A Framework for Assessing the Territorial Impacts of European Directives

Guidance

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Abstract

European directives can have unanticipated and unexpected impacts for regions and localities that can differ widely throughout EU members states. However, currently regional and local administrations have little influence on the drafting of those directives. Furthermore, national governments often find it problematic anticipating impacts of directive proposals and, as a consequence, may establish their national positions without having a proper understanding of likely (and in particular, unexpected) outcomes. Spatially differential impacts may thus only be detected when it's too late for corrective action, i.e. once a directive has already been transposed.

This guidance aims at supporting national, regional and local administrations in anticipating the potential positive and negative impacts that EU directives may have on their territory before transposition, thus enabling them to provide bottom-up feedback to national governments when these are in the process of formulating national positions or developing transposition strategies. The aim is to avoid – potentially costly – negative impacts and to enhance economically, socially and environmentally positive outcomes for as many regions and localities as possible by establishing a systematic territorial impact assessment (TIA) framework. This has been designed to be flexible and can be integrated within any already existing impact assessment frameworks. As a consequence, it should come with only minor resource implications.

Introduction

EU directives, along with their transposition into national legislation, can have unanticipated and undesirable impacts on EU member state territories[1]. These territorial impacts can include those on the use of space (e.g. new infrastructure or sprawl), governance, and wider social, economic or environmental dimensions. Although the ex-ante assessment of the potential impacts of EU initiatives is presently carried out, for example through the European Commission's Impact Assessment procedure and in some member states through national level impact assessment procedures, important impacts are still at times overlooked as impact assessments often fail to systematically take into account the spatial dimension and recognise the territorially heterogeneous nature of impacts within and between EU member states. These policies can subsequently come into conflict with national and sub-national development aspirations and can negatively impact member state territories.

This document provides guidance to EU member states on the application of an ex-ante procedure that can be used to assess the territorial impacts of EU directives[2]. The territorial impact assessment (TIA) framework presented here, is the outcome of an ESPON (European Observation Network, Territorial Development and Cohesion) financed project ('ESPON and Territorial Impact Assessment' – 'EATIA'), which was supported by the ministries responsible for planning in the UK, Slovenia and Portugal. It has been developed collaboratively by these three ministries together with a project team, consisting of the universities of Liverpool, Ljubljana, Porto and Delft. Furthermore, over 60 spatial planning and policy making practitioners from the UK, Portugal and Slovenia were involved. The approach has been devised to be applied at the EU member state level and to enable the identification and evaluation of potential policy impacts at national, regional and local levels with the aim of better informing national negotiating positions and transposition strategies. Whilst it is anticipated that TIA would remain a *non-mandatory* requirement in most EU member states, it is expected to be beneficial:

- **for national administrations** in that they will be able to form national positions on draft directives, and transposition strategies, in a more effective way. They will be better informed of what the potential impacts of the initiative will be and will thus be able to formulate negotiating positions and transposition approaches that better support national policy aims and objectives.
- **for regional and / or local administrations** in that it provides them with a pathway through which they can feed their insight into the policy development process to flag-up potential issues in their regions and localities which may otherwise be overlooked. This will help them ensure that negative impacts on their areas are avoided and can promote the development of policies which better support their own regional / local policy development objectives. It may also help them identify new opportunities for regional and local development support by obtaining a better understanding of EU initiatives.

[1] The term 'member state' is used throughout this document for convenience but should be taken to include any nation subject to the implementation of EU polices.
[2] Whilst this guidance focuses on assessing impacts of European draft directives, the approach outlined here can also be applied to other EU or even domestic policy proposals.

The approach has been designed to be simple, pragmatic and 'policy-maker friendly', and also highly adaptable to different member state contexts. It does neither necessitate (nor does it preclude) the collection and maintenance of expansive data sets, the acquisition of complex expert knowledge, nor the formation of new specialist bodies. Rather, it is a largely intuitive approach, designed to draw on the knowledge and insight of relevant national and sub-national stakeholders, and can be integrated into the working practices of existing bodies.

The framework has been developed around three complimentary strands; *procedural, technical* and *governance*. Procedural elements concern the stages of the TIA process, namely (1) *screening*, (2) *scoping,* (3) *assessment* and (4) *evaluation.* Technical elements encompass the methods and approaches applied in each of these stages. The governance dimension concerns the allocation of tasks to different administrative levels and communication / collaboration between different partners. The first section of this document elaborates on these first two aspects, whilst section two is dedicated to outlining possible governance arrangements. The concrete nature of these will vary between member states, reflecting differing institutional arrangements. The Annex to this guidance provides for samples of the various techniques used.

Conducting a TIA can be a highly efficient exercise. Testing the approach against various directives in Portugal, Slovenia and the UK has shown that, if TIA is to be completed with only minimal resources being available, national screening and scoping can be completed during half day workshops. This would require a skilled interdisciplinary team, coming together in a co-operative spirit, reflecting a high level of familiarity with the policy area and territorial expertise. A similar amount of time is required for the assessment stage conducted at regional or local levels, whilst the overall evaluation might take as little as between half a day and a full day, depending on how many authorities are actually involved and how extensively technical elements are elaborated on. If more substantial resources are available, there are no barriers to conducting more comprehensive assessments, which may include e.g. the generation and presentation of territorial baseline data and the preparation of more elaborate TIA reports. In particular, this may enhance transparency.

