

# Insted

## Institutional capacity for territorial development

Targeted Analysis 2013/2/16

Inception Report | Version 08/September/2011



This report presents a more detailed overview of the analytical approach to be applied by the project. This Targeted Analysis is conducted within the framework of the ESPON 2013 Programme, partly financed by the European Regional Development Fund.

The partnership behind the ESPON Programme consists of the EU Commission and the Member States of the EU27, plus Iceland, Liechtenstein, Norway and Switzerland. Each partner is represented in the ESPON Monitoring Committee.

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<sup>1</sup> The listing of the elements included here should serve as a reminder of the standard elements that need to be covered by an Inception Report. The concrete content might vary from project to project. The level of detail to which these standard elements need to be addressed also depends on the quality of the project proposal and the level of detail to which some of these elements might already have been addressed there. Therefore the table of content for the report can be revised by the TPG, taking into account the elements that are requested to be dealt with in this report.

## **Executive Summary**

*From literature overview to operationalisation. How to use variables in order to build a link between institutional capacity and territorial development*

Studies and reports on the evaluation and the future strategies for the EU Cohesion Policy underline, among other aspects, the need to significantly strengthen administrative and institutional capacities and to more precisely link the availability of funding to conditionalities and incentives, in particular as far as pre-conditions for ensuring effective use of funding are concerned, together with the adoption of more precise systems of indicators in order to improve the quality of monitoring and evaluation efforts over the next programming period.

As the Fifth Cohesion Report puts it: “In terms of policy management, strong and sound administration at national, regional and local levels is important for the success and lasting effect of Cohesion Policy. Evaluations have found that the EU-12 countries have significantly improved administrative capacity since accession. Nevertheless, continued efforts are needed to ensure that all government levels in the EU have the necessary administrative capacity to deliver Cohesion Policy effectively”. (5<sup>th</sup> Cohesion Report Summary, p. 16)

And again: “On this basis, specific binding conditionality in the areas directly linked to Cohesion Policy would be agreed with each Member State and/or region — depending on the institutional context — at the beginning of the programming cycle in the programming documents (i.e. the development and investment partnership contracts and the operational programmes), in a coordinated approach with all relevant EU policies. Their fulfillment could be a prerequisite for disbursing cohesion resources either at the beginning of the programming period or during a review in which the Commission would assess progress towards completing agreed reforms” (5th Cohesion Report Summary, p. 20).

Moving from this policy background, the object of the ESPON Targeted Project *Institutional Capacity For Territorial Development* (INSTED) consists in delivering a targeted analysis aimed at:

- identifying the institutional factors explaining the efficiency of public institutions in designing and implementing successful territorial development strategies and policy in the framework of EU Cohesion Policy;
- developing a common and transferable methodology to be used for recognizing and assessing these institutional factors and enhancing institutional efficiency, through the identification of practices and tools.

The following Inception Report for ESPON INSTED aims at:

- Bringing to further definition the project structure, as presented in the Project Proposal submitted in June 2010

- Analyse in depth the main concepts of the project framework as derived from relevant literature
- Propose specific strategies and tools (e.g. indicators) in order to operationalise the concepts in the Insted project perspective
- Build a link between the conceptual framework and the methodological framework, and namely with the case study template

This Inception Report is composed by a main part, and two Annexes.

In the main part, the analytical approach is described in detail, in particular as far as the conceptual and the methodological dimensions are concerned. The *Conceptual Framework*, impinging on the basic concepts outlined in the project proposal, analyses more in depth how the concepts of *structural variables*, *institutional thickness* and *institutional capacity* are used in literature (both at academic level and as far as international institutions are concerned), and how these definitions can enable the project team to operationalise them for the purposes of the project.

The *Methodological Framework* consist of detailed guidelines for case study research, as it tries to connect each aspect of the Conceptual Framework to the actual regional contexts and thematic aspects of each case study.

The first Annex consists of the main bibliographical references used as a basis for the conceptual and methodological frameworks, the second Annex is the Communication Action Plan, which describes in depth the strategies towards diffusion, dissemination and communication to a wide range of stakeholders the project results.

The *Communication Action Plan* (CAP) describes the general approach of the communication strategy of the project, the objectives and the tasks to be complied. It identifies the corporate design of the project, developing the following tools: the logo, the templates for power point presentations, the website [www.instedproject.eu](http://www.instedproject.eu) (a beta release of the website is available), the management of internal communication, the formats for publications and the targets for dissemination. Finally, the CAP provides a list of indicators to evaluate the results achieved by the same Plan.

## 1 More detailed overview of the analytical approach to be applied

As anticipated in the project proposal, the INSTED conceptual framework approach can be summarised in the figure that follows:

