

## Annexes to the Scientific report

### A1 List of indicators developed and datasets provided to the ESPON Database

According to the fields of exposure the following sensitivity indicators were developed.

Exposure Field	Sensitivity Field	Source
erosion	% areas at risk of soil erosion	CLC
pollutants in soil	(pop+empl)/usable land	ESPON
share of artificial areas/soil sealing	% artificial area	CLC
water consumption	% inland water	ESPON on CLC
pollutants in ground/surface water	(pop+empl)/usable land	ESPON
pollutants in air	concentration of PM10	5 <sup>th</sup> Cohesion Report
emissions of CO <sub>2</sub>	((vehicles per 1000 inhab)+(dens pop))/2	EUROSTAT+ESPON
heavy rain/flood hazard/occurrence of landslides	risk of flood hazard	ESPON
biodiversity	areas in Natura2000	University of Natural Resources and Life Sciences, Vienna
conservation of natural heritage (landscape diversity)	% natural areas	DG Agriculture – Rural Development Report
conservation of cultural heritage	n° of TCI 3-stars	ESPON ATTREG Project
economic growth (GDP/capita)	GDP per capita	ESPON
entrepreneurship	% self employment	EUROSTAT
employment in primary sector	GDP per capita	ESPON
% of arable area, permanent grass area, permanent crops area	% agricultural areas	ESPON on CLC
overnight stays	nights on population	EUROSTAT+ESPON
disposable income in PPS per capita	disposable income per capita	ESPON
equal income distribution	poverty index	5 <sup>th</sup> Cohesion Report
employment rate	unemployment rate	5 <sup>th</sup> Cohesion Report
out-migration/brain drain/"shrinking regions"	net migration balance	5 <sup>th</sup> Cohesion Report
number of people exposed to noise	% population in urban areas	CLC
accident rate in transport	road fatalities	5 <sup>th</sup> Cohesion Report
accident risk: industry/energy supply	technological &/or environmental risk	ESPON
healthy life expectancy at birth	life expectancy at birth	EUROSTAT
daily accessibility by air	potential accessibility by air	ESPON Data Base
daily accessibility by road	potential accessibility by road	ESPON Data Base
daily accessibility by rail	potential accessibility by rail	ESPON Data Base
renewable energy	vulnerability to climate change	5 <sup>th</sup> Cohesion Report
fossil fuel consumption	vulnerability to climate change	5 <sup>th</sup> Cohesion Report
increase of urbanization relative to population growth	% discontinuous urban fabric	ESPON on CLC

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### A3 List of missing indicators and data

Subject or Topic	Data missing for
% areas at risk of soil erosion	BE10, CH, CY, ES (30, 53-70), FR (91-94), GR (30-41), IS, LI, MT, NO, PT (20-30), SE, SK01, UK11,
Corine Land Cover	CH, NO, LI, IS, PT (20-30), FR (91-94)
PM10 concentration	CH, ES70, FR (91-94), IS, LI, NO,
Vehicles per 1000 inhab	Fr (91-94), IS, PT (20-30),
% Natura 2000 areas	CH, FR (91-94), IS, LI, NO, UK
% natural areas	CH, FR (91-94), IS, LI, NO, PT (20-30)
GDP per capita	LI
Innovation	all regions
% self-empl on employment	LI
Market barriers	all regions
Empl primary sector – GDP per cap	LI
Corine Land Cover	CH, NO, LI, IS, PT (20-30), FR (91-94)
Empl secondary sector – GDP per cap	all regions
Empl tertiary sector – GDP per cap	all regions
Total overnight stay per total population)	ES(63-63), FR (91-94)
Disposable income per capita	CH, IS, LI, NO
Income distribution (Poverty index)	CH, FR (91-94), IS, LI, NO
Net migration balance	CH, IS, LI, NO, UKM5,
% Population in urban areas	CH, IS, LI, NO
Road fatalities	CH, IS, LI, NO, PT(20-30)
Env/tech risk	IS, LI,
By air	FR (91-94), PT(20-30)
By water	all regions
By road	FR (91-94), PT(20-30)
By rail	FR (91-94), PT(20-30)
Vulnerability to climate change	CH, ES70, FR (91-94), IS, LI, NO, PT(20-30)
% of discontinuos urban fabric	CH, FR (91-94), PT(20-30)
mixed land use	all regions
efficiency of government/governance mechanisms	all regions
duration or complexity of planning procedures	all regions
participation rate	all regions
societal transfers (e.g. tax added)	all regions
transnational cooperation of regions	all regions

#### **A4 List of abbreviations and glossary**

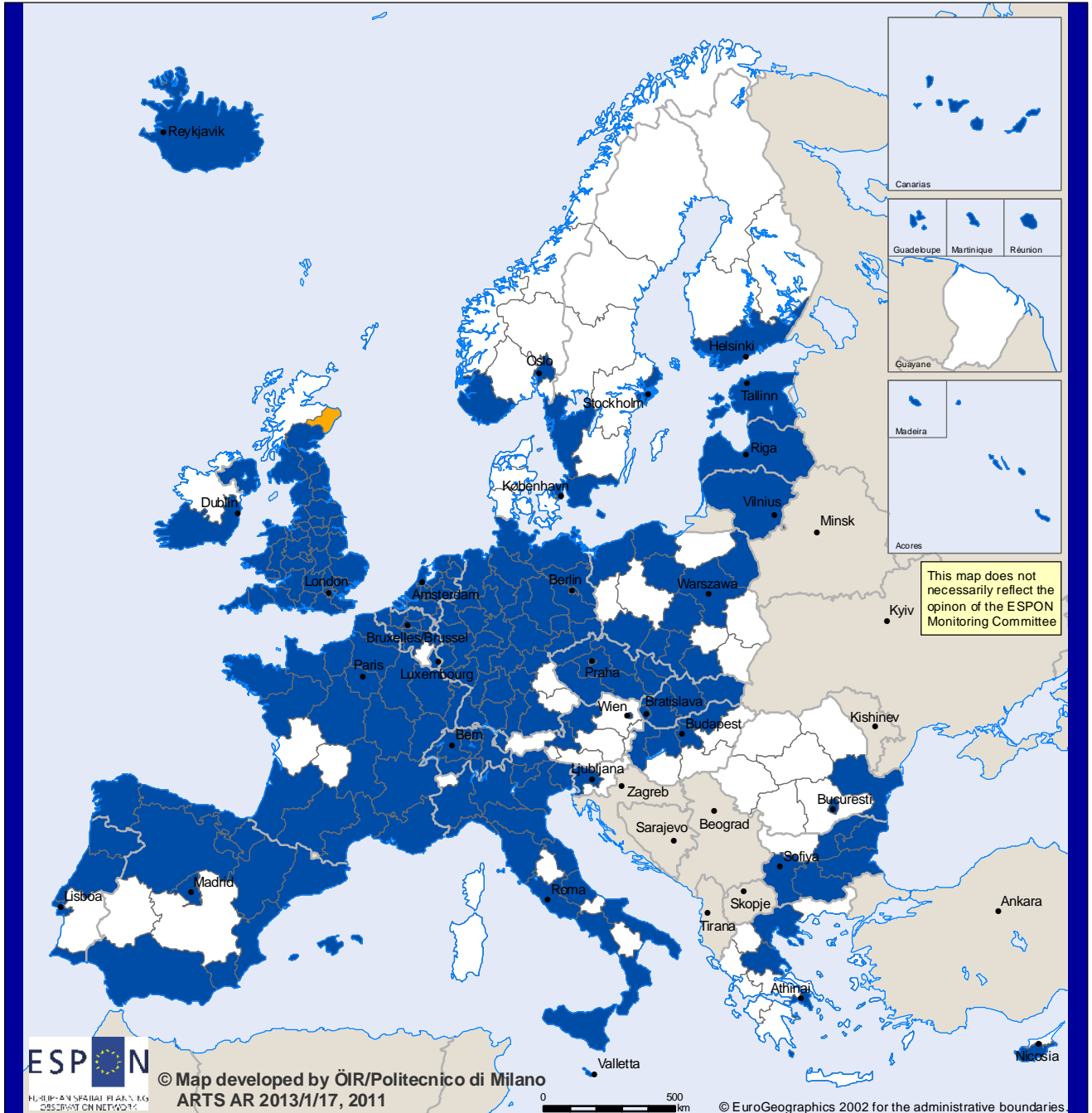
ARTS	Assessment of Regional and Territorial Sensitivity
CAP	Capita
CO <sub>2</sub>	Carbon Dioxide
DB	Database
EC/CE	European Commission
EU	European Union
EXP	Exposure
GDP	Gross Domestic Product
GVA	Gross Value Added
HNI	High negative impact
HPI	High positive impact
IA	Impact Assessment
IPPC	Intergovernmental Panel on Climate Change
KIS	Keep It Simple
LPD	Legislation, Policies and Directives
NUTS	Nomenclature of Statistical Territorial Units
PIM	Potential Impact
PPS	Purchasing Power Standard
REM	Regional Exposure Matrix
REX	Regional Exposure
RSM	Regional Sensitivity Matrix
S	Sensitivity
TIA	Territorial Impact Assessment
TIM	Territorial Impact Matrix
ToR	Terms of Reference
WFD	Water Framework Directive

