to either hand in that very evening or by mail). The comments were reviewed by the Project Team as well as the consultants and were taken into consideration (Interview with Yanick Cyr).

Furthermore, the Project Team organized several meetings with various stakeholders and members as well as staff from the local municipalities. Among those were the Uptown Waterloo Vision Committee, the Kitchener Downtown Advisory Committee, the Waterloo and the Cambridge Economic Development Advisory Group, the Waterloo Park Committee, the Waterloo Catholic District School Board and the Waterloo Citizens Environmental Advisory Committee (Interview with Yanick Cyr). One stakeholder breakfast was held too, which was mainly attended by larger employers in the Region, such as SUNLIFE, the University of Waterloo and members of the Business Associations.

After all those consultations, the Rapid Transit Project Team gave their final conclusion to the Planning and Works Committee for discussion. One week later the Regional Council made its final decision. On July 12th 2006, the Regional Council approved the Rapid Transit

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Greater Transportation Choices (7. relative contribution to increased transportation choice; 8. relative contribution to increased Region transit ridership; 9. relative affordability of personal transportation cost; 10. relative flexibility to changes in operation), Protect the Countryside (11. relative contribution to the Region's countryside protection goal), Foster a Strong Economy (12. relative contribution to downtown revitalization; 13. relative capital cost to the Region), Ensure overall Coordination and Cooperation (14. Degree of compatibility with other Regional plans and strategies; 15. Degree of compatibility with provincial and federal plans and strategies) (cf. REGION OF WATERLOO, Terms of Reference, 2005: 30f).

Initiative as the preferred transportation strategy fort the Waterloo Region (REGION OF WATERLOO, Report P-06-079, 2006).

Phase 2: For the second phase of the Environmental Assessment, the Region hired a consultant team named Earth Tech. Earth Tech is a provider of environmental, earth science and waste management consulting with focus on engineering, remediation, construction, contract operations and management, air quality management, water and wastewater engineering, solid waste management as well as transportation and infrastructure engineering (cf. http://www.earthtech.com/about/index.htm). The question why the Region decided to change consultants for the third time was answered as follows: "We want the best consultants for each phase. The expertise needed in Phase 2 was just different from the one in Phase 1. We had a very detailed consultant selection process. They had to hand in a letter of intent, a work plan and fee. We than selected some and interviewed them and chose Earth Tech in the end" (Interview with Yanick Cyr).

Phase 2 is a more critical phase than Phase 1 and is therefore divided into three steps:

- Step 1: screening of alternative technologies and route designs
- Step 2: evaluation and ranking of reasonable technologies, route and station locations
- Step 3: evaluation of rapid transit alternatives and selection of a preferred system

Step 1 has already been completed. On February 28th 2007, the Region narrowed 10 possible transportation technologies down to LRT (Light Rail Transit) and BRT (Bus Rapid transit).[49]. Both technologies fulfilled all the evaluation criteria of the ToR. The three evaluation criteria based on a pass/fail approach for this step were[50]:

- Regional Growth Management Strategy Reurbanization Objectives[51]
- Service Quality[52]

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[49] The ten technologies that were considered by the Region were: LRT, BRT, Commuter Rail, Diesel Multiple Units, Aerobus, Automated Giudeway, Magnetic Levitation, Monorail, Personal Rapid Transit and Subway (cf. REGION OF WATERLOO, Public Consultation Handout Phase2, Step 1, 2007: 14).

[50] The tree evaluation criteria from the ToR were measured with 13 evaluation measures including: system flexibility, environmental impacts, land use compatibility, operating constraints, urban design objectives, system compatibility, system accessibility, service frequency, user experience, safety and security, ridership/capacity, speed and cost effectiveness (cf. REGION OF WATERLOO, Public Consultation Handout Phase2, Step 1, 2007: 16).

[51] Pass/Fail Question: is the route design consistent with municipal urban design, intensification and re-urbanization objectives?

[52] Pass/Fail Question: are there proven applications of the method in comparable settings?

- Threshold Capacity[53]

(cf. REGION OF WATERLOO, Public Consultation Handout Phase2, Step 1, 2007: 14).

BRT and LRT are both operating on and off road (=dedicated lane) and were chosen because:

- they support the Region's reurbanization and intensification objectives and offer the best potential to encourage a more compact urban form with pedestrian friendly urban design and street-level development around stations
- they optimize the use of existing off-road and on-road routes to serve major destinations
- they are compatible with exiting and planned neighborhoods
- they will best reduce the growth of traffic congestion and associated air quality concerns

(cf. REGION OF WATERLOO, Background Information at Public Workshop Phase 2, Step 2 2007: 7).

As well as in Phase 1, PCC and workshops are also held during each Step of Phase 2. According to Becky Schlenvogt, the attendance of the public is increasing with each PCC held. While the Region started of with approximately 50 people per meeting (interview with Becky Schlenvogt) around 150 people attended the latest PCC on March 21st 2007 in Waterloo. The reason for the increasing number of participants may result from the brisance that Phase 2 addresses. The chosen technology as well as the route design and station locations may influence the direct environment of Region's residents and may evoke proponents (because property values may increase for example) or opponents (NIMBY – not in my back yard – attitude) to try and interfere in the ongoing EA process.

The Region is currently undergoing Phase2, Step 2 of the EA process. Public input was collected by the Region and the consultant team at three PCC held in March 2007 concerning possible routes and station locations. 21 criteria from the Rapid Transit Environmental Assessment Terms of Reference are used to rank the alternative routes and station locations. The criteria can be summarized as follows:

- transportation (ridership potential, system reliability/speed, system performance, property requirements, travel time/competitiveness with auto, roadway network)

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[53] Pass/Fail Question: is the capacity of the method appropriate for the expected demand?

- socio/cultural environment (ability to serve residential uses, ability to serve institutional uses, vibration, noise, contribution to cultural environment, contribution to recreational environment, contribution to public health, contribution to built heritage)

- natural environment (ecological impact, water quality, air quality, mineral aggregate resources)

- economic impact (ability to serve concentrations of employment, ability to serve retailers, cost)

(cf. REGION OF WATERLOO, Background Information at Public Workshop Phase 2, Step 2 2007: 7).

Once the evaluation is complete, the Region will present a series of ranked route and station location alternatives to the public for additional input at further PCC. Phase2, Step 2 was not completed at the finalization of this thesis. The Region is now using gathered information from the public (at the PCC in March 2007) to create revised maps of routes and station locations for further consideration to pass into step 3.

Step 3 of Phase 2 will determine the best combination of routes and station locations throughout the study area (CTC) in order to make up the "best" overall rapid transit system for the Metropolitan Region of Waterloo. The results will be brought before Regional Council for consideration (cf. REGION OF WATERLOO, Background Information at Public Workshop Phase 2, Step 2 2007: 9).

Phase 3: Phase 3 has not been started yet since the Region is temporarily working on Phase 2, Step 2/3. Phase 3 concentrates on the development and improvement of a preliminary design of the undertaking. It will identify and evaluate measures to further enhance and avoid or reduce adverse effects. The Environmental Assessment process is supposed to be completed in spring 2008. The final report will be submitted to the Ontario Minister of the Environment for approval.

4.5.3 Funding

Funding is a critical part when it comes to the LRT-Project. In April 2002 the Region applied for funding at both, the Federal and the Provincial upper-tier Governments. The Region is aware of the fact that it cannot fund the LRT-Project on its own. This awareness led to a proposal by the Region that asked the upper-tier governments to pay each for one-third of the expenditures of the actual project.[54] The expenses for the project varied as the process of the project progressed. While the Region expected the first phase of the project – and prices were calculated for a light rail transit from the beginning – to cost around CAN $256 million dollars at the time of the funding proposal; the second estimation for the project is significantly higher with CAN $306 million (cf. THE RECORD May 15th 2004 and THE RECORD February 21st 2007).

While the Federal Government has not made any announcement about the funding[55] which would come out of the Canada Strategic Infrastructure Fund, the Province has promised millions of dollars for the Rapid Transit Initiative on March 22nd 2007. "The commitment came in the Provincial government's latest budget: when the region is ready to build, the province will cover one third of the first phase of the project – the $300-million link between Kitchener and Waterloo" (THE RECORD March 23rd, 2007).

The aspect that is interesting concerning the funding is the timing of the guaranty of support from the Provincial side. Absolute costs cannot be clarified at this stage because the technology as well as the routes and station locations are uncertain. Otherwise, the timing of the funding guarantee on the part of the Province only contributes to the strong Provincial support of the Project.

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[54] The regional stake will be paid with property taxes (Interview Jean Haalboom & Yanick Cyr).

[55] The Federal government has just recently rejected a plan to fund a light rail project in Ottawa. Three orders of government had already signed a memorandum of understanding to fund a 27km, double track electrified LRT system. A year later, July 2006, the Ottawa city council voted 14-7 to accept a CAN $725-million (CAN $27m/km) bid by Siemens/PCL/Dufferin to undertake the project. Following more political interference, a new council voted in this past December, skipping other details, 13-11 to kill the project. (cf. http://thetyee.ca/News/2007/01/23/LightRail/?utm_source=mondayheadlines&utm_medium=email&utm_campaign=290107).

4.5.4 Policy Changes

4.5.4.1 Regional Official Policies Plan

The Region is currently working on a new ROP[56] which is expected to be completed by the end of 2008 and which will provide the blueprint for practical and balanced growth in the Waterloo Region. It is a framework with parameters to which the local municipalities and their official plans must conform. It will itself be a key part of the implementation of the RGMS. According to the Regional Council, the new ROP will be a comprehensive approach which will "include more detailed municipalities to achieve transportation choices and transit-oriented development goals and objectives" (Region of Waterloo, Report P-06-102 2006). While the current ROPP transit-related policies still reflect local municipal responsibility for transit service and do not reflect the Region's priorities for developing the transit system, amendments had to be made to the ROPP which will be a part of the new ROP. In addition, the old ROPP does not mandate responsibilities that promote or require new approaches to integrated land-use-transportation planning and community development. In order to provide the necessary planning framework for the next phases of the Rapid-Transit EA, the ROPP's existing transit related policies and associated mapping had to be revised and additional terminology had to be added to the ROPP Glossary. Proposed amendments were:

- changes of wording in ROPP (Region of Waterloo as municipal transit service authority)
- revision of Map Nr. 8 (ensures that CTC-boundaries and definition of Rapid Transit are consistent with the Terms of Reference)
- responds to changes in provincial and regional planning policies (RGSM, PPS and P2G)
- definitions added to glossary (CTC, rapid transit, transit-supportive, mixed use development)

(cf. REGION OF WATERLOO, Report P-06-102, 2006).

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[56] The Region has identified the need for a CTC more than 30 years ago. Since than the Region has identified a potential CTC in its Regional Official Policies Plan. Last changes to the ROPP have been made in 1995. Under the current ROPP, map 8 shows the potential location for the corridor and a brief statement on this potential corridor makes a specific provision for the use of abandoned rail corridor (ROPP Section 11.2.1) (cf. IBI Group 2006: 4).

<u>4.5.4.2 Regional Transportation Master Plan</u>

With the EA process proceeding, the Region is also working on a new RTMP. The new Regional Transportation Master Plan (RTMP) will be reflected in the new ROP. The Region of Waterloo's Transportation Master Plan was approved in 1999. The RTMP sets out the long-term vision of future transportation services throughout the Region. Currently the Region is working in co-operation with the Ministry of Transportation on a household travel survey (Transportation Tomorrow Survey - TTS) taking place in the Region in fall 2006. There are other data collection exercises underway including a travel survey of post-secondary students along with some roadside travel surveys on key links. The Region plans to use this information as a major component for the new RTMP. Meanwhile, there are many transportation related initiatives happening, including the creation of a new ROP to include stronger policies that will integrate the transportation vision from the RGMS. These policies include establishing future transit right-of-ways, enhancing the urban design of transportation corridors, exploring alternative traffic treatments (roundabouts), requiring transit friendly community designs and multi-modal balanced transportation facilities (cf. http://www.region.waterloo.on.ca/web/region.nsf/97dfc347666efede85256e590071a3d4/ 0c556e184d6f34d48525722d006e53d2!OpenDocument).

Another initiative of the RTMP is Travel Demand Management (TDM). "It is a 13 step plan to reduce auto-use or double the number of walking, cycling and transit use. The plan allows infrastructure to be used more efficiently. We are trying to influence how people travel and try to create awareness why people travel and where people travel and if it is always necessary to use the car" (Interview JoAnn Woodhall). There are several initiatives which concentrate on getting the Region's residents out of their car and switch to public transportation. These initiatives are a key part of the Region's RGMS. Without potential ridership for a higher-order-transit system, the project is very likely to not succeed in achieving some of its goals like the reduction of traffic congestion and all its negative environmental impacts. Who are the persons that are likely to use public transportation? "What we are doing right now is that we concentrate on people who have an interest already. We are going for the low-hanging fruit and not after the hard core drivers. I think more needs to be done first public transit wise before we can change their attitudes. I think that new groups will emerge who go for public transit. Parents for example who have to

bring their kids to school every day on time and they see that public transit is fast, convenient and safe. And as soon as reurbanization starts and the cores get filled, I think people will switch – this can be seen in other Canadian Cities. Now everything is so segregated but we will grow closer together and the likelihood of using public-transit will increase. It is a lifestyle change and people may see that they do not need to have three cars in their driveways and that there exists a possibility to walk to the store" (Interview JoAnn Woodhall).

4.6 Summary of Chapter 4

The LRT-Project is not only the main project of the RGMS; public transportation has been elevated to the backbone of the strategy. The main intent of the LRT-Project is not based on transportation exclusively; reurbanization also plays a major role when it comes to the realization of the LRT-Project. The Region is convinced that a higher-order-transit system within the boundary of the Central Transit Corridor will help to manage future growth in a manner that guarantees economic, social and environmental sustainability. The EA process is intended to find the best technology as well as route design and station locations to guarantee environmental sustainability (in ecologic as well as economic and social terms) and satisfy residents' needs at the same time. Possibilities for civic engagement are given and are a part of every EA process in Canada.

Since the LRT-Project is yet not completed, chapter 4 is a snap-shot of the current project status. But nonetheless, the Waterloo example is a prime example for existing and established governance structures because of its regional importance and involvement of all levels of governments and various sectors of society. As can be seen in the above chapter, the LRT-Project combines the theoretical part described in chapter 2. As an economically important Canadian urban agglomeration, the Metropolitan Region of Waterloo plays a major role within the local, national and even international competition. To develop the Region as a whole, regional officials decided to push the area forward by bringing a regional project to life. The Smart Growth LRT-Project is not only intended to move people and goods throughout the Region and to attract investments along the CTC-Corridor, but to also to shape the urban environment in an ecologically friendly manner. In order to realize a SG project of a scale of the Light Rapid Transit Project in the Waterloo

Region, action has to be taken that includes all sectors of society. Visions and goals were established in the Metropolitan Region and policy was set to achieve those.

How does the Region of Waterloo finalize the decisions that realize the implementation steps of the LRT-Project? Is the decision-making system a sustained commitment to move forward together to reach a common objective? Or are some actors outweighed by others? Are the structures created in the Waterloo Region a form of coordination, collaboration or cooperation? The differentiation of those terms is essential when it comes to the concept of NR and its main component Metropolitan Governance. Who benefits from the decisions made? Is it a single regional body or the local jurisdictions? Are citizens treated as equals? Have partnerships been established and decision-making is therefore no longer the domain of a single government? Those questions have to be asked when the purpose of this thesis is to determine the success or failure of the Waterloo Region in the decision-making processes based on the principles of New Regionalism. Chapter 2 of this paper determined the importance of the realization of the principles of NR for the development of a Metropolitan Region in the global competition. It is thus necessary to investigate the LRT-Project of the Waterloo Region in terms of the in chapter 2 established principles of New Regionalism and Metropolitan Governance closer, to find out whether the Region was successful in establishing those principles or whether the LRT-Project is another project that gets lost in the process of an environmental assessment and the structures the process requires and always has required.

CHAPTER 5

Theory in Practice – Evaluation of the LRT-Project in the Waterloo Region

5.1 Reasons for concentrating on the LRT- Project

There are several reasons why the LRT-Project was chosen as the object of investigation for the evaluation of the Governance structure and the implementation of principles of the concept of New Regionalism. First and foremost is its regional importance. With the LRT-project, public transit all the sudden shifted from being a local service to the backbone of the RGMS. The Region states, that a better provision of public transit will lead to reurbanization and therefore helps managing future growth while the provision of public transportation is only of secondary order. Being of such importance, the LRT-Project is a project that affects the whole Region. It is therefore quite crucial that the Region acts as a regional entity – allowing not only all levels of government but also public and private actors as well as non-governmental organizations to get the chance to participate in decision-making, with the aim that the outcome benefits all actors in the decision-making equation, leading to a quality of life which may comprise an economic, ecologic and social sustainability.

Secondly, a project of that scale may lead to controversy. Constructing a Light Rapid Transit may have effects on residents or businesses (through stations, routes, noise impact…) and the ecologic system (emissions, air and water quality, noise impact…) and therefore provokes different stakeholders to give their opinions. The question arises how the regional government implements those opinions in the decision-making process and if those opinions are heard at all? To what extend can those stakeholders influence the decisions that are about to be made?

Finally, access to information is the third criterion for the selection of the LRT-Project. Since it is a project of a huge scale, it will be broadly discussed and needed information will therefore be more traceable than it might be the case with smaller SG projects.

5.2 Theoretical Framework

After analyzing the particular steps of the LRT-Project in the Waterloo Region, this chapter is supposed to focus on the assessment of the underlying established regional structures. The theoretical framework that builds the basis for this investigation has been established in chapter 2 of this paper.

A theoretical framework is the basis for this investigation in order to interpret and analyze the results of the case study. As stated before, the analysis of this research is based on a qualitative approach. To reach the main goal – to identify where the Metropolitan Region has succeeded and where it failed in implementing the principles of NR and MG respectively, the lessons that can be learned from success or failure of the governance system and the conclusions that can be drawn from the case study - a conceptual framework needs to be established to make the results operational and thus measurable and valid. In order to do so, universal indicators have to be developed which are adaptable to any regional governance structure. With that model, not only the governance structures of the Metropolitan Region of Waterloo can be measured – in consideration of success and failure – but this model will also allow a comparison with other established structures of various Metropolitan Regions worldwide.[57] The final analysis measures the governance structures in the Waterloo Region and gives an answer to the sub-questions posed in chapter 3 as well as the main research question.