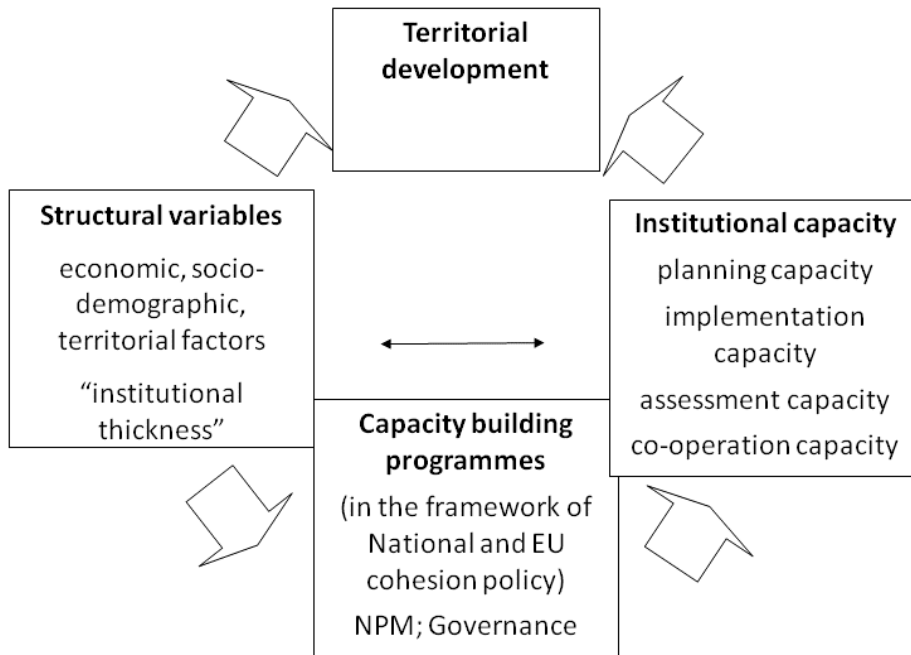


Figure 1 Conceptual Framework

### 1.1. Structural variables

In our framework, structural variables are considered path-dependent conditions which are in a co-evolution relationship with institutional capacity and have a direct effect both on *capacity building programmes* (independent variable) and *territorial development* (dependent variable)

Our review into neoclassic theory, endogenous growth theory and new economic geography is not a comprehensive one: it only aims at identifying key variables for development; it will not privilege any specific model for explaining growth, be it convergent or divergent, but it will draw on different models and theoretical contributions in order to build a first list of structural variables.

### 1.2. Institutional Thickness

The IT framework was originally proposed by Amin and Thrift in the middle of the nineties (1994; 1995) as part of the growing attention of academic and policy-makers to identify the key-factors which appear to provide certain regional and urban spaces with more possibilities to enhance local economic development in the climate of globalisation, and it helps:

- to grasp the role of non-economic factors in explaining the more or less dynamic behaviour of some regions;
- to overcome the pervasive attitude to consider territory as a container, by which each territory is endowed with a different set of resources, or as path-dependent in which the difference between one territory and another may be attributed to different paths followed by various territories;
- to identify specific sets of localized relationships for assessing the performance of governance and its capacity to act collectively

In literature, it is possible to identify four key elements connected to the concept of *institutional thickness*:

- a strong institutional presence – a plethora of actors some of which can be seen to provide collective representation and/or material services;
- a high level of interaction amongst these institutions so as to facilitate reflexive networking, co-operation and informational exchange, all of which serves to occasion a degree of ‘mutual isomorphism’;
- well defined structures of domination, coalition-building and collective representation in order to minimize sectionalism and rogue behaviour;
- the emergence of a cognitive mapping of places to the extent that agents perceive a common agenda upon which the collectivization of institutions depends and develops.

In order to operationalize the IT approach for the purposes of the Insted project, a research field derives from the *Barca Report* (2009), that stresses the role of capacity building to improve the effectiveness of local institutions in development strategies. It is at the EU level that a major effort is required to be able to address and monitor local institutions.

Within this perspective it is possible to identify some key problems in the relation between institutions and local development that can be useful to design a more comprehensive methodology to measure institutional thickness.

### *3. Institutional Capacity*

The notion of Institutional Capacity has two origins:

- the first one is the official literature produced by international institutions dealing with development matters such as UN and World Bank
- the second one is the researches conducted by scholars working inside the institutional geography framework



Like “institutional thickness”, IC is clearly a normative notion, with a very fuzzy nature: it has been used to “explain” the trajectory of successful regions and as an alternative to explanations invoking mere geographical or market conditions. It has been introduced to bring “state” or “society” back in, but the notion remains a black box.

In the EU framework, the concept of “capacity” underlines the attention to be given to the development of strategies and competences to maximise the opportunities for policy implementation.

Typical aspects of capacity are: the quality of civil servants, organisational characteristics, the diffusion of ICTs among organisational units, inter-department relations and the style of interaction between government and its social and economic environment.

As far as the Insted framework is concerned, different features related to IC can be identified:

- capacity of civil society, associations or firms to recognise the legitimacy and the leading role of public institutions to conduct social and economic change;
- capacity of public institutions to identify and mobilise civil society, associations or firms;
- capacity of public institutions or associations to be recognised as the voice of local interests in front of other tiers;
- capacity to collect and manage statistical information and other kind of knowledge on local economy, society and territory; the capacity to mobilise university knowledge;
- capacity to forecast public resources and plan public expenditure;
- capacity to deliver decent public services;
- capacity to candidate to competitive bids;
- etc....

#### *1.4. Social mechanisms theory*

Through the *social mechanisms theory* we propose to focus on the causal chains (mechanisms) that explain:

- how institutional capacity can bring about better development policies;
- how capacity building policies bring about increased institutional capacity.

The mechanisms approach tries to go beyond simple observation of an existence of a relation between variables; it proposes a strong focus on linking

inputs and outputs with deeper explanations, conceived as mechanisms; and can be finally useful in exploratory case studies as they allow to understand the elements contributing to reaching significant results within certain institutional contexts; in fact mechanisms are those elements that explain why some decisions are better accepted than others and furthermore are particularly relevant in explaining the functioning of a policy/programme especially when looking at the implementation process; they can be extrapolated and furthermore manipulated.

We can briefly recall some definitions of *mechanisms*:

“... sometimes true theories, explaining regular links among political and institutional procedures, decision tools, characteristics and actors’ propensities, and effects to be expected.” (Barzelay);

“...mechanisms accordingly are sequences of causally linked events that occur repeatedly in reality if certain conditions are given... Substantively speaking, mechanisms state how, by what intermediate steps, a certain outcome follows from an initial set of conditions. A mechanism provides a clear causal chain; it is concrete, lawful and scrutable...” (Mayntz)

In order to operationalise the concept, the definition adopted by the TPG in the research is: social mechanisms are causal links between policy design features, characteristics of the actors in the policy context and particular outcomes achieved.