## **A5 Additional maps not included in the core text of the report**

- Map A5 1: Regions affected by Directive on air quality
- Map A5 2: Regions affected by the Waterframework Directive
- Map A5 3: Regions affected by the Seweso Directive
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- Map A5 6: Regions affected by Directive on promotion of use of biofuels (branch b)
- Map A5 7: Regions affected by Directive on recognition of qualifications (branch a)
- Map A5 8: Regions affected by Directive on recognition of qualifications (branch b)
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- Map A5 10: Regions affected by Directive on sustainable use of pesticides (branch a)
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- Map A5 13: Regions affected by Directive on clean and energy-efficient road transport vehicles (branch b)
- Map A5 14: Regions affected by Directive on the energy performance of buildings



# ESPON ARTS

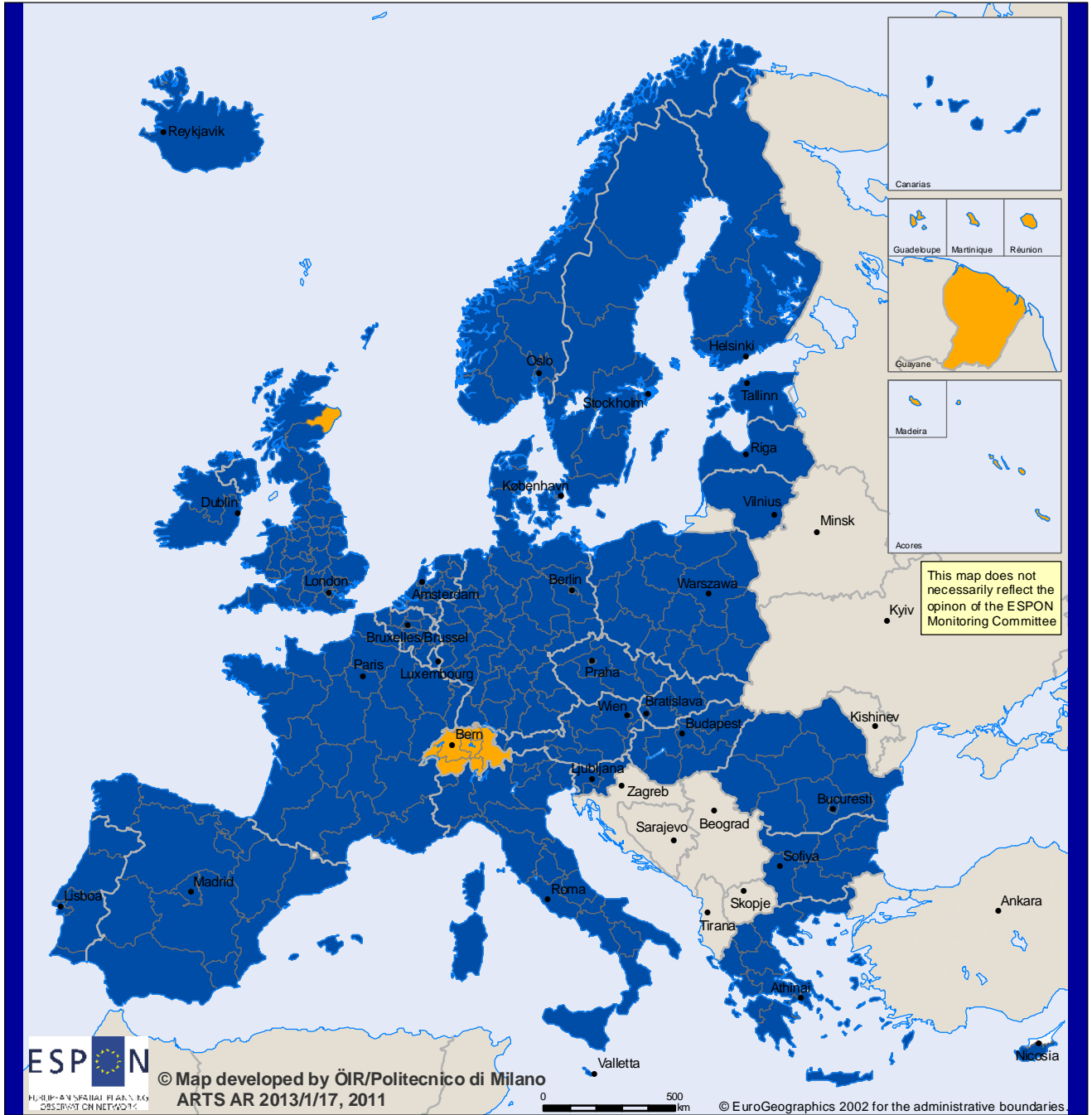


## Regions affected by Directive on air quality

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: urban, agglomerated, industrial regions

