



# **THE ESPON 2006 PROGRAMME**

**Programme on the spatial development of an enlarging  
European Union**

## **Programme Complement**

**INTERREG III COMMUNITY INITIATIVE – ART. 53**

## Abbreviations

|  |  |
|--|--|
| 6 <sup>th</sup> EAP - 6th Environmental Action Programme                     | INSPIRE – see E-ESDI                                 |
| CAP - Common Agriculture Policy  | JBC - Joint Bank Account                             |
| CIP - Community Initiative Programme   | LP - Lead Partner                                    |
| CDCR - Committee for Development and Conversion of Regions                   | MA - Management Authority                            |
| CSD - Committee for Spatial Development                                      | MC - Monitoring Committee                            |
| CU - Coordination Unit   | NFP - National Focal Point                           |
| DPSIR - Driving force, Pressure, State Impact Response                       | PA - Paying Authority                                |
| ECP - ESPON Contact Point  | SDS - Sustainable Development Strategy               |
| EEA - European Environmental Agency  | SEA - Strategic Environmental Assessment             |
| E-ESDI - Environment – European Spatial Data Infrastructure now call INSPIRE | SIA - Sustainability Impact Analysis                 |
| ESPON - European Spatial Planning Observation Network                        | SPESP - Study Programme on European Spatial Planning |
| ESDP - European Spatial Development Perspective                              | TA - Technical Assistance                            |
| GMES - Global Monitoring of Environment and Security                         | TEN - Trans-European Networks                        |
|  | TERM - Transport and Environment Reporting Mechanism |
|  | TIA - Territorial Impact Analysis                    |
|  | TPG Transnational Project Groups                     |

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## **I. PROGRAMME OBJECTIVES AND EVALUATION**

### **1. Objectives**

The already identified and undisputed importance of spatial research studies has to be focused in order to give guidance for the operational mode of the ESPON. In accordance with Point 2 of the ESPON Guidelines 2001-2006, the ESPON should follow seven objectives:

1. To add value to existing national research studies by taking a clear European and trans-national focus and improving the understanding of the diversity of the European territory and territorial development, including the prospective dimension and sustainable development, and beyond the usually employed statistical units. These would include an analysis of territorial trends in the 13 candidate countries and neighbouring countries as well as in the Member States to draw conclusions for the territorial development of the Union;
2. To specify the implications of the ESDP policy orientations on transnational-national spaces, the interpretation of existing ones (such as Interreg II/III) and eventually evolving ones in the wake of the enlargement of the EU;
3. To develop orientations for instruments and institutions necessary for a better perception and application of the ESDP policy options by policy actors at all levels from the EU to the local level; also including a better co-ordinated application of the ESDP principles;
4. To contribute to a better understanding of the enhancement of the spatial dimension of the Structural Funds, Cohesion policy and other Community policies, and national sector policies;
5. To make concrete contributions and proposals to improve co-ordination of territorially relevant decisions, taken at different levels (at the Community, national, regional and local level) and in different sector policies;
6. To bridge the gap between policy makers, administrators and scientists;
7. To create a network of the scientific European community in the fragmented field of spatial development.

These objectives derive from the insight that research studies on spatial development from a national, regional and local perspective is partly already existing and available although not covering the whole EU territory.

The ESPON shall use already available methods and results with a focus on the European dimension but innovative common methods and approaches shall be elaborated and implemented when necessary, for example for the measurement of spatial integration or parity of access.

Where gaps on models and methods are obvious these should be filled by common efforts. The European dimension can take two directions: from the EU perspective towards the regions and the other way around. These objectives ought to secure the ESPON's focus on applied research studies with policy relevance, in particular for the Structural Funds. It has already been pointed out that action under the Structural Funds is embedded in the overall spatial development of the EU territory. More general, scientific research at the EU level is subject to the EU's R&D policies namely the 5<sup>th</sup> framework programme and, therefore, should be kept apart entirely. The ESPON ought to contribute to policy making through the provision of relevant data to reveal spatial trends, including the prospective dimension; and by defining and measuring relevant indicators and working on thematic projects which would help to understand spatial trends and give hints for the adjustment of policies at all governmental levels and towards a better sectoral co-ordination.

The ESPON 2006 programme is based on the perception that all parts of the EU territory face common opportunities and threats, even when those opportunities and threats may occur in a territorially unbalanced way and even when various regions still face specific challenges. A joint approach to deal with these common and diverse opportunities and threats would add value to individual efforts made by each of the participating countries. Making best use of already available national and regional skills, resources and knowledge demands a network approach based on national research institutions, which supposed to be employed and involved via the national focal points. Only the network approach can guarantee a comprehensive identification and efficient use of these resources. Furthermore, the demand for applied policy orientated research projects helps to better specify the required skills of the ESPON: It should be able to translate and apply scientific knowledge in a way that policy makers and administrators directly benefit from the work carried out by the network for their strategies and policy implementation.

The European Union is on its way to enlargement. Possibly already within the time frame of the Interreg III Programme (2000-2006) new Members might have joined the EU. The Luxembourg European Council (December 1997) allowed candidate countries to participate in Community programmes and agencies - a way of stepping up the pre-accession strategy for the candidate countries. In line with this Community policy, all candidate countries should be invited to participate in the ESPON project in due time.

The comprehensive assessment of the future of the European Territory cannot be achieved without considering a larger territory including European third countries (such as neighbouring countries). These countries and their scientists should be progressively involved in an appropriate way.

## **2. Ex-ante evaluation**

The ex-ante evaluation comprises the tasks of providing feedback during the interactive process of the preparation of the programme and to assess the programme after its finalisation. The drafting of the programme took place under the leadership of the Luxembourg Ministry of the Interior as lead applicant of the programme. Luxembourg commissioned the task of drafting and co-ordinating the production of the

programme to an external consultant, who participated in the relevant meetings of the CSD and later on the provisional Monitoring Committee meetings of the ESPON. The consultant reported regularly on progress made and gave feedback about the orientations and structure of the programme to the members of the Committee. So the evaluation is carried out in the spirit of the philosophy and interactivity between the lead applicant, the Committee and the Commission.

The assessment of the ESPON 2006 Programme benefits much from the test phase of the ESPON (section 1). The CSD and the Commission launched together an Art. 10 ERDF measure “Study Programme on European Spatial Planning (SPESP)” in the years 1998-1999 as predecessor of the ESPON 2006 Programme which provided some insights in the way how, in principle, a network of the kind of the ESPON could function and where strengths, weaknesses, opportunities and threads could hide.

Further issues covered by the ex-ante evaluation will include the assessment of the consistency of the strategy and of the priorities for action in relation to the programme objectives (section 2), an analysis of the expected impacts of the priorities and measures proposed (section 3) and the analyses of the adequacy of the programme’s aims and actions envisaged in relation to the human and financial resources available (section 4).

### **3. General focus and orientation reference to the previous experience of the SPESP**

Referring to Article 41(2) of the General Regulation, Article 25 of the Interreg III Guidelines stipulates the obligation of the Authorities responsible for preparing plans, assistance and Programme Complements to undertake an ex-ante evaluation of the forthcoming Programme.

Since Leipzig, the basic principles have been agreed upon: the ESPON should consist of a network of *national focal points (now renamed ESPON Contact Points)*, each of which co-ordinates a sub-network of research institutes in the Member State concerned, while a *Co-ordinating Unit* is entrusted with the co-ordination of the national focal points at Community level. Appropriate links should be established between the Community network and focal points in the non-member countries.

After the Echternach Ministerial meeting (December 1997), a test phase of 2 years (1998-99) was launched as a pilot project under Article 10, co-financed by the Commission and the Member States, on the base of these considerations and the concept of the establishment of the ESPON. It had three themes: spatial indicators, urban-rural partnership, and mapping. On 16/17 March 2000, the results and conclusions of the test phase of the ESPON were presented to the CSD; the high potential of the joint approach and its guiding character for the future shape of the ESPON was revealed. The minutes of the CSD meeting reflect its success:

*Member States warmly welcomed the draft final report on the basis of which the Study Programme could be considered a success, supporting a continuation of the research networking in setting up the ESPON.*

*The following particular points were made:*

- *Contacts to policy makers in the research process are of mutual benefit*
- *Polycentric development addressed by one of the working groups could have been reflected more*
- *Functional urban regions are the right concept to tackle regional development in an integrated way*
- *The geographical scales shall be reflected upon in an ESPON work programme*
- *Solving the need for data is essential for the research on spatial indicators to continue*
- *The relative resources available to focal points in smaller countries shall increase*
- *The organisational structures in an ESPON shall be more clear*

Furthermore, the Commission supported the continuation of this approach:

*The Commission proposed the ESPON to be established as a network activity under Interreg III for the period 2000-2006 creating a real partnership between Member States and the Commission on the basis of simple procedures. In more detail the Commission's proposal implied:*

- *To establish the ESPON by means of one single decision by the Commission resulting in one grant letter to the lead partner (which could be Luxembourg)*
- *To distinguish two types of operations:*
  - *Execution of the work programme by national focal points financed by the Member States and the Commission on a 50/50 basis*
  - *Management and co-ordination financed fully by the Commission*
- *To differ from the Study Programme on two points:*
  - *Each Member State appoints its national focal point*
  - *A co-ordination body of 4 administrators and a technical secretariat works full time on managing the ESPON*
- *To keep the spirit of partnership by:*
  - *Member States and the Commission nominating 2 administrators each for the co-ordination body, the Commission appointing the director;*
  - *A flexibility for change in staff over the 6 years.*

However, the new EU's policy led to constraints in particular with regard to the organisational frame. The "ESPON Guidelines for 2001-2006", agreed by the CDCR on 19 December 2000 offered the reference for the preparation of the ESPON 2006 Programme. Not all of the proposals made in the evaluation of the SPESP were transferred one to one to the new guidelines. Most prominent were size and financing of the Co-ordination Unit and the changing role and the way to finance the national focal points (now ESPON

Contact Points). Both points are deepened below in section 4 together with the organisational and financial assessment.

### **3. Consistency of the strategy, and of the priorities for action in relation to the programme objectives**

The strategy encompassing objectives and the formulation of priorities were directly deduced from the demands for research studies emerging in the preparation of the ESDP and the implementation of the territorial issues mentioned in the ESDP.

All objectives contribute to those demands from different angles with an EU and Europe wide perspective. The enlargement as a key issue provides a reference for all priorities and measures. The use of existing and available resources is indicated frequently and represents an important input.

All priorities are accompanied by clearly defined objects and expected result which also provide a sound base for the evaluation of the programme. The emphasis on data work corresponds with the needs identified in the wake of the preparation of the ESDP and the SPESP but should not lead to the un-considered collection and application of indicators and data.

Priority 1 refers to the generation of thematic knowledge on territorial developments. The priority follows a consistent approach with spatial policy by addressing the main strands of the ESDP. Priority 2 covers the policy side of territorial development in methodological and thematic respect: Territorial impact analysis of sector policies, the instrumental and institutional issues of the territorial development policies on different level and in relation to the sector policy issue. Priority 3 acknowledges the strong demand for the co-ordination and the exploitation of the results of the first two priorities in order to achieve an added value. Priority 4 takes account of the networking requirements for the achievement of co-ordinated and integrated results.

Priority 1 and 2 are of similar nature and structure and will work in parallel. The ESPON addresses the territorial dimension of the development perspective of the EU, the candidate countries and the wider Europe. This orientation builds on the assertion that an important factor for the achievement of sustainable development (in all three dimensions economy, environment and social affairs) will be achieved through a spatially orientated approach. Therefore increasing attention is already paid by the relevant actors, and also the EU's Regional Policy, to spatial development as an integrated approach. However, there is a lack of information, in particular, referring to the EU wide assessment of territorial developments and policies. DG Regio and other DGs, Member States and the scientific society are working on policies and studies. These fragmented efforts should be brought together in order to develop a European approach. Yet not all of these efforts have been published or are accessible. The approach chosen by the ESPON is adequate in order to avoid the duplication of any work. Therefore, the importance of the creation of inventories on the material available and of periodical communication with

all potential studies to identify their demand and supply of information is an important task which must be highlighted.

**Figure 2: ESPON 2006 Programme priorities and measures**

**Priority 1: Thematic projects on important spatial developments**

Measure 1.1.: Cities, polycentric development and urban-rural relations

Measure 1.2.: Parity of access to infrastructure and knowledge

Measure 1.3.: Natural and cultural heritage

**Priority 2: Policy impact projects**

Measure 2.1.: The territorial effects of sector policies

Measure 2.2.: New territorial aspects of the Structural Funds and related Funds

Measure 2.3.: Institutions and instruments of spatial policies

**Priority 3: Co-ordinating cross-thematic projects**

Measure 3.1.: Integrated tools for the European spatial development

Measure 3.2.: Spatial scenarios and orientations towards the ESDP and the Cohesion Policy

**Priority 4: ESPON Research briefing and scientific networking**

Measure 4.1.: Data navigator: preparatory surveys on data access

Measure 4.2.: ESPON briefing and scientific co-ordination of ESPON Contact Points

Measure 4.3.: ESPON briefing and scientific co-ordination of Transnational Project Groups

**Priority 5: Technical assistance**

Measure 5.1.: Management, monitoring and implementation

Measure 5.2.: Information, publication and evaluation

The strategy, in terms of priorities and objectives, set out high ambitions in relation to the size of the programme. In principle, the focus seems appropriate. However, it must be pointed out that the compilation of new data for the wide EU territory at the regional level represents a very challenging and difficult task. It becomes obvious that the success of the programme relies much on the successful compilation and processing of data. The strong emphasis on indicator work and data collection should not lead to the uncritical application and processing of the data compiled in the programme. The considerate assessment of the data will be an important task in order to achieve the programme objectives. Researchers must not feel under pressure to offer unreliable indicators and data for the sake of fulfilling the quantitative evaluation criteria of the programme. The topics and (sector) policies covered by the programme under priority 2 represent, in territorial terms, the most emerging ones although the programme cannot be exhaustive. They represent a good selection of the most emerging issues raised also in the ESPON (2001-2006) Guidelines.

Priority 3 must take into account Priority 4 and the terms of reference of the Co-ordination Unit (under priority 5) as both, the programme objectives and the strategy, address organisational issues. Strong co-ordination is necessary and will be guaranteed by the relative size of priority 3. The organisational structure of the ESPON, supported by priority 4, raises expectations for intensive networking between

the research institutes for all the various study subjects which will serve the objective of supporting the establishment of a scientific community in the different fields addressed by the ESPON. The approach chosen is adequate and meets the requirements. However some points should be highlighted which may require some attention in the collaboration process.

The establishment of ESPON Contact Points is an important feature of the programme which supports the process. The broad variety of ESPON Contact Points ranging from ministries to public and private research institutes and to universities derives from the variety of Member States and their specific situation. ESPON Contact Points are expected to be part of working groups in order to achieve the thematic networking. The intermediate evaluation should address the functioning of the ESPON Contact Points with regards to the following main tasks: responsibility to inform on the organisation and information capacity of the scientific community in their respective countries, the responsibility to coordinate data collection for their country, the capacity to actively participate in transnational project groups.