As an example, some mechanisms explaining the success or failure of capacity building policies in creating or strengthening institutional capacity can be mentioned:

- *authority/reputation* (when the source is credible, the recipient will be less suspicious of the offered conception and thus more open and receptive to its detail);
- *participation of institutions considered similar or better* (knowledge or capacity transfer processes are influenced by the similitude between the transfer source and receiver);
- *diffusion* (bandwagon effects - the success of a practice resides in the number of participants adhering to it);
- *creation of a community of practices* (a community of practice is a platform where individuals develop and share best practices across organizational units; they favour thus circulation of information);
- *custom tailored interventions* (interventions adapted to the receiving organization structure and needs versus general and transversal training);
- *foreseeing elements of competition among participants*;

- *learning by doing* (based on the fact that repeated actions/habits turn into a permanent behavior).

Some mechanisms explaining the *success or failure of IC in bringing about better development policies*:

- *attribution of threat and opportunity* (attribution of opportunities is a way of changing interactions between actors from a zero-sum to a positive-sum one; threat requires a joint answer and thus induces to collective mobilization)
- *creation of rules of coordination* (existence of rules of coordination favours a clear definition of the objectives to be followed);
- *defining deadlines and commitments* (defining deadlines and commitments represents an alternative both to dictatorship and complete liberty, preventing thus failure);
- *actors' certification and de-certification* (concerns the validation of actors, their performance and their claims by external authorities; refers also to enabling institutions with incentives or powers to adopt new instruments and at the same time blaming the laggards)
- performance feedback (performance feedback tools aim to steer and control in a managerial way, but at the same time they enhance maintenance of collaboration);
- *stick and carrots* (refers to the attribution of incentives and penalties in order to induce change in agents' behavior);
- *social exchange* (balances the employee's needs and aspirations and the goals and expectations of the organizations' management).

## **2 Methodology and hypothesis for further investigation**

The case studies to be carried out aim to answer to the following two basic research questions:

- How has the increase in institutional capacity influenced the success of the analyzed policies?
- Have there been implemented any capacity building policies? If so, how and why have they worked and brought about an increase in institutional capacity?

The basic analytical point is, obviously, how to measure institutional and administrative capacity, but the main theoretical point is to identify the causal chains (the mechanisms) through which the said capacity brings about better development policies.

The Insted project develops nine case studies in three EU countries, France, Italy and Poland.

*France*

- Decentralization of the management of the Operational Programme to the Regional Authority with the aim to analyze strengths and weaknesses of this new approach to structural funds management and identify which institutional prerequisites are essential in order to make it effective (Alsace Region)
- Policy interventions in the field of innovation and solutions for an effective cooperation between the Managing Authorities of the Operational Programme (Prefet de region) and the Regional Authority in this field
- Programming and implementation of multi-regional programmes, in particular in the field of management of river basins as well as policy interventions in the field of urban development and more generally territorial priority (Rhône Alpes)

*Italy*

- Policy interventions aimed at improving the capacity of planning and selecting effective projects, such as the setting up of technical bodies (i.e. the Evaluation Units) able to support the administrative structures in the assessment and selection of programmes and projects (Apulia)
- Policy interventions able to build up territorial integrated development programmes, in particular in the field of urban development in Tuscany and Sicily regions
- Technical assistance measures employed by the Central government to support regional governments in the implementation of reform processes and sectoral planning in the field of water and waste management in Apulia

*Poland*

- Implementation of the Regional Development Strategy 2020 in the Dolnoslaskie region
- decentralization of structural funds in the period 2007-2013: how decentralization influenced the effectiveness of the use of SF, how institutional capacity evolved with new responsibilities, what should be done to make the process of implementation of Operational Programme more effective in the Lubelskie region

## Template for case study analysis

### **Chapter 1: Research problem (1 page)**

description of the main research problem to be explored.

### **Chapter 2: Context related features (10 pages)**

*2.1 Socio – economic development*

*2.2 Institutional and political characteristics*

general focus on structural variables and institutional thickness

analyze the departure point and changes in the main contextual factors – social, economical, and political- that shape institutional capacity in the analyzed regions over time (before, during and after the implementation of the interventions);

analyze the main challenges to social and economic territorial development in the region.

### **Chapter 3: Outcomes of analyzed interventions (3 pages)**

analyzes the success of the intervention or its failure

### **Chapter 4: Telling the story of the intervention (5-8 pages)**

retraces the story of the analyzed intervention with respect to the research problem.

### **Chapter 5: Actors involved (2 pages)**

identifies the main actors involved in the analyzed intervention and their role in its programming, implementation, monitoring and evaluation.

### **Chapter 6: Analyzing institutional capacity (5-8 pages)**

focuses on characterizing institutional capacity and its (eventual) evolution over time

### **Chapter 7: Capacity building policies (5-8 pages)**

focuses on capacity building policies put into place and their effectiveness in increasing institutional capacity

### **Chapter 8: What works (3 pages)**

focuses on the mechanisms explaining how institutional capacity brought about better interventions.

## **3 Review of the main literature, data sources, etc. distinguishing between EU level and the particular case study's level**

In order to appropriately situate the INSTED project within both the theoretical debate and the EU policy framework, the TPG took into consideration a number of literature sources and policy documents.