1. TIA process

This section provides a descriptive account of the procedural and technical aspects of the TIA framework. It is structured in terms of the four main stages of the TIA process; screening, scoping, assessment and evaluation.

1.1 Stage 1 - Screening (national government departments)

The aim of the screening stage is to determine the necessity for TIA on a case-by-case basis, that is, whether the approach should be employed or not employed for a specific policy proposal. This decision will be based on the perceived nature of the potential impacts that could arise from the adoption of the policy proposal. A TIA is likely to be desirable when major unintended or undesirable impacts are considered to be possible, particularly if these are likely to vary in nature across a MS territory. During screening, it is necessary to consider the potential for such impacts. This will necessitate the judgement of a multidisciplinary group with expertise in the policy field under consideration and also of spatial / territorial matters in the member state. This group should draw on available information and evidence when making their determinations, including outputs of the European Commission's impact assessment procedure. The following approaches can also be applied optionally and flexibly to facilitate the process:

a) Logical chain / conceptual model approach

The logical chain / conceptual model approach can essentially be seen as a form of 'sophisticated brainstorming'. It draws on expert knowledge to identify the potential consequences of a policy proposal and can serve as a relatively quick way of identifying potential impacts. In employing this approach, assessors work from a description of a policy proposal and identify potential direct and indirect territorial impacts[3], depicting them diagrammatically and highlighting the underlying cause-effect logic or pathways. Whilst in principle this approach can be employed by a single individual, given the nature of the TIA exercise, it delivers the best results in an interdisciplinary group setting.

The format of this approach is highly flexible and the degree of complexity employed in developing these chains will depend both on the needs and resources available to the screening body. It can be anything from a hand drawn sketch on the back of an envelope to an elaborate computer designed figure (three examples with different degrees of complexity are shown in Annex A). It is important, however, to keep in mind the purpose of the screening exercise when using the approach. Resources should not be expended beyond what is necessary to come to an informed decision as to whether to proceed or not with a TIA.

[3] A 'territorial impact' can be considered to be any impact on a given geographically defined territory, whether on spatial usage, governance, or on wider economic, social or environmental aspects, which results from the introduction or transposition of an EU directive or policy'

b) Screening checklist

The screening stage can be facilitated by employing a simple checklist. The principle of a screening checklist is to ensure that impacts on important territorial characteristics are not overlooked and to promote transparency, particularly in cases where a decision is made not to proceed with a TIA. This approach can be used alone or in conjunction with the logical chain / conceptual model approach, which can facilitate its completion.

Central to the use of the checklist is the prior definition of territorial characteristics against which to consider impacts. These form the assessment criteria in the checklist. Criteria should be selected to cover a range of dimensions/characteristics of the territory[4], and, in accordance with the role of TIA in facilitating the identification of possible conflicts between EU policy proposals and national and sub-national political priorities or objectives, should closely relate to national and sub-national objectives. Criteria can be developed on a case-by-case basis, or can be standardised through prior agreement between stakeholders in the member state. In addition to nationally derived criteria, standardised criteria can also be developed at an EU level to enable the comparison of potential impacts between EU member states. This set would need prior agreement, but could, for instance, be based on Europe2020 objectives (summarised in Annex B). Regardless of the criteria used, it is important that they are each clearly defined in order to avoid different interpretations and ensuing inconsistencies[5]. They should also not be excessive in number[6]. An example screening checklist, based on Europe 2020 related characteristics and some additional characteristics established through expert opinion in the UK, is presented in Annex C.

1.2 Stage 2 - Scoping (national government departments)

If a decision is made to go ahead with conducting a TIA, the first task is to define its scope. Scoping is more rigid than screening and aims to steer the entire TIA process by determining:

- Whether major territorial impacts are likely to result from the proposed policy;
- What the nature of these impacts is; and
- Where these impacts are likely to emerge geographically.

The scoping stage is structured around a number of interconnected activities, as follows:

1. Completing a Scoping Checklist;
2. Developing an Impact Assessment Matrix for use at the next (regional/local level) TIA stage;
3. Identifying localities where impacts may be particularly noticeable.

[4] Including aspects related to e.g. spatial usage, governance, the economy, society and the environment.
[5] e.g. in Europe 2020 'Investment in R&D is defined as 'business enterprise expenditure on R&D, higher education expenditure on R&D, government expenditure on R&D and private non-profit sector expenditure on R&D'
[6] For practical reasons criteria should not normally number more than 15 and 20.

Scoping should be conducted by a team which reflects the expertise required to confidently judge impacts on various territorial dimensions. It is important that such teams have the necessary baseline data and likely future development scenario knowledge to effectively complete scoping. Also, if the team consists of representatives from different departments / ministries, they need to be open to co-operation and collaboration. The following sections outline each of the three scoping related activities in detail.