The assessment of the SPESP highlighted the role of the Co-ordination Unit. The strong and smooth collaboration between the Co-ordination Unit and the cross-coordinating projects will be essential for the achievement of co-ordinated and integrated results.

| Objectives/priorities/<br>measures   | Impacts/results/<br>output   | Indicators   | Quantification     |                     |
|--|--|--|--------------------|---------------------|
|  |  |  | 2002-04            | 2002-06             |
| <b>Objectives</b>  | <b>Impacts</b>   | <b>Description</b>   |                    |                     |
| 1. To add value to existing national research by taking a clear European and trans-national focus, by improving the understanding of the diversity of the European territory and territorial development. These would include an analysis of territorial trends in the 13 candidate countries and neighbouring countries as well as in the Member States to draw conclusions for the territorial development of the Union; | Projects cover the whole EU territory and the neighbouring countries. Typologies are developed and employed which allow identifying and comparing the variety of Europe's territory. | Number of projects tendered and finished:<br>- in total<br>- the EU territory<br>- the candidate and partner states<br>- wider territory of the EU | 10<br>10<br>2<br>0 | 15<br>15<br>13<br>2 |

|   |  |   |                            |                            |
|---|--|---|----------------------------|----------------------------|
| 2. To specify the implications of the ESDP policy orientations on transnational-national spaces, the interpretation of existing ones (such as Interreg II/III) and eventually evolving ones in the wake of the enlargement of the EU;                                   | Projects take stock of the ESDP policy options and make proposals for the specification and advancement with particular regard to the Interreg areas.                                      | Number of ESDP existing policy options addressed, in total, assuming that all thematic issues are addressed in a balanced way               | 40                         | 50                         |
| 3. To develop orientations for instruments and institutions necessary for a better perception and application of ESDP policy option by policy actors at all levels from the EU to the local level; also including a better co-ordinated application of ESDP principles; | Do the results of the programme support the better application of the ESDP?  | Number of projects addressing the application of the ESDP:<br>- instrumental dimension<br>- institutional dimension                         | 0<br><br>0                 | 1<br><br>1                 |
| 4. To contribute to a better understanding of the enhancement of the spatial dimension of the Structural Funds, Cohesion policy and other Community policies, and national sector policies;   | Development of tools/methods for the territorial assessment of sectoral policies. Systematic assessment of EU sector policies.   | Total projects on sectoral policies:<br>- TENS<br>- Agricultural policy<br>- R&D policy<br>- Structural Funds/Cohesion<br>- Accession aids  | 5<br>1<br>1<br>1<br>1<br>1 | 5<br>1<br>1<br>1<br>1<br>1 |
| 5. to make concrete contributions and proposals to improve co-ordination of territorially relevant decisions, taken at different levels (at the Community, national, regional and local level) and in different sector policies;  | Results contribute to the understanding of a better horizontal and vertical co-ordination of sector policies.  | Number of projects regarding the co-ordination of planning policy at<br>- Horizontal level<br>- Vertical level                              | 0<br>0                     | 1<br>1                     |
| 6. To bridge the gap between policy makers, administrators and scientists;  | Methods and results are presented in a way which contribute to the mutual understanding of the mentioned groups using charts, maps, listing of advantages and disadvantages of approaches. | Each project includes an executive summary which indicates the added value for practitioners and the conditions for application of results. | Each project               | Each project               |
| 7. To create a network of the scientific European community in the fragmented field of spatial development.   | The involvement of many institutes from all EU Member States and from the candidate and partner countries.   | How many institutes are involved:<br>- in total<br>- from how many countries  | 50<br>15                   | 70<br>30                   |

*The ESPON 2006 Programme Complement*

|  |  |                             |    |    |
|--|--|-----------------------------|----|----|
|  |  | - inside/out-side of the EU | 15 | 20 |
|--|--|-----------------------------|----|----|

## **II. PRIORITY 1: THEMATIC PROJECTS**

**Thematic projects** on major transnational spatial developments on the background of typologies of regions, and the situation of urban areas.

### ***II.1. Specific objectives, expected results and indicators for the evaluation***

#### **Specific objectives**

- a) to refer to the three fundamental objectives within the ESDP with regard to a balanced and sustainable spatial development: the economic and social cohesion, the conservation of natural resources and cultural heritage and more balanced competitiveness of the European territory;
- b) to gain concrete and applicable information on the EU wide effects of spatially relevant development trends and their underlying determinates, and to contribute to the identification of the existing spatial structure of the EU territory. Therefore, every study should be sustained by empirical, statistical and/or data analysis;
- c) to define concepts and to find appropriate indicators, typologies and instruments as well as new methodologies to consider territorial information, and to detect territories (preferably below NUTS 2) most negatively and positively affected by the identified trends with special reference to regions in terms of accessibility, polycentric development, environment, urban areas, territorial impact assessment. Particular attention will be paid to areas exposed to extreme geographical positions and natural handicaps such as mountain areas, islands, ultra-peripheral regions, etc;
- d) to develop possible orientations for policy responses taken into consideration institutional, instrumental and procedural aspects;
- e) to consider the provisions made for priority 3 and to provide input for the achievement of the horizontal projects under this priority, such as tools for diagnosis and observation of long term scenarios, as well as evaluation and assessment procedures.

#### **Expected results**

A number of important results can be achieved. Amongst them:

##### **Until 2002:**

- a) to reach consensus on indicators and data needed after a precise analysis of the availability and comparability of data at Community level; and to develop new database indicators and map-making. For these analysis, the results of the study programme and the results of the ESPON projects in course, in particular under priority 3.1, should be taken into account. This task should also define the appropriate geographical level and technology required for data collection, taking into account the availability of the

figures. A first detailed and comprehensive list of main requests for statistical and geographical data should be addressed to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies before mid 2002.

b) A second revised and extended request for further indicators should be addressed to Eurostat and the EEA, National Statistical Institutes and National Mapping Agencies by the end of 2002 (the latest).

**Until 2003:**

c) to develop appropriate tools for the processing of the new data base, indicators and map-making;

d) to develop applicable systems for the monitoring of new trends of territorial developments;

e) to detect typologies of regions revealing risks and potentials for the identified types of regions;

**Until 2006:**

f) to show the new territorial developments in the broader context;

g) to show access points for policy responses on the new territorial developments.

## **Indicators applied**

- Number of spatial indicators developed:
  - in total
  - covering
    - the EU territory
    - more than the EU territory
- Number of spatial indicators applied:
  - in total
  - covering
    - the EU territory
    - more than the EU territory
- Number of spatial concept defined
- Number of spatial typologies tested
- Number of EU maps produced
- Number of ESDP policy options addressed in that field

## **II.2. Measures and actions**

### **Measure 1.1.: Cities, polycentric development and urban rural relations**

The subject of this measure corresponds with the first and widest set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>1</sup> that a polycentric and balanced urban system and the strengthening of the partnership between urban and rural areas, which overcomes the outdated dualism between city and country side, belong to the central objectives of a future orientated European spatial development. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. In accordance with the ESPON Guidelines 2001-2006, the measure deals with the priorities mentioned under Point 3.1. bullet 1,2, 3, 7 and 8 and Point 3.2 bullet 2 and 4.

#### **Envisaged action 1.1.1.: The role, specific situation and potentials of urban areas as nodes of a polycentric development**

Cities are the starting point of reference for all measures. Nevertheless, this measure allows to dive deeper into the specific needs and potentials of cities in the context of territorial development. This link is most obvious for the role of cities as regional centres (in a polycentric tissue), but is equally relevant for the role of cities in fulfilling complementary functions at national, transnational and even EU scale. The ESDP highlighted the relation between territorial and polycentric development in that respect. As well, the ESDP highlighted the special role, which could be undertaken by Euro-corridors, global integration zones, gateway cities, urban clusters and individual urban poles in support of a better territorial balance within the Union. This project should be directed towards this field of activity.

The ESDP policy aims under the guideline “Polycentric Spatial Development and a New Urban-Rural Relationship” are, together with the relevant policy options, central to this research study project. The project addresses all questions related to the ESDP except the specific aspects of relationships between urban and rural areas, which will be analysed under action 1.1.2. In addition, Ministers for Urban Affairs agreed at their meeting in November 2000 in Lille a multi-annual co-operation programme, which could act as a reference point for further specification and avoidance of double work. Moreover, the Study Programme on European Spatial Planning 1997-99 (SPESP) also provides valuable access points to questions related to polycentrism and the development of territories. Finally, the European Commission started in “The Second Report on Cohesion” the discussion on the notion “territorial cohesion”, which include a pursuit of a polycentric and better balanced European territory. This project is foreseen to deliver an operational input to the further European debate on territorial cohesion.

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<sup>1</sup> ESDP 1999, p. 19.

### **Envisaged action 1.1.2.: Urban-rural relations**

The future of numerous rural areas is increasingly functionally interlinked with urban development. This is obvious in the densely populated areas (such as peri-urban zones) undergoing considerable urbanisation pressure. It is also relevant for more sparsely populated rural areas, which are under less visible urban influence. What is the future perspective for urban- rural relationships and the system of mutual exchange, where cities provide services, cultural activities, infrastructures and the major access to the labour market, while rural areas, still producing agricultural products, provide leisure potential and green spaces (amenities)? Will the viability of the rural areas depend increasingly on their proximity and their degree of exchange with urban areas? How can co-operation and partnerships support a sustainable development of rural areas?

The project shall further explore relations between urban and rural areas in terms of exchange processes, institutional links and interdependencies. These relations are of special interest on the background of the diverse structure of the EU territory and the neighbouring countries. They have developed substantially during the last decades, however differently within Europe in accordance to the diversity of spatial contexts.

The development potential and opportunities as well as difficulties for urban-rural relationships in the light of a sustainable development of regions provide an important point of reference for this project. The stronger functional integration between many neighbouring rural and urban areas seems to make a strong divide of rural and urban development issues a concept of the past. In stead, a more integrated approach might provide new opportunities for synergies through urban-rural partnerships, where the diversity of relationships to large extent defines potential partnerships.

The potential relations differ for rural territories in decline, some of them far from major towns and cities, and rural territories close to larger cities, in some cases an integrated part of an urban region. The potential for building new partnerships in support of polycentrism (dominantly at regional scale), and the opportunities for a sustainable urban-rural development within regions and larger territories constitutes a point of reference for inputs to policy development from this project.

### **Envisaged action 1.1.3.: Particular effects of enlargement and beyond for the polycentric spatial tissue**

The project will be focused mainly in the evaluation of the future implications of enlargement on EU territorial development from both the perspectives of the Member States and their regions as well as from the perspectives of candidate countries and their regions. Particular attention will be paid to border

regions in the EU and candidate countries<sup>2</sup>. The provision of the elements necessary for extending the ESDP to candidate countries is also required.

An additional task will be an account of trends affecting countries bordering the enlarged EU, where they could have direct effects on EU territorial development. This exercise should include contributions from neighbouring countries.

Starting from the knowledge on integration effects and the transformation of economies and societies after the socialist phase, the specific territorial features of development ought to be illustrated. The research questions under this measure refer to other particular actions and concentrates on the effects of enlargement from both the Member States and the candidate countries perspectives. Indeed, an interesting questions are, how the present spatial tissue and structures in the candidate countries comply with the policy objectives of a polycentric and balanced European territory and how the development influenced by the transformation task in itself can support this objective?

The reinforcement of cities and regions along internal and external borders, as the ESDP states, has to be considered in this context: policies for the development of "gateway cities ", strategic cooperation in urban clusters, multi-modal infrastructure for the European corridors, equal access to telecommunications, facilities and intercontinental accessibility could strengthen the role off the regions and their cities at the external borders.

Special attention should be given to future external borders. The projects under this action should set of from and update the study carried out for Europe 2000+ on the effects of enlargement on the Community territory. Elements for the elaboration of scenarios (at a later stage under priority 3 of the ESPON programme) looking at the territorial structure of Europe after the achievement of the enlargement of the EU should be elaborated in this context and be of particular importance.

### **Envisaged action 1.1.4.: The spatial effects of demographic trends and migration**

The Cohesion Report stresses the effects of the demographic changes expected in many spheres of the society. Demographic trends include natural population trends (births, death, age structure), migration on large scale and regional/local migration. The latter is of particular interest as peer groups tend to differently migrate. Another observation is that the attitude and migration of cohorts is changing over time. That relates, in particular, to the third age. Those demographic trends together with migration and increasing mobility might cause sever effects on the territorial development of an area and the division of

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<sup>2</sup> Roughly 62 % of the population in the Accession Countries lives in border regions, compared with only around 15 % within the EU-fifteen. Cross-border collaboration among the Accession Countries is, therefore, one of the great challenges to the European spatial development policy.

labour between regions. Trends could be distorted by the enlargement of the EU where additional movements are expected.

### Ex-ante evaluation on the level of measure 1.1.

| Objectives/priorities/<br>Measure   | Impacts/results/<br>output   | Indicators  | Quantification |               |  |
|---|--|---|----------------|---------------|--|
|   |  |   | 2002-04        | 2002-06       |  |
| <b>1.1. Cities, polycentric development and urban rural relations</b>   | The further specification of actions within the thematic range of this measure focuses on the following issues:                      | Number of spatial indicators developed:   |                |               |  |
| The subject of this measure corresponds with the first and widest set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states <sup>3</sup> that a polycentric and balanced urban system and the strengthening of the partnership between urban and rural areas, which overcomes the outdated dualism between city and country side, belong to the central objectives of a future orientated European spatial development. The envisages actions under this measure pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should taken account of the objectives preceding and expected results following the description of this priority. | 1.1.1.:The role, specific situation and potentials of urban areas as nodes of polycentric development (2001-06)                      | - in total covering<br>- the EU territory<br>- more than the EU territory               | 15<br>15<br>7  | 15<br>15<br>7 |  |
|   | 1.1.2.:Urban-rural relations (2001-03)   | applied:<br>- in total covering<br>- the EU territory<br>- more than the EU territory   | 10<br>10<br>4  | 15<br>15<br>7 |  |
|   | 1.1.3.:Particular effects of enlargement for the polycentric spatial tissue (2001-06)  | - Number of spatial concept defined<br>- Number of spatial typologies tested            | 4<br>7         | 4<br>10       |  |
|   | 1.1.4.:The spatial effects of demographic trends and migration (2003-06)   | - Number of EU maps produced<br>- Number of ESDP policy options addressed in that field | 8<br>16        | 10<br>20      |  |
|   | The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions. |   |                |               |  |

<sup>3</sup> ESDP 1999, p. 19.

## **Measure 1.2.: Parity of access to infrastructure and knowledge**

The subject of this measure corresponds with the second set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>4</sup> that the promotion of integrated transport and communication concepts will support the polycentric development of the EU territory which represents an important pre-condition for enabling European cities and regions their integration into the EMU. Furthermore parity of access to infrastructure and knowledge should be gradually realised and regionally adapted solutions need to be found. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1,2, 3, 7 and 8 and Point 3.2 bullet 1 and 6.

### **Envisaged action 1.2.1.: transport services and networks: territorial trends and basic supply of infrastructure for territorial cohesion**

A dynamic territorial development depends on an optimal combination of available services. The possibility of making use of the resources available in a city or a larger territory depends as well as of the ability to communicate and exchange services with other locations. The range of services, which interlink areas, cities and the European continent to the world market, comprises services related to transport, energy to telecommunications. For an area or a city the provision of these services has a major impact on the attractiveness for new investments and constitutes an important location parameter.

Communication and exchange between cities and territories takes place via infrastructure networks where resources, goods, humans and information are exchanged. Access to those networks is increasingly becoming a crucial factor for territorial development. The ESDP highlighted the close relation between the aim of a balanced territory and polycentric development and the policy orientations decided developing the infrastructure networks. The ESDP also highlighted in this respect the special role, which could be undertaken by Euro-corridors, global integration zones, gateway cities and urban poles, well distributed on the European territory, as nodes in the infrastructure networks.

The functioning of networks very much depends on access points. A co-ordinated access is of particular importance where the access is related to very large investments. Most prominent in that respect are ports and airports, which need to be efficiently linked to land transport modes in line with an organisational network approach. Furthermore, communication and exchange between networks takes place in multi modal nodes. Multi-modal points are becoming increasingly important for sustainable transport in order to be able to use the least environmentally unsustainable transport mode possible.

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<sup>4</sup> ESDP 1999, p. 20.

The major ESDP concept of “parity of access to infrastructure and knowledge“, understood as a guideline promoting a better territorial equity or balance, needs to be more clearly defined and further investigated. The diversity within the European territory and the potential within different parts of the territory (e.g. for low density areas, ultra peripheral regions, coastal zones, inlands, mountain areas, transnational co-operation areas) are important issues in that respect

The importance of infrastructure networks for economic development is substantive, being it the expansion of local companies, multinational corporations or international direct investments. The spatial structure of the territory is an important aspect as well. Therefore, further investigation is needed in the different types and the geographical location of foreign direct investments. Such an investigation will as well provide an improved knowledge on the internal strategic decisions of multinational corporations, for example on the location of headquarters, administration, production facilities, greenfield investments and acquisitions, which sometimes have a decisive influence on the regional job mix. It should make the location parameters of the future more clear, including the relative importance of accessibility to infrastructure networks.

The European integration process is followed by a growing number of acquisitions and mergers, leading to restructuring of companies and regional economies. How these decisions could influence territorial development and the European political visions of better balance and polycentrism should also be discussed. Critical will be the observation of the territorial effects of the European integration process at a European and transnational scale with particular reference to the candidate countries.

The diverse territory of Europe as well as the present spatial structure (with consideration of the polycentric development) indicates the problem of minimum supply of (public and private) infrastructure capable of providing the basic services required in all regions and to maintain the “service of general interest“. This supply is necessary in order to prevent the final decline of and migration from remote and other areas with specific weaknesses, often exposed to extreme geographical conditions. However, a basic supply of services represents only the first and minimum step towards the provision of higher degrees of infrastructure.

### **Envisaged action 1.2.2.: (Tele-)communication and energy services and networks: territorial trends and basic supply of infrastructure for territorial cohesion**

A dynamic territorial development depends on an optimal combination of available services. The possibility of making use of the resources available in a city or a larger territory depends as well as of the ability to communicate and exchange services with other locations. The range of services, which interlink areas, cities and the European continent to the world market, comprises services related to transport, energy to telecommunications. For an area or a city the provision of these services has a major impact on the attractiveness for new investments and constitutes an important location parameter.

Communication and exchange between cities and territories takes place via infrastructure networks where resources, goods, humans and information are exchanged. Access to those networks is increasingly becoming a crucial factor for territorial development. The ESDP highlighted the close relation between the aim of a balanced territory and polycentric development and the policy orientations decided developing the infrastructure networks. The ESDP also highlighted in this respect the special role, which could be undertaken by Euro-corridors, global integration zones, gateway cities and urban poles, well distributed on the European territory, as nodes in the infrastructure networks.