In chapter 2, several principles of NR have been mentioned that are essential for functioning as a Metropolitan Region facing global competition. Since the focus of this thesis is put on the organizational construction of regions versus government, process versus structure, open versus closed, collaboration/cooperation versus coordination, trust versus accountability and empowerment versus power, the theoretical framework concentrates on Governance or Metropolitan Governance, the main component of the concept of New Regionalism. All of these elements combine a regional approach which focuses on the solution of area-wide problems and the meeting of region-wide needs and demands an authority shift from the local to the regional level. Combining all of these elements with norms of good Governance (section 2.4.2), a model emerges which – in

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[57] Even though attention always has to be paid to regional particularities which influence the ability to form governance structures.

addition to other selected indicators – is able to access and validate empirical results on how effective a MR is in implementing the principles of NR and MG respectively.

The model below is a universal model that combines the approach of the concept of New Regionalism as well as the elements of Governance, the main component of the concept. All essential actors as well as key steps for the implementation play a role in the model below. A cause-and-effect relationship equation has been generated which will help to measure existing regional structures. As indictors serve all the norms of Governance as well as additional indicators that resulted from literature reviews and which were found to be essential by the author – predominant here are indicators that are used by HANNA (2006) to measure the implementation of a policy. The indicators used in HANNA's evaluation are very well convertible to the implementation of a project since both policy and project implementations demand the same requirements from implementing parties. Some of HANNA'S indicators have therefore been translated to project-implementation and to measure Governance as well as New Regionalism aspects. The indicators adopted from HANNA are: tractability, clarity of objectives, knowledge of cause-and effect-relationships, information, power of personalities and unique challenges (HANNA 2006).

The combination of HANNA's indicators with the norms of good Governance demonstrate a full picture that allows for an evaluation of success and failure of the Metropolitan Region of Waterloo in establishing a functioning governance system and the principles of New Regionalism.

The below model describes a scientific way to measure the implementation in a valid way. It:

- assumes from an overall goal: New Regionalism
- states several sub-goals of NR: six principles of New Regionalism (among it its main component Metropolitan Governance) to make the higher goal measurable
- takes processes in form of actions and relationships of actors to achieve the above goals into account
- and finally concentrates on indicators that operationalize the above mentioned sub-goals to measure the success and failure of those processes that contribute to NR and MG respectively

| Overall Goal | → | Sub-Goals | → | Processes | → | Indicators |
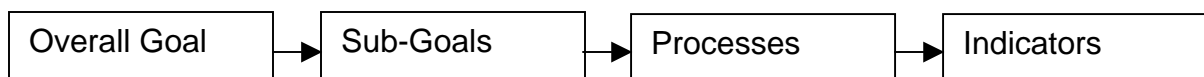
Figure 8: Universal Model for Evaluation

Governance

Goal

(Access to)Information
Knowledge of cause and effect relations

Efficiency
Benefit

Trust

Decision-making

Visioning   Funding

Collaboration / Cooperation

Transparency/Tractability
Equity
Responsiveness to priorities of citizens
Tensions – Authorized rules of consensus-finding/Conflict resolution

Organizations/ Associations

Stakeholders

Openness of boundaries

Process

Public (at large) Businesses

Civic engagement
Partnerships/ Networks

Region-wide approach
Sustainability/ Security
Smart Growth criteria

Empowerment

Leadership/ Power of personalities
Unique challenges

Regional government

Provincial government

Local governments

Federal government

Subsidiarity
Clarity of objectives

Source: own illustration

Principles of New Regionalism
Indicators

⎯⎯→ Relationships between actors and actions

5.2.1 Visioning

The first component of indicators is gathered around the visioning principle of the concept of New Regionalism. Setting a vision to lead a Metropolitan Region towards sustainable and competitive development is the first step when it comes to SG and all the aspects the concept encloses. "In spatial terms, the New Regionalism operates under the assumption that the interdependent urban region (…) is **the** vital locus of political community, economic well-being, citizenship and governance. […] In many local contexts, for example in the cases of Vancouver, Portland and the San Francisco Bay Area, notions of the 'liveable' and 'sustainable' metropolis exert a powerful regionalizing influence" (BRAUN & SCOTT 2007: 8/9). By interpreting the above thesis, it is visible that the focal point of New Regionalism is a regional unity. When an urban agglomeration is capable of creating an intact urban region that also functions as such (and not only "exists" on paper), chances of creating a sustainable metropolis are significantly higher. One indicator that sheds light on the aspect of the exertion of powerful regionalizing influence is a region-wide approach when it comes to the establishment of the vision and the projects that are supposed to realize it. Does the vision entail a concept for the entire region to develop it as a whole? Is the vision accepted by the local jurisdiction? Has a basis been created, that all governmental actors can identify with, or is it solely a top-down initiative or responsiveness to demands of even higher governmental institutions? As stated before, the concept of New Regionalism is based regional collaboration/cooperation. Only when all actors act in concert, the Region can be led – with combined forces – towards the above mentioned liveable metropolis.

Does the project not only meet the needs of the region as a whole from a political point of view, but does it furthermore satisfy the needs of economic and social representatives – does it meet the needs of all residents of the entire MR? Sustainability in all dimensions of urban life (economically, ecologically and socially) and security of individuals and their living environment respectively is another main indicator that helps measuring the quality of the disposed vision(s). A vision that does not fulfill the criteria and perspectives of the residents at large will suppress people who are affected by future decisions which may lead to incomprehension and opposition. An implementation of the project may not be smoothly realizable because of resistance or may even become jeopardized. Given the scenario that

all actors do not act in concert, not only future steps of the project inherently would be problematic but the realization of the concept of New Regionalism and Governance as well. Another indicator to measure the acceptance of the established vision is the achievement of SG criteria. Smart Growth as a semi-scientific approach can be implemented through various ways – depending on region specific circumstances (like history, resources, capabilities, etc.). Nevertheless, some principles of the concept are universal – even though the way how to achieve them is not. It is critical for the success of the established vision that it comprises the main aspects of the SG concept. Only when this aspect is fulfilled, the established vision meets its goal and a regional approach towards sustainable development has been created.

In order to establish a long term strategic vision that meets the needs of the entire Metropolitan Region with all its local disparities and diverse residents, the form of communication between the involved actors is of great importance. Access and presence of the various actors of the equation in the decision-making of the visioning process is decisively determinative for the success of a vision fulfilling project. Indicators that measure the quality and the realization of the assembled vision – whether this vision does meet the above criteria – are access to information, knowledge of cause and effect relationships, and the contribution of actors to the common good. This set of indicators can not be regarded separately since they are interrelated. Access to information is vital to creating a project and relevant from both top-down and bottom-up perspectives. The information concerning the project needs to contain a valid causal theory. It needs to be operational in order to be understandable – not only for involved associates but also for the public at large. Only in that case it is possible for interested parties to get a picture of the project and its impact and consequences. The formation of opinions will be supported and the question who is benefited by the project will be clarified. It is essential that every party, that wants to be informed about the project, has equal access to information in order to be capable of acting in the process of making a project relevant decision. According to HANNA, the information officials possess when creating a policy or in this case regional project, impacts the content of the policy statement, which in turn impacts the implementation of the project. Implementers must have the capacity to collect, process, and incorporate new knowledge in order to adapt project demands and information shortages. The capacity to share

information among institutions is also relevant. HANNA states that relevant information does not always have to be scientific in nature. The indicator knowledge of cause and effect relationships supports the just alluded indicator information. The idea that lies beneath this measurement criterion is the assessment of the quality of the causal theory on which goals are based. In HANNA's policy evaluation, causal theory refers to cause and effect relationships – if X occurs than Y should happen. Translated to the in this paper conducted evaluation of project implementation, cause and effect relationships are just as important. Only if that correlation is known (to all participating parties), impacts and consequences can be (pre-) estimated which will certainly contribute to opinion making and involvement. Furthermore, it will be assessable whether the intended goals or visions are reachable with actions that are going to be taken. To make such predictions, the link between actions and goals must be based on the best possible information regarding the interaction between economic, ecologic, social and political systems. Focusing on the intended project implementation, it can be finalized, that without an adequate "causal theory", project implementers may produce misguided realization steps that will most likely fail to achieve the desired results. The way the implementation process is structured, and the fundamental theories on which it relies, are of ultimate importance to those who have the responsibility of putting it into practice.

Another indicator that stands by itself but is still an element of all the indicators mentioned above is funding. Funding is critical for the realization of a project and should already be taken into consideration when it comes to the disposition of a regional vision. How do regional officials plan to finance the project that realizes the vision? Who is responsible for the financial plans/ budgets, allocation and fund-raising? These questions are essential when it comes to the organizational structure of the involved parties in the decision-making process. Here again, the manner of team work is essential when it comes down to success or failure in providing money for the project. Does the party that guarantees the money determine decisions (coordination) or does the funded party and the sponsor work together in a way of collaboration or even cooperation? Funding is therewith a decisive component when it comes to the organizational structure and decision-making process and thus to the implementation of a project.

5.2.2 Empowerment

The manner of communication between the governmental actors gives information about the liaison between these institutions. It will be classifiable in which way the various levels of governments work with each other. In which ways do the different players communicate with each other? Is a collective team-work identifiable? An indicator to measure the organizational structure is clarity of objectives. Clarity of objectives implies organizational structure, hierarchical context and clarity. Structure refers to the form of organizational structure and therewith to the selection of the implementing agencies (institutions or working groups) and the resources available to the implementing bodies (such as staff, expertise, skills, facilities and technical resources). Those aspects help to gauge the ability of implementing bodies to respond to demands. According to HANNA, legal and financial resources provided by those bodies can be an indication of the priority attached to a project and the overall level of elite support. The organizational structure can influence how jurisdictional institutions interact with other institutions or interest groups which can in turn impact the consistency of application of the project. The manner how those institutions work together clarifies whether a hierarchical integration is predominant or whether municipal partnerships and horizontal co-ordination have been established.

The consistency of implementation among various implementing bodies can be determined by the clarity of project objectives. By giving clear instructions, implementing bodies can clearly articulate the requirements of the project to staff, stakeholders and the public at large. Proponents of the so called "programmed implementation" believe that the probability of a successful implementation and consistent action increases when there is little room for dispute or interpretation (cf. HANNA 2006). The mode of making decisions within this circle of actors is essential when enhancing the acquaintance and influence capability of the next circle of actors – the society.

The indicator subsidiarity will measure the relationship between the different participants in the jurisdictional equation and classify whether authority of decision-making has been shifted to the closest appropriate level. Furthermore, the indicator unique challenges/ particularities (broad category that is determined by the context of the setting; examples are history, cultural clashes, religious convictions, corruption, nepotism, and pressure from industry or the number of municipalities involved, diversity of municipalities in terms of their

setting…) of the particular Metropolitan Region will determine the manner of communication between the different levels of governments. It does not only answer the question how those parties work together but it also identifies why they act in the fashion they do. Historical interaction between stakeholders sets up the context into which the project is inserted and allows for an assessment of prior partnerships and conflicts. The indicators power of personalities and leadership will complete the jurisdictional part and also play an important role in influencing the level of commitment of all governmental levels. According to HANNA, the disposition of policy implementers is one of the most important variables in the process. On the one hand, political actors have the power to construct documents and policies and therewith decisions that influence or avoid all or several steps presented in the above equation. A poor implementation outcome may result from the incompatibility of personalities in charge of the implementation. On the other hand, one or several political actors show a strong sense of personality and leadership and are strongly dedicated to a project and take on a leading role in the implementation of the intended goal. The realization process of the project may proceed easier and faster. The project is getting a face attached to it and becomes personalized. Decisions, whether they comprise for example funding, participation, encouragement or lobbying, may be dependent on the leadership quality of a political party or person. The question whether bottom-up or top-down decisions are predominant and how decision-making is influenced by the various parties will be answerable with this first set of indicators.

The second set of indicators concentrates on public involvement in the implementation process of a project. As stated before, the focus is put on larger scale SG projects that influence an entire Metropolitan Region and demand the participation of various actors of society as described in chapter 2 of this paper. The question here is not only how they are able to communicate with the various levels of governments (round tables, public consultation, internet platforms or newsletters, for example), but also how they communicate with each other. Which possibilities of exertion of influence do exist and how effective are those? Do people's opinions count in the decision-making process? Is one group of syndicates favored over another and if so, why? Are all interested persons equally heard and allowed to participate in the process? Do all groups have access to implementing bodies in the same way? The concept of New Regionalism and its main

component Governance postulate the arrangement of networks/partnerships which are indispensable when it comes to civic engagement. Only when the mode of correspondence/communication is based on partnerships, it is assumable that interest groups are treated at eye level with the jurisdictional level – as distinct yet equal. As stated in chapter 2, equal shall not be misunderstood in the sense of equivalent since nongovernmental actors do not have the ability to reach jurisdictional decisions. Rather, according to FÜRST, the aim is the establishment of a combination of government and network centered patterns of action.

With this set of indicators, the second principle of New Regionalism will be measurable: Empowerment. While during the period of Old Regionalism power emanated from the government solely, the concept of New Regionalism relies on empowerment – the direction of power to nongovernmental actors (cf. WALLIS 2002 & PÜTZ 2004). The main objective is to get those nongovernmental actors actively involved in the decision-making process. The above mentioned indicators give information on whether organizational structures have been created, that allow those societal actors to participate in regional decision-making. If access to the decision-making-process has been created, power has been shifted from the governmental level (top-down) to the nongovernmental level (bottom-up/equality).

5.2.3 Collaboration/Coordination

The next set of indicators concentrates on the process of making decisions itself. All the above elements deal with the created structures that will lead to the decision-making-process per se. The next paragraph will therefore concentrate on how effective those created (organizational) structures are when it comes to finalizing a decision. The indicators transparency/tractability, equity, responsiveness to the priorities of citizens, and tensions and conflict resolution – authorized rules of consensus-finding and manner of decision-making –are the selected criteria which will help to determine whether the established structures described above benefit the targeted goal and are conform with the theory of Metropolitan Governance.

Transparency/ Tractability is the first indicator to measure the quality of a decision-making process. HANNA also used this indicator to measure the implementation of a policy. According to her, institutions may lack the ability to properly implement actions as a result

of complexity and uncertainty. The more complex a policy, the more difficult an implementation becomes because complex policies become complex programs, and complexity lowers the odds of success. This can be translated to a project on a metropolitan scale since those projects are of great complexity – because of the present multitude of actors from various fields of society, the involvement of different levels of government as well as the huge spatial constituent and boundary-question. MAZMANIAN and SABATIER argue that some problems are more manageable than others depending on the complexity of the context. The implementation may become for all intents and purposes problematic. Transparency and tractability are influenced by how clearly the problem is understood, the amount of change the policy – or in this case project – is trying to achieve, and the percentage of the population influenced by it. A low transparency and tractability will produce a reaction from target groups that will make the implementation problematic. Participatory approaches and cooperation aim to address complexity issues and improve the aspect of tractability (cf. MAZMANIAN's and SABATIER's statement to policy implementation in HANNA 2006). HANNA's approach demonstrates the necessity of transparency and tractability for the implementation of a political explosive or contentious issue. I argue that only if implementation steps are affected by transparency – so that single steps can be comprehended in detail by all interested parties – decision-making in terms of "distinct yet equal" is possible. Tractability further contributes to that aspect. This component is solely top-down assessable and controllable. It is therefore the task and challenge of the jurisdictional party in charge, to throw light on the structures that have been created to identify influence capabilities and responsibilities of decision-making. The question, who in the end finalizes a decision, what possibilities for intervention exist and how (public) input is used in the process, is answerable with those two chosen indicators transparency and tractability.

An important indicator when it comes to decision-making is equity. After having focused on the created structures for interference in the process, the indicator equity sheds light on the "quality" of those structures when it comes to the actual finalization of a decision. It may be the case, that structures for the input of representatives of the different fields of society have been created, but the question remains open, if and to what extend those actors are allowed for in the process. Are some groups favored over others? Are some actors ignored

in the process? Why do some actors "sit at the table" while others are more or less disregarded? Can the process compass the overall goal of economic, ecologic and social sustainability with the implemented decision-making-structures? Only when all actors have equal access and equal consideration during the making of a decision, the possibility to reach a common good with the intended goal is feasible. The Metropolitan Region thus comes one step closer to the aim of working with all possible fields of society and levels of government in partnerships and acts as a unified regional entity.

Responsiveness to priorities of citizens – which is another indicator in this set of evaluation criteria – assists the just mentioned aspect of equity and can not be examined separately. A comparison of statements and opinions of actors in the decision-making-equation and final results or actions taken will clarify whether decisions made to implement a project and realize a goal are to the satisfaction of all residents and involved parties. The question whether actions are a response to the priorities of the citizens or whether those actions are a legitimation of political wills becomes traceable. As stated before, the aim of the concept of New Regionalism and Governance respectively are not political solo attempts or unilateralism but a concerted action to meet region wide needs.

The next indicator deals with tensions and the resolution of those conflicts. According to FÜRST, Metropolitan Governance entails a minimum of binding ties – "rules" that secure the reliability of results – and negotiation or bargaining as a mode of integrating the actors' interests (cf. FÜRST 2002: 2). This set of indicators is therewith not about whether tensions emerge during a decision-making-process – because the fact that such conflicts occur is beyond any question when a multiplicity of actors with all sorts of interest try to reduce interests to a common denominator and find a consensus – they are rather about how the decision-making party deals (fairly) with those tensions. Has the party that holds the right to reach decisions established rules – and rules are defined in this case as established procedures with defined and fixed patterns – that secure the process of making a decision? Do the implementing bodies always operate in the same way, so that the steps of the decision-making process are traceable for all interested parties? Is the final decision based on consensus, in a way that no opinion is ignored and all actors have the same chance and emphases in the process? Only an institutionalized or authorized democratic process guarantees that all involved parties can reach an agreement that is fair and characterized

by consistency and sameness/equity. Bargaining and negotiation, as forms of conflict solving and modes of integrating the actors' interests, are therefore very important organizational structures when it comes to resolving area-wide problems and region-wide needs and the implementation of the principles of New Regionalism.