1.2.1 Completing the scoping checklist

a) The scoping checklist is based on a template (Annex C, see shaded areas). To complete the checklist, it is necessary to determine whether a policy proposal should be considered as a whole or whether it should be divided into a number of individual elements, each of which can then be assessed individually. Splitting a proposed policy into elements can be based on an article-by-article basis or by singling out just a few 'key' articles to consider individually, whilst considering others collectively. The main benefit of doing this is that it can enable decision makers to identify more precisely the origin of particular impacts and so can help direct the negotiation or transposition process. However, splitting a proposed policy into elements should only be done when there is clear added value in doing so. Using policy elements can increase the work required significantly, and unless justified, could discourage sub-national authorities from engaging in the subsequent assessment process which will likely be a voluntary activity in most member states. Regardless of the format chosen, it is vital to always consider cumulative impacts, particularly if a proposed policy is split into individual elements.

b) To complete the scoping checklist, the scoping team should consider the impact of the policy proposal (or each of the policy elements) against each of a number of important territorial characteristics. These characteristics form the criteria in the checklist and firstly need to be defined in line with the principles outlined in section 1.1b. If, however, the checklist was employed in the screening stage, the criteria developed at this point should be reused. In the checklist, whether the proposed policy is likely to have a major impact on criteria should be considered. This should be indicated in terms of either 'yes' (√), 'no' (x), or if it cannot be determined, 'uncertain' (?). The logical chain / conceptual model approach (see section 1.1 a) can be employed here, again, if necessary to help identify cause-effect relationships prior to completing the checklist. Other information sources should also be fully utilised, for example, the outputs of the European Commission's own Impact Assessment process.

c) For each potentially major impact, the scoping team should consider the features, or 'type', of area at the regional/local level in which these impacts are likely to emerge. In completing this section, it is important to consider, inter alia, geographical location (e.g. coast, mountain, border, peripheral, islands, densely/sparsely populated, urban/rural), the features or resources of the area (e.g. water, coal, peat, gas), and the activities that the area hosts (e.g. coal based power generation, education, agriculture, industry). For example, coastal regions may be more likely to be impacted than mountainous regions, or rural areas more than urban areas. When conducting this exercise, it is important to keep in mind that

different areas may be susceptible to different types of impact on the same territorial dimension, resulting from the same policy or policy element. In such cases, it can be helpful to divide the relevant row in the checklist two or more times to accommodate this.

d) In the final column of the checklist, every 'yes', 'no' or 'uncertain' decision should be justified (written comment). In addition, where a major impact is considered likely, the nature of this impact should be described, e.g. referring to its anticipated magnitude, duration, probability etc. This section of the checklist will be a valuable resource for those at the sub-national levels who will be expected to conduct the next stage of the TIA process and who will use this as a starting point for considering impacts[7].

1.2.2 Developing an Impact Assessment Matrix (IAM)

The scoping checklist is used to prepare the Impact Assessment Matrix (IAM). This forms the basis for the assessment stage at the regional / local level. To prepare the IAM, the scoping team should use the template provided in Annex D and populate the matrix's axes with (a) the assessment criteria/characteristics employed in the scoping checklist and, (b) if utilised, the identified policy elements.

1.2.3. Identifying types of regions / localities where impacts may materialise

Whilst it is preferable for the subsequent assessment exercise to encompass all sub-national areas in a territory in order to develop a comprehensive picture of the potential impacts, this will not always be possible[8]. In some member states the sub-national geography may be hostile towards a comprehensive approach because, for instance, the need to engage an infeasible number of sub-national authorities. In these cases, instead of engaging all areas in the assessment process, the assessment can be focused in the areas most likely to be impacted owing to their characteristics or type. In these situations, such localities should be identified in the scoping process. This identification process should be based on the information defined in the scoping checklist during activity 1.2.1c[9], and whilst all localities should have access to the scoping outputs and should be given an opportunity to participate in the TIA[10], the identified localities should be approached *directly* and encouraged to conduct the assessment based on the IAM[11].

Although, whenever possible this 'targeting' approach should be adopted, in some situations it may not be realistically possible to identify *specific* regions or localities corresponding with the characteristics identified in 1.2.1c due to data limitations (e.g. 'coastal areas' can be readily identified using a map, but 'areas with a high proportion of circa 1900 residential building stock' may be more problematic/resource intensive). In these situations, the outputs of scoping should be

[7] Except potentially for smaller MS, where the national level may conduct this stage in collaboration with regional and / or local authorities.
[8] This will be more realistic in smaller EU member states with few regions.
[9] Any quantitative TIA modelling exercises conducted at the EU level can also be used to aid this process (e.g. the approach developed in the ESPON ARTS approach)
[10] To gain a comprehensive a picture as possible it is clearly desirable to engage as many regions / localities as possible in the assessment.
[11] In some circumstances it may be desirable to also contact adjacent areas due to the potential for spill over effects

widely advertised and the responsibility can be left to regions / localities to identify themselves as fitting the characteristics identified in the scoping process. In this context, it is important to note that whilst it is unlikely that a contribution to TIA will be compulsory for regional / local authorities, the possibility of being particularly negatively affected by the proposal or the possibility of being able to tap into specific sources of funding (e.g. regional development funds or LIFE) will mean that it is in their best interests to get involved.