The functioning of networks very much depends on connectivity and access points. A co-ordinated access is of particular importance where the access is related to very large investments. For telecommunication the spatial distribution of networks as well as their capacity for data transmission is a key concern. For energy networks the availability of access and the capacities to different network are also important determinants for location decisions.

The major ESDP concept of “parity of access to infrastructure and knowledge“, understood as a guideline promoting a better territorial equity or balance, needs to be more clearly defined and further investigated. The diversity within the European territory concerning provisions and use of telecommunication facilities as well as the options for supply of energy, and the potential within different parts of the territory (e.g. for low density areas, ultra peripheral regions, coastal zones, inlands, mountain areas, transnational co-operation areas), are important issues in that respect

Therefore, further investigation is needed in the different types and the geographical location of foreign direct investments. It should make the location parameters of the future more clear, including the relative importance of accessibility to telecommunication infrastructure and energy networks.

The European integration process is followed by a growing number of acquisitions and mergers, leading to restructuring of companies and regional economies. How these decisions could influence territorial development and the European political visions of better balance and polycentrism should also be discussed. Critical will be the observation of the territorial effects of the European integration process at a European and transnational scale with particular reference to the candidate countries.

The diverse territory of Europe as well as the present spatial structure (with consideration of the polycentric development) indicates the problem of minimum supply of (public and private) infrastructure capable of providing the basic services required in all regions and to maintain the “service of general interest“. This supply is necessary in order to prevent the final decline of and migration from remote and other areas with specific weaknesses, often exposed to extreme geographical conditions. However, a basic supply of services represents only the first and minimum step towards the provision of higher degrees of infrastructure.

### Envisaged action 1.2.3.: Identification of spatially relevant aspects of the information society

The so called “information society” will have economic and social implications in various respects such as the education and training of the work force, and the location, structure and communication in and between companies. General research is already underway for many aspects of the information society. Important questions are: Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus. The concept of ‘information society’ is just about to be defined at national level but has not yet been made operational in terms of its regional and territorial dimension and concepts for its measurement; The research available needs to be evaluated taken into account the territorial effects of spatial development at EU level, in particular with regard to the role of metropolitan areas and corridors, polycentrism, urban functions and transport and other patterns investigated particularly under measure 1.1.1; The information society may have particular impacts on spatial scenarios, therefore, major long terms trends need to be identified and operationalised. Case projects in typical regions could contribute to develop a future picture on the spatial pattern of the information society.

#### Ex-ante evaluation on the level of measure 1.2.

| Objectives/priorities/<br>Measure   | Impacts/results/<br>output   | Indicators   | Quantification  |   |
|---|--|--|---|---|
|   |  | Description  | 2002-04   | 2002-06   |
| <b>1.2. Parity of access to infrastructure and knowledge</b><br><br>The subject of this measure corresponds with the second set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states <sup>5</sup> that the promotion of integrated transport and communication concepts support the polycentric development of the EU territory and represent an important pre-condition for enabling European cities and regions their integration into the EMU. Furthermore parity of access to infrastructure and | The further specification of actions within the thematic range of this measure focuses on the following issues:<br>1.2.1.:Basic supply of infrastructure for territorial cohesion (2001-03)<br>1.2.2.:Spatial effects of networks, transport and (tele-) communication services (2001-03)<br>1.2.3.:Identification of spatially relevant aspects of the information society (2001-06)<br><br>The output indicators relate to the results | Number of spatial indicators developed:<br>- in total covering<br>- the EU territory<br>- more than the EU territory<br><br>applied:<br>- in total covering<br>- the EU territory<br>- more than the EU territory<br><br>- Number of | 15<br><br>15<br><br>7<br><br>12<br><br>12<br><br>5<br><br>5 | 15<br><br>7<br><br>15<br><br>15<br><br>7<br><br>7 |

<sup>5</sup> ESDP 1999, p. 20.

|   |  |   |    |    |
|---|--|---|----|----|
| knowledge should be gradually realised and regionally adapted solutions developed. The envisaged actions under this measure pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. | defined above for this priority and break it down to the measures and envisaged actions. | spatial concepts defined                                |    |    |
|   |  | - Number of spatial typologies tested                   | 7  | 10 |
|   |  | - Number of EU maps produced                            | 10 | 12 |
|   |  | - Number of ESDP policy options addressed in this field | 12 | 15 |

### **Measure 1.3.: Natural and cultural heritage**

The subject of this measure corresponds with the third set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>6</sup> that the development and conservation of natural and cultural heritage through wise management, would contribute both to the preservation and deepening of regional identities and the maintenance of the natural and cultural diversity of regions and cities of the EU in the age of globalisation. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1,3, 7 and 8 and Point 3.2 bullet 3 and 6.

#### **Envisaged action 1.3.1.: The spatial effects and management of natural and technological hazards in general and in relation to climate change)**

Natural hazards refer to the pressure on the natural and built environment through the consequences of largely unpredictable, singular or more often appearing events which go beyond the impact of incremental changes of the environment. Technological hazards refer to the pressure on the environment through the consequences of accidents which have a direct impact on the environment. The consequences on territorial development represent the core interest of this action. Special attention has to be paid to areas where valuable natural ecosystems, environmentally sensitive areas, cultural landscapes, monuments and historical sites are endangered by pollution, floods, droughts, erosion, fires, earthquakes, and landslides.

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<sup>6</sup> ESDP 1999, p. 20.

Although scientist does not entirely agree in the reasons for climate change, there seems to be an increasing consensus on the existence of climate change. It is also clear that climate change has to be seen in the light of several policies (mainly agriculture, transports, energy, environment, industry, forestry, RDT, development etc.), especially those directly responsible for green-house gas emissions at global level.

Environment should not only be studied from the point of view of climate change. Coastal regions and inland regions exposed to flooding are faced with particular problems in the wake of climate changes. This, for example, ought to be discussed in the context of increasing water-related problems such as changing land use including the increasing surface of metropolitan areas, erosion, and land conservation. Also the disturbance of ecological networks, identified in the Pan European Ecological Networks (1995 Council of Europe) are affected. So in effect, the issue can only be tackled from a comprehensive approach, i.e. a two way relation of changing hydrological regimes and spatial planning. Vice versa inland regions in the South of the EU are exposed to increasing and serious drought which is conceived as a further consequence of climate change, and which causes severe effects for the territories affected. Both aspects should be treated as one element of the territorial development at the EU scale. The perspective of studies under this measure shall be guided by the objective to identify broad development perspectives rather than meso-level projects.

The more general interdependence between environment, regional development and territorial balance should be addressed throughout the project. Apart from the sheer environmental effects of climate change, there are considerable social and economic effects on the economy, which by experience influence tourist regions in particular. Special reference should be made to the management of natural and technological hazards regarding in particular the territorial dimension of those phenomena. Coordination should take place with other relevant ongoing ESPON projects.

### **Envisaged action 1.3.2.: Management of the natural heritage**

Natural heritage is an essential part of the environmental assets of each country. The value of (bio)diversity has been largely recognized by EU policies. Such a heritage must certainly be preserved from hazards, but also creatively managed to reach a condition of sustainable development, for example by the recognition and valorisation of natural networks and individual natural assets in integrated development strategies. New forms of development must be found to assure synergy and co-existence of men activities and actions affecting the natural heritage.

According to the European Landscape Convention, adopted on 20 October 2000 in co-operation with the Council of Europe, the landscape contributes to the formation of local culture and is a basic component of the European natural and cultural heritage, promoting the consolidation of the European identity. Landscape is an important part of the quality of life of different areas of the European continent. However, development within many sectors of activity accelerates the transformation of landscapes.

At the same time, natural heritage is increasingly considered an asset and a development potential in the economic development of cities and larger territories. The location of new investments is progressively taking factors of qualities in the surrounding areas into account, such access to beautiful landscapes and sites during leisure time. This brings extra focus and potential synergy to the management of the natural heritage. By-in-large, it also calls for a management approach that integrates the natural heritage as an important part of the development of larger territories, cities and regions.

Any overlapping with regard to, on the one hand, the thematic scope of project 1.3.1 on natural and technological hazards and, on the other hand, to the forthcoming project 1.3.3 on cultural heritage, shall be avoided by strong co-ordination.

### **Envisaged action 1.3.3.: The role and spatial effects of cultural heritage and identity**

Culture is becoming an increasingly acknowledged asset for territorial development although, or because, the regional culture is endangered by equalisation due to globalisation and the European integration, in particular in the context of enlargement. The concept of culture is not well defined in the European context and the notion laid down in the ESDP, in terms of cultural heritage, seems to be not sufficient to cover the whole issue.

Culture can be both, supporting and hindering spatial development. It can cause lock-in effects and also integration. Cultural identity is seen as an important asset for the well being of people. However, not much is known yet about the importance of culture for territorial development, and a tool for its systematic investigation still needs to be developed. A typology of regions in its broader sense which shows where and how culture could influence territorial development, would be helpful to better understand the differences of spatial development in the context of Europe.

Cultural landscape is the visible result of history on the territory; therefore it is an utmost topic, especially in Europe. A balanced and sustainable spatial development can be reached only by protecting and enhancing the landscape considering a number of aspects: rural and urban typical settlements, ancient agricultural landscapes, the rich network of historical roads with related settlements and infrastructures, the marks left by industrialization and urbanisation, etc. Cultural heritage is a concept that goes beyond architectural heritage, and should not be dominated solely by the past. It is the cornerstone of local, regional, national and European identity. Accordingly, spatial planning should approach this issue in a comprehensive and integrated manner.

This action should consider the integration between protection policies and spatial planning, the new creative ways to valorise and manage cultural and natural heritage, how contemporary architecture can give added value to landscapes, and how cultural landscape protection can contribute to improve life quality and its role for achieving economic sustainable development. This action needs to take into account the issue of cultural links between certain European regional communities located in crossing

borders to neighbouring countries and also among these neighbouring countries, particularly in relation to immigration.

### Ex-ante evaluation on the level of measure 1.3.

| Objectives/priorities/<br>Measure  | Impacts/results/<br>output  | Indicators  | Quantification |         |
|--|---|---|----------------|---------|
|  |   |   | 2002-04        | 2002-06 |
| <b>1.3. Natural and cultural heritage</b>  | The further specification of actions within the thematic range of this measure focuses on the following issues:                       | Number of spatial indicators developed:                 |                |         |
| The subject of this measure corresponds with the third set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states <sup>7</sup> that the development and conservation of the natural and the cultural heritage could be achieved through wise management, which would contribute both to the preservation and deepening of regional identities and the maintenance of the natural and cultural diversity of regions and cities of the EU in the age of globalisation. The envisaged actions for this measure pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. |   | - in total covering                                     | 10             | 10      |
|  | 1.3.1.:The spatial effects and management of natural and technological hazards in general and in relation to climate change (2001-06) | - the EU territory                                      | 10             | 10      |
|  |   | - more than the EU territory applied:                   | 5              | 5       |
|  |   | - in total covering                                     | 7              | 10      |
|  | 1.3.2.:Management of the natural heritage (2001-06)   | - the EU territory                                      | 7              | 10      |
|  |   | - more than the EU territory                            | 3              | 5       |
|  | 1.3.3.:The role and spatial effects of cultural heritage and identity (2003-06)   | - Number of spatial concepts defined                    | 3              | 5       |
|  |   | - Number of spatial typologies tested                   | 7              | 10      |
|  | The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions.  | - Number of EU maps produced                            | 5              | 10      |
|  |   | - Number of ESDP policy options addressed in this field | 10             | 17      |

### **II.3. Ex-ante evaluation on the priority level**

The analysis of the expected impacts of the priorities will be based on the quantified assessment set out in annex 5 and supported by some other qualitative considerations. Projects elaborated under the ESPON 2006 Programme will cover the whole EU territory and the neighbouring countries.

<sup>7</sup> ESDP 1999, p. 20.

Measures under Priority 1 will develop and employ typologies which allow identifying and comparing the variety of territories in Europe. That will allow for a better and more focused assessment of territorial developments and territorially orientated policies. Projects will take into account the ESDP policy options and make proposals for their specification and advancement with particular regard to the Interreg areas. Measures will require some type of indicator work and data collection and, therefore, an improved analytical base for evidence based policies can be expected. The selected measures and envisaged actions under the measures 1.1 to 1.3 represent the most emerging issues in territorial terms and are also in line with the Guidelines of the Programme.

| Objectives/priorities/<br>Measure  | Impacts/results/<br>output   | Indicators  | Quantification |         |
|--|--|---|----------------|---------|
|  |  |   | 2002-04        | 2002-06 |
| <b>Priority 1</b>  | <b>Results</b>   | <b>Description</b>  |                |         |
| <b>Thematic projects on important spatial developments:</b> <ul style="list-style-type: none"> <li>- to refer to the three fundamental development objectives of the ESDP;</li> <li>- to gain concrete and applicable information on the EU wide effects of spatially relevant development trends and their underlying determinants;</li> <li>- to define the concepts and to find appropriate indicators, typologies and instruments such as new methodologies to consider territorial information, and to detect territories;</li> <li>- to develop possible orientations for policy responses considering institutional, instrumental and procedural aspects;</li> <li>- to consider the provisions made and to provide input for the achievement of the horizontal projects under priority 3.</li> </ul> | <i>Until mid 2002</i> <ul style="list-style-type: none"> <li>- to reach consensus on indicators and necessary data after a precise analysis of the availability and comparability of data at Community level and to develop new database indicators and map-making.</li> </ul>   | Indicators on the measure level applied below relate to the following issues: <ul style="list-style-type: none"> <li>- Number of spatial indicators developed and applied</li> <li>- The application of those indicators in total, covering the EU territory and beyond</li> <li>- Number of spatial concepts defined</li> <li>- Number of spatial typologies tested</li> <li>- Number of EU maps produced</li> </ul> | 40             | 40      |
|  | <i>Until end of 2003</i> <ul style="list-style-type: none"> <li>- to develop appropriate tools for the processing of new data base, indicators and map-making;</li> <li>- to develop applicable systems for the monitoring of new territorial developments trends;</li> <li>- to detect typologies of regions revealing risks and potentials for the identified types of regions.</li> </ul> |   | 29             | 40      |
|  | <i>Until 2006</i> <ul style="list-style-type: none"> <li>- to show new territorial developments in the broader context';</li> <li>- to show access points for policy responses on new territorial developments.</li> </ul>   |   | 29             | 40      |
|  |  |   | 12             | 19      |
|  |  |   | 12             | 16      |
|  |  |   | 21             | 30      |
|  | 23   | 32  |                |         |
|  |  | 38  | 52             |         |

### **III. PRIORITY 2: POLICY IMPACT PROJECTS**

**Policy impact projects** on the spatial effects of Community and Member States sector policies (with transnational and European effects) and Member States' spatial development policy regarding the various types of regions with a focus on the institutional inter-linkages between the different governmental levels and the instrumental dimension of policies. The core task of this priority will comprise to find a common approach on why the spatial and territorial dimension matters to all policies. Interreg IIC and IIB projects are also dealing with this issue providing, therefore, some experience on a transnational scale.

#### ***III.1. Specific objectives, expected results and indicators for the evaluation***

##### **Specific objectives**

- a) To develop methods for the territorial impact assessment of sectoral policies;
- b) to show the influence of sector policies on spatial development at the relevant EU scale;
- c) to sustain every study by empirical, statistical and/or data analysis;
- d) to show the interplay between EU and sub-EU spatial policies and best examples for implementation;
- e) to develop methods for the territorial impact assessment of sector policies primarily at EU level, but also at the national level such as transport, CAP, R&D and major infrastructure development, and find appropriate instruments to improve the spatial co-ordination of EU sector policies;
- e) to consider the provisions made under priority 3 and to provide input for the achievement of the horizontal projects under this priority.

##### **Expected results**

A number of important results can be achieved. Amongst them:

###### **until 2002:**

- a) to reach consensus on indicators and necessary data after a precise analysis of the availability and comparability of data at Community level. For these analyses, the results of the study programme and the results of the ESPON projects in course, in particular under priority 3.1, should be taken into account. This task should also define the appropriate geographical level and technology required for data collection, taking into account the availability of the data. A first detailed and comprehensive list of main requests for statistical and geographical data should be addressed to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies before mid 2002.

b) to develop new database indicators and map-making. A second revised and extended request for further indicators should be addressed to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies by the end of 2002 (the latest).

**until 2003:**

c) to develop methods for a territorial impact assessment of sectoral policies such as transport, CAP, R&D and major infrastructure development and to find appropriate instruments to improve the spatial co-ordination of EU sector policies;

d) to gain information on the effects in the EU of the most important EU and Member States sector policies, in terms of economic relocation and other spatial criteria;

e) to find appropriate indicators, typologies and instruments to detect regions and territories most negatively and positively affected by the identified trends with special reference to accessibility, polycentric development, environment, urban areas, territorial impact assessment, and new methodologies to consider territorial information.