In order to refine the Conceptual Framework, literature sources have been taken into consideration (see Annex 1 Bibliography), in particular for a coherent and usable definition of quite fuzzy concepts like *institutional thickness* and *institutional capacity*. In order to cover the wide variety of thematic aspects, different literature fields have been explored, from policy analysis to urban planning, from local development to economic geography, from new public management to institutionalism.

Secondly, the EU policy dimension has been central in shaping the approach and in defining the research framework, in particular as far as the ongoing debate on the review of the Cohesion Policy is concerned, in the framework of the EU budgetary reform. The Fifth Cohesion Report *Investing in Europe's Future* (2010) has been central in our review, as well as a number of analyses, studies and preparatory documents issued for the DG Regio and other DGs and listed in bibliographical annex.

As to the *case study methodology* adopted in the project, the TPG drew on a number of relevant studies on case study methodology. Particular important for the research purpose appears to be Yin's research on explanatory case studies. According to Yin the main objective of case studies is to explore and explain complex causal linkages in real world interventions. Thus, a case study has to analyse a contemporary phenomenon in its real context, especially when the borders between the phenomenon and its context cannot be clearly distinguished. As Bruno Dente points out in "Le decisioni di policy. Come si prendono e come si studiano" (Policy Decisions: how they are taken and how they are studied), the relation between the phenomenon and its external environment represents the interest point for the analysis of decision making processes as it is almost impossible understanding policy decisions, and particular the incremental ones, without considering the context within which they occurred.

Furthermore, referring to Barzelay's research on extrapolative case studies, the mechanisms are considered to be those elements that link the process design features to process context features. By referring to this particular approach, the adopted case study methodology aims to underline specific processes and mechanisms of functioning that might be transferred from analysed case studies to other target cases.

In addition, to Barzelay's research other studies on the mechanisms approach have been considered, as detailed in the attached bibliography.

In drafting the case study template, DG REGIO's work paper *Case Studies in the Framework of Ex Post Evaluation, 2000-2006* has been considered. According to it, good case studies should tell the story of the intervention bringing out the interrelationships between the various elements that need to be covered and allow understanding how policy is implemented and works in

practice. Furthermore, gathering information through the template is an essential step, even though it is not the end of the process as information has to be turned into a coherent, informative and analytical narrative which links the various details together, explaining the various factors which have shaped the analyzed policy intervention.

In addition, according to Bruno Dente (2011), while the final case study report should be drafted under the form of an analytical narrative, the reconstruction of the policy process should be based on four main research phases: reconstruction of the intervention chronology; analysis of the actors involved; analysis of the interactions and causal links which determine the outcomes of the intervention; drafting of the case study report.

As to the *individual case studies*, the sources are quite different: ESPON databases and/or national databases; official (monitoring reports, evaluations reports, press articles, etc) or grey literature; interviews with the main actors involved in the case study.

#### **4 Use of existing ESPON results relevant for this project**

Using the Espon database would provide a comparable set of indicators for the regions included as case studies, and this could be particularly useful for representing structural variables.

The following table collects the indicators available for all the selected regions: they partly result from the Espon 2013 database project (GDP, pyramid of age, labour force, total population, Demifer project indicators) from Espon basic indicators (GDP, research and development) and from other sources (mainly employment measures). For these latter, we searched the Espon database for all themes and subthemes, checking which raw data and indicators were available for Puglia, Sicilia, Toscana, Rhone-Alpes, Alsace, Aquitaine, Dolnoslaskie and Lubelskie.

The general picture is a rich set of indicators and data, comparable across regions and mostly covering structural variables as conceptualized. Possible integrations and more up to date data (for instance on education, level of investments, or energy) will be drawn from the same data providers by which former Espon projects obtained their data, in particular EUROSTAT, OECD, the World Bank WDI, and the International Labour Organization. If needed, additional data from the Espon 2006 database will be used.