1.3 Stage 3 – Impact Assessment (regional or local administrations)

Following scoping, the scoping body will release information on the proposed directive[12] and the outputs of the scoping process (possibly on a dedicated website) and will alert all regions / localities in the MS to its presence. Localities should then proceed to conduct the assessment as outlined below[13]. If a non-comprehensive approach has been adopted (see 1.2.3), following the alert from the scoping body, regional/local authorities will firstly consider whether they are likely to be susceptible to impacts from the proposed EU directive based on the information produced in scoping, before proceeding as follows if they consider this likely.

In the impact assessment stage, assessors need to complete the impact assessment matrix (IAM) (Annex D), developed during scoping, by considering the impact of the policy proposal (or of each policy proposal element) on the locality in question in terms of the territorial characteristics used in scoping and possibly other, local characteristics (see section 1.4a). Any quantitative modelling exercises conducted at the EU level can support the assessment here. When potential impacts are identified, following the format of the IAM, they should be described with reference to the following three characteristics [14]and should be fully justified to facilitate later interpretation and processing:

- Magnitude: This refers to the expected size or scale of the impact and should be defined numerically (0 = no impact, 1 = some impact or 2 = major impact); no intermediary values should be used (uncertainties can be reflected in the comment section);
- Orientation: This refers to the impact's direction of action in relation to the baseline condition, for instance, will it act to *increase* soil pollution or *decrease* soil pollution;
- Temporal distribution: Refers to the duration of the impact; this should be described in terms of; short term (e.g. up to 5 years), medium term (e.g. up to 10 years) or long term (e.g. over 10 years); in cases where the nature of the impact varies over time, this can also be outlined.

[12] This is the *object* of the assessment and the scoping body should define it clearly. If not, there is a risk that inconsistencies will be introduced into the assessment process as assessment teams interpret it differently.
[13] If suitable, regional (or *Land* / devolved administration) levels may co-ordinate local level assessments. Certain bodies may be particularly suited to fulfil a co-ordination role, e.g. in Scotland the SEA Gateway or in the Netherlands the EIA Commission
[14] These characteristics can however be reduced or supplemented with others (e.g. impact probability) as seen necessary in a particular member state.

Throughout this exercise, it is important to consider potential indirect and possible spill-over effects from impacts in adjoining localities, in particular in cases when these could be particularly influential - for instance, if an externally located yet important local employer was to close as a result of a proposed policy. It is also important to utilise all available sources of information and evidence. This in particular will include the outputs of the scoping process, which can provide a valuable source of insight, especially when the proposed directive is highly technical. Additionally, whilst extensive baseline data compilation exercises are not necessary when the exercise is done within the context of a workshop attended by expert representatives of different departments coming together routinely for e.g. local spatial plan making and associated strategic environmental assessment purposes, detailed supporting studies can be conducted, if deemed necessary and resources permit.

1.4 Stage 4 – Impact Evaluation

The central aim of the evaluation stage is to be able to determine whether the potential impacts identified in the assessment stage are significant[15], both, positively and negatively, and to comment, in particular, on how any undesirable impacts could be avoided or mitigated though e.g. changing the wording of a directive proposal or altering the transposition approach. To do this, the impacts identified and described in the IAM(s) should be interpreted in terms of their compliance/conformity with various territorial policy objectives using an Evaluation Table (Annex E). Whilst the impact evaluation exercise should always be conducted at the national level, it may also be appropriate to undertake this at the regional / local level, in order to establish impact significance in terms or regional / local policy objectives[16]. The procedure is outlined in full below:

1.4.1 Completing the national level Evaluation Table

a) Prior to beginning the national level evaluation process, it is first necessary to collect and amalgamate the outputs of the IAMs completed at the sub-national level. Various techniques can be employed to facilitate this process (see Annex F), but thematic mapping can be particularly useful, highlighting the spatial distribution of the anticipated impacts. Maps can be created to show the anticipated impacts of the policy proposal on each of the territorial dimensions considered in the assessment stage.

b) The Evaluation Table is based on a template (Annex E). Using this template requires that suitable nationally relevant policy objectives against which potential impacts can be evaluated are firstly identified. These should be those from which the criteria employed in the assessment process were initially derived in stage 1.1b and 1.2.1b (for instance the Strategy for Spatial Development of the Republic of Slovenia). Once these have been identified, they should be used to populate the relevant column of the Evaluation Table template provided.

[15] The significance of an impact depends both on its nature (e.g. magnitude, temporal distribution, etc) and the context in which it occurs, defined by adopted (territorial) policy objectives. Impacts can be positive or negative, recognising that in policy negotiations being aware of the favourable aspects of a policy proposal can be as important as being aware of the negative.