**until 2006:**

f) Other community policies will be then be started and will finish during the second phase of the programme.

g) to define institutional settings and instruments which could support a better co-ordination of sector policies towards spatial concerns;

h) to provide answers on possible policy adjustments in order to avoid unintended effects.

## **Indicators applied**

- Number of spatial indicators each developed and applied
- The application of those indicators in total, covering the EU territory, more than the EU territory
- Number of spatial concept defined
- Number of spatial typologies tested
- Number of EU maps produced
- Number of ESDP policy options addressed in that field
- Number of sector policies fully addressed
- Number of charts on the institutional structure of sector policies
- Number of charts about the institutional structure in spatial planning

### **III.2. Measures and actions**

#### **Measure 2.1.: The territorial effects of sector policies**

The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies, recognising the proposals in the ESDP to investigate Community policies<sup>8</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support referring to the goals, aims and policy options developed in the ESDP. The sub-measures set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. Assessing the territorial impact of transport policies and major infrastructure projects, CAP and R&D in order to improve the territorial co-ordination of the Community policies, is a major aim of this measure. In accordance with the ESPON Guidelines 2001-2006, the measure deals with the priorities mentioned under Point 3.1. bullet 1, 3, 4, 7 and 8 and Point 3.2 bullet 2, 3, 5 and 6.

#### **Envisaged action 2.1.1.: Spatial diversification by the infrastructure policy of TENs**

The diversifying effects of infrastructure networks are already the subject of measure 1.2. This measure concentrates on the territorial evaluation of the effects of TENs (transport, energy and telecommunication). Major questions under this action are how far TENs provide the right answers for a territorial development as described in the ESDP. The measures proposed in the White Paper "The European transport policy by 2010" (COM 2001/370) should provide the framework for the subject investigated under this action. Reference has to be made to the policy options developed in the cross sectoral approach of the ESDP. The ESDP stresses the need for an integrated approach for improved transport links, makes reference to the polycentric development model, highlights the efficient and sustainable use of infrastructure and refers to the importance of the diffusion of innovation and knowledge. In particular, this integrated approach should be followed in analysing transport and telecommunication networks. Any analysis should take into account the principle of territorial balance, the particular problems of peripheral regions and the improvement of secondary networks. Any overlaps to ESPON project 1.2.1. 1.2.2. and 1.2.3 concerning infrastructure and telecommunication access, as well as policy impacts addressed under measure 2.1., have to be avoid by a strong co-ordination of the projects.

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<sup>8</sup> ESDP 1999, p .18.

### **Envisaged action 2.1.2. Spatial effects of the EU R&D policy**

The advancements of the Information Society contribute to a more harmonious territorial development in Europe while at the same time having adverse effects, which are to some extent objected but also intensified by the R&D policy at EU level. The ESPON stresses the integrated approach for improved transport links, makes reference to the polycentric development model, highlights the efficient and sustainable use of infrastructure and refers to the importance of the diffusion of innovation and knowledge. Those effects need to be investigated by a methodology, which allows measuring and assessing the impact of public R&D programmes in different types of regions. R&D takes place most probably in those regions where the central functions of companies are concentrated (usually in the metropolitan and urban centres). However, the new economy has developed a slightly different demand on location patterns avoiding old industrial areas and giving rise to some particular regions at the fringes of the EU and in central rural areas. Based on scientific excellence criteria, R&D policy does not primarily consider the location of private R&D investments and activities, but Community and the Member States' R&D policies could better take into account of some territorial factors, which allow a more balanced development in Europe. Therefore, it is important to develop appropriate tools for the observation of the territorial effects of the R&D policy, which would be able to focus on the specific demands of the EU. A better comprehension of the interaction between R&D policy, seed/venture capital availability and human resources development at the local or regional level, technology innovation strategies should allow refining the instruments of sector and spatial policies.

Particular co-ordination is necessary with the previous ESPON action 2.1.1. on Transport and TENs policies and action 1.2.3. on the spatially relevant aspects of the information society. Overlapping with the policies addressed under the measure 2.1. have to be taken into account.

### **Envisaged action 2.1.3.: Spatial effects of the EU Agricultural Policy with particular reference to the environmental dimension and policy**

The (Common) Agricultural Policy (CAP) faces particular demands in the light of recent developments. Most prominent are: reforms of the support system, the consequences of enlargement, agriculture increasingly deals with the production of non-food goods, the changing role of farmers' society towards landscape conservation and environmental management. Recent developments in the meat sector call for less intensive meat production, and a trend towards more organic and sustainable agriculture is foreseeable.

The changing policy will also affect the land use pattern and, therefore, the development potential of rural areas. The CAP already took first steps away from a regulating price system and quantities towards its "rural development" chapter (importance of the agro-environmental measures and measures for the less-favoured areas, and impact of rural development in terms of population maintenance for example) with improved links into the EU Structural Policy. The need for better co-ordination between agriculture and environmental policies is strongly emerging.

The mentioned development trends influencing agricultural production and policy do not affect all regions in the same way. A territorial impact analysis should identify territorial patterns of those regions at risk and with best potentials. This should also consider approaches towards ecological networks and the preservation of natural areas. Scenario approaches with territorial reference may help to understand the consequences of (implemented or not) policy changes.

Projects should also take into account the effects of national policies; in the case of agriculture, national policies and the national implementation of the Community policy will play a key role in the agricultural land use.

The concept of multi-functionality has been widely adopted as the new paradigm of EU Agricultural Policy. However, measurement and realisation of related issues is not well advanced and heavily contested between different interest groups, and among opponent countries in the WTO negotiation process.

A clearer assessment of the spatial dimensions of land use by agriculture (and forestry) and its relevance for rural/regional development might provide new perspectives for structural development of agriculture and regional integration. This seems particularly important for the large amount of less-favoured areas, and especially the mountain areas, in the EU-15 and candidate countries.

The change in the orientation of EU Agricultural Policy towards the integration of environmental concerns and consumer aspects, and a comprehensive assessment of the positive aspects provided by low input farming systems for landscape management, environmental performance, consumer demands and the viability of peripheral areas could be an important element against marginalisation processes.

Concerning the environment, the need for better co-ordination between the agricultural policy and the environment policy should be highlighted. Overlapping with the policies addressed under the following measure 2.2. has to be taken into account.

**Ex-ante evaluation on the level of measure 2.1.**

| Objectives/priorities/<br>Measure  | Impacts/results/<br>output   | Indicators  | Quantification    |          |
|--|--|---|-------------------|----------|
|  |  |   | 2002-04           | 2002-06  |
| <b>2.1. The territorial effects of sector policies</b>   | The further specification of actions within the thematic range of this measure focuses on the following issues:                    | Number of spatial indicators employed in addition to priority 1                 |                   |          |
| <p>The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>9</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support referring to the goals, aims and policy options developed in the ESDP. The sub-measures pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines, which should take account of the objectives preceding and expected results following the description of this priority. Assessing the territorial impact of transport policies and major infrastructure projects, CAP and R&amp;D in order to allow the improvement of the territorial co-ordination of the Community policies is a major aim of this measure.</p> | 2.1.1.:Spatial diversification by the infrastructure policy of TENS (2001-03)  | - in total covering the EU territory  | 10                | 10       |
|  | 2.1.2.:Spatial effects of the EU R&D policy (2001-2003)  | - more than the EU territory applied:   | 8                 | 8        |
|  | 2.1.3.:Spatial effects of the EU Agricultural Policy with particular reference to the environmental dimension and policy (2001-03) | - in total covering the EU territory  | 4                 | 4        |
|  |  | - EU territory  | 8                 | 10       |
|  |  | - more than the EU territory  | 7                 | 8        |
|  |  | - Number of sector policies fully addressed                                     | 2                 | 3        |
|  |  | - Number of EU maps produced  | 3                 | 5        |
|  |  | - Number of charts on the institutional structure of sector policies            | 20                | 20       |
|  |  | - Number of policy aims mentioned in the ESDP reference made to by sector study | 3 (one by sector) | 3        |
|  |  |   | all aims          | all aims |

<sup>9</sup> ESDP 1999, p .18.

## **Measure 2.2.: New territorial aspects of the Structural Funds and related Funds**

The subject of this measure corresponds with the demand for better knowledge on the territorial impacts of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>10</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support. The sub-measures set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. Co-ordination with the Commission should avoid interference with the Commission's (ex post) evaluation of the Structural Funds as part of its competences. The concentration on the analysis of territorial effects must be in the centre of the project under this action, DG Regio supports the need for co-ordination by the establishment of exchange between the ESPON and the organisations carrying out the evaluation studies. In accordance with the ESPON Guidelines 2001-2006, the measure deals with the priorities mentioned under Point 3.1. bullet 1,2, 3, 4, 7 and 8, and Point 3.2 bullet 1, 2, 3, 5 and 6.

### **Envisaged action 2.2.1.: The territorial effects of the Structural Funds**

The Sixth Periodic Report and the Second Cohesion Report already provided a broader understanding of economic development. Structural Funds are already subject to evaluations on horizontal themes such as environmental effects or gender questions. The time is due to undergo Structural Funds to a territorial impact assessment or analysis (TIA), with consideration of the efforts already made by the UK delegation of the CSD in researching the scope of TIA as a valuable tool for assessing the impact of spatial development against spatial policy objectives or prospects for an area or a larger territory.

As a first step the method for such an assessment needs to be set up on the base of the experience of Structural Funds evaluation and the evaluations already done. The Second Cohesion report already approached in some respect the Structural Funds from a broader territorial point of view.

In parallel to the activities around the Structural Funds, the developed methodology should also be applicable to undertake territorial assessments of an enlarged European territory, providing comparable results for the enlarged Union and its neighbours. This will be done in an upcoming project 2.2.2, which starts when the first results has been delivered from this project. Therefore, possible overlaps with other EU policies addressed under measure 2.1. have to be taken into account and have to be avoided through close cooperation.

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<sup>10</sup> ESDP 1999, p .18.

## **Envisaged action 2.2.2.: The territorial effects of pre-accession aid and Phare/Tacis/ISPA and the AQUIS**

Taking on board the methodology developed in 2.2.2. and data collected in 1.1.3. this project focuses on the territorial effect of the pre-accession aid and Phare/Tacis/ISPA and the “AQUIS Communautaire”. The investigations carried out in the The Sixth Periodic Report and the Second Cohesion Report for the EU territory should provide guidance to the elaboration of the project. The time is due to undergo the mentioned Funds and institutional changes to a territorial impact assessment or analysis (TIA), with consideration of the efforts already made by the UK delegation of the CSD during 2000-01 in researching the scope of TIA as a valuable tool for assessing the impact of spatial development against spatial policy objectives or prospects for an area. As a first step the method for such an assessment needs to be set up on the base of the experience of Structural Funds and evaluations on the Structural Funds already done. The Cohesions report already approached in some respect the Structural Funds from a broader territorial point of view.

The developed methodology could also be applied to undertake a territorial assessment of the pre-accession aid and the Phare/Tacis/Meda programmes in order to develop comparable results for the enlarged Union and its neighbours. Possible overlapping with the policies addressed under measure 2.1 has to be taken into account.

## **Envisaged action 2.2.3.: The effects of Structural Funds in urban areas**

In general urban areas are centres of growth – rich in culture, innovative, prosperous, however social and economic disparities are in some cases more distinct within towns and cities than between regions. The urban issue comprises a wide range of problems: environmental pollution, transport congestion, social and educational issues, poverty and (long-term) unemployment are counted among them. Some, such as inner-city decay or urban sprawl, are typical difficulties agglomerations are facing, by others urban areas are affected in particular, like pressure on the environment, social exclusion or security issues. Furthermore immigration and minority groups are special topics public authorities as well as the population have to deal with.

Towns and cities play a major role for the (economic) development of their surrounding suburban and rural areas, but besides positive effects, potential adverse impacts, such as displacement effects, should not be forgotten. Taking this into account, it seems vital for a sustainable urban and regional development to tackle the specific problems of urban areas – in core regions as well as in peripheral areas, comprising mountain areas, islands and areas with natural or demographic handicaps as well as different types and sizes of urban areas: metropolitan areas, urban industrial clusters, intermediate cities etc..

Apart from the URBAN Community Initiative urban issues are dealt with under the Objective 1, 2 and 3 programmes of the Structural Funds. Target regions and groups as well as areas of assistance vary among the programmes and the programming periods. In many cases, urban areas and urban policy

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have been tackled mainly within Objective 2 programmes in the context of industrial and services restructuring as far as they contribute to urban rehabilitation and development. In the second cohesion report the urban question is addressed as one priority with an important territorial dimension. The inclusion of a territorial approach in the interventions under the Structural Funds, notably concerning basic principles of the European Spatial Development Perspective (ESDP), varies in ways and extent.

**Ex-ante evaluation on the level of measure 2.2.**

| Objectives/priorities/<br>measure   | Impacts/results/<br>output   | Indicators   | Quantification   |          |
|---|--|--|------------------|----------|
|   |  |  | 2002-04          | 2002-06  |
| <b>Measure</b>  | <b>Output</b>  | <b>Description</b>   |                  |          |
| <b>2.2. New territorial aspects of the Structural Funds and related Funds</b><br>The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies <sup>11</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and therefore in need for support. The sub-measures pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines which should take account of the objectives preceding and expected results following the description of this priority. The co-ordination with the Commission should avoid interference with the Commission's evaluation (ex post) of the Structural Funds as part of her competences. The concentration on the territorial effects must be ensured. DG Regio supports the co-ordination by the establishment of exchange between the ESPON and the organisations carrying out the evaluation studies. | The further specification of actions within the thematic range of this measure focuses on the following issues:<br>2.2.1.:The territorial effects of the Structural Funds and pre-accession aid and Phare/Tacis/ISPA (2001-03 finalising in 06)<br>2.2.2.:The effects of Structural Funds in urban areas (2001-06)<br>The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions. | Number of spatial indicators employed in addition to priority 1                                |                  |          |
|   |  | - in total   | 7                | 7        |
|   |  | - covering the EU territory  | 7                | 7        |
|   |  | - more than the EU territory applied:  | 2                | 4        |
|   |  | - in total covering the EU territory   | 7                | 7        |
|   |  | - more than the EU territory   | 4                | 7        |
|   |  | - Number of Funds fully addressed  | 3                | 6        |
|   |  | - Number of EU maps produced   | 7                | 10       |
|   |  | - Number of charts on the institutional structure related to the Funds in their policy context | 4 (one by Fund ) | 6        |
|   |  | - Number of policy aims mentioned in the ESDP addressed by Funds investigated                  | all aims         | all aims |

<sup>11</sup> ESDP 1999, p .18.

### **Measure 2.3.: Institutions and instruments of spatial policies**

The subject of this measure corresponds with the demand for better knowledge of the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>12</sup> on the background of different spatial concepts such as the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support. Therefore, the co-ordinating function of spatial policies for the orientation of sector policies is of utmost importance. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1, 5, 6, 7 and 8, and Point 3.2 bullet 5.

#### **Envisaged action 2.3.1.: The application and effects of the ESDP in Member States**

The ESDP is somehow a unique instrument under all policies. Although being non-binding and supported by the European Commission and the informal structure of Ministries responsible for Spatial Planning, the ESDP should be relatively broadly known by now. Nevertheless, its effects are rather diffuse.

Four years after the presentation of the final version of the ESDP, it is time to conduct an assessment of the effects of the ESDP at EU level and in each Member State in order to identify the potential of the ESDP and to find best examples of its application and implementation, as well as the difficulties of non-application.

The focus of this assessment will be the main expected impacts of the ESDP, namely how the ESDP has contributed to the horizontal and vertical co-ordination and to the spatial integration of policies at EU level and in Member States. Beyond this general assessment, special attention should be paid to the question of how the ESDP has helped to co-ordinate sectoral policies that means how far an horizontal integration of sectoral policies could be achieved towards the consideration of territorial issues.

This evaluation should be practitioner oriented – to assess the usefulness of the ESDP's concepts and in what direction the ESDP should be further developed. Special links should be established with the actions under measure 2.1 and 2.2 that investigate the territorial aspects of sector policies. Links should also be established with the following action 2.3.2. on the co-ordination of territorially oriented policies.

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<sup>12</sup> ESDP 1999, p .18.

### **Envisaged action 2.3.2.: The governance of territorial and urban oriented policies from the EU to the local level**

Spatial policy approaches are widely scattered between sector policies, in particular with regard to variety of approaches at EU level, in Member States and their administrative structures. This diversity will even grow further with the enlargement of the EU. The “EU Compendium of Spatial Planning Systems and Policies”<sup>13</sup> already revealed the complexity of policy instruments and implementation tools available within the EU, and only focussing on the planning side.

Although providing a strong base, the planning compendium itself is becoming outdated. Comparative research is needed on how effective different systems are, e.g. when considering a policy mix of land use planning, local government powers and taxation policy in meeting common spatial development objectives such as urban regeneration, balancing urban-rural needs, and location of waste facilities.

If the EU moves onto an integrated territorial perspective, the web of spatially relevant policy delivery mechanisms, in particular considering the authorities responsible for regional economic development and infrastructure in all countries, need to be better understood and co-ordinated. Research examining the delivery of sectoral policies is already available but must be evaluated against the monitoring potentials for improved spatially focused policy.