# ESPON ARTS

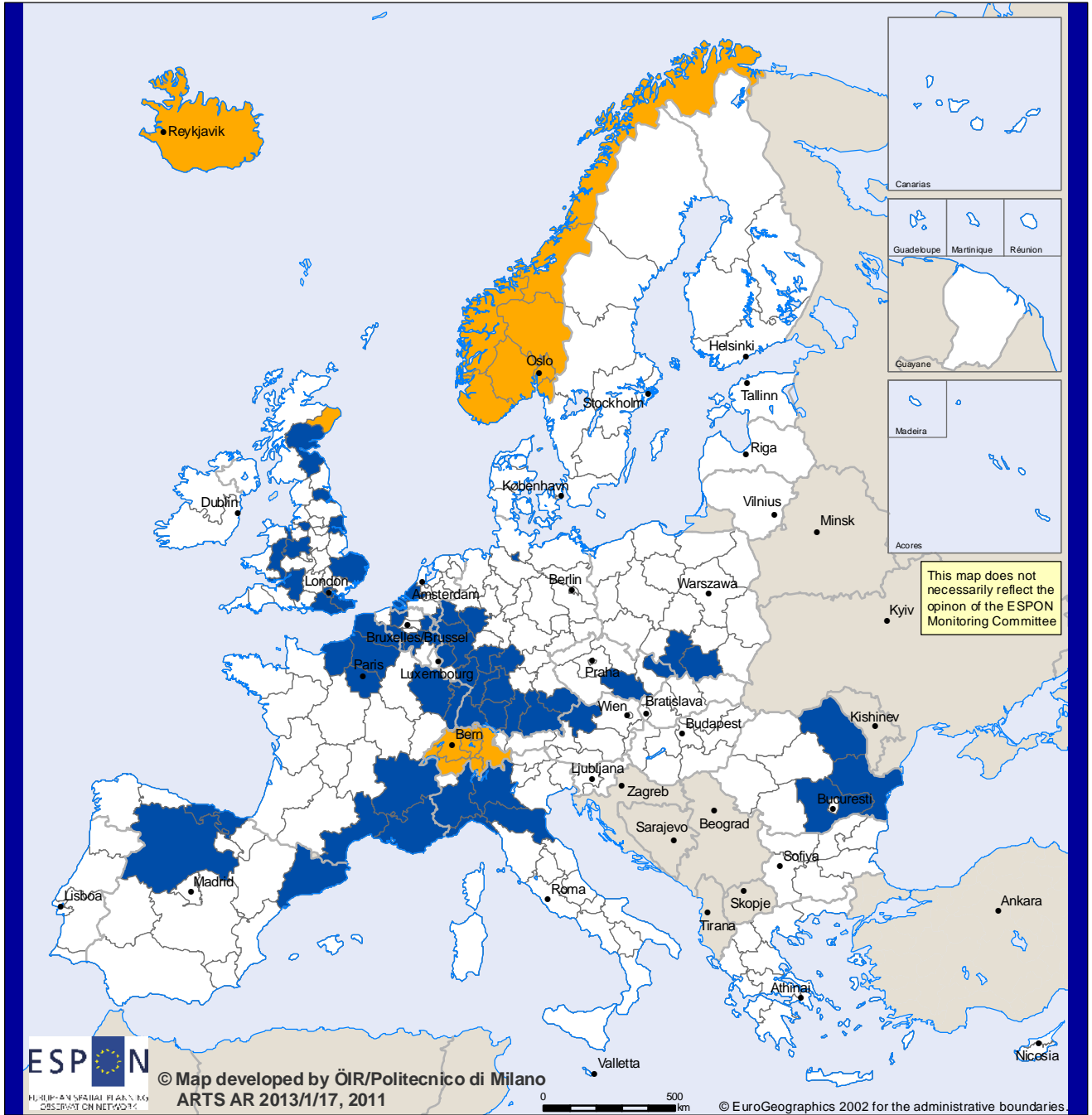


## Regions affected by the Waterframework Directive

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: all regions

# ESPON ARTS

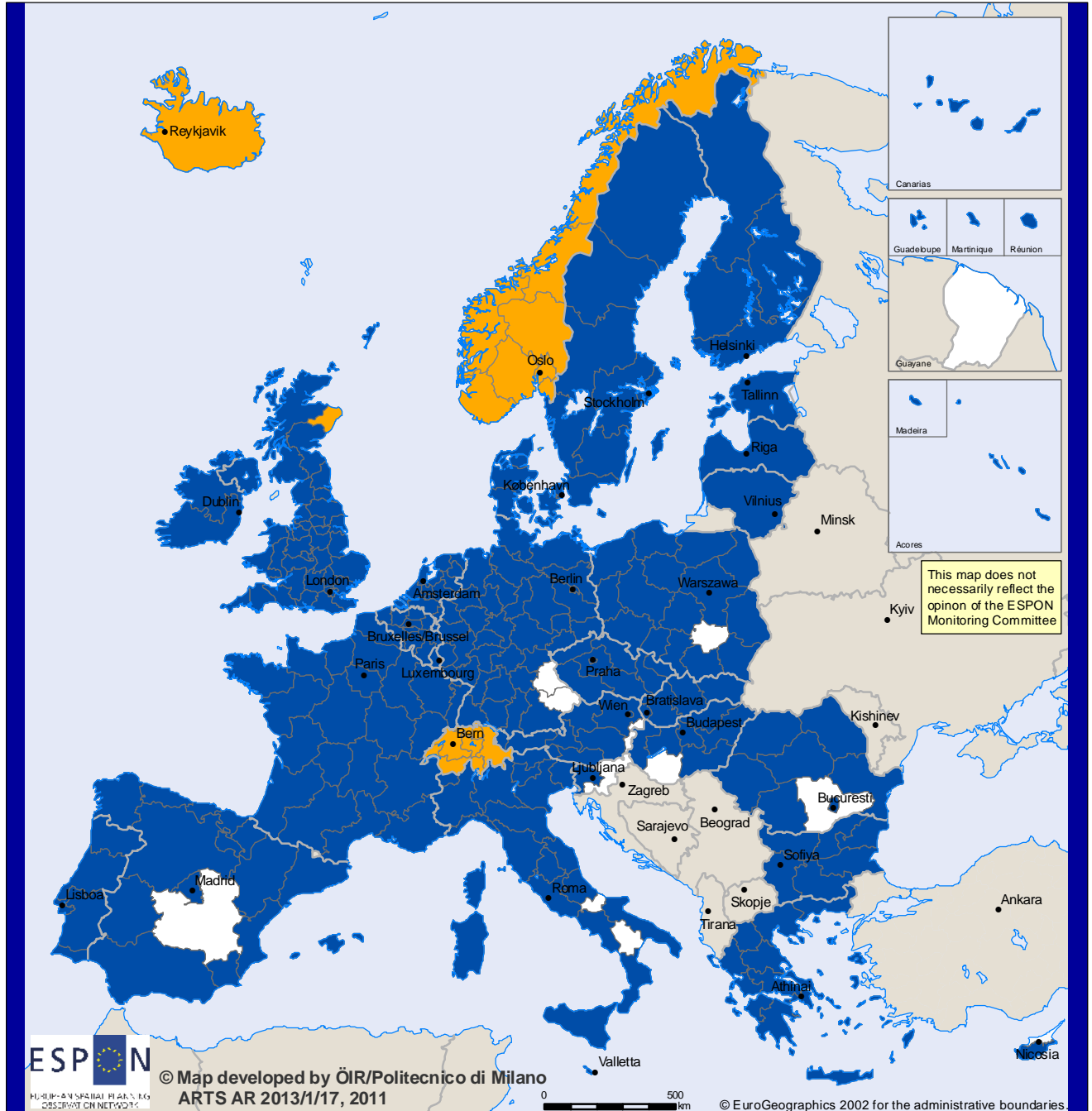


## Regions affected by the Seweso Directive

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: Areas at highest technological/environmental risk

# ESPON ARTS

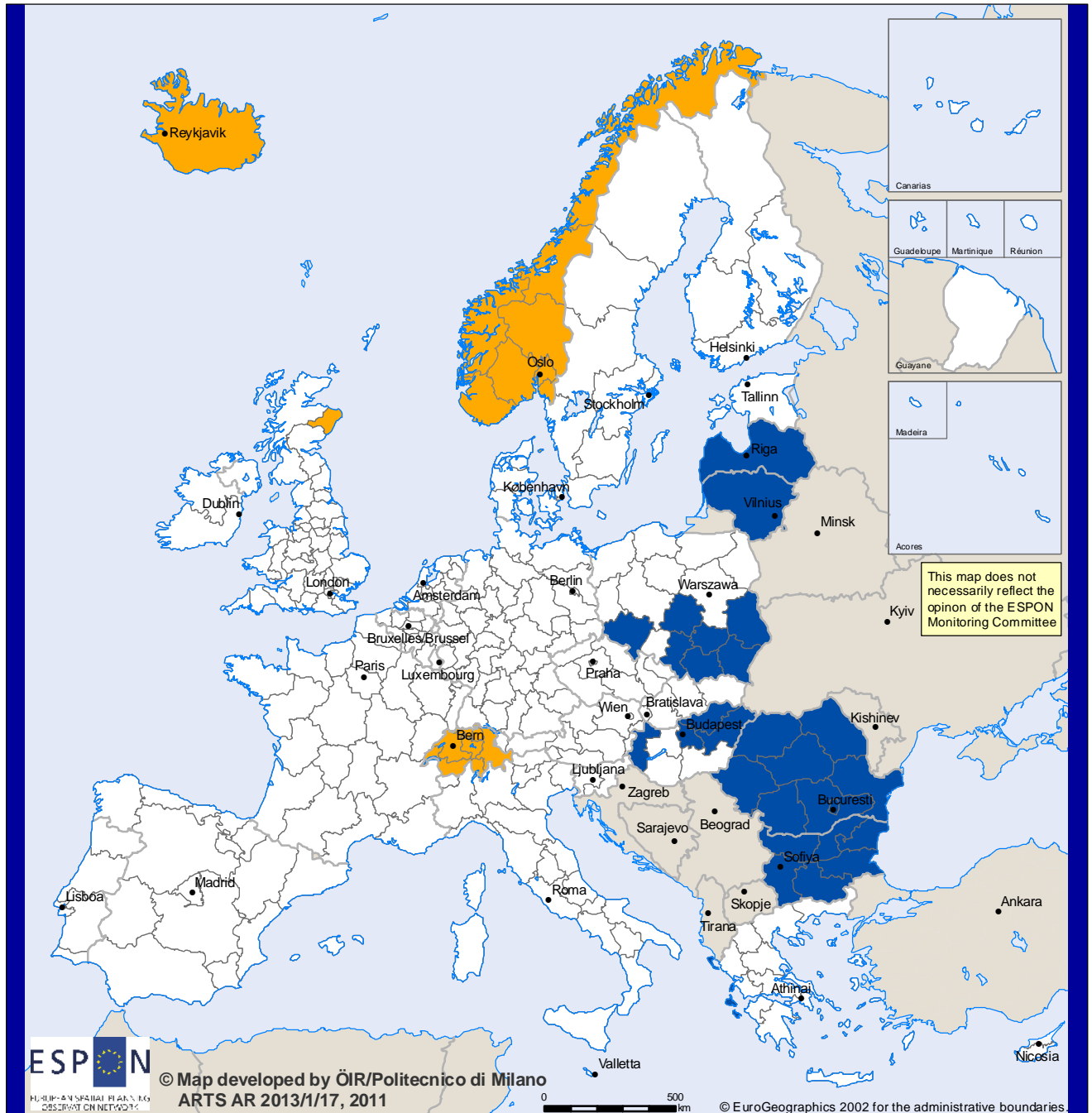


## Regions affected by Directive on managing environmental noise

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: urban, agglomerated, densely populated, high density of road, high density of rail, major airport location