Espon Projects	Data and Indicators Available for All Selected Regions
<b>Espon 2013 Database</b>	<ul style="list-style-type: none"> <li>- Total Population 2000-2006</li> <li>- Population male/female every 5 years age-class 2005</li> <li>- GDP in Euros 2000-2006</li> <li>- GDP in PPS 2000-2006</li> <li>- Active population 2000-2007 (inhabitants)</li> <li>- Unemployment 2000-2007 (inhabitants)</li> </ul>
<b>Demifer project</b>	<ul style="list-style-type: none"> <li>- Total population 2000-2007</li> <li>- Population aged 20-39 years 2000-2007</li> <li>- Population aged 20-64 years 2000-2007</li> <li>- Population aged 65 years and over 2000-2007</li> <li>- Population aged 75 years and over 2000-2007</li> <li>- Annual average population change 2000-2007</li> <li>- Annual average population change among persons aged 20-39 years 2000-2007</li> <li>- Annual average population change among persons aged 65 years and over 2000-2007</li> <li>- Annual average population change among persons aged 75 years and over 2000-2007</li> <li>- Share of 20-39 years 2005</li> <li>- Share of population aged 65 years and over 2005</li> <li>- Average share of population age 65 years and over 2000-2007</li> <li>- Life Expectancy 2002-2004</li> <li>- Total population 2000-2007</li> <li>- Natural population change 2000-2006</li> <li>- Net migration change 2000-2006</li> <li>- Annual average natural population change 2000-2006</li> <li>- Annual average migration population change 2000-2006</li> <li>- Annual average population change 2000-2007</li> <li>- Typology of the demographic status (based on: Share of population aged 20-39 in 2005; Share of population aged 65 and over in 2005; natural population increase per 1000 inhabitants in 2001-2005 and net migration per 1000 inhabitants in 2001-2005)</li> </ul>
<b>Basic Indicators</b>	<ul style="list-style-type: none"> <li>- Area in square kms</li> <li>- Population density 2002</li> <li>- Share of population 2003 (female, male, &lt;14, &gt;65, &gt;75)</li> <li>- Development of population 1995-2003 (total, female, male)</li> <li>- GDP per inhabitant 2002 (in Purchasing Power Parities and Euros)</li> <li>- Development of GDP per inhabitant 1998-2002 (in Purchasing Power Parities and Euros)</li> <li>- Share of active population &lt;25, 2001</li> <li>- Share of persons employed 2001 (male, female)</li> <li>- Share of persons employed in industry, agriculture and services 2001</li> <li>- Unemployment rate 2004 (total, male, female)</li> <li>- Unemployment rate age &lt;25 years 2004</li> <li>- Development of unemployment rate 1999-2004 in percentage points (total, male, female)</li> <li>- Patent applications to the EPO per persons employed 2002</li> <li>- Total intramural R&amp;D expenditure 2002</li> <li>- FuE Business Enterprise Sector, personnel, 2003</li> </ul>
<b>Edora country profile</b>	<ul style="list-style-type: none"> <li>- Employed persons in construction 2006</li> <li>- Number of firms in construction 2006</li> <li>- Employed persons in electricity, gas and water supply 2006</li> <li>- Number of firms in electricity, gas and water supply 2006</li> <li>- Employed persons in hotel and restaurants 2006</li> <li>- Number of firms in hotel and restaurants 2006</li> <li>- Employed persons in manufacturing 2006</li> <li>- Number of firms in manufacturing 2006</li> <li>- Employed persons in mining and quarrying 2006</li> <li>- Number of firms in mining and quarrying 2006</li> <li>- Employed persons in real estate, renting and business activity 2006</li> <li>- Number of firms in real estate, renting and business activity 2006</li> <li>- Employed persons in wholesale and retail trade 2006</li> <li>- Number of firms in wholesale and retail trade 2006</li> <li>- Employed persons in transport, storage and communication 2006</li> <li>- Number of firms in transport, storage and communication 2006</li> <li>- Dependency rate 2007</li> <li>- Daily population accessible by car 1999</li> </ul>

Table 1 Espon Indicators for the Insted regions



## 5 Distribution of work packages among partners, the break down of the project's budget on the individual partners per budget line

In the following section we will present the distribution of WPs among partners and the breakdown of the project's budget on the individual partners per budget line.

### Distribution of work packages among partners (in percentage)

	DIAP-Polytechnic Milan	Polytechnic Turin	IRS	Univ Lyon	Univ Barcelona
WP 1: Coordination	100%				
WP 2: Activity					
WP 2.1: Conceptual framework	20%	20%		60%	
WP 2.2: Methodology	20%			40%	40%
WP 2.3: French case study				100%	
WP 2.4: Italian case studies		50%	50%		
WP 2.5: Polish case studies			50%		50%
WP 2.6: Comparative conclusions	20%	20%	20%	20%	20%
WP 3: Dissemination	10%	10%	20%	10%	50%

### Breakdown of the project's budget on the individual partners per budget line

	DIAP-Polytechnic Milan	Polytechnic Turin	IRS	Univ Lyon	Univ Barcelona	TOTAL
1. Staff	38.681	46.653	70.406	72.379	53.310	281.429
2. Administration	7.624	0	0	0	0	7.624
3. Travel and accomodation	4.000	5.000	5.000	5.000	5.000	24.000
4. Equipment	0	0	0	0	0	0
5. Ext. expertise and services	7.500	15.000	3.500	5.000	1.750	32.750
TOTAL	57.805	66.653	78.906	82.379	60.060	345.803

## 6 Project specific part (please check if specific points are mentioned in the project specification and in the Annex III to your subsidy contract that should be addressed in the Inception Report, again distinguishing between EU level and the particular case study's level)

The interaction among the Espon CU, the Lead Stakeholder and the project TPG has been important to complete the working hypotheses exposed in the project proposal, and to refine some research questions. In particular, as described in Annex III, the project will foresee a detailed overview of the socio-economic and institutional context in each of the nine regions under scrutiny, together with a review of the Cohesion Policy implementation at regional level, in order to propose a contextual analysis and a significant background for the individual case studies.

## **7 Overview of more detailed deliveries and outputs envisaged by the project and envisaged dialogue with stakeholders in that respect**

In this section we will describe the content of the deliverables envisaged by the project, and the involvement of stakeholders along the development of the project.

### *1. Work Plan*

During the past months, the Lead Partner has met the Espon CU and the lead stakeholder (the Italian Department for Development and Economic Cohesion – DPS) in February 11th and in July 13th. As a consequence of both these meetings, a final work plan has been defined as follows:

- Inception Report, with the Partnership agreement (2 June 2011)
- Participation of the LP to the Espon Seminar in Budapest 20-21 of June
- Second Steering Committee meeting (Rome, 13 July 2011)
- Revised Inception Report (8 September 2011)
- Interim Report, with the first drafts of case study analysis (14 November 2011)
- Espon Internal Seminar, with the presentation of results from case study analysis (Krakow, end November 2011)
- Third Steering Committee (open to Stakeholders), with in depth discussion of draft case studies with regional stakeholders, Lead stakeholder and Espon CU (Brussels, mid January 2012)
- Draft Final Report: (13 April 2012)
- Forth Steering Committee meeting (May 2012)
- Final Report: (13 June 2012)
- Fifth Steering Committee meeting and Final Conference (Barcelona, July 2012)

### *2. Logo and website of the project*

The logo of the project has been produced and a beta release of the web site is available, the address is: <http://www.instedproject.eu/>

### *3. Communication Action Plan*

The Communication Action Plan has been elaborated (see the Annex)

### *4. Newsletter (3 issues)*

The first issue is currently in preparation. The second and third issue are foreseen for January and July 2012.