In addition, cities constitute privileged places for the territorial integration of sectoral policies formulated at different levels (from the EU to the local level). The possible links of these policies, closely connected with the question of urban governance, shall be studied, especially in the light of the Urban CIP experience.

#### **Ex-ante evaluation on the level of measure 2.3.**

| <b>Objectives/priorities/<br/>measure</b>   | <b>Impacts/results/<br/>output</b>  | <b>Indicators</b>   | <b>Quantification</b> |                |
|---|---|---|-----------------------|----------------|
|   |   |   | <b>2002-04</b>        | <b>2002-06</b> |
| <b>Measure</b>  | <b>Output</b>   | <b>Description</b>  |                       |                |
| <b>2.3. Institutions and instruments of spatial policies</b><br>The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies <sup>14</sup> on the background of different spatial concepts such | The further specification of actions within the thematic range of this measure focuses on the following issues:<br>2.3.1.: The application and effects of the ESDP in the Member States (2003-06) | - Number of countries investigated in total covering the EU member states now | 0                     | 15             |
|   | 2.3.2.: The coordination of territorial and   | - Number of charts about the institutional structure in                       | 0                     | 3              |

<sup>13</sup> European Commission 1997 and the following country reports.

<sup>14</sup> ESDP 1999, p .18.

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|  |  |  |   |          |
|--|--|--|---|----------|
| as the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and therefore in need for support. Therefore, the co-ordinating function of spatial policies for the orientation of sector policies is of utmost importance. The envisaged actions pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines, which should take account of the objectives preceding and expected results following the description of this priority. | urban oriented policy from the EU to the local level (2003-06)   | spatial planning both urban and territorial policies                   |   |          |
|  | The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions. | - Number of policy aims mentioned in the ESDP addressed in the studies | 0 | all aims |
|  |  | - Number of study cases (one by country)                               | 0 | 15       |

### **III.3. Ex-ante evaluation on the priority level**

Measures under Priority 2 support the development of tools/methods for a territorial assessment of sectoral policies. A systematic assessment of the EU sector policies will allow to develop more focused territorial interventions and a better understanding of the conflicts between sectorally and territorially orientated policies, as well as potential solutions for these conflicts. The selection of sectoral policies under each measure is adequate considering the selection of the policies with the highest territorial effects. Nevertheless, it should be mentioned that only the CAP and with decreasing extent the R&D and the TEN are subject to the EU policy and implementation, in order to understand the range of addressees of the results of the ESPON CIP.

| Objectives/priorities/<br>measures   | Impacts/results/<br>output   | Indicators  | Quantification |         |
|--|--|---|----------------|---------|
|  |  |   | 2002-04        | 2002-06 |
| <b>Priority 2</b>  | <b>Results</b>   | <b>Description</b>  |                |         |
| <b>Policy impact projects</b>  | <i>Until mid 2002</i>  | Indicators on the measure level applied below relate to the following issues: |                |         |
| - to develop methods for a territorial impact assessment of sector policies;       | - to reach consensus on indicators and necessary data after a precise analysis of the availability and comparability of data at the Community level and to develop new database indicators and map-making. | - Number of spatial indicators each developed and applied                     | 17             | 17      |
| - to show the influence of sector policies on spatial development at the EU scale; | <i>Until end of 2003</i>   | - The application of those  |                |         |
| - to sustain every study by empirical, statistical and/or data analysis;           | - to develop methods   |   |                |         |
| - to show the interplay between EU and sub-EU                                      |  |   |                |         |

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|--|---|---|---|---|
| <p>spatial policies and best examples for implementation;</p> <ul style="list-style-type: none"> <li>- to develop methods for a territorial impact assessment of sector policies and to find appropriate instruments to improve the spatial co-ordination of EU sector policies;</li> <li>- to consider the provisions made under priority 3 and to provide input for the achievement of the horizontal projects under this priority.</li> </ul> | <p>for a territorial impact assessment of sector policies;</p> <ul style="list-style-type: none"> <li>- to gain information on the EU wide effects of the most important EU and Member State sector policies in terms of economic relocation and other spatial criteria;</li> <li>- to detect typologies of regions revealing risks and potentials for the identified types of regions;</li> <li>- to find appropriate indicators, typologies and instruments to detect regions and territories most negatively and positively affected by territorial developments.</li> </ul> <p><i>Until 2006</i></p> <ul style="list-style-type: none"> <li>- Other community policies are started and will be finished in the second phase of the programme;</li> <li>- to define institutional settings and instruments which support a better co-ordination of sector policies towards spatial concerns;</li> <li>- to provide answers on possible policy adjustments in order to avoid unintended effects.</li> </ul> | <p>indicators in total, covering the EU territory, more than the EU territory</p> <ul style="list-style-type: none"> <li>- Number of EU maps produced</li> <li>- Number of ESDP policy aims addressed in that field</li> <li>- Number of sector policies fully addressed</li> <li>- Number of charts on the institutional structure of sector policies</li> <li>- Number of charts about the institutional structure in spatial planning</li> </ul> | <p>15<br/>11<br/>4<br/>27<br/>all<br/>3<br/>7<br/>0</p> | <p>17<br/>15<br/>7<br/>30<br/>all<br/>5<br/>9<br/>3</p> |
|--|---|---|---|---|

## **IV. PRIORITY 3: COORDINATING CROSS-THEMATIC STUDIES**

**Co-ordinating cross-thematic projects** will prepare the ground and will make use of the results achieved under priority 1 and 2. These projects will require the wider participation of the selected institutes from the Member States, candidate countries and the neighbouring countries (in particular Norway and Switzerland, which expressed strongest interest) and if relevant other neighbouring countries, and should provide the framework for the liaison between all projects. Projects under this priority should include at least 6 states and 3 ESPON Contact Points, should reflect a balanced geographical representation of countries and also should cover a broad range of methodologies. This priority allows developing the real new European approach of the ESDP by considering the necessary horizontal and vertical co-ordination of spatial development in Europe. This priority takes advantage of the multiple methodological and political approaches available in the EU.

### ***IV.1. Specific objectives, expected results and indicators for the evaluation***

#### **Specific objectives**

- a) To provide a common frame for the projects prepared under priorities 1 and 2, i.e. to provide common definitions for the collection of data, common frame for indicators, common structure for reports, etc.
- b) to summarise and evaluate the intermediate and final results of the projects under priority 1 and 2 towards integrated results of the ESPON 2006 programme for a long term perspective;
- c) to add value to the results of single projects by discussing the results in different contexts such as scenarios and options for policy conclusion;
- d) to re-examine the achieved results in the light of the ESDP;
- e) to make the results of the ESPON programme accessible to policy makers;
- f) to allow a better understanding of the complexity of spatial development at EU scale;
- g) to give guidance on the future necessities of policies which recognise the spatial dimension.

#### **Expected results**

A number of important results can be achieved. Amongst them:

##### **until 2002:**

- a) to reach consensus on indicators and necessary data after a precise analysis of the availability and comparability of data at Community level. For these analysis, the results of the study programme and the results of the ESPON projects in course, in particular under priority 3.1, should be taken into account. This task should also define the appropriate geographical level and technology required for data

collection, taking into account the availability of the data. A first detailed and comprehensive list of main requests for statistical and geographical data should be addressed to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies before mid 2002.

A second revised and extended request for further indicators should be addressed to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies by 2002 (the latest).

**until 2003:**

b) to create tools for the identification of threads and potentials for a more balanced territorial development such as indicator lists, databases, mapping methods covering all themes in a comprehensive and integrated way;

c) to identify orientations on the implementation of spatial objectives into the existing EU policies – from analytical tools to policy measures;

d) to prepare methodologies for prospective scenarios.

**Until 2006:**

e) to develop policy scenarios in written and visual form which would help to understand the importance and potentials of the territorial development;

f) to propose ideas for the possible orientation of the up-date of the ESDP and of the Cohesion policy at EU level (bearing in mind that the revision of the ESDP is a genuine task of the CSD).

## **Indicators applied**

- the integrated data base, and its indicators in total covering the EU territory, more than the EU territory
- Number of spatial concepts as mentioned in the programme explored
- Number of typologies applied
- Number of spatial scenarios
- Number of maps produced
- All strands and orientations of the ESDP addressed

## ***IV.2. Measures and actions***

### **Measure 3.1.: Integrated tools for the European spatial development**

This project shall provide support to the co-ordination on technical and scientific level of the ESPON 2006 Programme and the projects under measure 1 and 2, including data collection, development of a GIS

facility and map-making, thematic coordination preparing for the cross thematic exploitation of integrated results based on all projects prepared under the programme.

The work takes place on five levels:

- Technical and analytical support and coordination (data-base, GIS and mapmaking, concepts and typologies for spatial analyses, spatial concepts)
- Territorial and thematic coordination of the ongoing projects
- Preparation for the exploitation of results of all projects
- Compilation and structuring of recommendations to further policy development in support of territorial cohesion
- Assistance in the promotion and networking of the ESPON programme

The project has its central task in offering scientific support for the achievement of the objective of the ESPON 2006 Programme. In this respect, the project will imply support to and a close co-operation with the Co-ordination Unit of the ESPON in Luxembourg, and contain the following elements:

- a) To provide a common framework for the projects prepared under priorities 1 and 2, i.e. provide common definitions and formats for the collection of a ESPON database and developing a common mapmaking tool, common framework for territorial indicators, typologies and concepts etc.
- b) To summarise and evaluate intermediate and final results of the projects under priority 1 and 2 from a technical and scientific viewpoint in order to support integrated results of the ESPON 2006 programme;
- c) To bring added value to the results of the single projects through dialogue with TPG on their results and their potential use in different contexts, such as scenarios and recommendations for policy development;
- d) To examine the achieved results in the light of the ESDP;
- e) To support the preparation of making results of the ESPON programme accessible to policy makers;
- f) To support the communication and better understanding of spatial development trends and issues of territorial cohesion within an enlarged EU;
- g) To support the elaboration of consistent recommendations to future policy development in support of a better balanced and polycentric European territory that recognises the importance of a territorial dimension.

**Ex-ante evaluation on the level of measure 3.1.**

| Objectives/priorities/<br>measure   | Impacts/results/<br>output  | Indicators  | Quantification  |   |
|---|---|---|---|---|
|   |   |   | 2002-04   | 2002-06   |
| Measures  | Output  | Description   |   |   |
| <p><b>3.1.: Integrated tools for the European spatial development</b></p> <p>The aim of this measure is to use the results of the projects under Priority 1 and 2 towards the development of integrated tools for the European spatial development. The priority is more technically oriented and concentrates in the first phase of the programme. That means e.g. to summarise the indicators suggested in those projects, and to compare and check their consistency as a whole and in relation to the existing indicators currently used in Structural Funds programmes. The results will be suitable tools for the diagnosis of territorial trends, elaboration of scenarios, policy instruments and institutional settings. A comprehensive view towards the various sectoral dimensions within the territorial view should also build on the feed back from the Member States and Candidate Countries.</p> | <p>The output relates to the results defined above for this priority and breaks it down to the measures and envisaged actions.</p> <ul style="list-style-type: none"> <li>- Integration of European spatial databases is a core task which provides the basic material for all further research by projects under the ESPON (starting from the databases and indicator system suggested and compiled by the SPESP regular contacts with National Statistical Agencies, Eurostat and European Environment Agency);</li> <li>- Clarification of the concepts and definition of the indicators to measure spatial and social integration (6 concepts mentioned);</li> <li>- Specification of potential thematic fields for Community intervention and how it could be articulated within national, regional and local policies.</li> </ul> <p>The output indicators relate to the results defined above for this priority.</p> | <p>Size of the integrated data base, and indicators</p> <ul style="list-style-type: none"> <li>- in total covering the</li> <li>- the EU territory</li> <li>- more than the EU territory (collected from other projects)</li> <li>- Number of spatial concepts as mentioned in the programme explored</li> <li>- Number of maps produced</li> <li>- Meetings with EU statistical authorities</li> </ul> | <p>40</p> <p>40</p> <p>20</p> <p>6</p> <p>10</p> <p>3</p> | <p>40</p> <p>40</p> <p>20</p> <p>6</p> <p>10</p> <p>3</p> |

### **Measure 3.2.: Spatial scenarios and orientations towards the ESDP and the Cohesion Policy**

After the achievement of improving the analytical base, the focus should be directed towards the preparation of projects with prospective character incorporating various spatial development trends in different types of regions. The preparation of scenarios (to 2020 and beyond) should employ an innovative, creative and multi-methodological approach and should be focused on the policy orientation of the ESDP and the Cohesion policy under the heading of a balanced and sustainable development. Most prominent, with regard to the ESDP policy orientations, are the territorial dimensions identified in the Cohesion report considering

- the least developed regions with gaps in the provision of certain types of infrastructure, particularly in the context of enlargement;
- urban areas as the centres of economic, social and territorial change and focal points for polycentric development;
- the diversification of rural areas in terms of the structural change of their economic base and its consequences and taking into account their natural and cultural situation;
- cross-border, transnational and interregional co-operation with special consideration of the situation before and after the accession;
- areas with severe geographical handicaps considering the broad variety of those disadvantages.

All scenarios should consider that there may exist different points of view in all Member States and candidate countries. The methods applied should try to integrate these views but, if necessary, allow different kind of scenarios. The art will be to develop a common approach without suppressing deviating positions.

The second step for drawing policy conclusions should be achieved by a kind of roll back process. The identification of scenarios assumes policy responses on spatial developments. Consequently, the second part of the measure supports the deduction of necessary policy responses in order to achieve or to avoid intended or unintended spatial developments identified by the scenarios. The question is what do we have to do now if we want to achieve the long term developments proposed in the scenarios. Consequence for policies should cumulate in suggestions for the adaptation of the ESDP and Structural Funds Policy in the wake of the 2007 reform.

Results of previous measures in relation to reviewing the ESDP should take forward the results of measure 2.6 and include transnational and enlargement dimensions.

Territorial impact assessment methodologies should pull together results from 2.1, 2.2, 2.3, etc.

Links should be set up with Interreg III projects, in particular with the Spatial Visions Projects, and a joint evaluation of the scenarios in the background of the spatial vision experiences should be established.

The scenarios need to be studied with a broad focus, including all the neighbouring countries. If possible a discussion process with research institutes from those areas ought to be launched.

The scenarios should indicate possible domains and territories of the EU policies and should allow better identifying and describing the strengths and weaknesses of Europe's spatial structure in the midterm future. In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1,2 and 3, and Point 3.2 bullet 2,4.