# ESPON ARTS

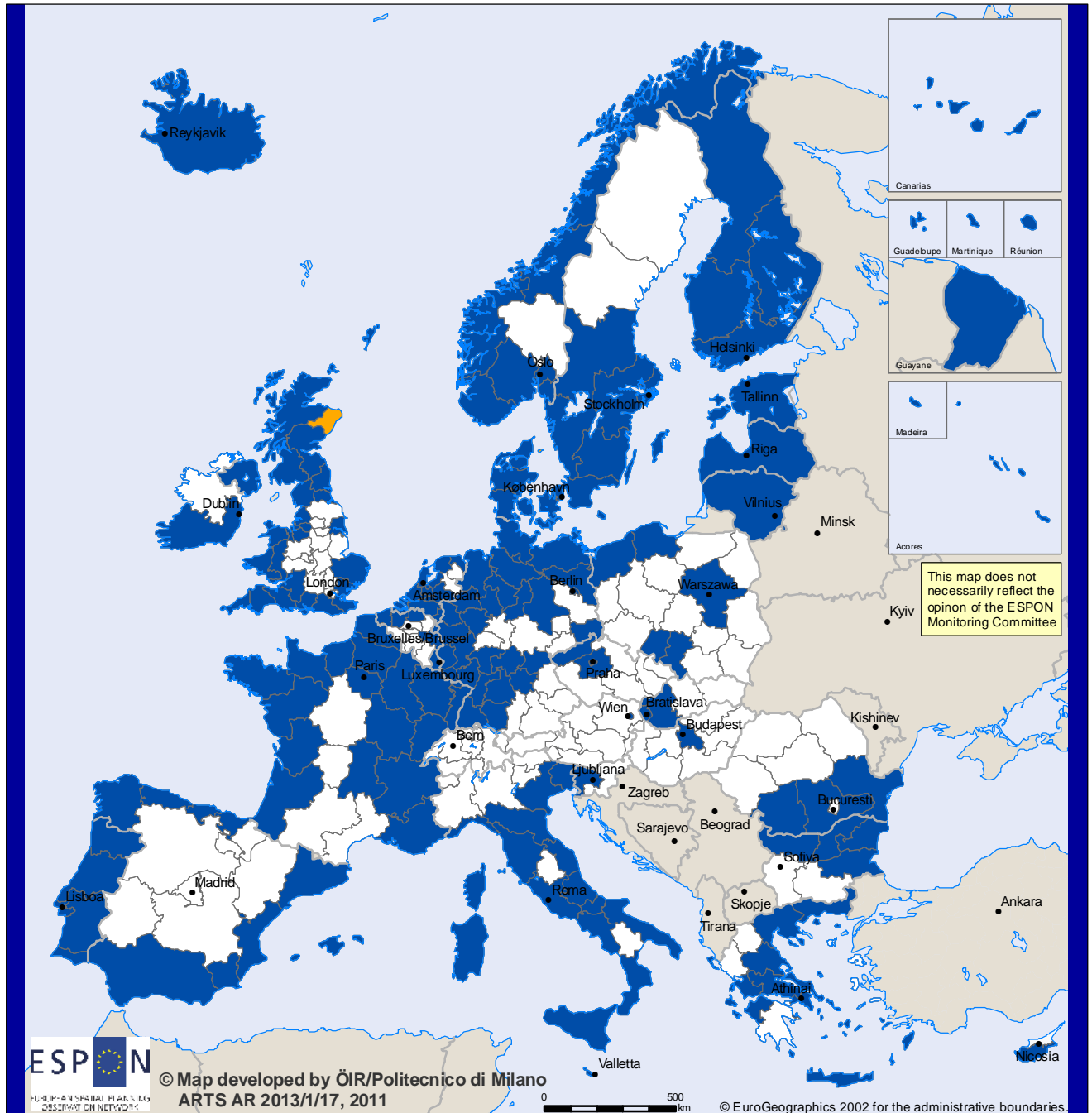


## Regions affected by Directive on promotion of use of biofuels (branch a)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: rural, unprofitable farming, natural areas, forest

# ESPON ARTS

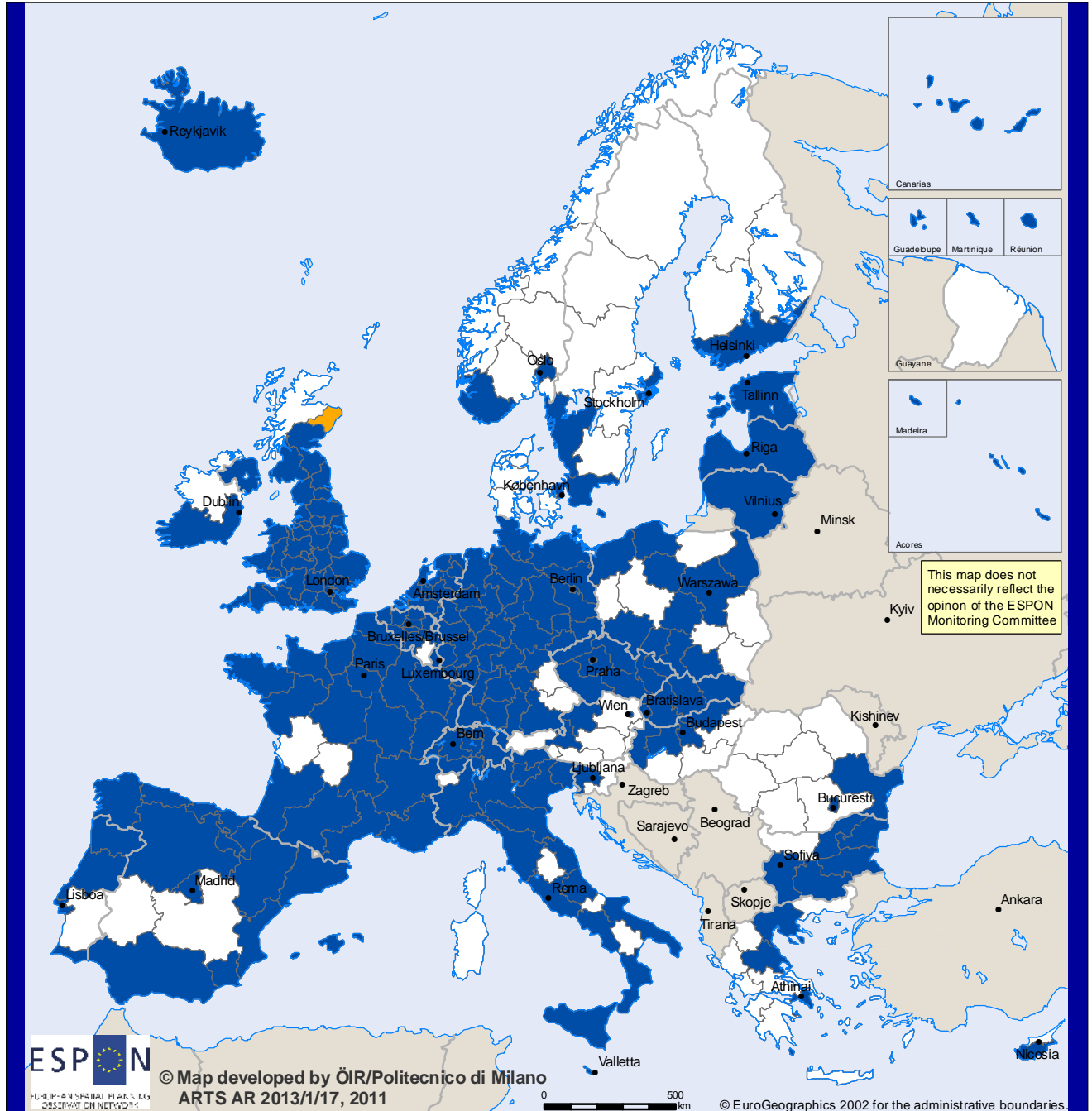


## Regions affected by Directive on promotion of use of biofuels (branch b)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: harbour regions