With all the above mentioned indicators, it is now possible to determine another principle of NR: Collaboration/Cooperation. As stated in chapter 2, this principle is critical for the criterion of Governance vs. Government, the essential aspect of New Regionalism. In order to establish a functioning governance system, visions and goals as well as the policy to achieve them, have to be developed. This involves public, private and nonprofit interests and it is the responsibility of all those actors to ensure quality of life and competitiveness of the region. The requirement to do so are shared powers of all actors (cf. WALLIS 2002). While nearly all of the scientific articles about NR and MG do not differentiate between these two terms, this thesis will make a clear distinction as argued in chapter 2. The above set of indicators gives proof on whether one party – the Government – is the only decision-maker and whether decision-making is based on hierarchy. If some nongovernmental actors are involved in the process of making a decision and other actors are outweighed by those, the predominant form of decision-making is based on collaboration. Are all participating actors treated as equals and have the same influence capability in finalizing a decision, the process of decision-making is based on cooperation. In the last case, a network that is a mixture of government and network based (negotiating) system that is capable of producing binding decisions has been created.

The final set of indicators concentrates on how effective the decisions made are in consideration of the targeted goal. Efficiency and benefit are the main criteria for this measurement. The first evaluation criterion is efficiency. How effective is the decision-making when it comes to the targeted goal? Is the established vision implemented through the decisions taken or has the vision been lost in the process of making decisions? Does the targeted goal that has been reached though the decisions resemble the vision that has been established at the very beginning of the process? Or has the decision-making process taken on own detached structures and led the project in a different direction than intended. If so, what actions or influences have led to that aspect? The question whether initial

information or intentions were misused by particular parties is answerable with the chosen indicator. It is also answerable whether the chosen decision-making-structures were appropriate to reach or realize the intended goal or whether mistakes have been made during the period of reaching a common objective. A monitoring system of the chosen structures of milestones of the implementation system on the part of the implementing party is quite helpful to measure the efficiency (success or failure) of the established structures.

The second indicator of this set is benefit which can not be investigated separately from efficiency. Who benefits from a decision? Does a finalized decision actually benefit all interests or does it solely support a particular interest group? It might be the case that all parties have equal access to publishing their interests and to take part in the decision-making-process but it could still be the scenario that the actual decision process does not take into account all participating actors of the various fields of society. Does the decision bring advantages to political interests? Does it solely benefit the economical party which often has a major influence on political decisions, for example through funding? Does the decision contribute to social equity and ecologic sustainability? Only when all of these fields are benefited in a balanced and equalized way that satisfies the entire region's actors' interests, the possibility of the establishment of all principles of NR increases. As stated before, only if all actors act in concert, it can be assumed that the concept of NR can be implemented. Decision-making in terms of Government can be substituted with Governance; actors bundle their powers to achieve a common – regional – good. A contribution of the actors to the common good has emerged, all actors are treated as "equals" and the project is clearly a response to the priorities of those actors. Part of the power has been directed to the society, citizens have been constructively engaged in regional decision-making. The regional capacity has been exploited; a step towards economic, ecologic and social sustainability has been taken. The quality of life will be upgraded and an effective governance system has been created by regional officials which is a main aspect of the concept of New Regionalism.

5.2.4 Trust

With the just described two sets of indicators to measure the decision-making process itself and its outcomes, another principle of the concept of New Regionalism is measurable:

Trust. While the concept of Old Regionalism was based on accountability as the binding element, the concept of New Regionalism sees trust as the primary form on which cooperation is based. Chapter 2 states that this relates to the idea of employing regional social capital and civic infrastructure (cf. WALLIS 2002). Accountability will surely play a role in the decision-making-process since regional officials need to account for single steps of the implementation process to locate regional resources, justify financial expenditures and to elucidate the decisions and actions that have been taken. Trust is much more understood as the agreement of partnerships and the usage of regional know how. It is seen as the shift of responsibilities from the jurisdictional to the public level – or the shift from top-down towards bottom-up decision-making. After having investigated all the above indicators, it will identifiable whether such a shift has been taken place and decision-making has become a domain and speaking tube for all interested groups or whether decision-making has been or still is reduced to political unilateralism.

5.2.5 Openness of Boundaries

Another principle of NR is: Openness of boundaries. This aspect is not measurable with a particular set of indicators – the picture of the whole will provide an answer. According to WALLIS, representatives of the New Regionalism accept the fact that regional boundaries are rather open, elastic and flexible than clearly defined and closed. The extent of the region varies with the issue addressed (cf. WALLIS 2002). Has the Region looked over its boundaries to collect successful ideas and information on a similar project from other regions? With whom has the region worked on the implementation of the project – have outer-regional actors played a role? As stated in chapter 2, it is a main criterion for Metropolitan Regions to define a boundary which is flexible enough to react to regional priorities and demands. Has the region pulled all necessary strings to react to the demands and priorities of all regional actors or has it been stuck within its own limited view and closed its boundaries? Has the boundary been kept open enough to gather the necessary know-how? Have outer-regional consequences – that the project may trigger – been taken into consideration? Does the regional government communicate with other outer-regional governments in terms of learning or cooperating processes? Do the boundaries set for this particular project coincide with the defined boundaries of the Metropolitan Region? The

above questions will deliver an answer to whether the MR has kept its boundaries open and flexible to accomplish the best possible conditions and to bundle all possible resources for the best possible outcome of the project.

5.2.6 Process

With all the above mentioned indicators, it is now possible to determine another principle of New Regionalism: Process. As stated in chapter 2, the concept of NR sometimes uses structural alternatives as a strategy for achieving an objective and focuses on processes such as visioning, strategic planning or consensus-building and conflict-resolution (cf. WALLIS 2002). All the just mentioned evaluation criteria indicate that structural alternatives, such as city or county/province consolidations of the formation of special purpose bodies, give way to a strategy for achieving an objective. This strategy needs to be flexible in order to meet the priorities that occur during an implementation task. The concept of process is therefore understood in this paper as an extensible term that is not anchored and deadlocked in its configuration but rather flexible and adjustable to the different levels of implementation steps and the different occurring players in the decision-making-equation (who might not be able to understand the full picture during the visioning process and may raise concerns and demands in a later period of the implementation). Prefabricated (organizational) structures that are not flexible enough to meet unforeseen occurrences – since a vision is defined in this thesis as an in the indefinite future conceivable or desired situation or an adequate ideal and that thus might not be able to react to unpredictable incidents – are to be replaced by structural alternatives or a process that leaves alternatives open that are adaptable to changes in demands and priorities. The chance that all upcoming influence capabilities and interests are met in the best compromising way is significantly higher than with prefabricated structures that might not be able to fit all concerns that emerge during a decision-making-process and implementation of the project.

5.2.7 Governance

The last but main principle of the New Regionalism is Governance since a functioning governance system shelters all other principles of NR. Here also, not a particular set of indictors will deliver the answer to whether a governance system has been established, but

the process and created organizational structures will shed light on the inevitable shift from Government towards Governance. After the analysis of the created organizational structure with all its participating actors and the decision-making-process itself with all its outcomes in terms of commitment, efficiency and benefit, can be clarified, if the MR succeeded in establishing a functioning Metropolitan Governance-system. Has a vision been established that supports the entire region and has policy been set to achieve this vision? Have public, private and nonprofit actors been taken into consideration in the process of decision-making? Do all levels of governments act in concert? To conclude, are the four key aspects of Metropolitan Governance according to FÜRST fulfilled? Are actors of different logics of actions involved; are a minimum of binding ties that secure the reliability of results given; does a combination of government and net-work-centered patterns of action exist and are negotiating and bargaining the modes of integrating the actors' interest? When the common objectives are accomplishable with the created structures to the satisfaction of all involved parties and to the benefit of the region as a whole, a maximization of the potentials of the Metropolitan Region and a minimization of its deficits can be guaranteed.

The above model is an adequate tool to measure the extent to which the concept of New Regionalism is represented in the decision-making-process of a Metropolitan Region. It gives information on how decisions are made in a particular region. An analysis of the indictors will shed light on the level or the degree of implementing the concept and whether all six principled have been realized. By analyzing all those principles, the model uses indicators that allow conclusions about where the weaknesses of the MR are located that constrain a full implementation of the concept of NR. It also reveals unique particularities that will explain actions of the Metropolitan Region that distinguish it from other Metropolitan Regions. With the established model and the analysis of all the indicators, a comparing analysis of different MRs will give an answer to the question why some regions are more successful than others in establishing a functioning governance system that is indispensable for the realization of the concept of New Regionalism.

5.3 Evaluation of Waterloo Region

In the following section, the model established above is applied to the case study Waterloo region and its LRT-Project. It is to be analyzed, to which extend the concept of New Regionalism is implemented in the created decision-making structures that will lead towards the realization of a light rapid transit system in the Canadian Metropolitan Region. As alluded in chapter 4 of this paper, the LRT-Project is a project within the Smart Growth strategy of the region and the Province of Ontario and is supposed to contribute to economic, ecologic and social sustainability and to enhance the quality of life as well as the regional competitiveness. In order to push the Region forward, it needs to perform as a regional unit – an implementation of the concept of New Regionalism will facilitate this performance. The section below will now clarify to what extend the Waterloo Region has been successful in realizing the concept of New Regionalism and where the causes for failure are detectable.

5.3.1 Visioning

Establishing a regional vision is the first step when it comes to repositioning a Metropolitan Region in the global hierarchy of urban agglomerations. As stated in chapter 2, the realization of the concept of Smart Growth is one possible option to reach economic, ecologic and social sustainability. Chapter 4 explained the Regional Growth Management Strategy, a strategy that has been released in accordance with the Provincial SG plan P2G. The backbone of the strategy is the LRT-Project, as described in chapter 4, which is the declared research object of this inquiry. The first criterion to measure the quality of the vision is the aspect whether the Project meets the needs of all citizens in reference to sustainability and security (of the living environment).

Does the established vision – "Planning Our Future" – and the vision of the LRT-Project in particular deliver its share to satisfy all regional demands and enhance the quality of life? The main indicator to measure these criteria is sustainability/security, region-wide approach and Smart Growth criteria.

Indicators Sustainability, Region-wide approach and SG Criteria: One main noticeable aspect which is positively mentionable is the fact that the Waterloo Region reacts to developments in a proactive rather than reactive way for the first time. It has created a

vision to shape future regional development rather than to react to occurring changes. As stated in chapter 2, SG is not a scientifically defined term yet. It is therefore open to interpretation. Generally accepted is merely the convention that Smart Growth shall direct an urban agglomeration towards sustainable development that dams up sprawl and all its negative effects and secures the individuals and their living environment. SG is seen as a unifying regional image or regional idea that is – since it is not a scientific approach yet – based on the in chapter 2 mentioned guiding principles and free to the interpretation of a region.

It should be understood, how urban growth and development interrelate. To evaluate these processes, sustainability is often operationalized – also in this research – with the interdependently triangle of the three E's – economy, ecology, and social equity (cf. BRAUN & SCOTT 2007: 3). At this point (since the LRT-Project is not completed yet), it is not important to assess the achievement of the objectives of the established vision; it is rather important to evaluate whether the established vision is based on a region-wide approach and has set regional priorities and whether it has the potential to reduce sprawl and to create livable communities which may – after the realization of SG projects – lead towards an economic, ecologic and social sustainability. What solution does the Waterloo Region has to offer with its established vision "Planning Our Future" and the LRT-Project respectively?

The LRT-Project:

- is clearly a project that supports alternative transportation systems (public transportation versus dependency on the automobile, health benefits through reduction of car travel)

- focuses on the entire Region – it is therefore a regional SG approach (the Regional Council as the upper level of government created a public transportation vision that incorporates the cities of Waterloo, Kitchener and Cambridge)

- directs growth towards the cores (the identified intensification corridor/ urban growth boundary and the firm countryside direct growth towards the downtown cores)

- targets existing urban fabric and areas that are most situated for future development (the strategies for shaping growth are core-directed and comprise the approaches of infill, intensification, adaptive reuse and redevelopment)

- aims for a mix of housing and function densities (main focus is put on new residential and commercial development in areas that are served by rapid transit – through for example the conversion of industrial lands to mixed-use and residential properties)

- focuses on density, proximity, visual and physical integrity to create a sense of coherent community (density and therewith associated proximity should occur through new growth in the urban cores served by transit; the urban design guideline initiative is intended for visual and physical integrity of the new development, also in terms of economy)

It can be summarized that the Waterloo Region has successfully established a vision that meets the criteria of SG and therewith sustainability and shows the regional interpretation of the concept. It is a vision established by the Regional Council to shape future growth and is identified as a regional strategy. But what influence did the local municipalities have in the establishment of the vision? Did the Province have any saying?

"The Province helped us (note: the Region) *with the urban boundary so we cannot grow outside this boundary which is good, because we have to protect our greenbelt"* (Interview Becky Schlenvogt, Principal Planner, Region of Waterloo).

It can be stated that the Province indeed had a saying in the establishment of the vision. It helped the Region with its urban growth boundary which is also manifested in the Provinces overall strategy P2G. But since the RGMS of the Waterloo Region was released before the Province's P2G, it can be assumed that the P2G plan did not have a major influence on the RGMS. It rather supports the idea of the RGMS and its main project by proclaiming the Waterloo Region a priority urban center and visualizing a higher order transit system in the P2G plan that links the cities of Cambridge, Kitchener and Waterloo. The higher order transit system is also identified in the Provincial plan as a catalyst for reurbanization along the Region's CTC.

Local municipalities are considerably diffident when it comes to the overall regional vision and the local visions that have been established by local jurisdictions for each of the three cities:

"Let's say, they do not compete. Cambridge also has its strategic downtown plan. But the Rapid Transit is complementary and would boost all cities. The Region is the proponent of the LRT-Project and the decision-making-body but there would be a consultation on how the actual line is going to be laid out. I do not think that the Region would push through a

route that is opposed by the municipalities. The Region was the author of the Project, we are the proponents. The Project is a facility that crosses municipal boundaries; it has to be a regional project." (Interview Alain Pinard, City of Kitchener, former City of Cambridge).

Generally, we are in-tune with the regional vision. Until now, the whole LRT is a strategic planning process. We do not know yet, how to infill industrial land or if we can ensure the population density necessary for an LRT. We do not know how the LRT would move the people around the Region, since they have not decided upon a route yet. But the City is in-line with how the Region plans to move people around. We are more in a spectator's perspective. We can express our opinion in Council and the Mayor can carry the idea further. It is a regional project. We will play a more active role in the process when it comes to land use. Right now, it is more a wait- and see-approach. There was no formal request of the City, the Region initiated the Project. But yes, the City likes the overall idea of a higher order transit system (Interview Scott Witmer, City of Waterloo).

The main goals are in-sync. The specific ways how to achieve them are not. There are some differences in the details. We, for example, all follow the goal to achieve a higher ridership. In what street the rapid transit is supposed to operate, we might not agree. We have proceeded with own height-density policies. The Region sees no need to expand the urban growth boundary but the City has its own policies and land-use-plan. And we are supposed to grow by 40.000 by 2031. I think growth should not all be concentrated on the spine solely but we also have other corridors and mixed-use areas. I think that the nodes value more. The Uptown Waterloo Vision is the City's vision of implementing the RGMS. As long as it meets the overall objectives, the Cities are able to establish own visions. The locations for example have generally to be in-sync with the height-density policies established by the City. So yes, there are certain issues concerning land-use. (Interview Cameron Rapp, City of Waterloo).

It is noticeable that there are discrepancies of the local municipalities when it comes down to details of the implementation of the actual LRT-Project. To what extent those discrepancies play a role in the decision-making process will be clarified at a later point of this thesis. But the main criterion – the establishment of a vision on a regional scale that all local actors are in-sync with – seems to be given and realized by regional officials. A contribution of all jurisdictional actors to the common good seems to be feasible.

As stated before, the establishment of a vision that realizes the principles of Smart Growth is the first step of a region towards sustainable and competitive development. Since there are no authorized rules how to reach that form of development, each region with its own unique history and conditions has to find its own way of bundling their potentials and minimizing regional deficits. Realizing SG visions is therefore a task that is based on an individual learning process. With that recognition in mind, it is of even higher interest how each Metropolitan Region compasses that realization in its own given scope, what solutions

emerge and where mistakes occur. How does a MR react to the need of establishing necessary organizational structures that result in the targeted aims and fulfill the criteria of Governance that are essential in meeting region-wide needs and demands?

The following section deals with the approach of the Waterloo Region to allow other levels of government as well as nongovernmental actors to participate in the actual decision-making-process to bring the LRT-Project to life and (re-)create the quality of life.

5.3.2 Principle of Empowerment

"The NR (New Regionalism) also aims to empower communities and actors within the metropolis and thus to generate significant changes in how policies for the metropolis are negotiated and defined" (BRAUN & SCOTT 2007: 8f). According to BRAUN and SCOTT, "governance (…) has shifted appreciably in favour of municipal partnerships, horizontal co-ordination and greater burden sharing at the local level" (ibid: 11f). As mentioned in chapter 2, the basic approach of Smart Growth asks for participation not only of all levels of government but also of public and private entities – Smart Growth therefore provokes the need to establish new lines of communication and partnerships with a stake in regional development. That a regional perspective is part of the established vision has been clarified above. It is to prove whether the Region has been able to establish organizational structures that create a platform for participation of the various interest groups.

Indicator Clarity of objectives: To measure the principle of empowerment, attention needs to be turned to two constellations of actors – intra and inter- governmental liaisons and non-governmental partnerships. The analysis of those two set-ups will give an answer about the manner and extend to which those actors are actively involved in the process of decision-making (organizational structure) and about the clarity and knowledge about responsibilities and capabilities of all involved actors.