### Ex-ante evaluation on the level of measure 3.2.

| Objectives/priorities/<br>measure   | Impacts/results/<br>output  | Indicators   | Quantification |         |
|---|---|--|----------------|---------|
|   |   |  | 2002-04        | 2002-06 |
| <b>Measures</b>   | <b>Output</b>   | <b>Description</b>   |                |         |
| <b>3.2.: Spatial scenarios and orientations towards the ESDP and the Cohesion Policy</b><br><br>After the achievement of the improvement of the analytical base, the focus should be directed towards the preparation of projects with prospective character incorporating various spatial development trends in different types of regions. The preparation of scenarios (to 2020 and beyond) should employ an innovative, creative and multi-methodological approach and should be focused on the policy orientation of the ESDP and the Cohesion policy under the heading of a balanced and sustainable development. | - The scenarios consider the view of all Members States and candidate countries. The methods applied integrate these views but allow different kind of scenarios.                     | Size of the integrated data base, and indicators             |                |         |
|   | - Development of a common approach without suppressing deviating positions;   | - in total   | 0              | 45      |
|   | - Territorial impact assessment methodology should pull together already existing results;  | - covering the EU territory                                  | 0              | 35      |
|   | - To establish links with Interreg III projects in particular with the Spatial Visions Projects;  | - more than the EU territory (collected from other projects) | 0              | 15      |
|   | - The scenarios need a broad focus, including all the neighbouring countries;   | - Number of spatial scenarios                                | 0              | 3       |
|   | - The scenarios indicate possible domains and territories for EU policies, and identify and describe the strength and weaknesses of Europe's spatial structure in the midterm future. | - Covered of counties (EU, candidate and partners)           | 0              | all     |
|   |   | - Number of maps produced                                    | 0              | 10      |
|   |   | - Strands the ESDP assessed towards improvements             | 0              | all     |
|   |   | - Possible typologies proposed for community intervention    | 0              | 6       |

|  |  |  |  |  |
|--|--|--|--|--|
|  | The output indicators relate to the results defined above for this priority. |  |  |  |
|--|--|--|--|--|

### IV.3. Ex-ante evaluation on the priority level

Measures under priority 3 will be devoted to the co-ordination between studies and the production of added value by the exploration of the outcomes from the other priorities. Measure 3.1 concentrates on the thematic and methodological co-ordination and the integration of results whereas measure 3.2 is devoted to the exploration of the results and complementation such as spatial scenarios so additional information can be achieved. Methods and results should be presented in a way which contributes to mutual understanding by administrators, politicians and a wider public using charts, maps, listing of advantages and disadvantages of approaches.

| Objectives/priorities/<br>measures  | Impacts/results/out<br>put   | Indicators  | Quantification |         |
|---|--|---|----------------|---------|
|   |  |   | 2002-04        | 2002-06 |
| <b>Priority 3</b>   | <b>Results</b>   | <b>Description</b>  |                |         |
| <b>Co-ordinating cross-thematic projects</b>  | <i>Until mid 2002</i>  | Indicators rank around  |                |         |
| - to provide a common frame for the projects prepared under the priorities 1 and 2 i.e. provide common definitions for the collection of data base, common frame for indicators, the common structure of reports etc; | - to reach consensus on indicators and necessary data after a precise analysis of the availability and comparability of data at the Community level;   | - the integrated data base, and its indicators in total                               | 40             | 85      |
| - to add value to the results of the single projects by discussing the results in different contexts such as scenarios and options for policy conclusion;   | - to define of the geographical level/technology for data collection, and the availability of data. First list of main requests about statistical and geographical data should be addressed to relevant authorities before mid 2002; | covering the EU territory, more than the EU territory (collected from other projects) | 40             | 85      |
| - to re-examine the reference of the achieved results in the light of the ESDP;   | - Second revised and extended request until the end of 2002.   | - Number of spatial concepts as mentioned in the programme explored                   | 20             | 35      |
| - to make the results of the programme accessible to policy makers;   | <i>Until 2003:</i>   | - Number of spatial scenarios   | 6              | 6       |
| - to allow a better understanding of the complexity of spatial development at the EU scale;   | - to create tools for the identification of threads and potentials for a more balanced territorial development such as   | - Number of maps produced   | 0              | 3       |
| - to give guidance on the future necessities of   |  | - Strands and orientations of the   | 10             | 20      |
|   |  |   | all            | all     |

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|  |   |   |          |          |
|--|---|---|----------|----------|
| <p>policies which recognise the spatial dimension.</p> | <p>indicator lists, databases, mapping methods covering all themes in a comprehensive and integrated way;</p> <ul style="list-style-type: none"> <li>- to identify orientations on the implementation of spatial objectives into the existing EU policies – from analytical tools to policy measures;</li> <li>- to prepare methodologies for prospective scenarios.</li> </ul> <p><i>Until 2006:</i></p> <ul style="list-style-type: none"> <li>- to develop policy scenarios in written and visual form which help to understand the importance and potentials of the territorial development;</li> <li>- to propose ideas for the possible orientation of the update of the ESDP and of the Cohesion policy at the EU level (bearing in mind that the revision of the ESDP is a genuine task of the CSD).</li> </ul> | <p>ESDP addressed</p> <ul style="list-style-type: none"> <li>- Meetings with statistical authorities</li> </ul> | <p>3</p> | <p>3</p> |
|--|---|---|----------|----------|

## V. PRIORITY 4: ESPON RESEARCH BRIEFING AND SCIENTIFIC NETWORKING

This priority provides the scientific infrastructure and co-ordination for smooth working procedures of the ESPON 2006 programme. The envisaged measures cover three emerging fields: providing an overview of the national and EU indicator systems' access; data provision; and mapping capacities prepared by the ESPON Contact Point or delegated to other specialised institutions from the participating states (4.1), to allow annual scientific networking and briefing for the ESPON Contact Points (4.2) and to support biannual meetings of all Transnational Project Groups for the scientific co-ordination of all projects (4.3).

### V.1. *Specific objectives, expected results and indicators for the evaluation*

#### **Specific objectives**

- a) To provide a common data access for the projects prepared under priorities 1-3
- b) To establish the scientific infrastructure of the ESPON approach;
- c) To strengthen the coherence of the common ESPON approach;
- d) To scientifically and thematically co-ordinate actions under the ESPON programme.

#### **Expected results**

##### **Until end of 2002**

- a) ESPON internal compendium of national data access and mapping capacities as input for the Transnational Project Groups in the Member States ditto for the candidate and partner states.

##### **Throughout the whole programme**

- b) Annual meetings of ESPON Contact Points and bi-annual of Transnational Project Groups for a co-ordinated and coherent ESPON approach between the Transnational Project Groups and ESPON Contact Points for scientific briefing and co-ordination of projects;
- c) Permanent scientific monitoring of the approach and progress.

#### **Indicators applied**

Indicators range from the numbers of surveys on data access to the number of briefing and meetings held for the better co-ordination of the whole programme

Number of national data access surveys

Number of EU data access surveys

Number of ESPON Contact Point briefings.

Number of conference with Transnational Project Groups

## V.2. Measures and actions

### Measure 4.1.: Data navigators: preparatory surveys on data access

All projects need input from all countries, in particular regarding provision of data, as well as the scientific exchange among themselves and between the ESPON Contact Points. This measure provides the frame for this exchange of information by supporting small surveys in order to obtain data input. Projects under this measure will be mainly commissioned to the ESPON Contact Points in order to develop links and gather information for projects under all priorities.

A range of projects needs to be prepared under this measure. The programme strongly advocates to undertake any data related work for the whole territory of the EU and the candidate countries. All projects need information on data bases and mapping capacities available in all countries as a precondition for fulfilling their project tasks and duties. Projects under this heading will be prepared to provide general information (in the form of a handbook with inventories) on the data situation and sources of data as not all projects can cover these tasks for all countries. These activities will help Lead Partners to find those partners which can provide the data required for their specific projects and measures respectively. One has to bear in mind that national and regional data are usually only available in the language of each country if the data is not available via the EU institutions. Therefore, projects would provide access to national institutions and contact partners. Furthermore, the candidate countries are not subject to the EU databases yet, which means that even the basic data for candidate countries will need to be acquired within the ESPON network framework. Those projects on database and data provision should be commissioned to competent (research) institutes or ESPON Contact Points and (bearing in mind the number of countries involved) should not cost more than 5.000-10.000 EURO per study.

#### Ex-ante evaluation on the level of measure 4.1.

| Objectives/priorities/<br>measure                              | Impacts/results/<br>output  | Indicators                                   | Quantification |         |
|--|---|--|----------------|---------|
|  |   |  | 2002-04        | 2002-06 |
| Measures   | Output  | Description                                  |                |         |
| 4.1.: Data navigator:<br>preparatory surveys on data<br>access | The output indicators<br>relate to the results<br>defined above for this<br>priority. | Number of<br>national data<br>access surveys | 27             | 27      |
|  |   | Number of EU<br>data access<br>surveys       | 4              | 4       |

### Measure 4.2.: ESPON briefing and scientific co-ordination of ESPON Contact Points

As it will be pointed out in V.5, not all costs of the ESPON Contact Points can be covered by the projects and, therefore, part of the costs will need to be fully financed by the participating states. The tentative list of tasks which can be financed by the programme and those which will have to be financed

by the participating national states on a 100 percent base is attached in annex 2. The list foresees that meetings between the Co-ordination Unit and the ESPON Contact Points will have to take place approximately once a year (see point B.7 of Annex 2). In order to balance the burden of those meetings, due to different travel and meeting costs for the ESPON Contact Points from the different Member States, the technical assistances will finance the travel costs of one member of the ESPON Contact Point per Member State and the related cost of the Co-ordination Unit per year.

#### Ex-ante evaluation on the level of measure 4.2.

| Objectives/priorities/<br>measure   | Impacts/results/<br>output   | Indicators  | Quantification |         |
|---|--|-------------|----------------|---------|
|   |  |             | 2002-04        | 2002-06 |
| Measures  | Output   | Description |                |         |
| 4.2.: ESPON briefing and scientific co-ordination of ESPON Contact Points | The output indicators relate to the results defined above for this priority. |             | 3              | 6       |

#### Measure 4.3.: ESPON briefing and scientific co-ordination of Transnational working groups

The whole programme implies a strong co-ordination between all Transnational Project Groups as all groups supposed to work with co-ordinated categories and contribute to a common result. It is of utmost importance and considerable adds to the value of the projects and the programme that the Co-ordination Unit is enabled to inform and brief all Transnational Project Groups and ESPON Contact Points on the methods, processes, milestones and obstacles of the ESPON 2006 programme. It must also be borne in mind that the competitive selection procedure will result in a selection of a broad variety of institutes which will need to be informed and briefed periodically. Seminars should be organised at least twice a year. These seminars would allow to directly inform the Members of the Monitoring Committee about the ongoing research and to exchange ideas on the orientation of results for researchers and policy makers. The measure covers the cost of the organisation of the meetings and invitation of experts.

#### Ex-ante evaluation on the level of measure 4.3.

| Objectives/priorities/<br>measure   | Impacts/results/<br>output  | Indicators  | Quantification |         |
|---|---|-------------|----------------|---------|
|   |   |             | 2002-04        | 2002-06 |
| Measures  | Output  | Description |                |         |
| 4.3.: ESPON briefing and scientific co-ordination of Transnational Project Groups | The output indicators relate to the results defined above for this priority |             | 6              | 12      |

### V.3. Ex-ante evaluation on the priority level

This approach will also help to raise the understanding of EU territorial development issues among the mentioned groups. The measures under Priority 4 directly contribute to these impacts, through the provision of data access, and the support for scientific co-ordination and networking. Finally the construction of the Transnational Project Groups will allow to involve many institutes from all countries of the EU Member States, the candidate and partner countries.

| Objectives/priorities/<br>measures   | Impacts/results/<br>output   | Indicators   | Quantification |              |
|--|--|--|----------------|--------------|
|  |  |  | 2002-04        | 2002-06      |
| <b>Priority 4</b>  | <b>Results</b>   | <b>Description</b>   |                |              |
| <b>ESPON Research briefing and scientific networking</b><br>- to provide common data accesses for the projects prepared under the priorities 1-3;<br>- to establish the scientific infrastructure of the ESPON approach;<br>- to strengthen the coherence of the common ESPON approach;<br>- to scientifically and thematically co-ordinate the actions. | <i>Until end of 2002</i><br>- to develop the ESPON internal compendium on national data access and mapping capacities as input for the TPG in the Member States;<br>- ditto for the candidate and partner states.  | - Number of national data access surveys<br>- Number of EU data access surveys<br>- Number of ESPON Contact Point briefings. | 27<br>4<br>3   | 27<br>4<br>6 |
|  | <i>Throughout the whole programme</i><br>- Annual meetings of ESPON Contact Points and Bi-annual Transnational Project Groups for a co-ordinated and coherent ESPON approach between the Transnational Project Groups and ESPON Contact Points for scientific briefing and co-ordination of projects;<br>- permanent scientific monitoring of the approach and progress. | - Number of conference with Transnational Project Groups   | 6              | 12           |

## VI. PROJECT SELECTION

### VI.1. Selection Criteria

#### *a) The project selection procedure*

The selection procedure will be based on the following principles:

- Priority to quality projects;
- Consistency of criteria appraisal;
- In-depth discussion prior to any difficult decision;
- Transparent decision-making process;
- Balanced geographic coverage of the project team;
- Sound management of financial resources.

#### *b) Eligibility and selection criteria*

The eligibility criteria consist of some minimum requirements, each of which has to be met for a project to be declared eligible.

Selection criteria will be applied to assess the respective merits of eligible projects.

For both eligibility and selection criteria, a distinction can be made between core criteria (applicable to all projects) and detailed criteria (applicable at Measure level). The eligibility criteria are listed below.<sup>15</sup>

#### *c) Core eligibility criteria*

1. The project is transnational. This is defined as follows: In priority 1 and 2, the projects should involve at least three co-operating partners of whom at least one is an ESPON Contact Point. In priority 3, the projects should involve at least six co-operating partners of which at least three are ESPON Contact Points.
2. A Lead Partner has been identified in order to safeguard a reliable project organisation, a sound financial management and a competent project implementation;

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<sup>15</sup> In case of project proposals asking for support from PHARE or other EU sources as a general rule the same minimum requirement and priority criteria will be used. With the agreement of the Transnational Monitoring Committee additional criteria should take into account the specific PHARE or other EU funds issues.

3. The geographic scope of the project is wide enough to deliver a comprehensive contribution to the EU territory on issues addressed. All projects should address the whole EU area as a general rule. Exceptions must be seriously motivated. Projects also ought to consider the coverage of candidate countries and other neighbouring countries when appropriate;
4. The project will bring about tangible and innovative results, is of a complementary character and will not duplicate existing work;
5. Include the description of quantified outputs and / or clear attainable targets to allow for appraisal and ex-post evaluation; for 'study' projects: the project must contribute to the further development of the Interreg Spatial Visions and address one or more priority research topics included in the list published by the Monitoring Committee, if available;
6. The project represents a positive contribution to the programme objectives;
7. The bidding partnership is consistent, i.e. it brings together the relevant partners with the capacity to deliver and make use of project results;
8. The thematic co-ordination and networking with other projects, in particular, with the cross section projects is secured;
9. The project does not receive any other Community support, and applicants have committed themselves not to apply for any such support to finance the activities scheduled in the plan;
10. The solvency of the project 'Lead Partner' is demonstrated or covered by a bank guarantee<sup>16</sup> and the mutual financial and legal responsibilities and controlling of the project partners have been defined in a joint convention;
11. All sections of the application form have been properly and accurately filled in, in particular those relating to the outputs, activity indicators and targets, the management structure and the budget; an original copy of the application signed by a qualified representative of the Lead Partner has been received by the Co-ordination Unit;
12. The project will be completed within the period indicated in the call for tender;
13. The project complies with EU legislation (in particular the rules applying to the eligibility of expenditure of Structural Fund support, to competition policy, to State aid, and to environmental impact assessment);

*d) Detailed eligibility criteria*

14. The project falls within the scope of at least one of the relevant measure (or sub-measure, if any);

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<sup>16</sup> the solvency of public bodies is supposed to be demonstrated

15 The project clearly contributes to at least one of the outputs foreseen for the relevant measure (or sub-measure, if any).

## ***VI.2. Tendering and selection procedures***

The basis for tendering projects shall be specifications, including all the elements for constituting the criteria for award of the contract, when tenders or project proposals are being examined. An important part will be the terms of reference for the ESPON projects.

The tendering of studies will normally follow the procedures as described below. However tendering of small projects in financial terms (such as Data Navigators), which fall below Luxembourg limits for public tendering procedures, might in accordance with the agreement with the Monitoring Committee be contracted without a public tendering.

### *a) A tender notice in the Official Journal (S-series)*

The objective of the tender notice is to invite Europe wide all interested tenderers (potential lead partners of ESPON projects) to express their interest in being invited for making a project proposal under a restricted procedure. The tender notice shall include the criteria for the selection of tenderers. The time limit for receipt of expression of interest shall be at least 37 days from the date of dispatch to the publication office in Luxembourg. The tender notice will mention admissibility and award criteria.

### *b) Selection of potential Lead Partners to be invited to tender*

In preparing for the evaluation of expression of interest, an Opening Committee will register the expression of interest received and examine their admissibility.

The Monitoring Committee will select the potential Lead Partners to be invited to tender on the basis of a recommendation from an Evaluation Group.

The Evaluation Group evaluating the expression of interest will be composed by experts nominated by the Commission and Member States. The evaluation session will imply individual assessments giving a score on the selection criteria and a consensus among evaluators on a total score.

### *c) Letter of invitation to tender to selected potential Lead Partners*

Following the selection of potential Lead Partners by the MC a letter of invitation to submit a tender, including Terms of References agreed by the Monitoring Committee, shall be send simultaneously to the selected candidates by the Managing Authority. The invitation shall as well include specifications on the elements constituting the award criteria and model contract documents. The time limit for interested contractors to submit a tender shall be at least 40 days.

*d) Receipt and opening of tenders*

Potential Lead Partners shall be free to submit their tender by post or personal delivery. The possibility to submit by fax and email will be considered in order to ensure a smooth processing. Confidentiality shall be ensured.

The opening of tenders will be undertaken by an Opening Committee of at least three members. A formal written record of the expression of interest or project proposals opened will be drawn up and signed. The formal requirements shall be inspected, including compliance with the deadline for submission. Tenderers shall upon written request have the possibility to be observers at the opening.

*e) Assessment of submitted tenders*

The Monitoring Committee will make the final decision on which Lead Partner to contract for the individual ESPON projects. The decision will be supported by a report from an evaluation of the tenders by an Evaluation Group.

The assessment of tenders shall be based on the award criteria and other conditions announced. A scoring system will be applied and used by the group of independent evaluators nominated by the Commission and Member States. They will individually assess and score each tender on the award criteria. Hereafter, a consensus meeting shall be convened deciding on the ranking of the tenders. This ranking, including the total scoring and the brief characteristics of the evaluation of each tender will be presented to the Monitoring Committee, who will then meet the final decision.

The decision of the Monitoring Committee shall be communicated in writing within 15 days to all potential Lead Partners submitting a tender.