# ESPON ARTS

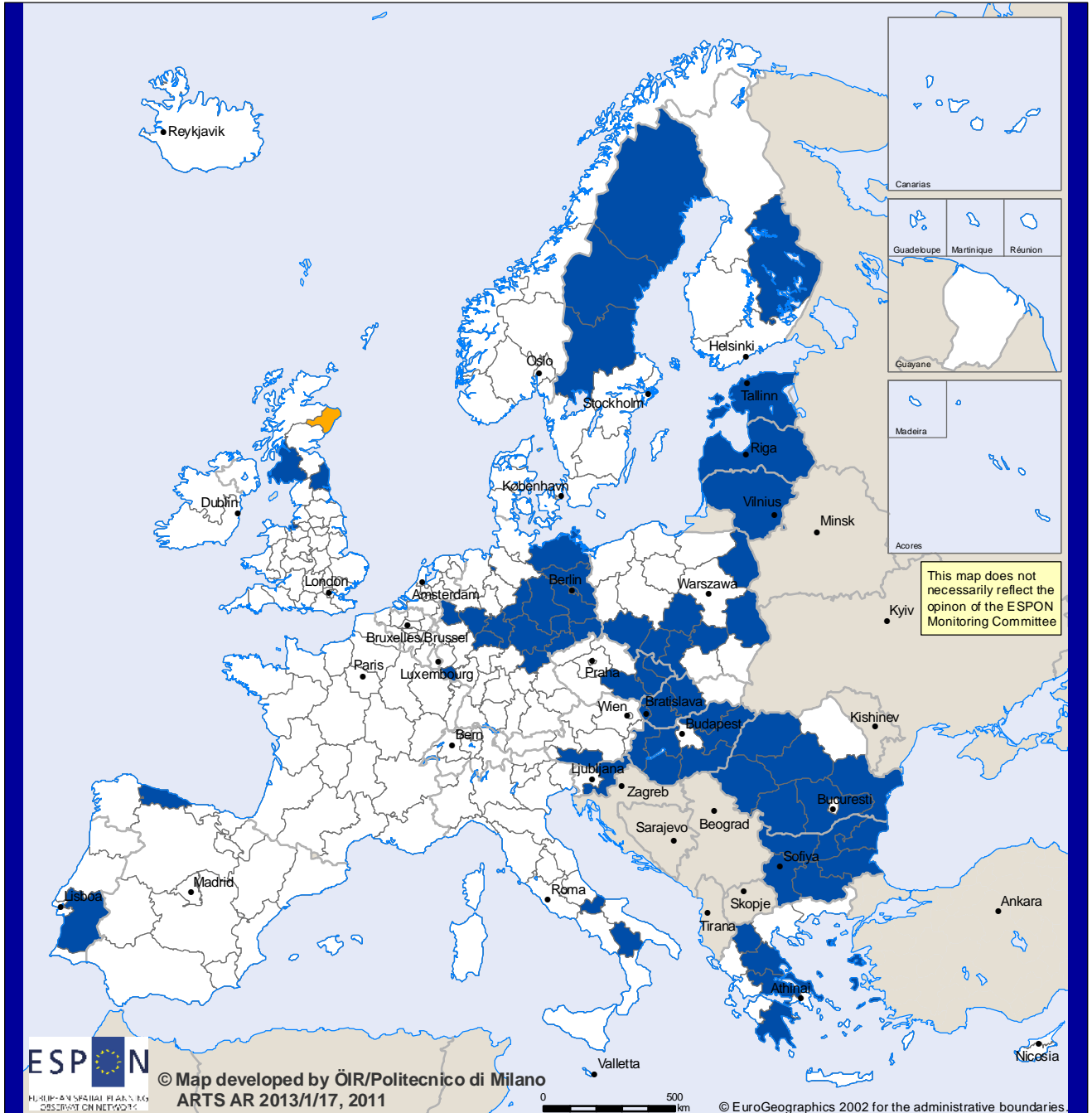


## Regions affected by Directive on recognition of qualifications (branch a)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: wealthy, urban, agglomerated

# ESPON ARTS



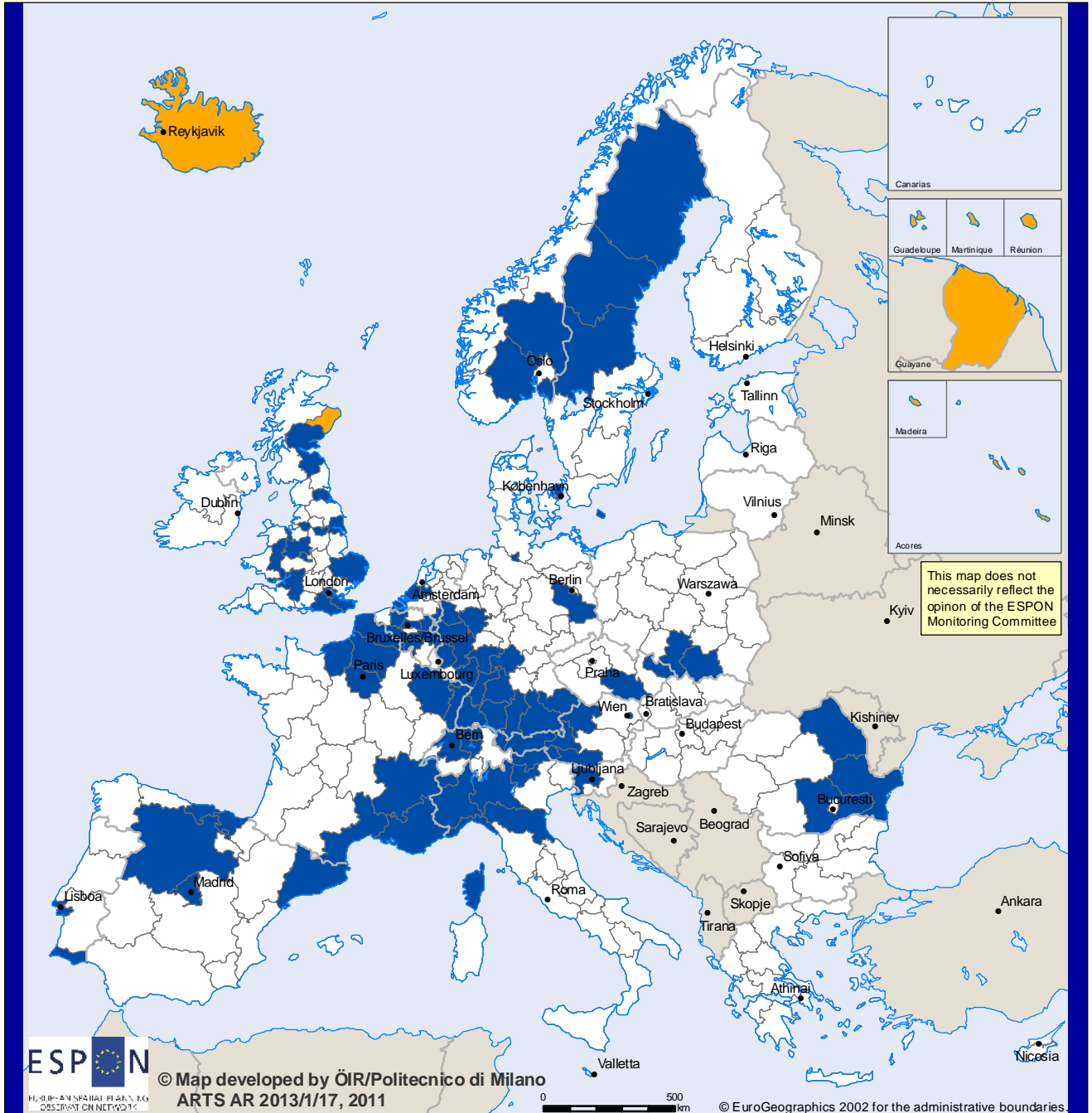
## Regions affected by Directive on recognition of qualifications (branch b)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: shrinking regions