Governmental Actors: One major part in the preparation of the RGMS was the establishment of an organizational structure to coordinate the implementation of the various projects that the RGMS contains. The Region has created an organizational structure for the RGMS as a whole as well as one that was established directly for the Rapid Transit Initiative (see figure 9 and 10 in appendix B). With this organizational structure the Region has clearly identified objectives, responsibilities and capacities.

Figure 10 in appendix B clearly identifies responsibilities and committees/teams and therewith communication platforms for regional and local project relevant actors. The Implementation Coordination Committee (ICC) consists mainly of staff from the Region, the three Cities and the four Townships. It was not necessarily established for the RTI but serves as a committee where all jurisdictions come together to discuss steps of the RGMS and coordinate initiatives – no decisions are made in the ICC. The Steering Committee (SC) is more on a political level. A number of Regional Councilors as well as the mayors of the Cities and Townships sit on the SC. The Planning and Works Committee (PAWC) consists of members from the Regional Council. Until the beginning if this year, there used to be several divisions of the PAWC, like for example planning, transportation, water, and finances. The function of the PAWC is to discuss specific issues related to the RGMS in detail. Such a division consisted of about five Regional Councilors that specialized in one of the above division issues. The reason for this structure used to be that several councilors focused on one topic or issue only and developed a certain kind of expertise relating to that topic. Not all of the Regional Councilors had to concentrate on all of the ongoing discussion points. Since the beginning of this year, the PAWC has been restructured. Now all of the Regional Councilors sit in each division; a "committee of the whole" has been created. They meet one week before council meeting to discuss an issue in detail, before it goes to the Regional Council for final approval. Becky Schlenvogt was questioned whether the PAWC does not loose its purpose through the restructuring. She states that since all the councilors participate in each subdivision, "*this makes those divisions useless in my opinion*" (Interview with Becky Schlenvogt). Yanick Cyr legitimates the restructuring as follows: "*Because (now) more councilors are more intimate with all of the topics. The restructuring has happened because the Regional Councilors could not agree who sits on which committee*" (Interview with Yanick Cyr, Project Director Rapid Transit Initiative).

The actual work for the RTI and therewith the LRT-Project is done by the Rapid Transit Team (or Rapid Transit Project Team Support) which consists of seven members of the regional planning department – Yanick Cyr, the project director, as well as six other regional planners, transportation engineers and communication experts. This Rapid Transit Team works with the consultants on the EA process. The preliminary results of the RT-Team go to the Rapid Transit Project Team for input and discussion. The Rapid Transit

Team which includes the consultants considers the suggestions made by the Project Team and hands the revised results over to the Steering Committee for additional comments. At this stage of decision-making, local municipalities are able to announce their support or displeasure about an issue. Afterwards, the results go further to the Planning and Works Committee (or now: Regional Council) for a detailed discussion. A week after the meeting, the Regional Council gets together again to finalize its decision. It can be stated that the Regional Council is the only jurisdiction that is able to exercise legitimized power in decision-making – all final decisions concerning the Rapid Transit Initiative are made by the Regional Councils through a majority vote (see figure 11).

The Region has created a structure that clearly identifies implementing agencies and their responsibilities. A communication-scheme has been created that allows for an interaction between regional and local governments. It is clearly identified which steps have to be taken in order to implement a project step and finalize a decision. Forums have been established that allow for the distribution of clear instructions and the articulation of requirements.

Figure 11: Decision-making-process of LRT- Implementation
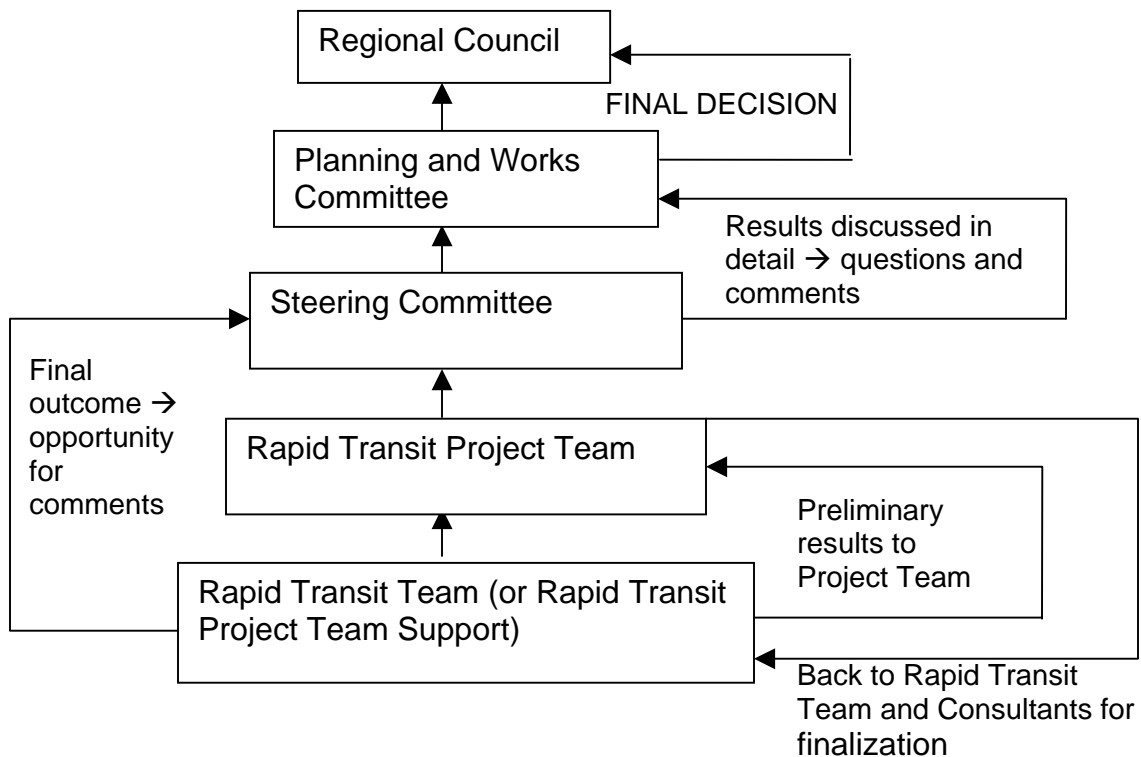
Source: own design, based on Interviews with Becky Schlenvogt and Yanick Cyr

It is visible that the Regional Council is the highest authority when it comes to the making of decisions – the process itself is based on a hierarchical structure. How much influence the other nongovernmental actors effectively possess is not apparent from the above decision-making-equation. The model shows the theoretical structure of decision-making – it will be clarified below, how effective this model is in practice.

Local Governments: How does the Waterloo Region communicate and work with the local governments in practice? The Region has established various platforms where local officials and staff are able to interact as seen in the above model. Since local governments do not seem to communicate among each other (*"I am not aware of any work between the Cities when it comes to the LRT-Project"* Interview Scott Witmer), it is the task of the Region to bring all actors to the table and coordinate local with regional interests. The created structures by the Region are a good approach for discussing regional ideas that also affect local jurisdictions. But does the Region fully exploit the potential of these platforms?

"We have not met in quite a while (note: ICC)*. We do not meet on a frequent basis; I cannot tell you when we last met"* (Interview Cameron Rapp).

The above statement shows that the discussion forum ICC – where regional and local officials and staff come together to discuss topics of the RGMS and LRT-Project respectively – is used by the Region, but not on a regular basis. The question whether this does have an influence on the project implementation will be clarified at a later stage of the thesis. The local governments do also have other possibilities to communicate with the regional level. According to all interviewees, regional planning staff communicates with local planning staff on a regular basis.

"But there is staff level communication. They preliminary work together on possible routes. But the Region kept the local Council and staff aware of where they are going. There is an info-exchange going on, but mainly on a staff level" (Interview Scott Witmer).

"We (note: City of Waterloo) *are developing a very good relationship right now. Our civic engineers are involved with the Region, at least formally. They are on the LRT Steering Committee, that is at least what I call it. The planning type matters and that is why we constantly talk to the Region"* (Interview Cameron Rapp).

The above statements show that there seems to be a constant consultation of regional and local staff concerning specific topics of the LRT-Project. Local jurisdictions have a platform to express opinions. The conditions for collaboration or even cooperation have been

established by regional officials. How effectively those structures are used by the Region to gather full potential of the local resources and know-how and how much influence the local governments do effectively possess, will be clarified below.

Provincial Government: What role does the Province of Ontario play in the implementation process since they do not seem to be part of any formal communication pattern? While the Federal Government solely seems to be seen as a funding-partner, the Region is benefiting from the strong, consistent message issued at the Provincial level with its P2G document and the associated policy regulations. The Provincial recognition of the need to control growth through infrastructure supports the regional idea of the RGMS and the LRT-Project. The Province created the Ministry of Public Infrastructure Renewal to coordinate financing and planning of major infrastructure projects along with Federal partners, with a mandate to ensure that quality infrastructure is in place to meet economic and social objectives (cf. CASELLO 2005: 5). There exists no formal platform for communication with the Province though:

"I think there exists an open dialogue between the MPPs (note: members of Provincial Parliament)*, the MPs* (note: members of Parliament)*, and the Region. They also talk on the opening of art galleries or hospitals. I think it is more like a discussion in casual encounters"* (Interview Scott Witmer).

Even though there is no forum that guarantees a communication with the Provincial level, the Province does have a saying when it comes to implementing the LRT-Project:

"But in the end it is a top-down process. The Province establishes new policies, we (note: the Region) *have to adapt them and the local jurisdictions have to adapt ours"* (Interview Becky Schlenvogt).

The above statement is an indication for the liaison between all levels of government. Becky Schlenvogt states that the governments work together on a top-down basis. While the Province creates the framework requirements in which the Region is able to act, the Region itself seems to be the overall level that ensures an overall communication between all levels of government.

Indicator Subsidiarity: With the shift of public transportation from the local level to the regional level, the Region has obtained full authority of public infrastructure. This in turn enables the Region to be the overseeing party and to implement Project steps. The Region has created an organizational structure – at least in theory – which clearly identifies competences and responsibilities. The Region is the exclusive decision-making party when

it comes to implementation steps. Authority has been shifted to the closest appropriate level. Since the LRT-Project is a project that encompasses the entire Waterloo Region, the Regional Council – as a jurisdictional entity – is the closest appropriate level to make decisions that affect the Region as a whole. Since the Waterloo Region does possess a Regional Council since 1973, it has a clear advantage of other Metropolitan Regions which do not have a jurisdictional entity that oversees the regional level (USA for example where Metro Governments are rather rare and oppressed by the local as well as the state level). To what extent the Region is able to use that advantage in terms of realizing the concept of New Regionalism and Metropolitan Governance will be clarified throughout the evaluation. Four forms of governments play a role when it comes to the LRT-project: local (Cambridge, Kitchener and Waterloo), regional (Regional Municipality of Waterloo Region), Provincial (Province of Ontario) and the Federal government. It has to be stated that the framework in which the Waterloo Region operates can not be equated with a new planning paradigm. The Metro Government that has been established in 1973 is the overall planning institution for the LRT-Project. But its position and regional planning efforts have been strengthened due to changes in regional government. The government has assumed more authority over the past decade due to changes in the make up of Regional Council (direct election since 2000), down-delegation of responsibilities from the Province (Municipal Act), and the assumption of previous municipal services. As stated in chapter 4, the regional government operates the transit service – authority of public transportation has been shifted from the local level to the regional level. This aspect makes coordinated, regional service much easier to design and to operate than with several companies interacting. Further, the regional government has the ability to raise revenues which secures transit funding and operation.

Indicator History/Unique challenges: Those two indicators shed light on the relationships between the governmental actors and clarify why the Region of Waterloo is the authorized decision-making party.

In the year of 2000, the authority over public transportation was shifted from the local level to the regional level. Before 2000, public transportation for the Region was provided by the City of Kitchener and the City of Cambridge. The City of Waterloo did not have an own transit provider but bought its services from Kitchener's transit service (Interview with

Cameron Rapp). In 2000, the Region decided that the existing transportation structure is not an effective one because of the lack of coordinated inter-municipal transit between Cambridge and Kitchener-Waterloo and the lack of transit services to the townships. The implementation of a Regional Transit Service was seen as an opportunity to introduce new routes and improve the coordination of service between the Cities and the Townships. The Regional Transportation Master Plan which was approved in 1999 established a target of a 7% reduction in the future use of the automobile. This reduction is seen to be sustainable and requires a 115% increase in the current regional transit ridership to achieve this goal. The Central Transit Corridor (CTC) is a fundamental element in the Regional Transportation Master Plan. Without this core facility which was already part of the first Regional Official Policy Plan (ROPP), there was very little hope of increasing transit use over the long term. The fragmentation of planning (8 official plans exist in the Region), the lack of a shared vision, and the inability of the lower tier municipalities to coordinate and invest in transit at an appropriate scale, resulted in failure to achieve the Plan's objective. The 1999 version of the CTC could not be successfully implemented unless by a single operating agency with the ability to reach co-ordinated, supportive land-use decisions. Therefore, the Regional Council took on leadership and responsibility and approved on June 23rd, 1999 that "conventional transit services and services for disabled be assumed by the Regional Municipality of Waterloo January 1st, 2000". (cf. REGION OF WATERLOO 2000: 26ff).

Indicator Leadership/Power of Personalities: Leadership and power of personalities is also an indication of the manner of communication between the various levels of governments. Furthermore, it is also a criterion that may have an influence on the success and failure of implementation steps.

"The Region initiated the Project. This goes years back, though. I think they started in 1999 or early 2000 to talk to the governments about a higher order transit system for the Region. So, it is almost close to 10 years that they are working on that now. Ken Seiling worked on that Project for a long time. He is Chair for over 15 years now, I think. It is his baby. There is an awareness that Ken has been working on the Project for a very long time. I think the leaders are Ken Seiling and the Regional Councilors" (Interview Scott Witmer).

The Regional Chair Ken Seiling has indeed taken on a leading role in the Project-implementation. By writing personal comments to residents, the chair shows responsibility and brands the LRT-Project with his name and face (as can be seen in the introduction of

RGMS-paper). By clearly articulating that the LRT-Project is a project initiated by the Region, he as well as the Regional Council assume dedication to the Project and take on full responsibility. This warrants the created communication structures that put the regional government in charge of information-exchange and implementation steps. It was a huge election issue in 2006 and the Regional Chair saw his initiative affirmed with his re-election in fall 2006 (Ken Seiling at a media announcement on March 23rd 2007 in Kitchener).

One example that shows regional leadership is lobbying the upper-tier governments for funding. While local governments do not participate in any way in the process of guaranteeing funding to afford the financially huge LRT-Project, the regional government has taken on a leading role in lobbying the Provincial and Federal government (Interview Yanick Cyr).

It is visible that the created organizational structures are geared to a top-down perspective. While the Provincial government sets the framework in terms of policy regulations and the P2G statement, it is the task of the Region to coordinate communication between the different levels of government. With the RGMS, a document has been developed which fits into Provincial regulations. The Regional Council with Ken Seiling as Chair is the implementing party that is responsible for the realization of the RGMS. It is the task of the Region to call all actors to the table, ensure an overall conversation between all actors and coordinate the different demands of all involved parties. The Region has established a Project related communication and decision-making strategy as seen in figure 10. How successful the created structures are and to what extent the Region is able to fulfill its numerous tasks will be examined below.

<u>Nongovernmental Actors:</u> Partnerships have been defined in this thesis as the venture between two or more actors that pool resources in pursuit of a common objective. The reason for entering such partnerships is seeking input and change as stated in chapter 2. The need for the establishment of partnerships to successfully implement a functioning governance system has been declared before – also the essentialness of contribution of all fields of society for the realization of the SG concept has been explained. The question that occurs is whether the Region of Waterloo has established such partnerships to allow civic engagement in the process of realizing the LRT-Project?

Indicator Civic Engagement/Communication: First and foremost, it has to be stated that the Waterloo Region is compelled to contact the public at large on a regular basis – every EA requires public consultation through all of its phases.

Public Advisory Committee (PAC) (see figure 10): This is the only committee that has been specifically established for the RGMS (interview Becky Schlenvogt). The PAC started in 2005 as an initiative of the Regional Council and senior staff from the Region. The idea that lies beneath the PAC is the representation of the public at large in the realization of the RGMS and the Rapid Transit Initiative respectively. Chair of the PAC is Jean Haalboom, a Regional Councilor. The main task of the PAC is to give advice and comments to staff, that has been assigned to the RGMS, on how to present material relating to the RGMS and RTI to the public; the PAC also has the possibility to raise concerns about certain issues and discuss them directly with regional staff. The committee is comprised of 15 members plus the chair. The members had to undergo a process of application. After an advertisement of the Regional Council, the applications were screened with a focus on the background of the applicant, knowledge, experience, expertise and community representation. The present members represent the areas of health, business, agriculture, education, heritage, social services, environment, and development. Four at large members represent the community; three students represent the local post-secondary institutions (cf. www.region.waterloo.on.ca/web/region.nsf/DocID /1F5C2DEF9637 004A8525707C0...).

According to Jean Haalboom, the PAC is a committee that represents the public at large. But the question, how much partner-like work is going on with the governmental actors, is critically answered by the Regional Councilor:

 "The PAC is a committee of its own. Staff members sometimes attend meetings of the PAC and give presentations on certain issues concerning the RGMS. But the PAC actually works in isolation. There is no unified approach" (Interview with Jean Haalboom, Regional Councilor and Chair of PAC).

Regional officials have claimed to work with the public on the establishment of the ToR. The question about the impact of the PAC in this process is answered rather negatively by Haalboom:

"We only made suggestions. We are working in the periphery. The rules and regulations come from the Federal government who are granting the money" (Interview Jean Haalboom).