*f) Contracting of Lead Partners and project partners*

A contract shall be concluded between the selected Lead Partner and the ESPON Managing Authority covering the whole project. The partners of the Transnational Project Group will be subcontracted by the Lead Partner. Lead Partners to be contracted will have to be based in a country being partner in the ESPON programme, who have signed an Agreement with the MA and contributes financially to the programme. There will be no restrictions concerning the country of origin of project partners.

*g) Contract award notice in the OJ (S series)*

Information on the contracting of ESPON projects shall be published in a contract award notice mentioning the contractors selected.

## **VII. FINAL BENEFICIARIES**

The final beneficiaries of all measures are the Transnational Project Groups, which will be formed in a self-organising process (facilitated by ESPON Contact Points), representing spatial research institutes

and/or consultancies from at least three Member States, considering the variety of countries and approaches, will apply for projects tendered under the measures described above. Each Transnational Project Group should employ the Lead Partner Principle where one partner undertakes the financial liability for the whole project and involved partners (see below in detail). The Lead Partner could be a research institute, a private consultancy or an ESPON Contact Point. Bodies from at least six Member States and three ESPON Contact Points should preferably be partners in projects under priority 3. They will represent the national expertise in accordance with the structure of the spatial research institutions of each country.

The Transnational Project Groups will have to involve one ESPON Contact Point, preferably from the Lead Partner country, as a project partner in order to secure constant involvement in the ESPON network. The task of the involved ESPON Contact Point will be to secure the networking and the exchange of opinions with other projects and the Co-ordination Unit.

All projects should be commented by all ESPON Contact Points before their final reports are submitted in order to receive a comprehensive picture of the variety of European approaches.

The whole Transnational Project Group, under the leadership of the Lead Partner, would be responsible and financially accountable for the finalisation of the project carried out under the ESPON programme. Therefore, an agreement/contract should be signed by the different parties involved. Transnational Project Groups will be obliged to stick to the topics outlined in the annual work programme and the project defined in the contract respectively.

The Lead Partner will be contracted by the Managing Authority. The contract will include the Terms of reference and the project proposal, which will define the deliveries of the projects. The contract with the Lead Partner will include a clause on the possibility of sanction for the event that the Lead Partner and the Transnational Project Group does not comply with the provisions made.

The contract covers the carrying through of the whole project financed in equal shares by the ERDF and fully participating partner countries in the ESPON programme. According to the Interreg guidelines the contract will include provisions for only reimbursing ex post eligible expenditure, which will occur from carrying through the project. The contract will allow the contractors to complement the work by own research.

The Lead Partner can compose and contract the research team without restrictions. The Lead Partner subsequently contracts the partners in the Transnational Project Group. Lead Partners have, unless the Monitoring Committee decides otherwise, to be based in a country participating as partner in the ESPON programme.

Being a fully participating country presupposes the signing of an Agreement with the Lead Partner for the ESPON programme, Luxembourg, and a financial contribution to the ESPON programme.

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At least one meeting per year should take place with all Transnational Project Groups, ESPON Contact Points, the Co-ordination Unit, the Monitoring Committee and the currently collaborating partners in specific projects in order to inform participants about the work process and to co-ordinate the study tasks between the different actors. That meeting should also be used to discuss proposals for the work programme for the following year (between the Co-ordination Unit, the ESPON Contact Points and the Monitoring Committee). Apart from these plenary meetings, the TPG's should meet in relation to their ongoing research tasks and as when they require.

## **VIII. PUBLICITY FOR THE CIP**

### **1. Strategic objectives of the communication plan**

The overall aim of the communication strategy is to constantly provide different kinds of stakeholders with adequate and high-quality information about the programme and its development. An efficient communication of information should both increase the political, scientific and public awareness about the programme as well as provide stakeholders with accurate and reliable information and data on the programme and ongoing projects. The communication strategy should as well support a balanced level of information within Member States and provide information as well to candidate countries and neighbouring states.

The communication strategy has served as a basis for the communication plan that defines various information and marketing activities to be carried out throughout the ESPON 2006 Programme period.

### **2 Responsibility**

The Coordination unit will be in charge of the regular handling of information and publicity activities under the supervision of the Managing Authority and of the Monitoring Committee. TPG and ECP will play an important role when it comes to information activities in the respective participating countries.

### **3. Target group**

The target group of the programme is compound and manifold. This implies that the information communicated to different stakeholders has to be adjusted to various needs.

Primarily information should be directed to potential as well as final beneficiaries becoming or being involved in actions taken within the programme. In addition, information should also be provided to relevant public authorities in regional policy, spatial planning and development as well as in relevant sector policies:

- Political actors
- Administrations
- Research community

in particular on the EU and national level. However, representation of regional and local authorities as well as economic and social partners and NGOs at the EU level should be also considered. The partners within the programme and the corresponding ECP have the major responsibility for providing information on the ESPON Programme at the national and regional level. By marketing the programme through

different kinds of media, in particular the Internet, the general public will have the opportunity to become aware of the role played by the European Union in co-operation with Member States.

#### **4. Information sources and means of communication**

Information about the programme will be spread through a variety of channels in order to reach the different stakeholders and raise general awareness. A number of basic sources of information as well as some essential means of communicating this information serve as a basis for a constantly broad and a deep communication of programme-related information.

##### **4.1. ESPON 2006 Programme (CIP)**

The work within the programme evolves around the Community Initiative Programme. All relevant background information about the programme, as well as its priorities, measures and means of implementation are described in this document.

##### **4.2. ESPON 2006 Programme Complement**

The Programme Complement gives a detailed picture of e.g. the measures, their scope and objectives, as well as expected outputs, results and impacts. In addition to this, the principles for assessment, evaluation and monitoring of the projects are depicted.

##### **4.3. The ESPON web-site at [www.espon.lu](http://www.espon.lu) (later on [www.espon.eu](http://www.espon.eu))**

The Coordination Unit provides continuously information about the programme. The secretariat could be contacted by telephone, fax, e-mail, via web sites as well as visits.

The programme's Web-site serves as the main source for a direct and immediate flow of information. The web site is constantly updated and filled with relevant information and data on e.g. ongoing projects (e.g. terms of reference, selected tender, interim and final results), as well as facts and figures about the programme and its implementation. Hyperlinks to relevant web-sites such as the European Commission and other INTERREG programmes are to be included as well as to other applicable sites of the EC and to relevant institutions and organisations acting in the context of the ESPON.

The homepage (starting page on the web-site) of the ESPON CU will include a news section on latest news as well as brief text and an interesting map produced within the programme. The news section will give a direct and up to date overview of the latest news on issues connected to the programme and its implementation. It will be updated constantly as new relevant information develops. In that respect the Web site will perform as the newsletter of the ESPON programme.

The above-mentioned sections of the Web-site are to be public, open for every interested Internet user. It will as well include links to web-sites of ESPON Contact Point and to other related and relevant sources of information. In addition, a platform (with restricted access) will be created to provide incentive to networking and co-operation among project partners.

Target group: ESPON lead partners and project partners, stakeholders, potential beneficiaries, wider public.

Output indicator: number of visits to the website year by year.

Result indicators: Up-to-date level of information on new directions of the programme, better quality of project applications, better co-operation and synergy among project partners (final beneficiaries), level of knowledge in the public on the programme, level of awareness of the general framework of the programme.

#### **4.4 ESPON folder and publications**

The ESPON CU will produce a folder informing on the ESPON programme.

In connection to e.g. seminars and conferences a range of information material will be produced by the Coordination Unit and the Transnational project groups in order to meet the needs of information at each specific occasion. Information material and project reports produced by the final beneficiaries in the framework of the project work will also be collected and display on the homepage.

The ESPON programme does not provide a budget for printed publications. However, if it can bring added value and the budget allows for it, a very limited number of printed publications could be a possibility. This would require additional Commission and or national support.

Target group: specific thematic or sector related potential final beneficiaries, Lead Partners and project partners working in related sectors, wider public.

Output indicator: number of copies distributed on average at each occasion an per year.

Result indicator: well informed target group, see above.

#### **4.5. The programme database**

It is intended to develop a programme data base as a basis for the ESPON website which relies on external support. Links to other data bases such as the ESPRID project should be considered. The database should serve as a main source for both quantitative and qualitative data on projects and projects' achievement.

Target group: The network and TPG but also the wider research community.

Output indicator: number of hits to consult the database.

Result indicator: well informed target group see, above.

#### **4.6. Participation in external events**

The CIP already indicates that the programme relies on external support for the dissemination of results. Interact and the Commission's support was mentioned.

The programme should in general be marketed at external events. At these occasions information is given on progress made and intermediate results. At transnational events, the MA and Coordination Unit meet promotion tasks depending on staff resources and travel limitations.

In support of the marketing of the ESPON a foldable stand will be produced, which can be displayed at conferences etc..

Target group: The Commission Subcommittee to the CDCR on urban and territorial matters, International potential beneficiaries like pan-Baltic organisations, all parties interested in Interreg programmes, scientific seminars and conferences, TPG meetings, etc.

Output indicator: number of events CU, ECP or TPG participated in.

Result indicator: well informed potential and final beneficiaries, level of knowledge in the target groups on the programme, level of awareness of the general framework of the programme.

#### **4.7. ESPON Contact Point briefings**

As it is pointed out in the CIP not all costs of the ESPON Contact Points can be covered by the projects and, therefore, part of the costs will need to be fully financed by the participating states. (The tentative list of tasks which can be financed by the programme and those which will have to be financed by the participating national states on a 100 percent base is attached in annex 2 of the CIP). The list foresees that meetings between the Co-ordination Unit and the ESPON Contact Points will have to take place approximately once a year (see point B.7 of Annex 2 of the CIP). In order to balance the burden of those meetings, due to different travel and meeting costs for the ESPON Contact Points from the different Member States, the technical assistances will finance the travel costs of one member of the ESPON Contact Point per Member State and the related cost of the Co-ordination Unit per year.

Target group: ESPON Contact Points

Output indicator: number of events and number of participants

Result indicator: well informed TPG, level of knowledge in the target groups on the programme, level of awareness of the general framework of the programme.

#### **4.8 Lead Partner briefings**

The whole programme implies a strong co-ordination between all Transnational Project Groups as all groups supposed to work with co-ordinated categories and contribute to a common result. It is of utmost importance and considerable adds to the value of the projects and the programme that the Co-ordination Unit is enabled to inform and brief all Transnational Project Groups and ESPON Contact Points on the methods, processes, milestones and obstacles of the ESPON 2006 programme. It must also be borne in mind that the competitive selection procedure will result in a selection of a broad variety of institutes which will need to be informed and briefed periodically. Seminars should be organised at least twice a year. These seminars would allow to directly inform the Members of the Monitoring Committee about the

ongoing projects and to exchange ideas on the orientation of results for researchers and policy makers. The measure covers the cost of the organisation of the meetings and invitation of experts.

Target group: TPG, ECP, MC,

Output indicator: number of Lead partners and project partners participating.

Result indicator: well prepared monitoring and financial reports, positive image of the programme's implementation and administration procedures, high cost-effectiveness between implementation and administration costs in relation to programme work and produced outputs at project and programme level.

#### **4.9. Internal information flow**

In order to enable the flow of information between the various management units of the programme, i.e. between the Monitoring Committee, the joint secretariat, the managing and paying authority, regular reports on progress of programme implementation will be produced and disseminated, in writing and orally, mainly at MC meetings. Regular MC meetings and contacts between the different units and actors will moreover complete the information reported.

#### **4.10. Media**

The information on the ESPON programme and results of the projects should as well be able to attract some media interest. Press conferences, press releases and other kind of media (TV and radio) will be sought activated when issues of interest arise relevant for policy development and the general public. However, the level of activity will be pending on staff resources.

Target group: press directed at regional and transnational issues, sector specific media.

Output indicator: number of references made in different media.

Result indicator: better knowledge and awareness of the programme, on territorial cohesion matters and of the role played by the European Union's ERDF programmes.

**Budget for publicity actions**

|  | <b>2002<br/>in €</b> | <b>2003-2006<br/>Average annual in €</b> | <b>2002-2006<br/>Total in €</b> |
|--|----------------------|--|---------------------------------|
| <b>Under Priority 4<br/>Total</b>  | <b>48.000</b>        | <b>48.000</b>                            | <b>240.000</b>                  |
| Measure 4.2. ESPON<br>Contact point briefings                                | 24.000               | 24.000                                   | 120.000                         |
| Measure 4.3. Lead Partner<br>briefing/ seminars                              | 24.000               | 24.000                                   | 120.000                         |
| <b>Under Priority 5 (TA)<br/>(Measure 5.2. information<br/>action) Total</b> | <b>12.000</b>        | <b>32.000</b>                            | <b>140.000</b>                  |
| The ESPON web site   | 10.000               | 5.000                                    | 30.000                          |
| Publication of folder,<br>documents, etc.                                    | 0                    | 5.000                                    | 20.000                          |
| Data base, CD, models  | 0                    | 10.000                                   | 40.000                          |
| Public relation, media, press<br>communication                               | 2.000                | 5.000                                    | 22.000                          |
| Marketing material, incl.<br>stand for external events                       | 0                    | 7.000                                    | 28.000                          |
| <b>Total for information<br/>action</b>                                      | <b>50.000</b>        | <b>80.000</b>                            | <b>380.000</b>                  |

## IX. INFORMATION SYSTEMS

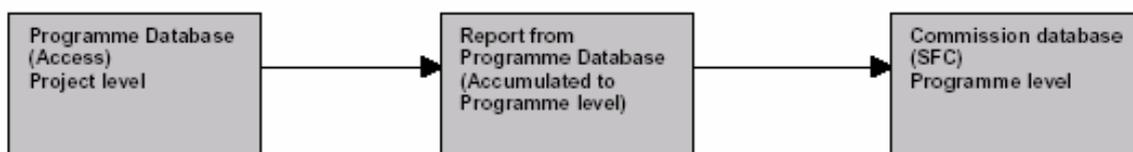
*Reference: Art. 18(3) of Reg. (EC) 1260/1999, draft implementing regulation on monitoring and controls systems: Standardised and computerised exchange of data for management, monitoring and evaluation:*

For the 2000-2006 programming period, the financial management of the Structural Funds has been largely decentralised. The Managing Authority has the responsibility for running the ESPON programme in agreement with the Commission. In addition, the Paying Authority must ensure that all the payments declared to the Commission comply with Community rules regarding eligibility and are in line with Community policies.

In establishing clear lines of responsibility, it is important to ensure high-quality management and control systems. According to Council Regulation (EC) No 1260/1999 Article 18(3)(e), a description of the computerised exchange of data between the Commission and the Member States has to be provided for each intervention. The ESPON Co-ordination Unit has been delegated by the Paying Authority to carry out the exchange of the computerised data to enable the management, monitoring and evaluation procedures agreed upon.

The Commission has created a database, the Structural Funds Common database (SFC), which is the database collection of the financial plans, expense declarations, annual reports and expense forecasts as described in the Vademecum to the Structural Funds Rules for 2000-2006. The interactive application used to access the SFC database is called the SFC application. It is a Web-like application allowing inputs and consultation by staff inside the Commission, the Paying Authority and by persons in the Co-ordination Unit.

### Flowchart of the IT-structure for the data link



The information on project level will be kept in an Access database (to be constructed) built for the purpose of the ESPON Programme. The Co-ordination Unit is responsible for building the Programme database in order to fulfil the requirements set up in Commission Regulation (EC) No 438/2001. The Programme database will be used to inform the Monitoring Committee and as a link to information about projects being displayed on the Programme's homepage.

Based on the data in the Programme database the information needed on the Programme level will be typed into the SFC application. The use of the SFC application for the ESPON Programme covers the

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following items: Financial tables of the CIP, Financial tables of the Programme Complement, Payment requests, Forecast for payments and Annual reports.

The purpose is to secure the exchange of data. In order to enable the responsible authorities in the participating countries to follow the development of the funding of the ESPON Programme, further work is needed.

## **X. TECHNICAL ASSISTANCE**

The presentation of the implementation of the technical assistance is divided into two measures referring to the Commission Regulation 1685/2000<sup>17</sup> Rule No. 11 point 2.5 on “cost incurred in the management and implementation of Structural Funds”<sup>18</sup> – introduced under measure 5.1. “implementation, management and monitoring” - and other cost referring to the same rule 11 under point 3<sup>19</sup> which are reserved for some very specific tasks – introduced under measure 5.2. “information, publication and evaluation”.

### **Measure 5.1.: Management, implementation, monitoring and control**

Measure 5.1. covers costs related to management, implementation, monitoring and control encompassing costs of the Co-ordination Unit and the Monitoring Committee external experts and miscellaneous.

The core of management and monitoring will be taken on by the Co-ordination Unit (CU) according to the Commission Regulation 1685/2000<sup>20</sup> Rule No. 11 point 2.5 on “cost incurred in the management and implementation of Structural Funds”. It will provide appropriate resources to implement the overall Programme strategy, including publicity and promotion. It will be responsible for the co-ordination of the network together with the co-ordination of projects under priority 3 and will implement priority 4 following the decisions of the Monitoring Committee.