# ESPON ARTS

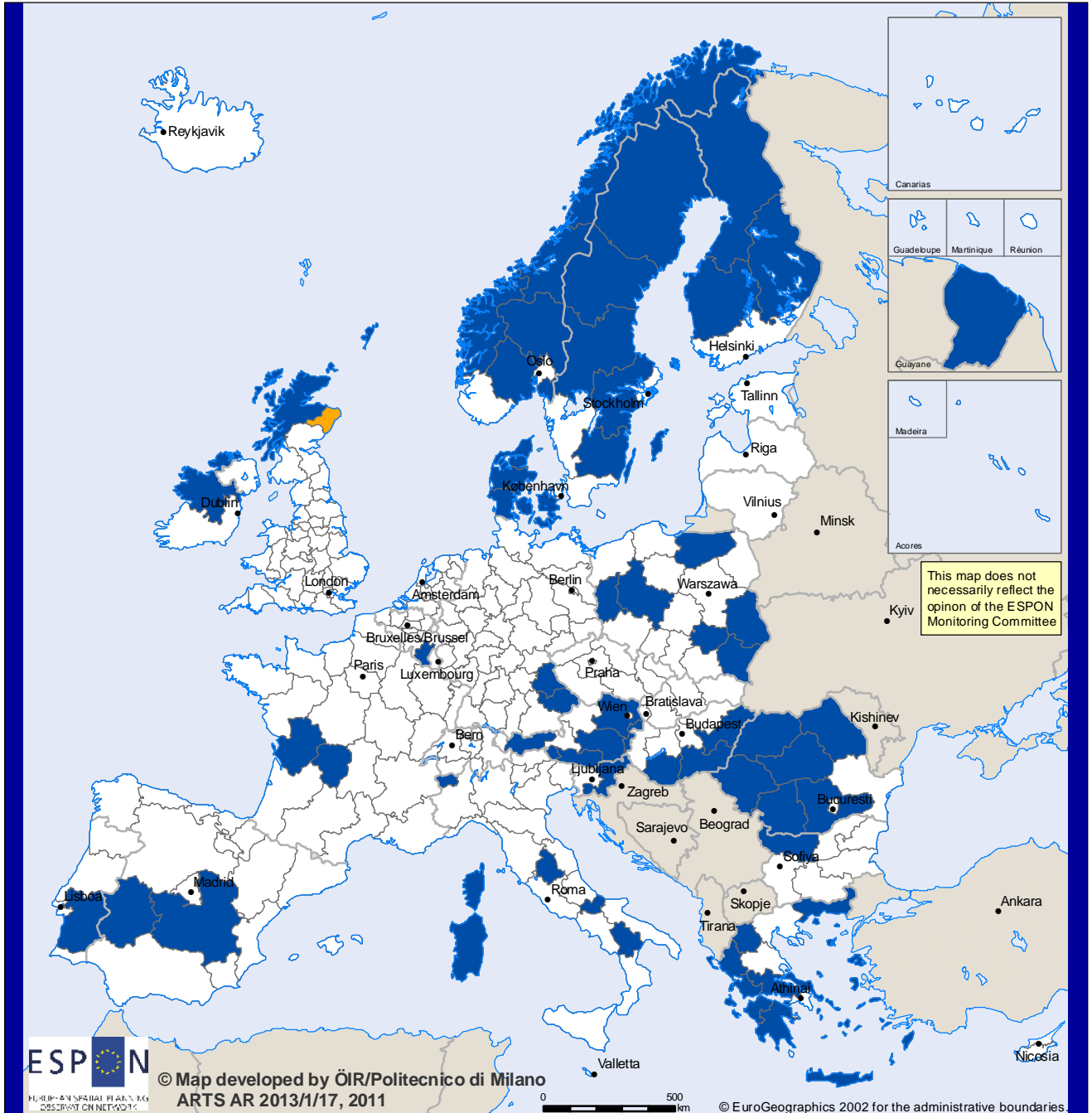


## Regions affected by Directive on critical infrastructure

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: highest density of rail and road network, areas at highest technological/environmental risk

# ESPON ARTS

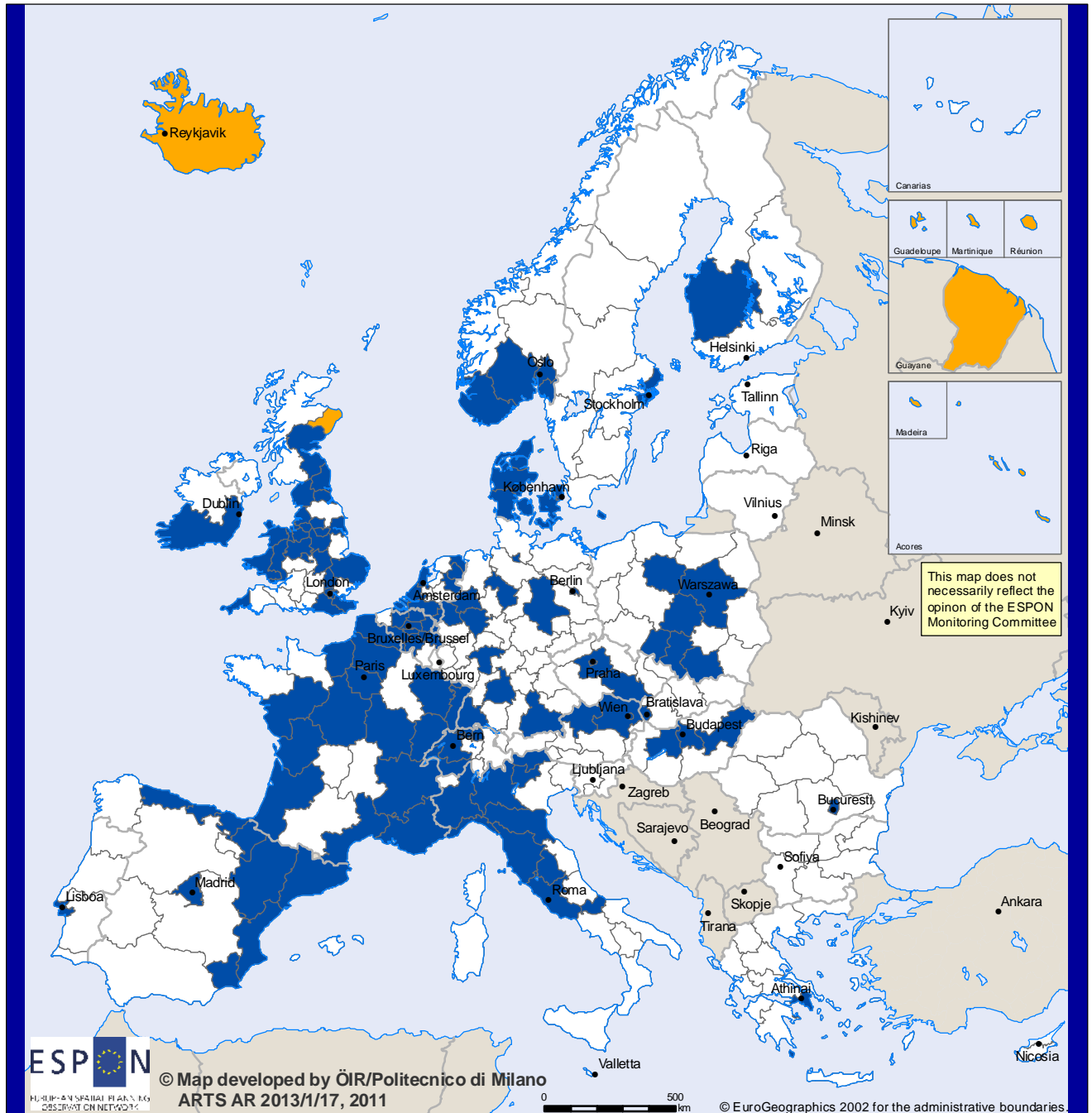


## Regions affected by Directive on sustainable use of pesticides (branch a)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: rural

# ESPON ARTS

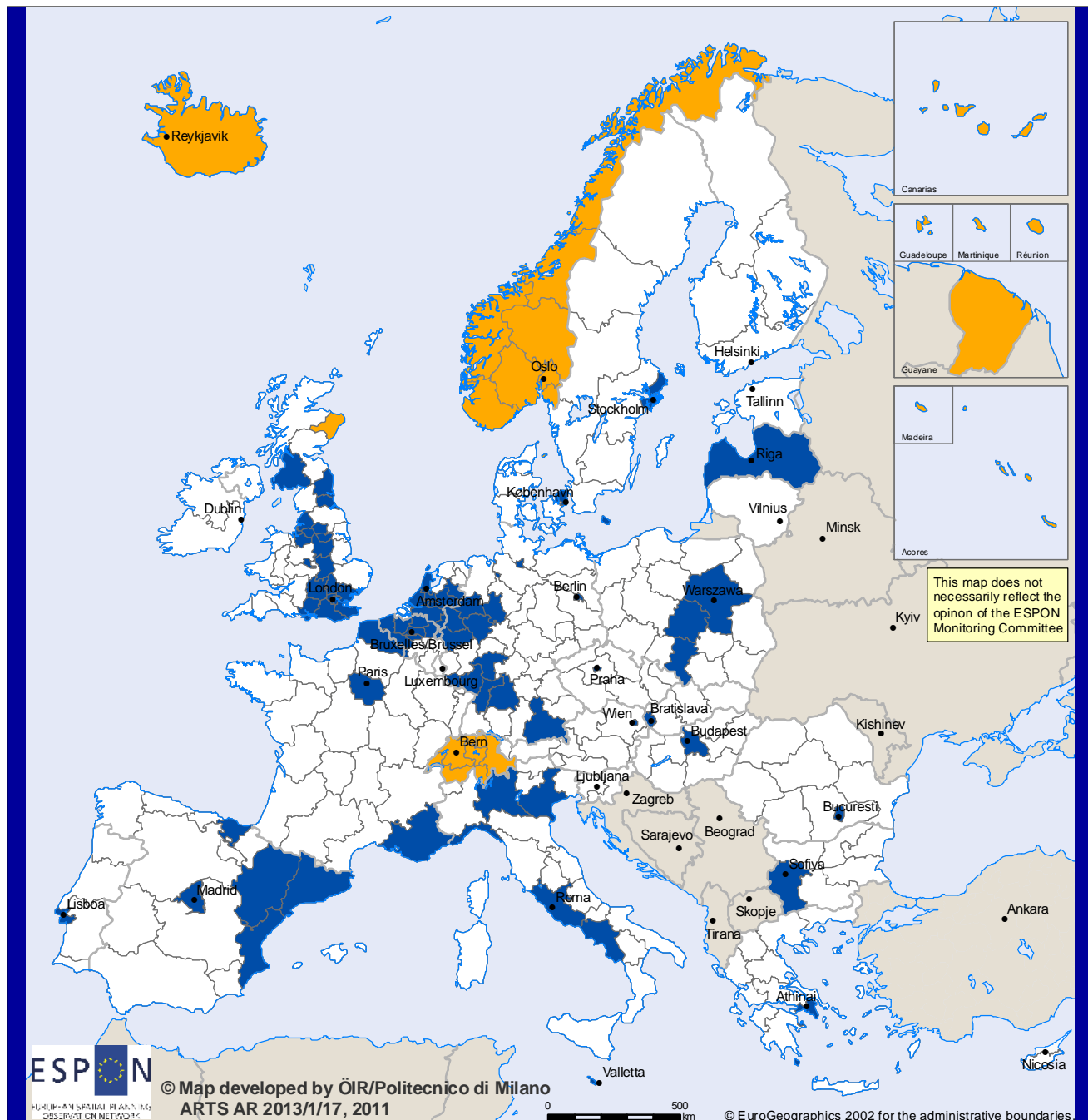


## Regions affected by Directive on sustainable use of pesticides (branch b)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: chemical industries