An attendance of a PAC meeting on March 6th 2007 imparted the exact same impression. While the members of the PAC were updated about the RGMS, there was little room for discussion about single steps. Furthermore, the meeting mainly concentrated on input from the PAC on a recently created public communications document. The document contains information about the "bigger picture" of the RGMS and LRT-Project respectively (Yanick Cyr at the PAC meeting on March 6th 2007). After the discussion of specific details, the PAC gave a unified message that the paper needs to be shortened to two pages maximum (the original paper consist of 38 pages) since the PAC agreed on the fact that the public at large would not take the time to read it all and would be swamped by the plentitude of information.[58] It was visible that the PAC is used to support regional officials in the task to convey information about the RGMS and the LRT-Project respectively to the public at large. Even though the intent of the regional officials to present information in an understandable form to all residents is quite commendable and might lead to further civic engagement of public actors, it misses out on its actual intent – to create a forum where the public at large, through its selected representatives, works together with regional officials in partnership on the implementation of the LRT-Project. How much power do the members possess when it comes to the actual project?

"Staff members have meetings and might carry the ideas of the PAC further. I am also on the Steering Committee and we only meet ever so often. So it is usually me who represents the opinion of the PAC" (Interview Jean Haalboom).

Considering the fact, that all decisions are made by Regional Council, the public at large is quite underrepresented with the one voice of its chair Jean Haalboom.

Does the PAC communicate with other nongovernmental actors? "*No, but we should*" (Interview Jean Haalboom). Even though the PAC has raised the need for communication with other actors like schools, universities, employers, seniors, commuters, business communities or medical communities, the idea has not been taken further by regional officials.

"Yes, as I said, we should be communicating with these groups but we haven't done it so far. Since we have representatives of many of those sectors in our PAC, we hope that they

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[58] The PAC members were supposed to take the information handout to their specific groups to find out whether the recorded information is understandable to them. The members of the PAC were supposed to give feedback via mail to regional staff.

tell their group about the project. Otherwise, I don't know about any groups who are involved in the project." (Interview Jean Haalboom).

The PAC is in theory a well created institution for public intervention in terms of networking to seek input and change (both at the governmental and nongovernmental level) because of the certainty of regular meetings and personal contacts. Unfortunately, regional officials do not seem to acquire full potential of the created committee since it fails to achieve its intended purpose of cooperating with the public at large on an eye to eye level. It is much more reduced to an instrument that warrants or legitimates the regional modus operandi.

Indicator: Partnerships/Networks: The establishment of partnerships is a very important objective when it comes to the realization of Smart Growth principles and therewith the RGMS in the Waterloo Region. It is manifested in goal number 6 of the RGMS – ensuring overall coordination and cooperation – and is a Smart Growth principle itself (cf. RGMS 2003: 4). So far, the Region has not established many partnerships. Listed as partners for the RGMS are the Waterloo Region Homebuilders Association, the Prosperity Council of Waterloo Region, the Grand River Conservation Authority (GRCA) and the Community-University-Research Alliance (cf. http://www.region.waterloo.on.ca/web/region.nsf/97dfc3 47666efede852 56e590071a3d4/a288ef3d265cc9a98525722d00594845!OpenDocument). It can be stated, that all those actors have been partners of the Region before the establishment of the RGMS. The partnership with the GRCA for example lasts back to the late 1940s. According to Nancy Davy, the Region as an entity is even younger than that relationship (Telephone-Interview with Nancy Davy, Grand River Conservation Authority).

What has been done so far is the establishment of several groups which focus on the implementation of RGMS-initiatives.[59] While the need to involve actors from various sectors of society is recognized when it comes to the realization of the RGMS as a whole, it has been quite neglected when it comes to the LRT-Project specifically. According to Yanick

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[59] One example of such a group is the Reurbanization Working Group. The group is led by Hanna Domogola, a regional planner. The group is an ongoing group with members from the local and regional municipalities as well as private partners (homebuilders, realtors, and professionals who serve the private sector). The task is to develop awareness on reurbanization. Opportunities as well as challenges of reurbanization are identified and the group is trying to establish solutions to existing problems. *"We looked at actual opportunities for the Region; it was mainly a market analysis. The study was funded by the Region, the cities and the private sector. We mainly produced a product, presented it to all councils and they endorsed it"* (Interview with Alain Pinard).

Cyr, such partnerships will be implemented at a later stage of the project.[60] Momentarily, the Region communicates with nongovernmental actors, but not in the formal manner of official networking.

"We (…) work with the Business Associations, individual business owners, schools, universities, college, the Home Builders Association and the Reurbanization Working Group. So we are reaching out to them and their input is influencing the Project. So we benefit each other" (Interview Yanick Cyr).

If not through networks, how are private and organizational actors able to exert influence and state their opinion?

"Well, they have just as much input as the public, that is just how an EA is structured. We do not draw more attention to business than to private owners. We do not want to be biased" (Interview Yanick Cyr).

The Region does therefore not see the need to establish any partnerships at this stage of the LRT-Project. The question, why certain actors that could contribute their expertise to specific topics of the LRT-Project have not been contacted by the Region, remains open. As stated in several interviews with regional officials, all the needed knowledge is contributed by the consultants. The Region has already changed consultants three times during the LRT-EA process. After phase 1, the Region switched from their long-time consultants IBI-Group to Earth Tech:

"We want the best consultants for each phase. The expertise needed in Phase 2 was just different from the one in Phase 1. We had a very detailed consultant selection process. They had to hand in a letter of intent, a work plan and fee. We than selected some and interviewed them and chose Earth Tech in the end" (Interview Yanick Cyr).

According to statements of the project manager Yanick Cyr, he is aware of the fact that the consultants are not impeccably.

"So if they (note: all societal actors) *want to participate, they can come to the PCC or visit our website. All communication is available for the public on the internet. And they do have impact. The comments go through an objective analysis by the consultants and they do consider public input and therefore we are recognizing that the consultants do not know it all"* (Interview Yanick Cyr).

All nongovernmental input is therefore mainly reduced to the attendance of PCC. But does this aspect support a communication between all actors? Regarding the high numbers of

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[60] Design construction and maintenance of light rapid transit system and its stations are supposed to be done by private partners (Interview Yanick Cyr).

attendees at such PCC, a private dialogue with regional officials is not given (Attendance at PCC on March 21st 2007). Problems can not be discussed directly; comments of attendees are primarily reduced to personal interests and are not based on regional perceptions. Expertise discussions are not possible in the setting of PCC. The main objectives of networking can not be maintained. Principles that guide a partnership (see chapter 2) are not noticeable, neither are clear roles and responsibilities of nongovernmental actors, nor a process for regular communication and resolving difficulties, and resources that are shared and received by each partner (cf. http://www.crehs.on.ca/downloads/sustainability %20manual.pdf). Negotiation and bargaining as the modes of interest can be eliminated. As soon as the nongovernmental actors have submitted the comment sheets at the PCC – which are distributed at each consultation center and are to be handed in directly the after the meeting or via mail – to regional staff, they hand it to the consultants for further consideration. There exists no follow up meeting where stakeholders are given the possibility to discuss, why or why not, comments have been taken into consideration.

"For example, the results from the September meeting included the question what characteristics of public transportation are important to residents, like get to destinations quickly, capacity and frequency issues and so on. All those inputs were used to develop measures to assist the ten technologies. So comments from the public are used to develop a new step of the EA by the consultants. In the end, the public can see that their input is being used which is kind of a follow up meeting" (Interview Becky Schlenvogt).

The various actors are presented with completed facts. The Region and the consultants decide about the importance of issues – they have complete authority about the aspect which criteria are being developed further and which ones are abandoned. Civic engagement gets therewith associated with a coincidental character and does not come close to any form of partnership-like liaison in the sense of sustained commitment to move forward together in pursuit of a common objective.

With all the above evaluated indicators, the extent of implementation of the first principle of NR is measurable: Empowerment.

Principle of Empowerment: While during the period of Old Regionalism power emanated from the government solely, the concept of New Regionalism relies on empowerment – the direction of power to nongovernmental actors (cf. WALLIS 2002 & PÜTZ 2004). Have structures been created that actively involve nongovernmental actors in decision-making? This question needs to be answered negatively. Since no partnerships have been

established, the Region has not managed – at least up to date – to involve nongovernmental actors in the decision-making process. Possibilities have been established for those actors to participate (for example stakeholder breakfast or meetings with schools, business associations, etc – which were one-time occasions most of the time). But since these participation structures are not network-oriented (where power is – at least to a certain degree – shared between those participating actors), the Waterloo Region has not shifted from power to empowerment in the sense of clearly giving up and sharing responsibilities with public, private or organizational actors. Power has thus not been shifted from the governmental level (top-down) to the nongovernmental level (bottom-up or equality).

The next evaluation set is structured around the component Visioning and the indicators Information, Knowledge of cause and effect relationships and Funding. As stated before, they do not contribute to the measurement of a particular principle of NR, but are nevertheless important to evaluate the effectiveness of the created organizational structures in the sense of a functioning Governance- system.

"Visioning (…) opens up many questions about representation and the basis upon many decision regarding development scenarios and their implementation are taken. Most decisions regarding land use must be made by local governments; however the processes involved in informing local decisions could be rather inaccessible to ordinary citizens if organized around selective fora and workshops rather than clearly identifiable regional associations. This could create problems in positively communicating regional ideas and in promoting citizen understanding and acceptance of smart growth principles" (BRAUN & SCOTT 2007:24f). As stated above, the Waterloo Region has not created an association that is responsible for communication with citizens. It has created several institutions though (ICC, SC, PAWC and Project Team) which assist collaboration between governmental actors. Informing the public at large as well as other nongovernmental actors is based on the formats fora and workshops as explained in chapter 4. Does the disposed thesis of BRAUN & SCOTT – that those platforms lead towards an inaccessibility and incomprehension of actors – apply to the case of the Waterloo Region, or is it going to be disproved by it?

Indicator (access to) Information: the preparation of information as well as access to this information is essential when it comes to informing regional actors and the success of creating a regional identity – in means of the development of a regional awareness and capacity to act. Does the information provided by the Region contain a valid causal theory? The Region has been very successful in generating such a theory with its Regional Growth Management Strategy. The RGMS contains information of the overall regional Smart Growth goals and specific actions how to achieve those goals (see chapter 4.2). Focusing on the LRT-Project specifically, the Region has gathered detailed information about a light rapid transit system, its possible achievements and consequences. As stated in chapter 4, the Region has undertaken several studies in advance (Feasibility Study, TS) that are supposed to guarantee the feasibility of a LRT in the Region. Aligned with those studies, the Region initiated the EA process. The EA contains information about the intended goals of light rapid transit and the therewith aligned intensification of the CTC. Every phase and step of the EA is characterized by evaluation criteria that are determined by the ToR – the binding approval on what must be addressed in the EA. Those evaluation criteria which are based on a pass/fail procedure operationalize the intended goals of the LRT. Not only have criteria been established that allow for a measurement of selection factors, but also a traceable instrument has been created that allows all participating actors to comprehend and reconstruct regional proceedings. Impacts and consequences can not only be estimated by regional officials but also by all interested nongovernmental actors. Since the ToR have been developed by the Region in accordance with consultants and nongovernmental actors (Interview Yanick Cyr), the chosen evaluation criteria are not chosen randomly but in selective collaboration with actors from all fields of society.[61] It has to be mentioned that even though nongovernmental actors do find attentive ears, there exists no democratic process which criteria are going to be consulted for the evaluation. Regional officials legitimize the criteria for the process solely. Because of that fact, every now and then voices are raised against the measurement criteria. Sandra Mooibroek, a renewable energy advocate, claims that the rapid transit study is

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[61] One example of public input is: Hans Gross, P. Engin. of City of Kitchener raised the concern about how LRT lines will decrease road capacity if roadway lanes are removed, leading to congestion, reduced air quality and neighborhood traffic shortcutting. He stated whether the study may have to be enlarged to deal with possible road capacity issues. Regional response: a new criterion on "Traffic Volume on Route and Adjacent Roads" is being asses to Exhibit 13 – Criteria for Evaluating and Ranking Short-Listed Alternative Methods. For more examples: http://transitea.region.waterloo.on.ca/pdfs/presubmission.pdf

focusing too much on details such as visual design and not enough on ways to get more people out of their cars to reduce air pollution and improve the environment (E-mail-contact with Sandra Mooibroek). Yanick Cyr answers that allegation as follows:

"The claim is that we are not following the Terms of Reference. But she (note: Sandra Mooibroek) *is just misinformed. So far, the ToR have not been set up to focus on environmental impacts. But these are part of Phase 2 Step 2, so she just should have continued reading the full Environmental Assessment and not stop in the middle. We are very much concentrating on environmental impacts, but that are issues that need to be discussed when we have decided on the transportation system and when it comes to routing and stations"* (Interview Yanick Cyr).

The tension that underlies that statement is clearly noticeable. The question that needs to be raised is why the Region decided to concentrate on environmental impacts when the preferred transportation system has already been chosen? Should environmental impacts not be a criterion for the elimination or the selection of a system since environmental protection is a main criterion for Smart Growth? The objection of Sandra Mooibroek is understandable and provides an example for the authority of the Region in decision-making.

It is visible, that the information officials possess impacts the content of the policy statement and this in turn impacts the implementation. The implementers have the capacity to collect, process and incorporate new knowledge through consultants and public consultations and adapt this new knowledge to project demands and information shortages. But to what degree this new knowledge is applied practically is open to the willingness of regional officials.

Has the Region created a capacity to share information among institutions and actors? Since regional officials meet ever so often with local staff, it can be assumed that there exists an ongoing exchange of information and know-how. That exchange is necessary in consideration of the fact, that local municipalities are responsible for traditional means like zoning, height and density – all aspects where the Region does not have jurisdiction over. But how does the Region reach out to its residents? First and foremost, the residents can participate at PCCs to gather information about implementation steps. The Region makes notification for public meetings through the newspaper, TV, flyers, direct mailing, radio announcements, and street signs at major intersections. Furthermore, the Region uses the regional website as well as the area-municipal websites to inform the public; an info-line has also been originated (cf. http://transitea.region.waterloo.on.ca/pdfs/ MINUTESTORPIC1.pdf). Interested people can add their names to a mailing list to receive invitations for PCC and

newsletters with updates of the RGMS and the LRT-Project respectively. It is noticeable that all actors have equal access to information. A capability of acting and making project relevant decision is given. Even though all residents have the same access to information, councilor Sean Strickland of Waterloo is concerned that half the people at recent public meetings in March 2007 own property near possible routes. "*It is of some concern to me that half come from the immediately affected area. We need to make sure, as we move forward, that we get much wider input*" (Sean Strickland in The Record May 30th 2007). While those attendees are directly affected by the Project and have a main interest in the outcomes, it is comprehensible that the number of those residents is significantly higher than the number of those, who are not directly concerned with the outcomes of the project. The risk of biased influence and thus not getting a picture of the whole residential-wise is countervailed by the Region through the delivery of rapid transit newsletters to every household in the Region (The Record May 30th 2007 & Interview Becky Schlenvogt). The Region has launched an attempt to work against this situation to inform a broader variety of residents. Access to information has therewith been created – participation is dependent on willingness and voluntariness of the residents.

Indicator Knowledge of cause- and effect- relations: This indicator supports the above indicator and can be seen as an appendage. Are cause-and effect-relationships known to all possible actors? Is the vision reachable with the actions that are going to be taken?

Regional Councilor Jean Haalboom raises concerns in view of these aspects:

"But what is missing so far is that more awareness should be created. People only listen to issues concerning gas tax, air quality or congestion. There exists no understanding of the Big Picture of the RGMS. Even some of the members of the PAC still think that the LRT alone will solve all our problems. (…) The way they do it is not my way of doing things. I would present an overall picture and define problems clearly. More people might get interested. It is hard to convince people who are used to the comfort of taking a car even for the shortest distances to switch to public transit. It will be hard to change attitudes. (…) The public at large is mainly uninformed. Everything or every decision is made by the staff. I think there is no thought to public interference given. In the years from 2000 to 2003 there was a lot of energy around all the topics of the RGMS. But in the last three years, the focus was mainly put on rapid transit. (Interview Jean Haalboom).

Jean Haalboom mentions very important aspects. She complains about the failure of the Region to create a picture of the whole and the therewith created unawareness of the residents to develop a problem related understanding of the RGMS and the LRT-Project.

Since the LRT-Project has been elevated to the backbone of the strategy, the Region primarily focuses on issues related to that topic. Cause- and effect-relationships state that when X occurs, Y should happen. While regional officials have developed a picture of the whole with the RGMS that relates urban development to public transportation, the Region has made a connection between these two aspects and has established a causal theory that public transportation is supposed to lead towards reurbanization in the downtown cores. But is that aspect carried forward to nongovernmental actors so that they are able to realize the connection between the different aspects of the RGMS in order to make appropriate decisions? With the plenitude of information available, it is quite difficult for uninvolved interested parties to create a conjunction between the Project, its intended goals and its role within the RGMS as the overall objective (own experience – there exists no overall paper available for the public that makes this connection; solely single documents about specific implementation steps are published).

"Jeff Outhit from 'The Record' also thinks that this has nothing to do with moving people anymore. What they want is a permanent transit corridor. They want to achieve reurbanization. And the P2G plan says that the region has to achieve a certain density by 2016, I think. This is where they are heading (…) We need that firm boundary. I do not disagree with the general objectives at all, but I certainly do not know where we are going. (…) There are uneducated people out there that certainly do not know where this is heading. Even people, who put effort into this, are not sure what is going on. Let me show you this. I have a research saying that LRT would cost US\$ 70 million per mile. But when you look at the criteria in the EA handout, the Region estimated only half as much per kilometer (note: CAN\$ 20-35)*. And that are Canadian dollars. When you look at the BRT* (note: in the evaluation of the Region of Waterloo technology handout)*, the range is so wide. It can cost up from CAN \$ 0.5 million to 22 million per kilometer. What does this mean? Residents can not rely on those measures"* (Interview Glen Woolner, member of Kitchener City Downtown Advisory Committee and CREW).

"We are more in a spectator's perspective. (…) Right now, it is more a wait and see approach. There are a lot of unanswered questions. The cots for example" (Interview Scott Witmer).