### *5. Inception Report*

The Inception Report presents the main elements of the Conceptual Framework (Section 1) and the Methodological Tools (Section 2). Delivered in June 2<sup>nd</sup>, the present version has been revised according to the suggestions provided by DPS and Espon CU in the Second Steering Committee meeting.

### *6. Interim Report*

It will present key-findings and policy lessons from the case studies.

The analytical activities for the French, Italian and Polish cases have started. According to the decision of the Lead Stakeholders, the Interim Report will contain a specific deliverable for the analysis of the institutional environment that characterizes NUTS II regions (capacity building programmes) and of the structural variables (economic, socio-demographic, territorial factors).

#### *7. Final Report*

The Report will present the comparative conclusions of the research. It will gather the case studies material and will draw comparative conclusions on the basis of the nine case studies developed by the project. It will identify the determinants (structural variables) of the territorial development and their role in fostering (or impeding) the successful implementation of the capacity building programmes.

After a draft version, that will be discussed in the forth Steering Committee meeting, the TPG will produced the final version that will be presented in the Final Conference.

#### *8. Policy briefing document*

Together with the Final Report, the TPG will produce a policy briefing document that will distil key lessons from the research for policy makers.

#### *9. Book “Institutional capacity and territorial development”*

The book will contain contributions from the main parts of the research: conceptual framework, methodological tools, case studies, conclusions.

#### *Involvement of stakeholders*

Stakeholders and local decision makers will be involved along the development of the project through:

- in-depth interview for the elaboration of the case studies;
- the participation to the Conference in Brussels for the discussion of draft case studies (January 2012);
- the participation to the Final Conference in Barcelona (July 2012).

### **8 Indication of likely barriers that the project implementation might face**

In this stage of the project, the TPG envisages two type of obstacles that the project might find during its development.

The first one is strictly connected to the implementation and operationalisation of the conceptual framework. The main theoretical parts composing it are structuring a framework that will become an effective basis for empirical analysis. This aspect concerns the empirical research phase and the final

drafting of sound hypotheses, that could be methodologically repeatable in other policy contexts, as well as defining a system of indicators.

The second barrier directly affects the empirical analysis phase and has to do with possible difficulties in finding appropriate, reliable data sets, for the characterisation of the socio-economic features and the institutional and policy context of each of the nine regions under study on the one hand, and in finding relevant witnesses able to release information on the decision making processes for the actual case studies on the other.

## **9 Orientation of the project previewed towards the Interim report**

The Insted project is fully oriented towards the Interim report, since empirical research included in WP 2 (namely WPs 2.3., 2.4., 2.5.) is currently underway in parallel in France, in Italy and in Poland.

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# Insted Institutional capacity for territorial development

Targeted Analysis 2013/2/16

Inception Report | Version 08/September/2011

ANNEX 1

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ANNEX 2

COMMUNICATION ACTION PLAN (CAP)

## General approach

Every partner is responsible of the success of INSTEAD, so the communication and dissemination of the project should take into account the goals of all project's stakeholders and partners.

Dissemination will be based on the following principles:

1. **Integrity:** Dissemination will be part of the project from the very start, and will continuously go on parallel to the general project work flow.
2. **Collaboration:** Dissemination activities will be decided and consequently carried on by all partners, with different degrees of responsibility.
3. **Efficacy:** the project will make use of different methods and communication channels to reach its objectives. The project will make use of new technologies, such as social networks in the Internet, insofar as they prove to be effective.
4. **Efficiency and economy:** the project will make use of the existing facilities linked to Priority 4 of the ESPON 2013 Programme (Capitalisation, ownership and participation: Capacity building, dialogue and networking), as well as other existing European networks to reach wider audiences.

## Objectives

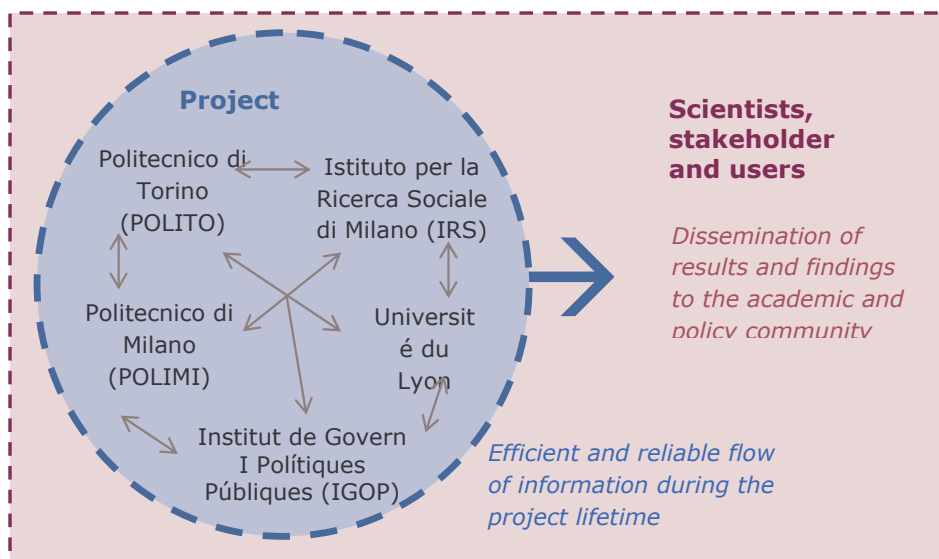
The objectives of the dissemination will be the following:

1. Ensure an **efficient and reliable flow of information and knowledge** within the project's partners during the project lifetime.
2. **Disseminate results, findings and deliverables** within the consortium and to the wider community of scientists, stakeholders and end users.
3. Ensure **an adequate degree of communication and understanding** for all kinds of audiences.