# ESPON ARTS

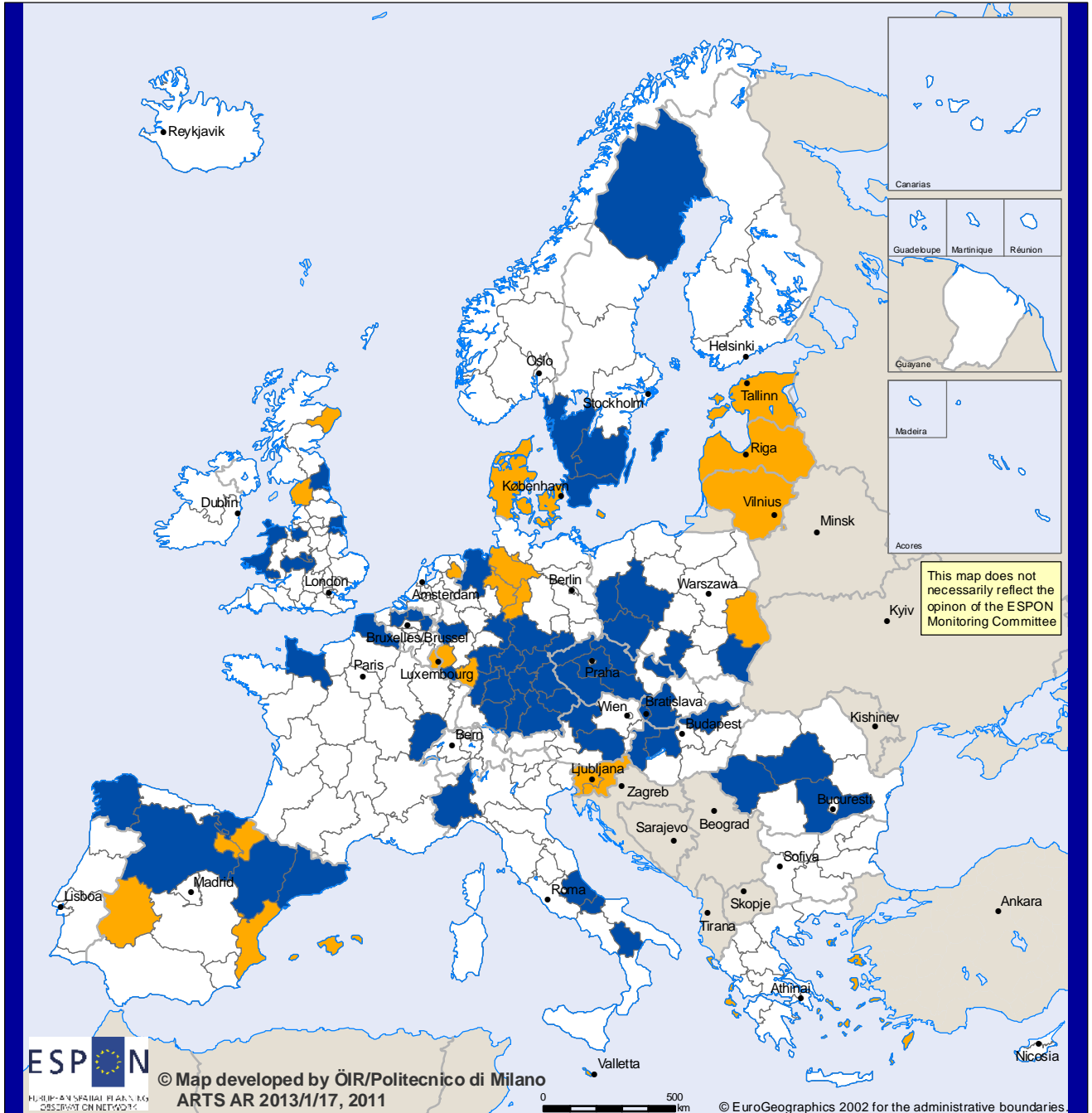


## Regions affected by Directive on clean and energy-efficient road transport vehicles (branch a)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: agglomerated

# ESPON ARTS

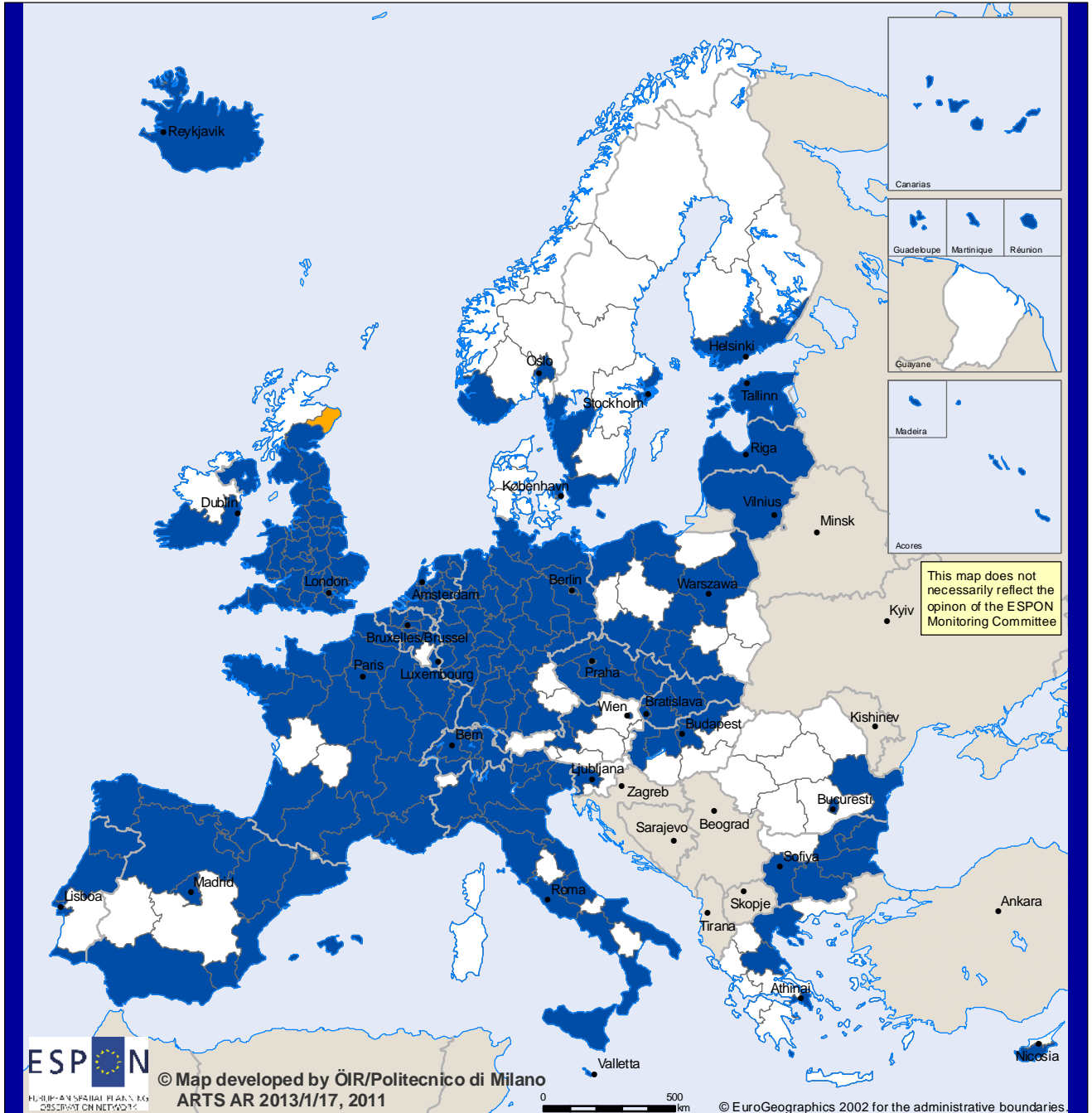


## Regions affected by Directive on clean and energy-efficient road transport vehicles (branch b)

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: highest share of employment in automotive

# ESPON ARTS



## Regions affected by Directive on the energy performance of buildings

- affected
- not affected
- Neighbourhood Countries
- No Data

Types of regions affected: urban, agglomerated

## A6 Governance questionnaire

### ESPON ARTS Questionnaire

#### The governance aspect of the territorial impact of EU directives

(Disseminated at the ESPON Seminar, 17 November 2010, Liège)

##### *Introduction, aims and objectives*

The main objective of the ESPON ARTS project is to assess the *territorial sensitivity* of regions to EU directives. A basic assumption underlying the project is that this sensitivity can be explained to a large extent from specific regional territorial characteristics relating to soil, air and water.