The statements show that even interested parties with a lot of project-specific knowledge are unaware of such relationships. The overall goal of the LRT-Project is not communicated clearly by the Region – that "*the main intent is not primarily public transportation but rather reurbanization and a fixed transit corridor*" (Kevin Curtis at PAC Meeting on March 6th 2007). Single steps to reach that objective and implement the LRT-Project are not explicitly enough displayed – the impact and consequences (for example the financial constituent)

can not be (pre-) estimated by all actors likewise. The quality of the "causal theory", on which goals of the project are based, is questionable. This aspect does not occur because of shortcomings of the RGMS and the LRT-Project respectively – since those two approaches are adequate instruments to meet the goals of Smart Growth (at least in theory) as stated earlier in this thesis. It is rather the lack of the Region to communicate coherences and convey a picture of the whole which in turn certainly influences public opinion formation on specific aspects of the Project. It is questionable whether nongovernmental actors are able to reconstruct the link between actions and goals because of the lack of the Region to communicate the interaction between economic, ecologic, social and political aspects.

To conclude, BRAUN's and SCOTT's thesis concerning the inaccessibility of ordinary citizens in the process of local decision making due to process structures organized around selective fora and workshops instead of a clearly identifiable regional association can be verified in the case of the Waterloo Region. Problems in clearly and positively communicating regional ideas and in promoting citizen understanding have emerged.

Indicator Funding: Funding is a critical component of a project, especially of one that is composed of such a huge scale like the LRT-Project in the Waterloo Region. At a very early stage of the implementation, regional officials have calculated that the first phase of the Project will cost CAN $306. Since the Region can not pay the expenses itself, it asked the Provincial and Federal Government for 1/3 of the costs each; the regional stake will be paid by the taxpayers. How did the Region bundle its resources to pay its stake and lobby the upper-tier governments? As stated before, regional and local cooperation is essential for the success or failure of financial provision of the Project. As explained in chapter 4, the Province has developed a very good relationship with the Region and has guaranteed to pay its third.

"We are (…) mentioned in the Ontario Places to Grow Plan and they even put our CTC in one of their maps, we reflect the Province's priorities. We are in their focus now and I do think we will get the money" (Interview Yanick Cyr).

It seems that the Province and the Region have found a common denominator with the implementation of Smart Growth principles and the establishment of P2G and the RGMS.

"In the past, we have not gotten a lot of support from the upper governments, but winds are changing right now. On Tuesday both governments gave $1 Billion to extend the

University-Spadina subway line (note: in Toronto) *up to York University and all the way into Vaughan. This is a great step towards the recognition of the need to expand public transit"* (Interview JoAnn Woodhall, Region of Waterloo, Travel Demand Management).

"If the environment keeps being an election issue than the upper-tier governments will make sure that there is money for a project like this. At the moment it is very chic to support the environment and the Provincial and Federal Government have no choice. (…) The costs of treating illnesses of air pollution are close to $1 billion, for example. So it might be a benefit to reduce those costs and put money into the Project" (Interview Scott Witmer).

According to John Milloy (Member of Provincial Parliament), there exists an ongoing discussion between the Region and the Province about issues of the LRT-Project. Following the same goals, the Province has declared itself as a commitment partner of the Region (John Milloy at media announcement on March 23rd 2007). While the local governments do not support the Region in the act of lobbying for funding (*"We do not communicate with the Province; this is the task of the Regional Government. We could, if we wished, though. But so far, we formally have not said anything"* - Interview Cameron Rapp), the Provincial ministers meet with their Federal counterparts to discuss municipal and intergovernmental affairs and support the Region for funding (Conversation with John Milloy at media announcement on March 23rd 2007).

Focusing on the aspect of funding, it is noticeable, that the Region has developed a positive relationship with the Province. The reluctance of the local governments is an indicator that elucidates that the LRT-Project is a regional project, where regional officials pull the strings and decide upon financial plans, allocation and lobbying. It clarifies that there exists a lack of interregional cooperation; that resources and powers and not bundled to push a regional objective forward. While local officials put themselves in a wait and see position, the Region has committed itself to a partnership with the Province. Whether this aspect is solely adjuvant to put pressure on the Federal Government or whether it is an indication of the distribution of power when it comes to decision-making, will be clarified in the next section.

5.3.3 Principle of Collaboration/Cooperation

After clarifying which organizational structures have been established to implement the LRT-Project, it is to explore at this stage, how those structures are used to finalize decisions. It is also to be analyzed, whether those decisions are based on the concept of

Metropolitan Governance and whether they contribute to a realization of the concept of New Regionalism.

Indicator Transparency/Tractability: The LRT-Project is a project of a huge spatial scale and involves a multitude of actors. It is a very complex project since it is a project out of a variety of projects that are all interwoven and that are part of a greater vision – the RGMS. The complexity may lower the odds of success (see HANNA in section 5.2.3). One constituent that could minimize that risk is the criterion transparency/tractability, which implies that tasks and decisions are clearly understood by all interested parties.

"The Region is too big; they cannot concentrate on the people that do not participate on a voluntary basis. And a lot of people simply do not take the time to read the newsletters or attend the PCC. When they come home after work they are happy to relax, they do not want to spare their free time thinking about the problems of the Region; they have already enough problems on their own" (Interview Cameron Rapp).

"I think that there is transparency in the process in terms of getting access to information. But people are not even interested in municipal elections, so I think that the participation in the Project is rather low. (…) But I think that true involvement will come after the decisions when people realize the effect or the outcome of the decision. We sometimes have people that come to us and complain one year after a decision has been made" (Interview Scott Witmer)

The above local officials claim that there is a lack of understanding about the possibilities of the public to interfere and the amenability who is responsible for specific tasks and decision. It shows again, that regional officials are not capable of communicating the complexity of the Project in an understandable manner. In fact, there exists no single document that combines all the implementation steps with all the intended goals and all the assigned responsibilities. Handouts or newsletters distributed at the PCC or via mail solely contain information about a single phase or step of the Project (see for example information handout from public consultation center phase 2, step 1 – short list of technology and route design alternative from January 9,10,11 2007). Participation approaches to address the complexity of issues and improve transparency and tractability of the process are not used efficiently enough by regional officials. A low tractability may produce a negative reaction from target groups which may in turn lead to problems and difficulties in the actual implementation of the Project.

"I also think the process is not as effective as it could be. Sometimes I have the feeling that decisions are already made and the government is going through the process because they have to" (Interview Scott Witmer).

"There is a possibility that the routes as well as the stations are already set" (Interview Jean Haalboom).

"I have the feeling that the Region accepts everything that Earth Tech is telling them since they are not familiar with the whole issue of technology. But I wonder where the consultants get their data from? Aerobus has not received any calls from them; they have never talked to anyone of us. The Regional Council is not capable of all the issues and is just looking for excuses. (…) The consultants are their "god" and they rely on the consultants too much" (Interview Glen Woolner).

The above statements point out that both governmental and nongovernmental actors have difficulties in reconstructing regional decisions. It is noticeable that these statements are accompanied by a critical undertone that might lead to tensions during decision-making or may hinder the project-implementation.

It is quite difficult to comprehend for nongovernmental actors, with the plentitude of information available, who is responsible for what and who in the end finalized a decision. Becky Schlenvogt who is responsible for communicating with the public was questioned about that aspect that there exists no available information about responsibilities, competences and roles of the single governmental actors.

"I really think this is a good question. I will put it online. We have a question and answer page and I will put your question up there to provide the public with the information who is responsible for decision-making" (Interview Becky Schlenvogt).

The statement shows that regional officials have not taken charge of informing the public about regional decision making. It rather seems that the residents are confronted with accomplished or completed facts. If nongovernmental actors are not informed about the process of decision making, how can they possibly be a part of that process? How can they exert influence and control the magnitude of it? Is decision-making in terms of "distinct yet equal" possible at all with the created organizational structures of the Waterloo Region? The next indicator will elucidate answers to these questions.

Indicator Equity: This indicator is supposed to measure the quality of the created organizational structures. It will focus on the aspects if and to what extent all actors are involved in the process of making a project relevant decision. As stated in chapter 4, due the shift from public transportation from the local to the regional level, the Region holds all

organizational capacity to finalize a decision concerning public transportation. Decisions are made by the Regional Council and are based on a majority vote. A democratic process is therewith prevalent. But how democratic is this process in reality when the focus is put on the fact that the LRT-Project is influenced by Provincial policy statements and regulations and affects three local jurisdictions as well as a population of about 500.000 inhabitants?

Local Governments: As clarified above, local officials officially do not have any saying in decision-making. They communicate with the regional level primarily through staff. According to Cameron Rapp, local staff does have an impact on decisions made by the Region:

"We (note: local governments) *do have an impact. The Region had put the land-use on the maps which they are going to show at the next PCC. We have concerns about how the Region deals with land-use in the City of Waterloo because it still is a local responsibility and we were not conform with how the Region wants to deal with land-use around certain station locations. So they pulled the land-use off the maps for now. We are just more conscious of why or why not things may work in those areas than the Region. The Region is looking from the sky down, but we are on the ground"* (Interview Cameron Rapp).

This statement is an example of local influence in the process of making a decision. It has to be mentioned though, that this is solely a minor decision, where local staff was able to exert influence. It has been stated by all local officials, that there exists a functioning relationship between regional and local staff that work together on specific issues of the LRT-Project. One example would be the sub-project "visualizing densities" where Hanna Domogola, a regional planner, works close with local planners on a strategy how to accommodate new growth in the Region (Interview Cameron Rapp). Even though there exists collaboration between all levels of government, the local governments do not have any direct capability of influence exertion when it comes to decision-making of the LRT-Project:

"We (note: local officials of Kitchener) *make comments and we can ask for changes. Are they making changes in exactly the same way we are asking them to? Probably not. But I am sure that they would never do anything that is completely contrary to our view"* (Interview Alain Pinard).

"We (note: local officials of Waterloo) *monitor a lot of what is going on through the media. But on some decisions we want more clarification on and we approach the regional level. I do have respect for their ability to do their job. We are the very first tier that only affects Waterloo. The decisions that are made by the Region affect much more people. It makes sense for a Region as a whole, but it does not mean it is the best decision for all"* (Interview Scott Witmer).

"Cambridge shows strong support for the Project but they would like to be a part of the first phase. (…) They can show their displeasure, but no, there is nothing that they can do about it (note: to influence decisions)*"* (Interview Alain Pinard).

The above declarations confirm the role of the local governments. It is noticeable that the Region is not geared to a solo attempt since it corresponds with local jurisdictions and staff – but the form of partner-like liaison is reduced to collaboration rather than cooperation. Local officials are clearly outweighed by regional officials since they hold the capacity to finalize decisions and implement actions. Local officials are represented in the Regional Council, but there exists no equity between the cities. While the bigger city of Kitchener is satisfied with the created structures of decision making – since it holds more seats on the Regional Council due to its geographical and population size – the smaller city of Waterloo sees itself underrepresented:

"The City (note: City of Kitchener) *gives comments. The Region was the author of the Project, we are the proponents. The Project is a facility that crosses municipal boundaries; it has to be a regional project"* (Interview Alain Pinard).

"The size of the City determines the Regional Council seats. Kitchener, since it is bigger than Waterloo, has at least three or maybe four persons plus their Mayor on the Regional Council. So they have more influence than the City of Waterloo"[62] (Interview Scott Witmer).

This situation may provoke conflicts at a later stage of the implementation of the LRT-Project. How is the Region able to make decisions that satisfy all governmental actors with all their specific local goals when it comes down to, for example, station locations and station design?

"We work with the Region. But same as before, we go more into the detail and try to achieve the higher order goal of the ROP and try to be in-sync with regional interests, like the expansion of people or employment. But we are still a City within a Region that consists of more cities. We try to maintain different from Kitchener and Cambridge, they have there own policies and development plans. Cambridge consists of three minor cities and people there just love it. And we want to remain to be a city which people are proud of. It is the 'thin edge of the wedge' that we are trying to achieve" (Interview Cameron Rapp).

The created organizational structures are capable of producing binding decisions. It is distinctive that the Region has taken on a leading role, where the influential capacity of local officials is reduced to recommendations and compromises.

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[62] The City of Waterloo has two regional councilors plus the city's mayor on the Regional Council.

Provincial and Federal Government: While the Federal Government does not have to seem any transparent influence in the decision-making process, the role of the Provincial Government is estimated rather high by local and regional officials:

"I (…) think that they have a tremendous amount of influence. The Project will simply not happen if the Region does not get funding. And they (note: MPPs and MPs) *are more than an average councilor because they represent a higher constituency. You know, the guy who has the money calls the shots*" (Interview Cameron Rapp).

One example of influence exertion from the Provincial side is the establishment of the ToR. After finalizing the document, it had to go back to the Provincial Minister of the Environment for final approval, since the document had to be in-sync with Provincial policies. According to Yanick Cyr, the MOE only made minor changes. This aspect has to be considered carefully though, since statements about the degree of Provincial influence are contradictory. Jean Haalboom stated that the degree of Provincial influence is tremendous: "*This is where the money comes from*" (Interview Jean Haalboom). It is difficult to get an insight on the extent of Provincial influence in the decision-making-process. It is solely provable, that the Province has established rules and regulations through P2G and policy statements which the Region has to follow. It is assumable – since these documents were completed and published after the RGMS with its backbone, the LRT-Project – that the Province is trying to push the Region in a desired direction.

Nongovernmental Actors: Nongovernmental actors do formally not play a role in the decision-making-process. There exist plenty of opportunities for the expression of opinions, but no legitimized process how and to what degree these opinions have to be taken into consideration by regional officials. Nongovernmental actors can use many platforms to express their point of view, but whether those recommendations are incorporated into (the making of) decisions lays in the hands of regional staff and the Regional Council. Those actors give weight to the recommendations made by the public, which is most likely based on regional priorities. Whether those comments are taken into account is therewith associated with a random character, since priorities of regional officials and nongovernmental actors do necessarily not have to be congruent. The Region has not created a democratic process that allows regional citizens to participate equally in the decision-making process. This does not imply that the Region is not trying to involve nongovernmental actors in decision-making since it shows great effort in reaching out to

them (through PCC, PAC, etc.) – but it failed to create structures that allow a cooperation with them (for example majority votes on specific project issues). Again, it is the Region that outweighs the nongovernmental actors in means of access to finalizing implementation steps – the achievement of a common regional good is questionable or may be hindered.

Indicator Responsiveness to priorities of citizens: The question, whether the decisions made are a response to the priorities of the citizens or whether a legitimation of political will, will be clarified in this paragraph. This section is supposed to measure the quality of the created decision-making structures. Is the Region capable of meeting region-wide needs with its established system that does not include nongovernmental actors in terms of partnerships? The latest decision of the Region – which deals with station locations and possible routes – serves as an example to answer the above question. The PCCs in March 2007 were attended by a total number of 425 residents (cf. The Record May 30th 2007). The purpose of this meeting was to discuss route options and possible station locations along those routes (evaluation aspect of step 2, phase 2). Comparing the preliminary routes and station locations map from January 2007 with the routes and station locations for further investigation released in April 2007, it is visible that the Region has added six more stations[63] and has dropped several routes. This can be interpreted as a response to the priorities of the citizens. At the PCC in March, nongovernmental actors were given the possibility for round-table discussions with other residents. A facilitator explained questions and noted comments and suggestions of the public (Attendance of PCC on March 21st 2007). As written in the public comment and responses handout that summarizes the attendees' suggestions, citizens mentioned among other ideas, that the LRT should be extended to St. Jacobs Market. (cf. http://transitea.region.waterloo.on.ca/pdfs/ SCREENING_ OF_ RT_ ROUTES_AND_STATIONS.pdf). Regional officials have discussed that issue before, but could not decide upon the importance of the extension to the market. Since it seems to be a priority of the citizens, the station as well five other stations (that result out of recommendations of citizens), have been added to be evaluated in phase 2, step2 and will be measured by a review based on 21 criteria from the ToR.

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[63] The six new stations: St. Jacobs Market, Weber/University Station, Weber/Victoria Station, Weber/Frederick Station, Kitchener Market Station and Cambridge Hospital Station (cf. http://transitea.region.waterloo.on.ca/index.php?option= com_content&task=view&id=10&Itemid=12)

The above example shows that the Region indeed takes nongovernmental recommendations into consideration and does try to react to the priorities of those actors. It has to be mentioned though, that an authorized framework that provides rules about how and which suggestions are taken into further consideration, is inexistent. Thus, there can not be drawn a clear line between regional acting based on unilateralism or concerted action to meet region-wide needs. This indicator is therefore – at least at this stage of the Project implementation – not able to answer the question whether the Region achieved the aim to work with all possible fields of society and levels of government in partnership and to thus act as a unified regional entity.

Indicator Tensions – Authorized rules of consensus-finding/Conflict resolution: A decision-making process needs to be based on negotiation and bargaining as modes of integrating the actors' interests in order to meet the theory of Governance. Rules that secure the reliability of results are an essential component of decision-making in the sense of the concept.

Since decisions are based on a majority vote of the Regional Council, negotiation and bargaining appear to be the prevailing mode of integrating the actors' interests. Regional Councilor Jean Haalboom confirms that assumption (Interview with Jean Haalboom).

Local jurisdictions also have the possibility to discuss and bargain with regional officials:

"The Steering Committee is mainly for information exchange on a regular basis. The municipalities get the possibility to advice the Region on next steps. We looked at draft materials and gave feedback. But the Region has different meeting formats. They held a workshop last year, for example. They hired a facilitator and invited the technical people and we discussed about pros and cons and potential station locations. They asked for information of the Cities on redevelopment potential. It was more like a discussion and brainstorming" (Interview Alain Pinard).

"There are meetings where we are all present. We do not have one-on-one meetings with the Region. It is more like a group-dynamic process. We give input at those meetings; it is a bona fide and genuine process. Local Councilors also meet with the Region which gives presentations about the LRT-progress. It is a constant ongoing discussion" (Interview Alain Pinard).

It can be concluded that even if the local jurisdictions are not part of the actual decision-making-process, they still have the possibility to exert influence and impact decisions through negotiating and compromising with regional officials. If those recommendations are

put into practice is subject to the negotiation-process of the Regional Councilors and based on their majority vote.