[16] Evaluation/s should be conducted at the most appropriate level/s depending on the administrative framework and distribution of competences for establishing territorial policy objectives in different countries (in-keeping with the principle of subsidiarity).

c) Following the structure of the Evaluation Table, for each of the identified objectives, the significance of the impacts detailed in the completed IAMs should be defined. In each case the significance should be determined by considering both, the nature of the policy proposal's potential impacts (e.g. magnitude, direction of action), as well as the nature of the objective itself. Impacts should be defined in the Evaluation Table, using a 5 point scale (-2, -1, 0, +1, +2), reflecting whether the potential impacts are considered to be positive or negative for the objective concerned and the impact's degree of significance (neutral to high). If completed in a group setting, as is preferable to enhance objectivity, if different opinions are expressed, these should be reconciled through discussion. Each determination in the table should be accompanied by a written commentary and justification which should include, in each case, an explanation of the specific policy impacts that have led to the significance determination given in terms of each objective, and if possible any suggestions of how negative impacts may be avoided or mitigated or potentially positive impacts maximised.

d) Following the evaluation process, best practice dictates that a written summary of the results / outputs of the overall TIA process should be prepared and sent to local / regional level partners who participated in the TIA, if not to all regional / local authorities. This should include any proposed changes to the policy proposal.

1.4.2 Completing a regional / local level Evaluation Table

a) Sub-national evaluation can be completed by regions/localities in countries where the administrative framework and distribution of competences for establishing territorial policy objectives means that these are appropriate levels at which to evaluate impacts on the resilience and future evolution of places. The process should follow an identical procedure to that outlined above, however it should precede it in time, and the objectives used in the Evaluation Table should be regionally or locally specific. These objectives can be derived from a variety of sources but would most likely be drawn largely from regional/local planning documents. The key qualifying characteristic for these objectives is that they must outline a desired state or an agreed line of action relevant to the region / locality, and should normally cover social, economic, environmental and governance dimensions.

b) In situations where, as a result of the assessment criteria employed in the assessment process, impacts are not defined in a manner suitable for evaluation against particular sub-national objectives, additional more appropriate assessment criteria can be defined and introduced into the impact assessment process through the IAM. In this respect, it is important to note that the assessment and evaluation stage is not a strictly one way process.

c) If sub-national evaluations are carried out, in order to allow for the integration of these outputs at the national level, the national level Evaluation Table should include the additional objective along the lines of *minimising negative and maximising positive impacts at the local / regional level*.

2 TIA governance arrangements

This section provides suggestions and an outline of the principles that should be followed when considering the implementation of TIA in the administrative and institutional context of an EU member state. These are presented in terms of the four stages of the TIA process.

To supplement these arrangements, in some member states, the establishment of a web-based platform for TIA may be desirable to facilitate the operationalisation of the approach. This could, for instance, incorporate a means of alerting relevant stakeholders to the TIA, an information repository, a means of uploading assessment information, and basic data analysis tools. This will help facilitate efficient information exchange between parties.

2.1 Screening and Scoping

Screening and scoping activities should be carried out at the national level, ideally in a multidisciplinary setting. Conducting these activities will, in particular, require expertise in the policy area under consideration and also of territorial matters in the member state. In most member states this will mean that the responsibility for these activities will most appropriately be assigned to the government department responsible for negotiating or transposing the policy area under consideration, supported by the department responsible for spatial planning / impact assessment (e.g. SEA) and also possibly other departments as relevant. Particularly in smaller MSs, it may also be desirable to involve sub-national representatives (devolved administration/ *Land* etc.). In member states with existing impact assessment procedures for EU measures (e.g. the UK), it may also be possible to embed TIA activities within these existing arrangements.

2.2 Impact Assessment

The impact assessment stage needs to engage with sub-national authorities at either the regional or local levels with operational familiarity with the sub-national territorial units in the member state. This in particular will include agencies with spatial planning responsibilities. The assessment can be undertaken directly by these authorities (e.g. devolved administrations / *Land*, local planning bodies/agencies), or in smaller member states, by central government departments in consultation with these authorities. If a non-comprehensive assessment approach is adopted (see section 1.2.3), regional (devolved administration / *Land* etc.) / local planning bodies / authorities would either be:

- Contacted directly by the scoping body and encouraged to participate (i.e. 'targeted'); or be
- Responsible for taking the initiative themselves based on their own interpretation of the scoping outputs; if this was the case, a centrally managed web-based system could be used, sending out e.g. alert emails.

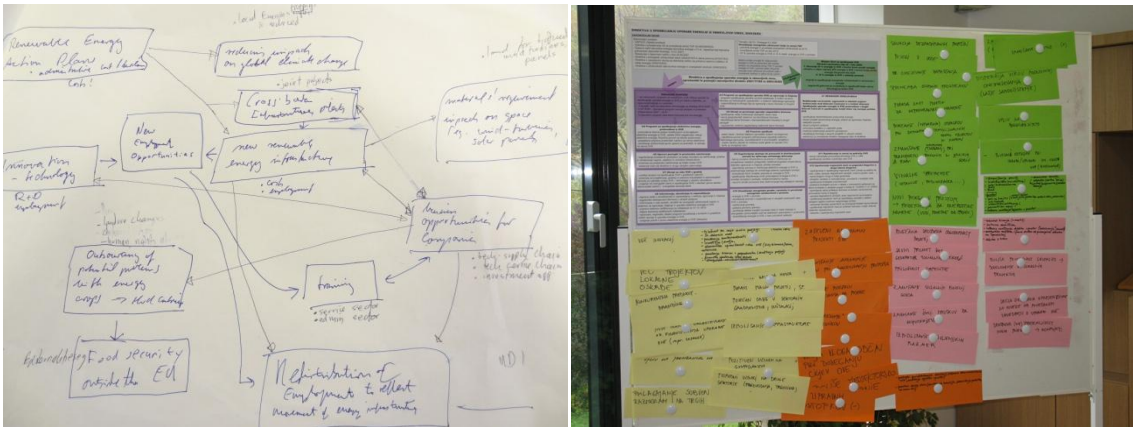
These bodies / authorities would be responsible for completing Impact Assessment Matrices and for communicating this information to the national level. Support for this could be provided by any suitable national or regional (devolved administration / *Land*) agencies.