Qualifications expected in the Co-ordination Unit will include in-depth knowledge of the EU institutions and of Structural Funds regulations and procedures, expertise in European territorial development issues, as well as a capacity to promote mutual understanding between various national and regional cultures. This will require a good coverage of the EU official languages among the Secretariat staff. Employees having regular contact with applicants and other partners will be proficient in at least one, and demonstrate a good command of at least one other of these languages. The detailed Co-ordination Unit responsibilities and tasks are listed in the CIP, Section V. Costs are calculated on the assumption that the core staff will comprise three people who will be complemented by, in average, two experts from the Member States. This calculation also considers the workspace for the additional national experts.

When necessary, the Co-ordination Unit may also resort external expertise, in particular for the selection and assessment of projects and the tendering of mid term and ex-post evaluations with the agreement of the Monitoring Committee and the Managing Authority. In summary, external expertise is envisaged to assist the gathering and processing of data, for example to develop the computerised financial

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<sup>17</sup> OJ No. L 193, 29.7.2000

<sup>18</sup> Which is limit to 5 % of the total contribution.

<sup>19</sup> Which allow exceeding the technical assistance above 5%.

<sup>20</sup> OJ No. L 193, 29.7.2000

programme management system. This also applies to the collection and integrated management of data related to the territorial development of the EU. However, as the bulk of this information will, in principle, be produced by the study projects, technical assistance in this area should be limited to co-ordination activities. Decisions about the missions delegated to external expertise shall be taken by the Monitoring Committee.

Further expenditure is related to the meetings of the Monitoring Committee and to the travel costs of the Members of the Monitoring Committee. Four Monitoring Committee meetings per year of the EU members (of which one meeting per year could provide support for observer members) are planned. These costs are calculated under the assumption that the regular meetings of the Monitoring Committee can be combined with those of the CDCR. Therefore, only the costs for the participation of one member per Member State in the Monitoring Committee can be covered. Due to the low overall budget of the whole programme, there will not be the possibility to provide translation in the meetings.

Annex 2 provides an overview of the calculated cost for this measure. At the meeting on 13 December 2000, the Luxembourg Ministry of the Interior offered to the CSD to cover the costs of the Co-ordination Unit beyond the 5% technical assistance of the programme.<sup>21</sup>

### **Ex-ante evaluation on the level of measure 5.1.**

| <b>Objectives/priorities/<br/>measure</b>              | <b>Impacts/results/<br/>Output</b>   | <b>Indicators</b>  | <b>Quantification</b>                  |  |
|--|--|--|--|--|
|  |  |  | <b>2002-04</b>                         | <b>2002-06</b>                         |
| <b>Measures</b>  | <b>Output</b>  | <b>Description</b>   |  |  |
| <b>5.1.: Management, monitoring and implementation</b> | The output indicators relate to the results defined above for this priority. | <ul style="list-style-type: none"> <li>- Number of projects contracted (priority 1-3)</li> <li>- Number of Monitoring Committee meetings (four per year)</li> <li>- Number of MC meetings with observer participation</li> </ul> | <p>20</p> <p>12</p> <p>12</p> <p>3</p> | <p>30</p> <p>24</p> <p>20</p> <p>6</p> |

<sup>21</sup> However, measure 5.1. covers more items than the Co-ordination Unit. Consequently the costs of this measure, now after the deduction of the Luxemburg contribution of the technical assistance had to be calculated for 7 %, exceeding the usual ceiling of 5 % of technical assistance for management and monitoring which is possible for duly justified cases. The specific situation in this case lies in the small budget of the whole programme in relation to the necessary functions which need to be provided to all projects of the whole programme under the technical assistance.

### **Measure 5.2.: Information, publication and evaluation**

According to the Commission Regulation 1685/2000<sup>22</sup> Rule No. 11 point 3 on “cost incurred in the management and implementation of Structural Funds”, the following kind of tasks are not subject to the condition of the 5% rule (cost under this measure accumulate to 2 %), in particular :

- *Information action;* The distribution and flow of information on the ongoing research studies and their outcome are essential assets of the programme. Access to and discussions about information and results should not be limited to the directly participating institutes, there must also be an opportunity to offer these to the outside world to partly participate in the network. Information action should be taken via the Internet in the first place. However, the study programme proved that printed reports are of utmost importance to disseminate information. Concerning the exchange of information, the UK delegation supports the information base ESPRID that could be involved in particular for the external communication of results.
- *Evaluation;* Structural Funds Regulation require an intermediate and ex-post evaluation of the Programme, details are to be decided by the Monitoring Committee.
- *Acquisition and installation of computer systems for management, monitoring and evaluation.* The programme involves 15 Member States plus third countries and nearly 20 projects over the whole period.

As indicated above, the promotion strategy and the project development process will be undertaken in close consultation with the Monitoring Committee. Therefore, technical assistance will equally be made available to support the activities of the network by means of information actions, seminars with all Transnational Project Groups, evaluations and the installation of computer systems for management, monitoring and evaluation.

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<sup>22</sup> OJ No. L 193, 29.7.2000

**Ex-ante evaluation on the level of measure 5.2.**

| Objectives/priorities/<br>measure                    | Impacts/results/<br>output   | Indicators   | Quantification                     |                                     |
|--|--|--|------------------------------------|-------------------------------------|
|  |  |  | 2002-04                            | 2002-06                             |
| <b>Measures</b>                                      | <b>Output</b>  | <b>Description</b>   |                                    |                                     |
| <b>5.2.: Information, publication and evaluation</b> | The output indicators relate to the results defined above for this priority. | Number of publications organised (no finances available)<br>Number of visitors of the ESPON web site homepage<br>- in total<br>- internal<br>- external<br>Evaluation study tendered | 2<br><br>4000<br>1500<br>2000<br>1 | 5<br><br>10000<br>3000<br>7000<br>2 |

**Ex-ante evaluation on the level of priority**

| Objectives/priorities/measures | Impacts/results/measures  | Indicators  | Quantification  |  |
|--------------------------------|---|---|---|--|
|                                |   |   | 2002-04   | 2002-06  |
| <b>Priority 5</b>              | <b>Results</b>  | <b>Description</b>  |   |  |
| <b>Technical assistance</b>    | Results are mostly of a qualitative nature and are related to the smooth and efficient running of the programme. It has to be reminded that the core of the implementation of the whole programme, the Co-ordination Unit, is not financed under the programme. | - Number of projects contracted<br>- (priority1-3)<br>- Number of Monitoring Committee meetings (four per year)<br>- Number of Monitoring Committee meetings with the participation of observers<br>Number of publications organised (no finances available)<br>Number of visitors of the ESPON web site homepage<br>- in total<br>- internal<br>- external<br>- Evaluation | 20<br>12<br>12<br><br>3<br><br>2<br><br>4000<br>1500<br>2000<br>1 | 30<br>24<br>20<br><br>6<br><br>5<br><br>10000<br>3000<br>7000<br>2 |

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|  |  |                   |  |  |
|--|--|-------------------|--|--|
|  |  | study<br>tendered |  |  |
|--|--|-------------------|--|--|

### Annex 1: Financial table for the programme complement, by priority and measure in million Euro

Reference: Art. 18(3), 29(2) and (3) Reg. EC No 1260/1999

Commission reference No for the CIP concerned: CIP 2001 RG 16 0 PC 013 decision C(2002) 790

Title: *The ESPON 2006 Programme*

Date of the last Commission decision for the CIP concerned: 03/06/2002

| In Million EURO  |                 | Field of assistance | Total Costs | Total eligible Costs (1) | Public Expenditure (*) - eligible |                  |                 |                        |       | Private funding | other (Lux. Contrib.) | Other financial instr |                       |       |
|------------------|-----------------|---------------------|-------------|--------------------------|-----------------------------------|------------------|-----------------|------------------------|-------|-----------------|-----------------------|-----------------------|-----------------------|-------|
| Priority/measure | (1) (2)         |                     |             |                          | (3)                               | (4) = (5) + (11) | (6) = (7) + (9) | Community Contribution |       |                 |                       |                       | National contribution |       |
|                  |                 |                     |             |                          |                                   |                  |                 | Total Public (*)       | Total |                 |                       |                       | ERDF                  | Total |
| 1                | Priority 1:     | 181                 | 4,300       | 4,300                    | 4,300                             | 2,150            | 2,150           | 2,150                  | 2,150 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 1.1.    | 181                 | 1,600       | 1,600                    | 1,600                             | 0,800            | 0,800           | 0,800                  | 0,800 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 1.2.    | 181                 | 1,300       | 1,300                    | 1,300                             | 0,650            | 0,650           | 0,650                  | 0,650 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 1.3.    | 181                 | 1,400       | 1,400                    | 1,400                             | 0,700            | 0,700           | 0,700                  | 0,700 | 0               | 0                     | 0                     |                       |       |
| 2                | Priority 2:     | 181                 | 3,494       | 3,494                    | 3,494                             | 1,747            | 1,747           | 1,747                  | 1,747 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 2.1.    | 181                 | 1,350       | 1,350                    | 1,350                             | 0,675            | 0,675           | 0,675                  | 0,675 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 2.2.    | 181                 | 1,400       | 1,400                    | 1,400                             | 0,700            | 0,700           | 0,700                  | 0,700 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 2.3.    | 181                 | 0,744       | 0,744                    | 0,744                             | 0,372            | 0,372           | 0,372                  | 0,372 | 0               | 0                     | 0                     |                       |       |
| 3                | Priority 3:     | 181                 | 2,600       | 2,600                    | 2,600                             | 1,300            | 1,300           | 1,300                  | 1,300 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 3.1.    | 181                 | 1,300       | 1,300                    | 1,300                             | 0,650            | 0,650           | 0,650                  | 0,650 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 3.2     | 181                 | 1,300       | 1,300                    | 1,300                             | 0,650            | 0,650           | 0,650                  | 0,650 | 0               | 0                     | 0                     |                       |       |
|                  | Priority 4      |                     | 0,520       | 0,520                    | 0,520                             | 0,260            | 0,260           | 0,260                  | 0,260 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 4.1.    |                     | 0,280       | 0,280                    | 0,280                             | 0,140            | 0,140           | 0,140                  | 0,140 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 4.2.    |                     | 0,120       | 0,120                    | 0,120                             | 0,060            | 0,060           | 0,060                  | 0,060 | 0               | 0                     | 0                     |                       |       |
|                  | Measure 4.3.    |                     | 0,120       | 0,120                    | 0,120                             | 0,060            | 0,060           | 0,060                  | 0,060 | 0               | 0                     | 0                     |                       |       |
| 4                | Priority 5: TA  |                     | 3,149       | 1,086                    | 1,086                             | 0,543            | 0,543           | 0,543                  | 0,543 | 0               | 2,063                 | 0                     |                       |       |
|                  | TOTAL           |                     | 14,063      | 12,000                   | 12,000                            | 6,000            | 6,000           | 6,000                  | 6,000 | 0               | 0                     | 0                     |                       |       |
|                  | Total for ERDF  |                     | 12,000      | 12,000                   | 12,000                            | 6,000            | 6,000           | 6,000                  | 6,000 | 0               | 0                     | 0                     |                       |       |
|                  | Total for ESF   |                     |             | 0                        | 0                                 | 0                | 0               | 0                      | 0     | 0               | 0                     | 0                     |                       |       |
|                  | Total for EAGGF |                     |             | 0                        | 0                                 | 0                | 0               | 0                      | 0     | 0               | 0                     | 0                     |                       |       |
|                  | Total for FIFG  |                     |             | 0                        | 0                                 | 0                | 0               | 0                      | 0     | 0               | 0                     | 0                     |                       |       |

(\*) Without Luxembourg's contribution for the coordination unit. There is only Central and no regional local contribution, see also column "other (Lux. contribution)".

## **Annex 2: Financial Table of national part financing, contribution of Member States**

According to chapter 4 of the CIP the Member States transfer their co-financing share of the programme to a common account at the paying authority. Co-financing will be made available to the beneficiaries by the payment authority together with the ERDF contribution.

**national contributions to the programme per year in EURO on the base of cost of 2 MEURO per year (in Euro)**

| Member State      | Total national contribution for the whole programme | National average per year (assuming 5 years) 50% (2) <sup>1</sup> | National share of the contribution to the Community budget (actual 1998) (3) <sup>2</sup> |
|-------------------|---|---|---|
| Belgium           | 357.000   | 71.400  | 3.8   |
| Denmark           | 331.500   | 66.300  | 2.1   |
| Germany           | 676.500   | 135.300   | 25.1  |
| Greece            | 324.000   | 64.800  | 1.6   |
| Spain             | 405.000   | 81.000  | 7.0   |
| France            | 547.500   | 109.500   | 16.5  |
| Ireland           | 318.000   | 63.600  | 1.2   |
| Italy             | 493.500   | 98.700  | 12.9  |
| Luxembourg        | 304.500   | 60.900  | 0.3   |
| Netherlands       | 393.000   | 78.600  | 6.2   |
| Austria           | 337.500   | 67.500  | 2.5   |
| Portugal          | 319.500   | 63.900  | 1.3   |
| Finland           | 321.000   | 64.200  | 1.4   |
| Sweden            | 343.500   | 68.700  | 2.9   |
| UK                | 528.000   | 105.600   | 15.2  |
| non-Member-States |   |   |   |
| <b>Total</b>      | <b>6.000.000</b>                                    | <b>1.200.000</b>  | <b>100</b>  |

<sup>1</sup> on the base of the national share of the contribution to the Community budget (actual 1998). 75 % of the budget is distributed on an equal share base and 25% in relation to the national share contribution to the Community budget noted in column 3.

<sup>2</sup> rounded as a sum of the column; source: Court of auditors' annual report for the year 1998 in O.J. of the 3.12.1999, p. 13

**Annex 3: Overview on the state of progress and the timing of the terms of reference**

| P (Priority) / M (Measure) / A (Action=Project tender)                | Envisaged tendering date |                   |                  |                      |
|---|--------------------------|-------------------|------------------|----------------------|
|   | 2002 first round         | 2002 second round | 2002 third round | 2003-04 fourth round |
| <b>P.1. Thematic projects on important spatial developments</b>       |                          |                   |                  |                      |
| <b>M.1.1. Polycentric development and urban-rural relations</b>       |                          |                   |                  |                      |
| A.1.1.1. Urban areas as nodes of a polycentric development            | X                        |                   |                  |                      |
| A.1.1.2. Urban-rural relations  | X                        |                   |                  |                      |
| A.1.1.3. Enlargement and beyond for the spatial tissue                |                          | X                 |                  |                      |
| A.1.1.4. Demographic trends and migration                             |                          |                   | X                |                      |
| <b>M.1.2. Access to infrastructure and knowledge</b>                  |                          |                   |                  |                      |
| A.1.2.1. transport networks, basic supply                             | X                        |                   |                  |                      |
| A.1.2.2. (tele-)communication, energy, basic supply                   | X                        |                   |                  |                      |
| A.1.2.3. Aspects of the information society                           |                          |                   |                  | X                    |
| <b>M.1.3. Natural and cultural heritage</b>                           |                          |                   |                  |                      |
| A.1.3.1. Management of natural and technological hazards              |                          | X                 |                  |                      |
| A.1.3.2. Management of the natural heritage                           |                          | X                 |                  |                      |
| A.1.3.3. Spatial effects of cultural heritage and identity            |                          |                   |                  | X                    |
| <b>P.2. Policy impact projects</b>                                    |                          |                   |                  |                      |
| <b>M.2.1. The territorial effects of sector policies</b>              |                          |                   |                  |                      |
| A.2.1.1. The EU infrastructure policy                                 | X                        |                   |                  |                      |
| A.2.1.2. EU R&D policy  | X                        |                   |                  |                      |
| A.2.1.3. EU Agricultural Policy                                       | X                        |                   |                  |                      |
| <b>M.2.2. Structural Funds and related Funds</b>                      |                          |                   |                  |                      |
| A.2.2.1. Structural Funds   |                          | X                 |                  |                      |
| A.2.2.2. Pre-accession aid/Tacis                                      |                          |                   | X                |                      |
| A.2.2.3. Structural Funds in urban areas                              | X                        |                   |                  |                      |
| <b>M.2.3. Institutions and instruments of spatial policies</b>        |                          |                   |                  |                      |
| A.2.3.1. The ESDP in the Member States                                |                          |                   |                  | X                    |
| A.2.3.2. Co-ordination of territorial and urban oriented policy       |                          |                   |                  | X                    |
| <b>P.3. Co-ordinating cross-thematic projects</b>                     |                          |                   |                  |                      |
| <b>M.3.1.</b> (= A.3.1.) Integrated tools for the spatial development | X                        |                   |                  |                      |
| <b>M.3.2.</b> (= A.3.2.) Spatial scenarios and orientations           |                          |                   |                  | X                    |
| <b>P. 4. ESPON Research briefing and scientific networking</b>        |                          |                   |                  |                      |

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| <b>M.4.1. Data navigator: preparatory surveys on data access</b> | <b>20</b> |  |  |  |
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***Annex 4: Terms of reference of all actions***