However, it is understood that territorial characteristics alone cannot completely explain the territorial effects of a directive within a region; an important additional element is the factor *governance*. So, a part of the ESPON ARTS project is about developing a more thorough understanding of the role of governance as an explaining factor for the territorial impact of EU directives. The basic hypothesis underlying this focus is that domestic governance structures can have either an *amplifying* or a *mitigating* effect on the potential territorial impact of EU directives.

This leads to the following question: how does the factor governance amplify or mitigate the potential territorial impact of EU directives? The answer can be found in the four policy stages that directives go to:

- (1) Development of the EU directive
- (2) Transposition/translation in national legislation
- (3) Implementation into existing policies or by issuing new policies
- (4) Actual use and jurisprudence (if any) in relation to this actual use.

In each of these four policy stages government and governance decisions play a role and can lead to unexpected territorial impact. For example:

Ad1. During the *development* of an EU directive member state delegations have to be sensitive for its possible effects on territory and existing domestic legislation and will very likely use knowledge about this to define negotiation boundaries.

Ad 2. *Transposing* a directive into domestic legislation can be done in many different ways depending on how a member state interprets the directive in the context of its own legislative system. Some member states act pragmatically and, if possible, copy-paste directives in their domestic legislation, while others add additional objectives or relate the directive to specific legislation in other policy fields.

Ad 3. The *implementation* of a directive depends on a variety of decisions regarding the question how the objectives of the directive can be best met given the existing domestic policy system and mechanisms. In one case existing policies already cater for meeting the directive's objectives, in other cases existing policies need to be revised or complemented by new policies and instruments.

Ad 4. The *actual use* of a policy depends amongst others on the organization and functioning of the public administration, available governance capacity and resources and on the *legal system* within a member state or region and whether the decision made in the transposition and implementation phases allow certain degrees of flexibility.

This questionnaire aims to perform a very first preliminary analysis to filter out which domestic governance characteristics might amplify or mitigate the territorial effects of EU directives on domestic territories. Based on these characteristics the project will identify member states where territorial impact of specific directives might cause significant impact. These member states will be indicated by a *Flag*. The focus is on the *member state level* because governance characteristics are usually similar for all regions within a country. This is of course an assumption and respondents are invited to provide counter-evidence in those cases where this assumption does not seem to be valid. The outcome of this questionnaire is not only relevant for the ESPON ARTS project but may form the basis for further analysis in future ESPON projects.

In order to find out through a preliminary analysis how governance structures affect the territorial impact of EU directives across the ESPON space, the ESPON ARTS project has selected three directives for further case study analysis. The case study directives that have been selected are the following:

- (1) **Water Framework Directive** – Council Directive 2000/60/EC of the European Parliament and of the Council establishing a framework for Community action in the field of water policy
- (2) **Air Quality Directive** – Council Directive 1999/30/EC of 22 April 1999 relating to limit values for sulphur dioxide, nitrogen dioxide and oxides of nitrogen, particulate matter and lead in ambient air
- (3) **Environmental Noise Directive** – Council Directive 2002/49/EC of the European Parliament and of the Council relating to the assessment and management of environmental noise

Selection criteria include: 1) the directive should be transposed and in force and 2) should have clear direct territorial impact.

The questionnaire itself is structured around four hypotheses on how government and governance structures may amplify or mitigate potential territorial impact of a directive. Also, by means of introduction and conclusion, two more open questions are posed. Depending on its appropriateness you can answer the questions by either referring to one of the three EU directives indicated above, or to another directive which has caused territorial impact in your country/region. The final question offers the opportunity to issue comments and suggestions as well as to provide further information on experiences related to the territorial impact of EU directives in your country. Relevant documentation to support your answers is welcomed and can be e-mailed or posted to the addresses below.



# ESPON ARTS Questionnaire

## Governance as an explaining factor for territorial impact

Liège, 17-18 November 2010

### Respondent

Name:  
E-mail:  
Country:  
Affiliation:

### Date/Place

### General questions

1. Have any of the three directives (Water Framework Directive, Air Quality and Environmental noise) mentioned above caused unexpected territorial impact in your country? What kind of (major) impact did the directive cause and was this considered negatively or positively?
2. Do you know of any other EU directive having caused unwanted or unexpected territorial impact in your member state? If so, indicate which directive or directives and what briefly characterize the impact, its main reasons and how this was dealt with.
3. Has negative impact of EU directives led to more political attention for territorial impact? And if so, how did this materialize?

Answers/comments/suggestions

**Hypothesis 1** – EU directives will lead to unexpected territorial impacts when their substance and internal logic do not (closely) match existing policies and instruments at the domestic level. This may result from the fact that their transposition into domestic legislation and policies will require many additional decisions.

Questions to be answered in relation to the three directives mentioned above, or any other directive that has had clear territorial impact:

1. Do objectives of the directive run counter to domestic objectives in the same policy field?
2. Have completely new objectives and methodologies been introduced in the domestic policy system?
3. Was it easy to fit the directive in the existing legislative and policy system? (For example, the Water Framework Directive poses a fundamental institutional requirement by asking member states to install management authorities at the level of water bodies.)
4. Any other relevant observation.

Answer/comments/suggestions
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**Hypothesis 2** – Unexpected territorial impact of EU directives can be avoided if the transposition and implementation of the directive is made subject to sound inter-sectoral coordination and (informal) consultation of important domestic stakeholders which are affected by the directive(s) in question (ngo's, private sector, civic organizations and others).

Questions to be answered in relation to the three directives mentioned above or any other directive that has had clear territorial impact:

1. Which branches of government have been responsible for translating EU directives into domestic policy in the case of the directives mentioned above and was this translation the subject of inter-sectoral coordination and wider consultation?
2. Is there a tendency to relate the directive to other domestic policy objectives or add additional objectives to those of the directive?
3. Have there been any complications during the transposition and implementation and in what mitigating measures were taken?
4. Any other relevant observations?

Answers/comments/suggestions
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**Hypothesis 3** – Unexpected territorial impact of EU directives can be avoided when member states start a dialogue with the European Commission.

Questions to be answered in relation to the three directives mentioned above or any other directive that has had clear territorial impact:

1. Was there any sort of dialogue with the European Commission?
2. If so: when did it occur in the policy process (expert, comitology, transposition, implementation) and what caused this dialogue?
3. What have been the results of this dialogue in terms of solutions to be applied to deal with certain unwanted situations?
4. Any other relevant observations?

Answers/comments/suggestions

**Hypothesis 4** – There is a positive correlation between the unexpected territorial impacts of EU directives and the opportunities that the judicial system offers for stakeholders to file a case to the court.

Questions to be answered in relation to the three directives mentioned above or any other directive that has had clear territorial impact:

1. Does the judicial system of your country offer the possibility for specific groups of actors/stakeholders to formally object to certain decisions on the basis of EU directives? And do stakeholders use these opportunities?
2. Did this result in some unexpected behaviour like a widening of the scope for formal complaints?
3. Is the legal interpretation of the policy different and more strict than expected?
4. Any other relevant observations?

Answers/comments/suggestions

**Any remarks, suggestions, comments that you would like to make in relation to**

1. The general assumptions underlying this project
2. This questionnaire and its hypotheses
3. Territorial impact and the factor governance in your country
4. Other?

Answer/comments/suggestions

**Thank you very much for your time and effort!**

On behalf of the ESPON ARTS team  
Wil Zonneveld and Bas Waterhout

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## A7 Example for an agenda of a TIA workshop

- 9:00:       **Step 1: Setting the frame: The conceptual model.**  
Result: a systemic picture showing the conceptual model of the directive according to its intervention logic and the potential effects of a directive
- 10:30       Coffee break
- 11:00       **Step 2: Considering different types of regions** – the Regional Exposure Matrix +  
**Step 3. Filling in the Directive/Exposure Matrix**  
Result: The translation of the conceptual model into the directive exposure matrix, maybe for different types of regions/types of effects (“branches”)
- 12:00       **Step 4. Calculating the TIM and plausibility checks** + selection of relevant indicators for mapping  
Result: a “stable” result of the territorial impact of a directive
- 12:30       Lunch break +  
**Step 5. Mapping the Territorial impact** (for the host)  
Result: maps of the territorial impact for the relevant indicators
- 13:30       **Step 6: Discussion on policy implications**  
Result: minutes
- 14:30       End of the meeting

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