2.3 Impact Evaluation

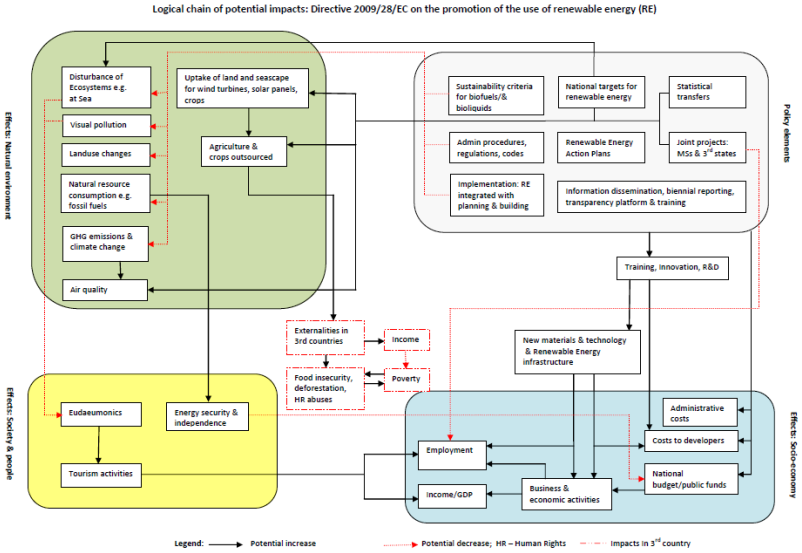
Evaluation is necessary at the national level. In most cases it will be most appropriate for this to be led by the government department responsible for negotiating or transposing the policy, coordinating with the department responsible for spatial planning and other departments. These departments will be responsible for receiving, amalgamating and analysing the assessment information generated at the sub-national levels and for feeding this into the policy negotiation and transposition process. Where impact assessment procedures already exist for EU measures, these evaluation activities could be integrated within these arrangements.

The evaluation stage can also be conducted on an optional basis at the sub-national level. In these cases it should be conducted by the same body that undertook the assessment stage (e.g. agencies with spatial planning responsibilities).

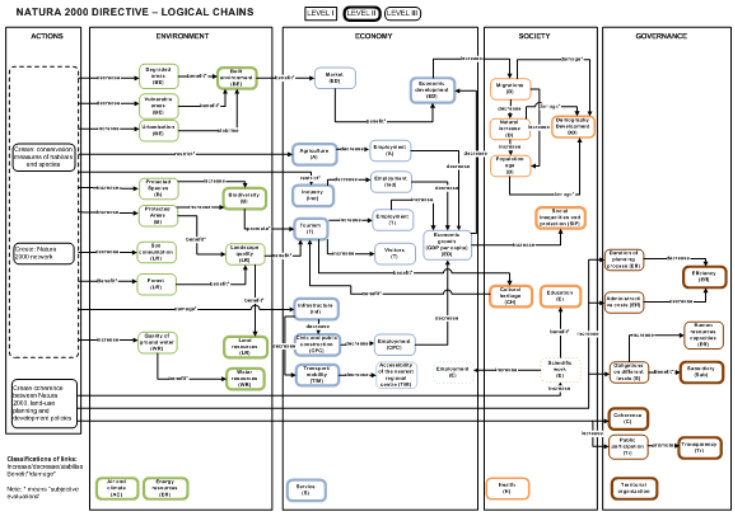
Annex A: Logical chains' examples



Hand-written 'back of envelope' example and workshop example



More elaborate 'designed' example



Highly complex 'designed' example

Annex B
Europe 2020 headline issues and corresponding possible TIA criteria

Headline issue	Target	Corresponding TIA criteria
Employment rate	75 % of the population aged 20-64 should be employed	• Employment
Investment in research and development	3% of the EU's GDP should be invested in R&D. The total gross domestic expenditure on research and development comprises: business enterprise expenditure on R&D, higher education expenditure on R&D, government expenditure on R&D and private non-profit sector expenditure on R&D.	• Investment in research and development
Greenhouse gas emissions	Reduction of the greenhouse gas emissions by 20% compared to 1990	• Greenhouse gas emissions
Renewable energy	Increase in the share of renewable energy sources in final energy consumption to 20%	• Renewable Energy
Energy efficiency	20% increase in energy efficiency	• Energy Efficiency
School dropout rate	The share of early school leavers should be under 10%	• Educational attainment
Higher education rate	at least 40% of 30-34 years old should have completed a tertiary or equivalent education	
Poverty rate	Reduction of poverty by aiming to lift at least 20 million people out of the risk of poverty or exclusion	• Poverty and social exclusion