Principle of Collaboration/Cooperation: The above set of indicators evaluated the decision-making-process itself. It measured the quality of the practiced organizational structures and shows that the Waterloo Region has created a system which is based on collaboration rather than on cooperation. Regional officials are very willing to work with the lower-tier governments and nongovernmental actors to broaden their horizon on specific topics of the LRT. But they have not created any partnership-like networks with public, private or organizational actors - which would put those actors in the position to share responsibilities and authority of the LRT-Project. Rather, all other interested actors are free to express their opinion. In the end, they are outweighed by the Region who is the only authorized institution for decision-making. A certain degree of hierarchy is visible – powers are not shared equally within the Region.

5.3.4 Principle of Trust

Indicator Efficiency: This indicator is used to measure the effectiveness of the decision-making. Do the decisions taken resemble the targeted vision? It might be the case that the decision-making-process develops a "life of its own" during the implementation period, due to a long duration of implementation or structural alterations. In the case of the LRT-Project, the implementation period expands over several years – chances are given that the Project may develop its own internal process that diverges from the actual vision because of – for example – unforeseen occurrences or new actors involved.

The indicator efficiency is not completely measurable at this point of the implementation since the Project is not completed yet. A full picture on whether the decisions made lead towards the goals described in the RGMS (to public transportation usage and reurbanization) can not be established since the Region finds itself in the stage of discussing technical issues. It can only be discussed at this stage of the implementation, if the Region has followed the EA which pretty much resembles Smart Growth principles.

It is visible from the above evaluation that the Region has not established any new forms of networking for this particular project. While new committees and teams have been created, no new mechanisms of nongovernmental involvement appear. The Region does follow the

requirements of the Province for the Environmental Assessment Process and uses public consultations as required. The EA does follow the concept of Smart Growth since the Region has published a document in accordance with the Province, which follows their individual (and at the same time collective) interpretation of the concept. Looking at accomplishments, the Region has managed to establish a virtually firm growth boundary, has identified a transit corridor and narrowed the possible technologies down to two alternatives. Furthermore, the Region has established an independent vision in cooperation with the lower-tier governments that deals with the question, how growth can be accommodated in the cores ("visualizing densities" strategy). Looking at those accomplishments, the Region has created an organizational structure that meets the goals of the EA and the RGMS. Nevertheless, the EA- process is quite a long one, since it takes three years to finish it. While Alain Pinard justifies the time-issue (*"If you streamline the process too much, there might not be enough involvement. But the EA mandates a certain amount of consultation and that takes time. And I think that we are doing pretty well. Especially when you consider that we have a two-tier government and a very large geography"),* other actors are rather frustrated with it:

"The critical question is: when is the project going forward? People start pulling their heads down. There has been so much talk and so little progress. It just takes a very long time to finish the EA. We need to know, is it a go or a no-go. Right now, we do have empty space for redevelopment. But we do not know if we have to provide that space for the Project and things like that. We need to develop our plan for Uptown Waterloo and we are also stuck in the process of the EA" (Interview Scott Witmer)

After the EA process and the Project implementation have been completed, the indicator effectiveness will be fully measurable. Special attention has to be drawn to the outcome of the EA and the time-issue. It will be answerable whether the created structures lead towards the envisioned goals and whether the duration of the EA will play a role in the commitment of actors. A loss of commitment or interest is not implausible due to the lengthiness of the process. Due to theses aspects, the emergence of further tensions can not be excluded from the process and may hinder the actual implementation.

Indicator Benefit: This indicator can not be investigated separately because it is interrelated with the above evaluation criterion efficiency. Thus, only a fragmentary answer to the asked questions of the theoretical model can be given. The question who is in the end benefited by decisions is – at least at this stage of the implementation – hard to

answer, since decision-making was primarily based on technical issues of the Project so far. All that can be outlined at this point of time is an interpretation of statements of interviewees about their perspectives on decision-making.

"I have the feeling that decisions have already been made before the EA. The EA is simply a process that the Region has to go through to get funding from the upper-tier governments" (Interview Glen Woolner)

The allegation that decisions made by the Regional Council are pre-determined has been raised several times during interviews. Indeed, circumstances have appeared that allow for such assumptions. The Region started the RTI with the Feasibility Study and the Technical Study. In those two studies, the consultants and regional officials translated the term LRT with light rail transit instead of light rapid transit. The change of wording did not happened until the start of the EA process. Whether this is an indication of regional preferences or simply an inconsistency of wording, is not clear. However, it is suspicious that the technologies have been narrowed down to two – with light rail transit being one of them. It is furthermore interesting that newsletters, which have been distributed during the past steps of the EA, have disproportionately frequent shown light rail transit systems as examples for the new transportation technology in the Region (see for example newsletter from March 2007 under http://transitea.region.waterloo.on.ca/pdfs/RT_Info_handout_R.pdf). Whether this is an indication of where the Region intents to go with its LRT, is to be remained open at this point of the Project-evaluation. – it can be seen as a justification of the above statements, though. The question, if the EA is solely a process that the Region has to go through in order to get funding while actual decisions have already been made, is a highly speculative one. It can not be clarified at this point of the implementation, whether the decisions made are based on political will or contribute to the entire Region and all its residents. As soon as the Project is completed, the question has to be asked once more. At a later stage, it will be predictable, whether the above assumption is appropriate or whether the Region has made decisions in accordance with the residents to achieve a common – regional – good. It will also be statable, if the realized Project possesses the quality to contribute to sustainability and to enhance the quality of life.

Principle of Trust: One aspect that measures the indicator trust is the organizational structure of the Regional Council itself. Since the year 2000, all regional representatives are directly elected by the citizens of the Region. This demonstrates a democratic process

where residents are able to choose representatives with ideas and intents that come closest to their understanding of governing the Metropolitan Region of Waterloo. Every election is therefore based on trust in the representatives and legitimizes their ability to make decisions. Even though interest groups are not represented in the form of partnerships and regional social capital/ infrastructure is not fully utilized, they still possess the opportunity to exert opinions and recommendations during the implementation process. The Region does supply information for nongovernmental actors in terms of financial expenditures, the location of resources and implemented steps – they therefore do justify their actions. Each resident is given the possibility through Regional Council election to express satisfaction or displeasure.

Focusing on local governments, it can be stated that the collaboration is also based on trust:

"We (note: city officials) *get all the minutes from the meeting of the Regional Council. Do you mean if we ask them to justify? No, we do not ask them to justify. I cannot recall a situation on a major project like this, where we did not know in advance what they were doing. Our staff makes recommendations and we know what it is going to be in advance, so there are no surprises about decisions"* (Interview Alain Pinard).

"We (note: city officials) *try to keep track. When we come back to the RGMS and the boundary, we have to accept, that the decision made was the final decision. Not all comments from the City of Waterloo have been used. But you can be as difficult as you want to be. I believe in democracy and the process that allows for that. I do not disagree with the Council as long as I am sure that they have all the needed information for a decision"* (Interview Cameron Rapp).

The two statements show that there exists no ongoing monitoring system where the Region has to justify and account for its decisions. Even though local governments are not part of any official decision-making process, they seem to accept the authority of the Region to make final decisions. It seems that there exists believe in the ability of Regional Councilors, that those decisions are based on reaching a common regional objective which is compromising enough to reach a common denominator for all local governments.

5.3.5 Principle of Openness of Boundaries

The idea that lies beneath this principle is that the boundary of a Metropolitan Region is to be kept open and flexible in order to meet the needs of the entire region and to guarantee the possibility of reacting to regional demands and priorities. In the case of the Waterloo

Region, the LRT-Project is embedded in a firm growth boundary that does not coincide with the defined boundary of the Metropolitan Region. One the one hand, the Region keeps its boundary closed since the LRT-Project is implemented within regional boundaries. It has even limited the Project to the urban cores, the townships are not included. The rapid transit system is solely supposed to link the three cities of Cambridge, Kitchener and Waterloo – even though residents of the townships have to contribute to the Project by paying regional taxes. Since the boundary encompasses only the urban cores, the Region might not be able to meet the demands and priorities of the "outer-ring" residents.

On the other hand, the Region does fulfill the demand that applies to collecting ideas and know-how from outer-regional actors to achieve best possible results. The Region has refrained from working with the local consultants of the IBI-Group and has widened its view and catchment area to work with more experienced consultants that bring a different, region-impartial perception as well as project-oriented know-how.

Furthermore, the Region has established an ongoing communication with staff and officials of Portland, Oregon (USA), to learn about their MAX LRT – a light rail transit system which operates since 1986 with the intention to shape the urban environment and handle future growth. The Portland example is unparalleled since the City with its MAX LRT has managed to get people out of their cars to switch to public transit use. According to Portland's website, ridership has exceeded 70,000 rider-trips per day, an increase of nearly 10,000 trips a day since 1999. At the current rate of ridership increase, each month 300 additional cars are taken of the streets each day (cf. http://www.lightrailnow.org/news/n_por002.htm).

"I have also been to Portland. I even went to Phoenix, Arizona and Minneapolis, Minnesota. The example of Portland is consistent with the conductance of other Environmental Assessments. They managed really well to coordinate transportation and land use. The purpose of the visit was mainly to look at technical issues of LRT. With what speed does the LRT operate, how it looks, the road right of way or the total road allowance in general since we are planning on dedicating a lane open only to public transportation. Since we are going to discuss those issues very shortly, all three visits provided a very good insight on LRT." (Interview Becky Schlenvogt).

The Portland example is a prime example of a functioning light rail transit system and the Waterloo Region communicates with Portland officials to learn about positive and negative aspects of the system.

It shows that the Region has kept their boundaries "semi-flexible" or "semi-open". While the Region is reaching out to gather know-how and communicates with outer-regional experts and officials, it has kept its boundary quite fixed when it comes to interregional collaboration. One aspect that contributes to that assumption is the fact, that no new forms of networking have been established within the Region.

5.3.6 Principle of Process

It can be stated that the Waterloo Region has fulfilled the Principle of Process in consideration of the demand to establish a vision that leads towards a regional goal. The structural alternative – the usage of a strategy to achieve an objective – has been created by the Region through the RGMS. The Region makes use of strategic planning by following the requirements of the EA. It gathers know-how through consultants as well as expert discussions and debates with local staff about issues where the Region does not have jurisdiction over (like zoning, height and density, for example). It also obtains nongovernmental opinions through various forums. The question that occurs is, if the EA as a process is flexible enough to meet all the demands and priorities of all involved actors that appear during the implementation process? The answer is yes and no. On the one hand, the evaluation criteria as well as the procedure of the EA are set since the document was finalized by the Province. It is not possible to change those aspects since the EA – once it is finalized – is binding. On the other hand, the Region is able to make minor changes, as for example visible in the infliction of additional routes required by the public. The newly adopted routes will also be filtered through the evaluation criteria established at the beginning of the EA. With the EA, the Region was directed towards a procedure that is based rather on inelasticity than on flexibility. It is noticeable that the Region has put priority on the EA-proceedings and obstinately follows the EA requirements. The flexibility to the different levels of implementation steps and different occurring players in the decision-making equation is limited. This might be a reason why new forms of cooperation – that might bring alternative suggestions – are unvalued by the Region. At this point of project implementation, the Waterloo Region is deadlocked in its traditional structures due to the fact that no new organizational structures have been established by the Region. The

assumption predominates, that the process of decision-making as understood in chapter 2, is lost in the process of the EA.

5.3.7 Principle of Governance

Has the Waterloo Region been successful in establishing a functioning governance system as defined in chapter 2 of this thesis? To evaluate this criterion, it has to be proven first, whether the Region fulfills the four criterions of Metropolitan Governance according to Fürst:

Criterion	Degree of realization	
Involvement of actors of different logics of action	→	
Minimum of binding ties that secure decisions	↑	Fully implemented ↑
Combination of government and net-work centered patterns of action	→	Partly implemented →
Negotiation and bargaining as modes of interest	↑	Not implemented at all ↓

The figure illustrates that the Region has been successful in establishing a minimum of binding ties that secure the process of decision-making. It is traceable who is responsible for decision-making. Furthermore, it is detectable that the finalization of decisions is always based on a majority vote of the Regional Council. The Region has also pledged itself to consulting the public in form of PCCs and to informing nongovernmental actors about implementation steps through various ways. Furthermore, the Region has been successful when it comes to negotiation and bargaining as the modes of integrating actors' interests. Nongovernmental actors as well as other levels of government are able to make recommendations about implementation steps. Through various platforms and discussion formats, citizens are able to discuss and negotiate with regional officials. Through the Planning and Works Committee, regional officials obtain a discussion forum, where specific project-related issues are reviewed and discussed with the Project Team and experts. The possibility to gather necessary information and negotiate about issues is given and finalized through the majority vote of the Regional Councilors.

The integration of different logics of action in decision-making is not fully accomplished. Indeed does the Region show a basic approach to include the various fields of society through for example the PAC and the PCC. However, the created structures are not used in the sense of the concept of Metropolitan Governance since the Region does not commit itself to a cooperation that is based on networking on the same eye-level. While the Region has established a form of collaboration with the local-governments as well as the Provincial government, nongovernmental actors cannot depend on a net-work based negotiating system that allows for a legitimized process where all actors have a saying in decision-making. The requirement of Governance – that decision-making is not the domain of a single government – is not fully accomplished by the Waterloo Region. The criterion combination of government and net-work centered patterns of action is therefore rudimentary existent when it comes to collaborating on a governmental level, but missing when focusing on civic engagement. Whether this is due to the timing of this evaluation (and stage of project implementation) and will look different as the LRT-Project proceeds, can not be answered at this point of time and needs further investigation at a later stage of the Project.

With the Regional Council, the Region has a level of jurisdiction – in contrast to many other Metropolitan Regions, especially in the USA – that is capable of producing decisions that encompass the entire Metropolitan Region. Regional officials have created an organizational structure that has the capacity to make region-wide decisions and to implement a project of the scale of the LRT-Project. The Waterloo Region has shown a good approach to shift from Government to Governance, even though not all principles were accomplished at this point of the project implementation. Good platforms and committees have been created that are not fully utilized at this point of time. They need to be further developed in order to fully maximize regional potentials and minimize the deficits through combined and shared powers of all regional actors.

5.4 Final Conclusion

The established model has proven to be an instrument to break a decision-making process down to its elementary parts. Focusing on the research question it can be concluded that the Waterloo Region was partially successful in establishing a functioning governance system and implement the concept of New Regionalism. While the Waterloo Region has been successful in realizing the principles of collaboration and trust as a binding element of that collaboration, it has only been partially successful when it comes to the realization of openness of its boundaries, and the shift from Government towards Governance. The Region has failed to realize the principle of empowerment and the principle of process as a structural alternative to prefabricated structures. The model with its chosen indicators has been able to identify where difficulties of the Region are located and where it has been successful.

Where do the causes for failure originate from? The Region has not managed to direct authority to nongovernmental actors. No legitimized framework has been established, that allows for an equal contribution of all participating actors to the common good. Rather, the Region follows the structure of the EA which indeed allows for public consultation, but does not secure any influence from nongovernmental actors. The Region has created forums for public intervention – the PAC for example, which presents a great platform in theory – but has not taken full capability of it. Neither have any partnerships been created that could contribute to a broader perspective on the Project.

The created organizational structures do leave room for governmental actors to make recommendations, but are not fully taken use of. The Region seems to have created an ongoing communication with the different levels of government, even though it is the sole authority to finalize decisions. A network based on collaboration has emerged. But since the LRT-Project is a project of a huge scale, the Region is the closest jurisdictional level to oversee the region-wide Project – networking based on cooperation would probably not achieve the same results because of the multitude of actors involved. Collaboration in the case of the Waterloo Region is the most effective system that still allows other actors to take on responsibilities and exert influence. This is verified by focusing on the aspect of trust. Not accountability is the binding element in the Waterloo Region, but trust. It is noticeable that governmental actors do have trust in the Regional Council to possess the

ability to make decisions and implement actions. The Region has presented itself as a leader when it comes to the LRT-Project and is capable of producing binding decisions.

Whether those decisions contribute to the common good (in terms of economic, ecologic and social sustainability) cannot be analyzed at this point of the project implementation. Since the LRT-Project is not completed yet, it cannot be identified whether the LRT-Project itself is a reaction to the demands and priorities of the citizens. The outcome of the Project will show whether the residents will change attitudes and switch from car-usage to public transportation (in this case, public transportation expansion is clearly a priority) and whether a light rapid transit system is able to connect public transportation and reurbanization. Time will tell if the Region is capable of keeping the urban growth boundary intact to protect the ecology and prohibit further urban sprawl. After the completion of the Project, it will be predictable what lessons can be drawn from the case study Waterloo Region (since the range of the decision-making-process with all its outcomes can be fully estimated and evaluated). A second evaluation at the completion of the Project will be necessary to capture the full extent of the ongoing decision-making-mechanism. Because as time proceeds, the Region is still able to fully implement the concept of New Regionalism and to expand the partial success it has achieved to date.