#### 4. Maximize the impact of the project at all levels.

To accomplish these objectives, the Communication Action Plan (CAP) shall consider internal and external flows of information.



#### Dissemination (Key areas)

A Dissemination Group (DG) integrated by a representative of each partner and headed by the WP leader will develop the CAP in order to ensure that the project's findings are efficiently communicated to a wide spectrum of audiences, including scientists, non-governmental organizations (NGOs), decision-makers, stakeholders and the general public.

CAP's main task are:

#### Task 1: Definition and presentation of INSTED

It's essential to be able to present INSTED to the different stakeholders and target groups. Therefore the first task should be to reach an agreement among the partners on the basic definition of the project, which means to be able to answer the "W" questions: What is INSTED? When will it be carried out? Who is/are the participants of the project? Where will the project's meetings take place? Which results are to be expected? Why does INSTED matter?

The answers to these questions, will enable us to develop basic information products of the project (poster, flyer and presentation), including in them two additional questions that are key for external agents: How can you get more information and how can you get involved.

## Task 2: Identification and characterization of the different target groups

The CAP will identify the different target groups and stakeholders, their information needs regarding the project's issues and the tools through which dissemination of knowledge could be more efficient. The CAP will be updated regularly in order to ensure the dissemination of the project among the different stakeholders.

It would be very useful to generate a list of potentially interested persons and institutions, grouped by profiles, with a double goal:

- To adapt the INSTED message, emphasizing aspects related to each profile
- To generate an initial list of contacts for the mailing of the newsletter and the use of the project's website

To generate the initial list of contacts, each partner will complete the form below. The goal is to generate one conceptual actors map:

PARTNERS	Target groups						
	Scientists and universities	EU authorities	National authorities	Local and regional authorities	Business representatives and trade unions	Media	NGO's
Politecnico di Milano (POLIMI)							
Politecnico di Torino (POLITO)							
Istituto per la Ricerca Sociale di Milano (IRS)							
Université de Lyon							
Institut de Govern i Polítiques Públiques (IGOP)							

This form is complemented by the contact's form

## Target groups form

**PARTNER:** Eg. Institut de Govern i polítiques públiques (IGOP)

	Institution	Contacts	Web / Mail
<b>POLITICAL LEVEL</b>			
National			
Regional			
Local			
<b>UNIVERSITIES</b>			
Experts			
Research establishm.			
Case study			
<b>CIVIL SOCIETY</b>			
NGO's			
Business			
Trade Unions			
<b>MEDIA</b>			
General			
Specific			
<b>EU NETWORKS</b>			
General			
Specific			

Each partner should fill and adapt this form to its needs and return it to the IGOP ([ramon.canal@uab.cat](mailto:ramon.canal@uab.cat))

### Task 3: Corporate design

#### Develop the INSTED identity: corporative logo

To strengthen the project's identity three logo proposals have been developed.



(see the annexes for more information about the logos)

This is the selected one:



### **Generate corporative templates**

One way to convey brand image among the different actors involved is to create and use templates for the different tasks of the project. The tools should include:

- a template for presentations.
- a template for mailings.
- a set of specific text files (with logos and no logos) and case study formats.

In this sense the final logo will be adapted to the templates. These materials, as well as the logos and the communication guidelines will be available at the project's website (<http://www.instedproject.eu/>). The project partners will be requested to always use the INSTED templates for their communication activities.

### **Project presentation + Flyer + General Poster**

A project presentation, a flyer and a general poster will be done, using the information gathered in tasks 1, 2 and 3.1. The contents, printing quality and edition size of these materials will be discussed

by the DG and finally approved by the Steering Committee. In principle, they will be drafted in English and adapted to the main project languages: Italian and French. Once finished, the materials will be distributed by the partners themselves.

#### **Task 4: Website**

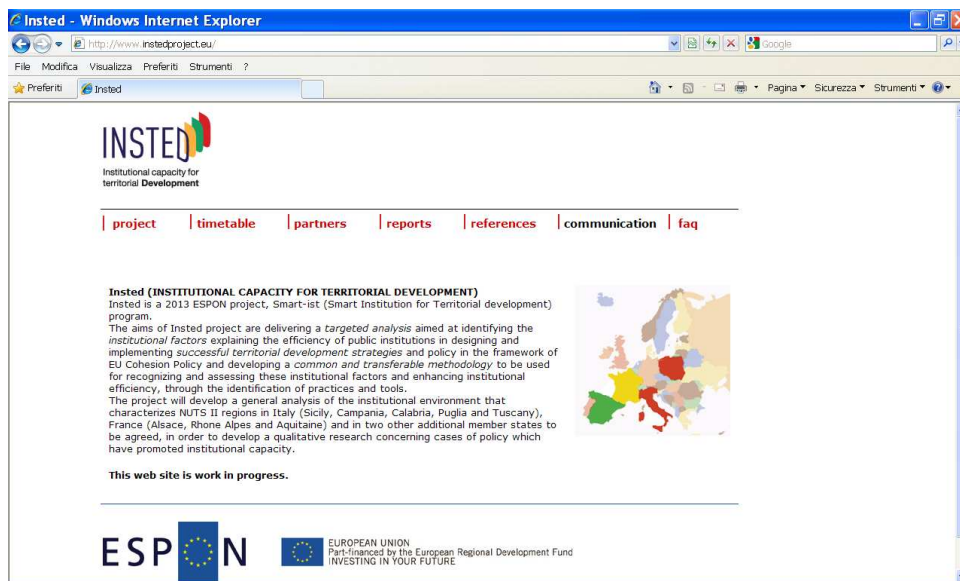
A website is established to provide information of the project, its events, results and publications. It provides simple, yet comprehensive and reliable information on the key aspects of the project. A Frequently Asked Questions (FAQ's) section will be prepared and loaded to the website. The materials generated at point 3.3.1 should be also available and ready to download.