Annex C

Checklist for screening (unshaded) & scoping (unshaded & shaded) at national level

	TERRITORIAL IMPACT ASSESSMENTSCREENING / SCOPING CHECKLIST	**Policy:_____** **If applicable, policy element:_____**			**Date: _____**
	Assessment criteria (criteria below are indicative)	**Likely major impact at the national or local level? Yes (√) no (x), uncertain (?)**	**Comments: nature of the impact and justification**	**Location/ features of areas likely to be affected?**	**If several policy elements are considered: Cumulative impacts**
EU2020	Energy efficiency + renewables				
	Investment in research and development				
	Employment				
	Educational attainment				
	Green house gas emissions				
	Poverty and social exclusion				
UK specific	Health and safety				
	Waste production				
	Administrative costs / burden				
	Cultural heritage				
	Biodiversity (flora / fauna)				
	Air pollution				
	Water Pollution				
	Soil pollution				

If several policy elements are considered, then a checklist for each element has to be prepared; the final 'cumulative impact' column is only prepared once, based on the assessments of each element.

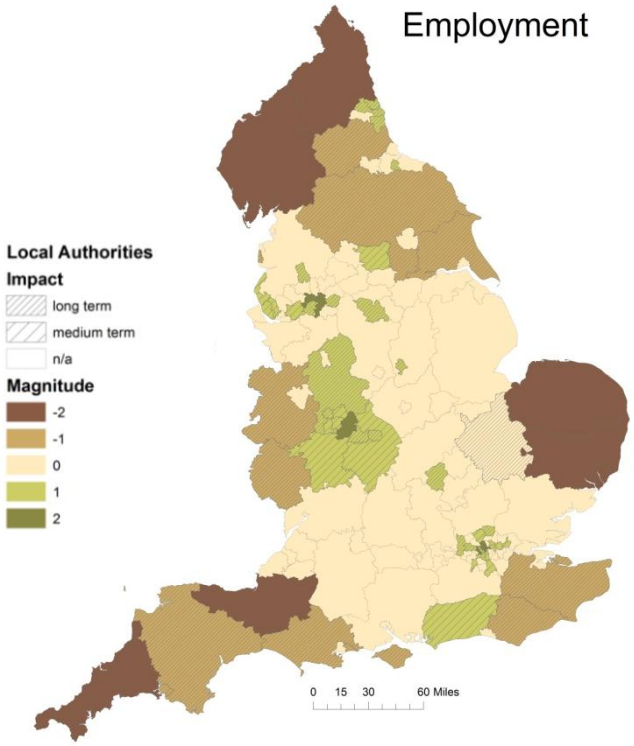
Annex D
Territorial Impact Assessment Matrix for Regional / Local Level Assessment

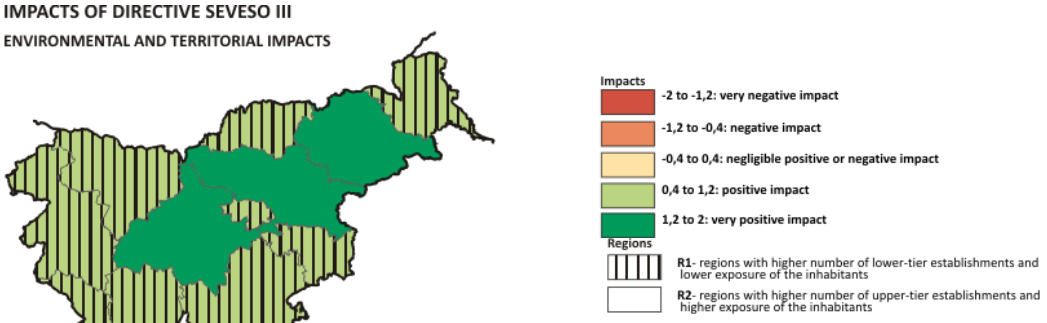
TERRITORIAL IMPACT ASSESSMENT MATRIX		Locality:_____		Date: _____	
Assessment criteria	**Nature of impact**	**Directive/Policy element A**	**Policy element B**	**Policy element C**	**Policy elements Cumulative**
	Magnitude (0, 1, 2)				
	Orientation against baseline (increase or decrease?)				
	Temporal distribution (Short term, medium term, long term?)				
	Justification				
. . .	. . .				
				Overall Comments:	
				Any changes to Directive proposal suggested?	