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- The Record May 15th 2004
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- The Record February 21st 2007
- The Record March 14th 2007
- The Record March 15th 2007
- The Record March 23rd 2007
- The Record May 30th 2007

Interviews:
- Jean Haalboom, Regional Councilor and Chair of PAC (February 21st 2007)
- Becky Schlenvogt, Principal Planner, Transportation Planning, Public Consultation Coordinator (March 1st 2007)
- Yanick Cyr, Project Director Rapid Transit Initiative (March 2nd and 7th 2007)
- JoAnn Woodhall, TDM (March 8th 2007)
- Cameron Rapp, General Manager of Development Services & Member of the Implementation Coordination Committee – City of Waterloo (March 12th 2007)
- Scott Witmer, Councilor City of Waterloo (March 14th 2007)
- Glen Woolner, Kitchener City Downtown Advisory Committee, Economic Development Advisory Committee, housing consultant, member of CREW (March 20th 2007)
- Alain Pinard, Manager of Long Range and Policy Planning Kitchener, former Director of Policy Planning Cambridge, Member of Reurbanization Group (March 21st 2007)
- Nancy Davy, Senior Planner GRCA (Telephone-Interview March 22nd 2007)

Attendances:
- Attendance of PAC meeting on March 6th 2007
- Attendance of PCC in Waterloo on March 21st 2001
- Attendance of media announcement at regional headquarter in Kitchener on March 23rd 2007 (speakers John Milloy, Donna Cansfield and Ken Seiling)

Appendix A: Tables

Tab. 1) Metropolitan Areas in Canada

Toronto	Victoria
Montreal	Windsor
Vancouver	Oshawa
Ottawa – Hull	Saskatoon
Calgary	Regina
Edmonton	St. John's
Winnipeg	Greater Sudburry
Quebec	Abbotsford
Hamilton	Kingston
London	Trois-Rivieres
Kitchener	Saint John
St. Catharines–Niagara	Thunder Bay
Halifax	

Source: SANCTON 2005: 318

Tab. 3) Explicit transit policies of PPS

1.2.2	Where planning is conducted by an upper-tier municipality, the upper-tier municipality consultation with the lower-tier municipalities shall:
b)	Identify areas where growth will be directed, including the definition of nodes and the corridors linking these nodes;
d)	Where transit corridors exist or are to be developed, identify density targets for areas adjacent or in proximity to the corridors.
1.4.3	Planning authorities shall provide for an appropriate range of housing types and densities to meet projected requirements of current and future residents of the regional market area by:
d)	Promoting densities for new housing which efficiently use land, resources, infrastructure and public service facilities, and support the use of alternative transportation modes and public transit in areas where it exists or is to be developed.
1.6.5.4	A land use pattern, density and a mix of uses should be promotes that minimize the length and number of vehicle trips and support development of viable choices and plans for public transit and other alternative transportation modes, including commuter rails and bus.
1.6.6.1	Planning authorities shall plan for and protect corridors and rights-of-way for transportation, transit and infrastructure facilities to meet current and projected needs.
1.8.1	Planning authorities shall support energy efficient and improved air quality through land use and development patterns, which:
a)	Promote compact form and a structure of nodes and corridors

| b) | Promote the use of public transit and other alternative transportation modes in and between residential, employment (including commercial, industrial and institutional uses) and other areas where this exists or are to be developed |
| c) | Focus major employment, commercial and other travel-intensive land uses in sites which are well served by public transit where this exists or is to be developed, or designing these facilities to facilitate the establishment of public transit in the future. |

Source: IBI GROUP 2006: 4

Tab. 4) Key Steps in the Environmental Assessment Process:

1. The proponent, in consultation with the Environmental Assessment Branch, if their undertaking is subject to the Act. If the undertaking falls outside the Act, then the proponent can proceed without further study.
2. The proponent submits an EA to the Ministry of the Environment. The EA describes the undertaking and its potential affect on the environment. Possible alternatives to the activity are outlined.
3. The Environmental Assessment Branch circulates the EA for government review to all interested provincial ministries and agencies, as well as federal bodies. The Branch prepares a summary review.
4. The Minister releases the EA and its government review to the public for comment (minimum 30 days).
5. At the end of the public review, the Minister can decide to accept the EA or to hold a hearing.
6. If the Minister accepts the EA, a 15-day public review is held. If no requests for a hearing emerge, the Minister can decide, with Cabinet approval, to accept the EA.
7. If the Minister decides to hold a hearing, notice is sent out to the proponent, reviewers and the affected public. Pre-hearing meetings or preliminary hearings may be held to exchange documents and determine the issues.
8. The EA Board writes its decision based on the hearing testimony.
9. The Minister has 28 days to rescind the Board's decision or request another hearing.

Source: http://library.mcmaster.ca/research/ont-back.htm

Appendix B: Figures

Figure 3: The Waterloo Region

Source: http://www.movingtowaterlooregion.ca/about/localmunicipalities.html
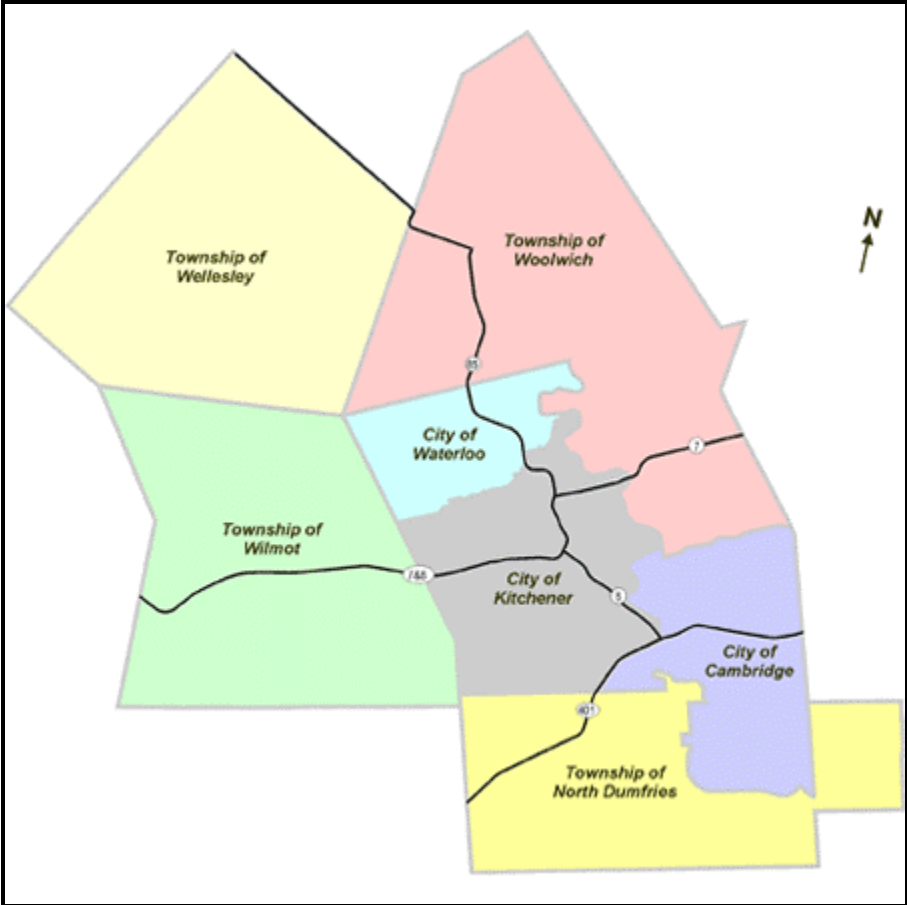
Figure 4: Development pattern in the Waterloo Region (Source: CASELLO 2003: 29)

Region of Waterloo - 1960

Region of Waterloo - 1980

Region of Waterloo - 2000
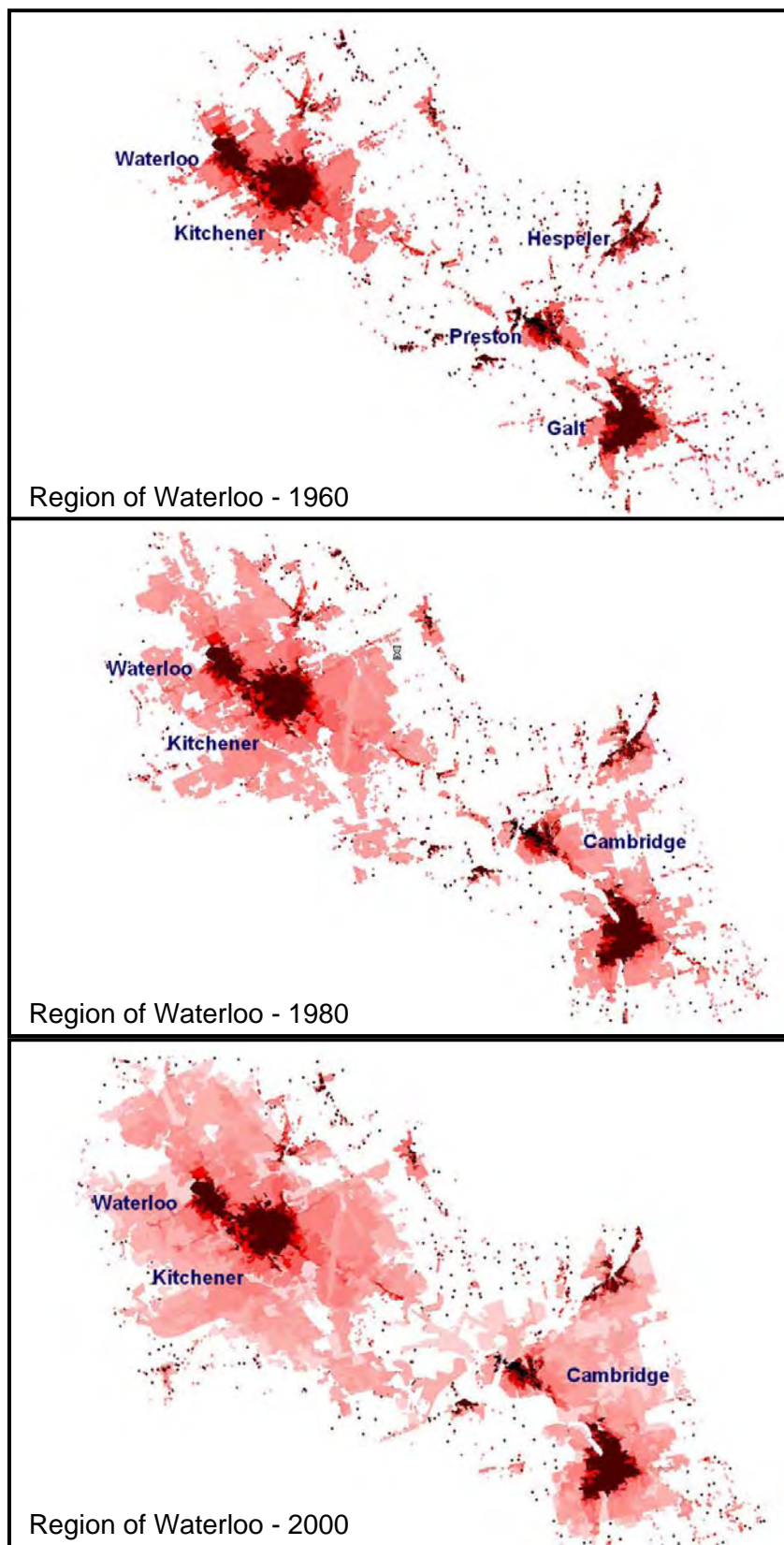
Figure 5: Central Transit Corridor

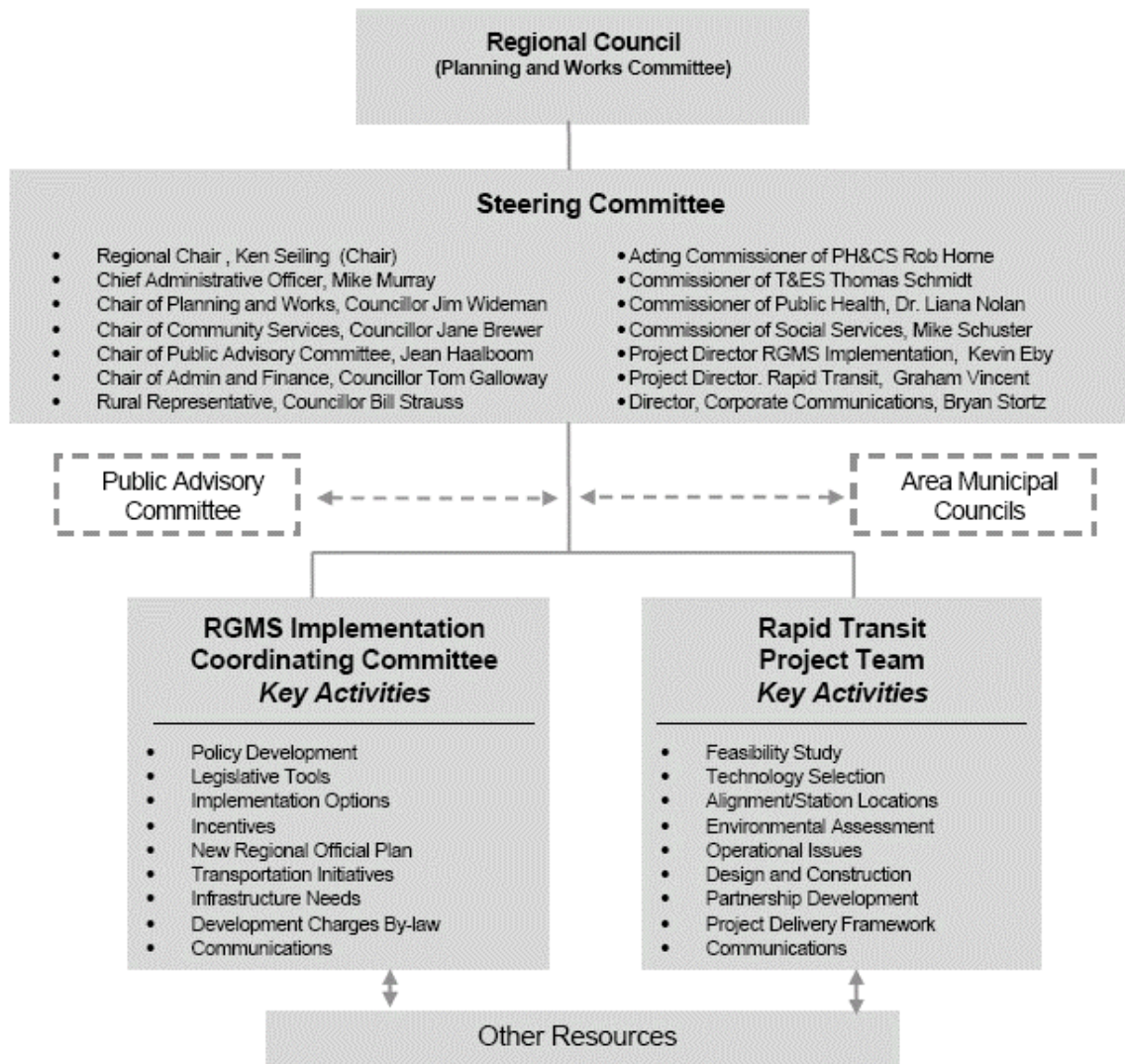

Source: http://transitea.region.waterloo.on.ca/pdfs/map.pdf
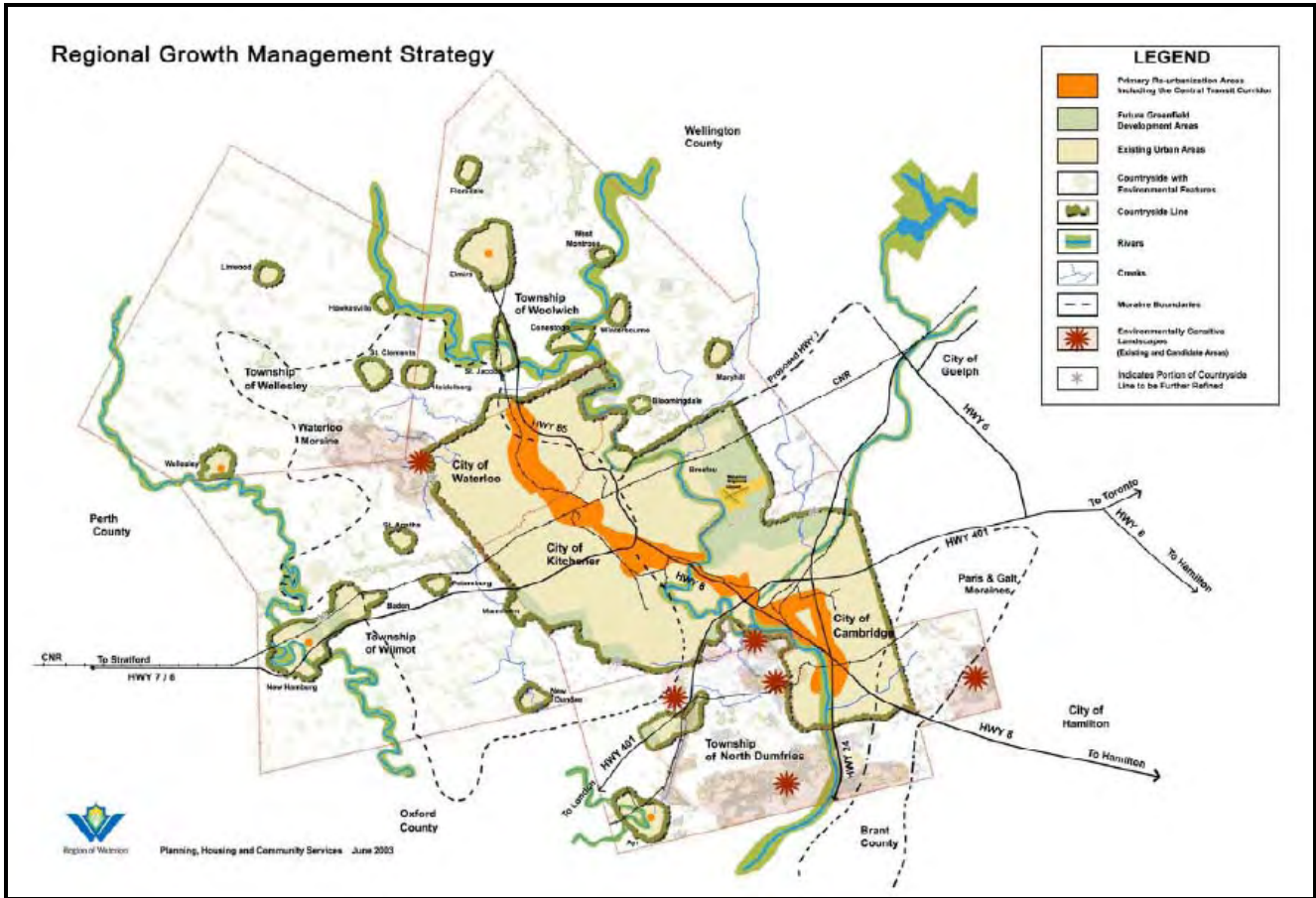
Figure 6: Ontario Places to Grow – Moving people –transit (Schedule 5)

Source: PROVINCE OF ONTARIO - Ontario Places to Grow Plan 2005: 49

Figure 9: Organizational Structure of the RGMS

Figure 10: Organizational Structure of Rapid Transit Initiative
(Source: Yanick Cyr)