The most accessible and understandable aspects of the knowledge-base will also be placed in the outreach oriented internet site. Access to news articles and press releases will be included. The DG will be in charge of the definition of the contents of the website. The IRS will take the overall responsibility of the practicalities associated to the design, implementation and update of the Web, as well as the FAQ's section. Where possible, the project will make use of the facilities offered by ESPON's 2013 website, opting for complementarity.

To enrich and promote the INSTED website all partners will be invited to:

- Create reciprocal links between the project's website and their own institutional websites.  
The partners web sites are quite important national hubs:  
<http://www.diap.polimi.it/>  
<http://areweb.polito.it/ricerca/eupolis/>  
<http://www.irs-online.it/>  
<http://triangle.ens-lyon.fr/>  
<http://igop.uab.cat/>
- Put on the website information about and/or links to national and regional news and events that are relevant and related to the project's topic.
- Share the material delivered by website or emails with them (e-bulletins, case studies, event invitations, and presentations from events).

A beta release of the web site is available, the address is:  
<http://www.instedproject.eu/>



Home page screen shot

## Task 5: Internal communication and information management

Besides the meetings scheduled throughout the project, INSTED partners will use e-mail and, when necessary, telephone as the main communication channels.

On the other hand, the information management system will be based on the device called Dropbox, an online hard-disk which is free of charge and user-friendly, and offers enough capacity to store the amount of information needed and generated by the project. A Dropbox folder called "instead" has already been created for that purpose.

## Task 6: Publications

### Newsletter

An active information policy will be promoted by sending a regular e-newsletter with the most relevant information about the project's progress, (provisional) results and incoming events. The electronic newsletter will have at least 3 issues –one every six months-, the first one in July 2011, the second in January 2010 and the third in July 2012. The definition of the newsletters' content will be in charge of the DG, and its design and distribution will be assumed by the partner responsible for dissemination.

### **Policy brief**

Moreover, in the last phase of the project, just before the final conference (see 3.7.3 below) a special policy brief will be elaborated, edited and distributed to the wide "project community". The Steering Committee will ultimately review and approve its contents. The aim of this policy brief is to disseminate, in a clear, concise and understandable way, the results achieved by INSTED.

The target audience of the newsletters and the policy brief should be the list generated by the partners themselves (targeted groups for each institution), a list that should be getting longer over the course of the project.

### **Handbook and other publications**

A "Handbook" including all the relevant findings and results of the project will be published at the end of it. Its edition and translation into the languages of the participating countries is the final deliverable in terms of dissemination within this WP. The contents of the Handbook will be defined by the DG and approved by the Steering Committee. Additionally, INSTED partners will elaborate publications and articles to peer reviewed journals.

In all publishing activities property and image rights issues will be treated in accordance to EU and national legislation.

## **Task 7: Meetings**

### **Meetings of the Steering Committee**

Five meetings of the Steering Committee will be organized, to discuss results among the partners as well as to communicate the results to interested participants, prepare for the progress review, document the outcome of the different activities through the generation of workshop, proceedings, etc.

### **National stakeholder workshops**

The DG will encourage the INSTED partners to disseminate the project findings through national stakeholder workshops (foreseen in WP 2.3, 2.4 and 2.5) or taking advantage of other dissemination activities carried out regularly by them as part of their institutional communication strategies.

When organizing these workshops partners will be asked to:

- Use the image and materials of the project
- Generate local media coverage

- Document the event with photos, participant list, and summary report
- Store the material and report back to the INSTED team and website

### **Final International Conference**

There will be a final International Workshop to propagate the project's outcomes. Members of the TPG, of the Steering Committee, selected EU level representatives for regional development, other European actors and regions will be invited to the project's final conference, to be held in Barcelona in July 2012.

In addition, researchers from other projects which are particularly relevant to INSTED, will be invited. The final report together with the first version of the policy brief will be presented and discussed in this final workshop. Subject to possible amendments arising from the conference' debates, the policy brief will finally be made widely available to the policy community by means of the website and targeted mailings.

In all meetings there are some relevant aspects that should get special attention:

- Documentation
- Photographic register
- Video interviews
- Protocolary issues

### **Task 8: Wide public dissemination**

Balanced use of different media to disseminate SMART-IST will be guided by the Dissemination Group and encouraged where appropriate. The project must ensure that the results generated are communicated within the project but also to a broader interested community.

Media relations can include:

- Press releases.
- Media briefings to inform of news or to provide background information.
- Seminars or round-table meetings to discuss the project's topics in more depth.
- Speeches at relevant conferences that might be attended by the media.
- Participation to Academic international Journals call for papers.



## Evaluation of the CAP

The CAP will be evaluated through a battery of indicators.

**Commento [UAB1]:** Tot són indicadors de Outputs (producció), però suposo que és molt difícil fer-ne de Outcomes (impactes)

Indicators	Target	Result achieved
Nº of press releases		
Nº of brochures created		
Nº of copies of brochure disseminated		
Nº of newsletters created		
Nº of copies of brochure disseminated		
Nº of dissemination events organized		
Nº of other events participated in		
Website created		
Powerpoint presentation template designed		
No. of language versions of PowerPoint		
Nº of articles/appearances in press and media		
Estimated nº of participants in events		
Average nº of visits per month on operation's website		

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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.

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