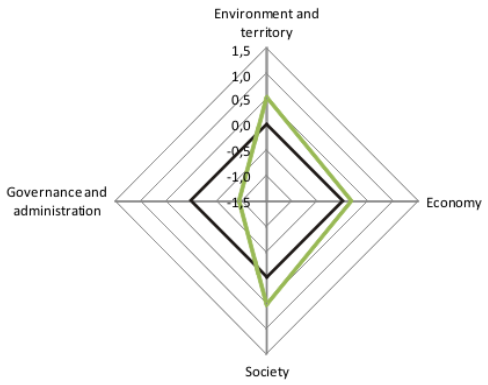
Annex E
Impact evaluation table for national level, and, if deemed necessary, regional / local level

TERRITORIAL IMPACT ASSESSMENT IMPACT EVALUATION TABLE	Policy:	Locality:	Date:
Policy objectives	**Impact significance? (-2, -1, 0, +1, +2)**	**Justification and comments (e.g. possible means of mitigation)**	
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

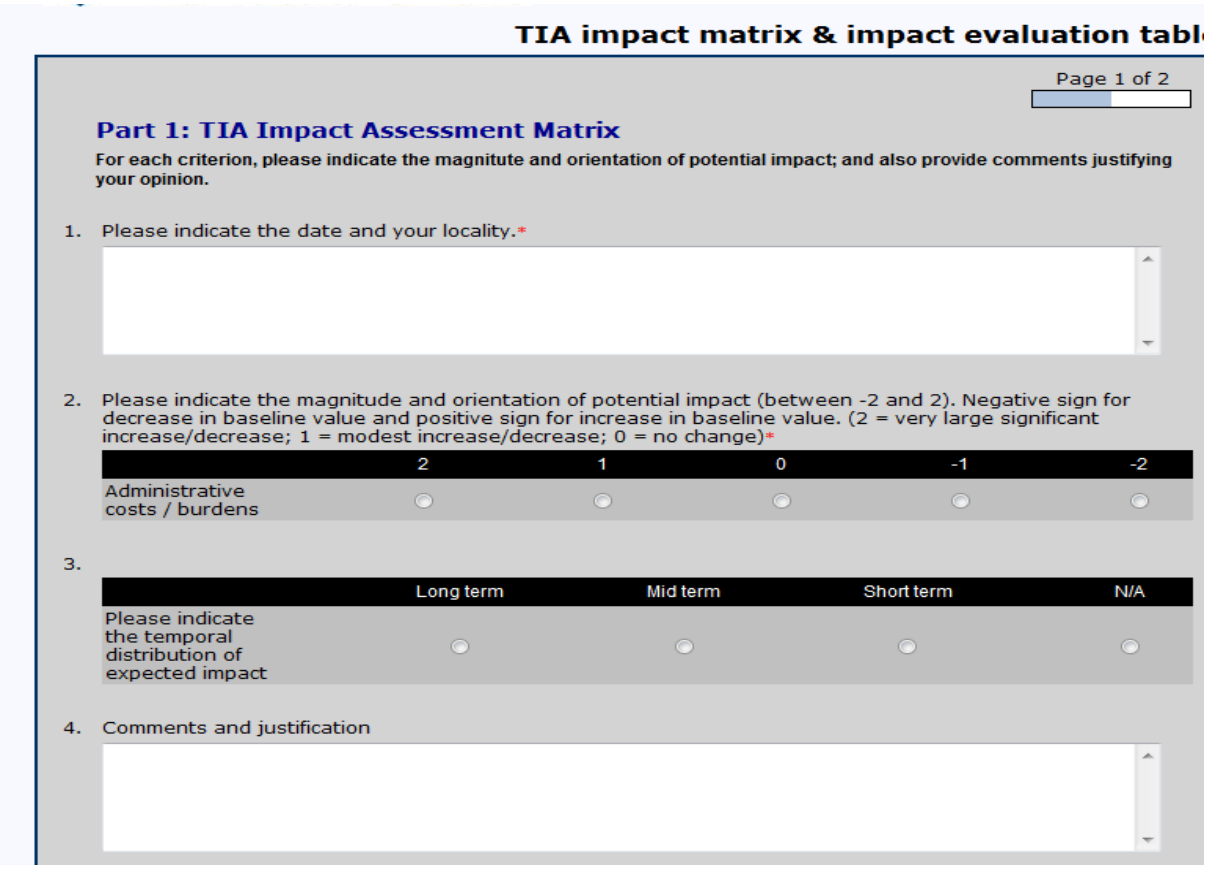
Annex F
Examples for collection of regional/local assessment data at national level in England and Slovenia and a radar chart, showing aggregate results







Annex G
Example for web-based template for feeding assessment result back to the national level (if many regions / localities are involved)



TIA impact matrix & impact evaluation tabl

Page 1 of 2

Part 1: TIA Impact Assessment Matrix

For each criterion, please indicate the magnitute and orientation of potential impact; and also provide comments justifying your opinion.

1. Please indicate the date and your locality.*

2. Please indicate the magnitude and orientation of potential impact (between -2 and 2). Negative sign for decrease in baseline value and positive sign for increase in baseline value. (2 = very large significant increase/decrease; 1 = modest increase/decrease; 0 = no change)*

	2	1	0	-1	-2
Administrative costs / burdens					

3.

	Long term	Mid term	Short term	N/A
Please indicate the temporal distribution of expected impact				

4. Comments and justification

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The ESPON 2013 Programme is part-financed by the European Regional Development Fund, the EU Member States and the Partner States Iceland, Liechtenstein, Norway and Switzerland. It shall support policy development in relation to the aim of territorial cohesion and a harmonious development of the European territory.