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EUROPEAN SPATIAL PLANNING  
OBSERVATION NETWORK

**THE ESPON 2006 PROGRAMME**  
**Programme on the spatial development of an enlarging  
European Union**

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

**Abbreviations**

6<sup>th</sup> EAP 6th Environmental Action Programme  
 CAP Common Agriculture Policy  
 CIP Community Initiative Programme  
 CDCR Committee for Development and Conversion of Regions  
 CSD Committee for Spatial Development  
 CU Coordination Unit  
 DPSIR Driving force, Pressure, State Impact Response  
 ECP ESPON Contact Point  
 EEA European Environmental Agency  
 E-ESDI Environment – European Spatial Data Infrastructure now call INSPIRE  
 ESPON European Spatial Planning Observation Network  
 ESDP European Spatial Development Perspective

GMES - Global Monitoring of Environment and Security  
 JBC Joint Bank Account  
 LP Lead Partner  
 MA Management Authority  
 MC Monitoring Committee  
 NFP National Focal Point  
 PA Paying Authority  
 SDS Sustainable Development Strategy  
 SEA Strategic Environmental Assessment  
 SIA Sustainability Impact Analysis  
 SPESP Study Programme on European Spatial Planning  
 TA Technical Assistance  
 TEN Transeuropean Networks  
 TERM Transport and Environment Reporting Mechanism  
 TIA Territorial Impact Analysis  
 TPG Transnational Project Groups

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## I. INTRODUCTION

### *1.1. Towards research and evidence based policy support for the territorial development*

The integration of the EU contributes to differing economic and social conditions across areas of the European territory. In addition, EU policies directly and indirectly cause multiple effects on spatial development. The importance of EU regional and cohesion policy is only one indication of the political relevance of spatial development. However, spatial or territorial – both terms are used as synonyms in this programme - development is an extraordinary complex process which cannot be reduced to economic and social aspects in the narrow sense nor can it be solely covered by a policy which is mainly economically orientated. The spatial development of a territory has a much wider focus than concentration on a lagging region. Spatial development addresses the balance of all areas and regions of a territory considering all spatially relevant factors stretching from economic to cultural, from natural to social. That approach was elaborated by the preparation of the European Spatial Development Perspective (ESDP). The 2<sup>nd</sup> Cohesion Report picked up that approach for a discussion on the further orientation of the Structural Funds after 2006.

Up to now and in contrast to the field of regional (economic) and cohesion policy, where some research capacity of European scope is already established, knowledge and research in the field of spatial development is still nationally oriented in the majority of cases. This shortcoming is not based on a lack of interest but on a lack of resources for research covering the whole EU territory and, even more important, for taking a comprehensive view from an EU-wide perspective. These shortcomings are particularly surprising as the structural development of lagging regions is embedded in the overall spatial development of a territory and cannot be viewed on its own.

The need for co-operation in research on spatial and integrated territorial development from a clear European perspective and focused on European issues has frequently been identified. The territorial approach has already been subject to political action at the EU level via the Interreg co-operation, in particular the cross-border and transnational spatial development initiatives. In this context, the necessity for research on the one hand and the lack of transnational knowledge and research on the other hand have become obvious. Therefore, the importance of joint efforts of this kind of research has been stressed on many occasions:

- in the Presidential Conclusion of the Informal Council of Turin in October 1990;
- in the Presidential Conclusion of the Informal Council of Leipzig in September 1994; and the entitled document: “Network of Spatial Planning Research Institutes in Europe” presented by the German Presidency at the event at Leipzig mentioned above;
- in the Presidential Conclusion of the Informal Council of Strasbourg in March 1995;

- in the Presidential Conclusion of the Informal Council of Noordwijk in June 1997;
- in the entitled document: "Note to the creation of the European Spatial Planning Observatory Network (ESPON)" presented by the Presidency of Luxembourg in Echternach in December 1997;
- in the Presidential Conclusions of the Informal Council of Glasgow in June 1998;
- in the report of the Austrian Presidency: "The future of European Spatial Development Policy, CSD and ESDP after 1999" after the Seminar in Vienna in December 1998;
- in the Presidential Conclusions of the Informal Council of Potsdam in Mai 1999;
- in the ESDP Action Programme presented at the Informal Council of Tampere in October 1999.

***1.2. The "Interreg III Community Initiative Art. 53", the "ESPON Guidelines for 2001-2006" and the paper called "Implementation of the ESPON"***

The EU-funded Interreg III Community Initiative provides financial support for integrated territorial development projects. Now the time seems right to apply for the ESPON 2006 programme under Interreg III point 53:

*53. In order to further exchanges of experience and good practice, in particular through networking actions linked to experience gained under strands A, B and C of Interreg III, a maximum of EUR 47 million will be used.*

*The normal co-financing rates will apply when such measures are requested by the Member States.*

*If, however, such measures are taken on the initiative of the Commission, they could be financed at up to 100%.*

*In this context, the Commission shall establish an Observatory for cross-border, transnational and interregional co-operation. The tasks of this Observatory, which shall be fully funded by the Community, shall include:*

- *co-ordination and exchanges of experience and good practice at Community level of actions undertaken through Interreg III;*
- *technical assistance and promotion of the creation and consolidation of joint structures for programming, monitoring and management;*
- *co-ordination by the Commission of calls for proposals regarding interregional co-operation. Collection of information on projects approved (in order to avoid double financing of projects and to further synergies)) and their implementation; and*
- *publications, databases and web sites.*

The Commission added to the Interreg III guidelines the following statement:

*« If the 15 Member States are prepared to present jointly a proposal for a co-operation network among the spatial development institutes (ESPON), including a financial mechanism, and in relation to the*

*observation and analysis of spatial development tendencies in Europe, the Commission is disposed to co-finance this co-operation through the « networks » budget foreseen in point 53 of the Interreg III guidelines ».*

The CDCR decided in the meeting on 19 December 2000 the “ESPON Guidelines for 2001-2006” stating:

*“In the conclusion of the informal meeting of the Ministers responsible for Spatial Planning and Urban/Regional policy at Tampere (October 1999), the Ministers and the Commission emphasised the need “to take concrete steps in applying the European Spatial Development Perspective (ESDP) and, in particular, “to improve knowledge, research and information on territorial development as well as to prepare for enlarged territory of the European Union”<sup>1</sup>*

*The Commission had already launched and co-financed from 1998 to 2000 a study programme on European regional planning with the aim of deepening certain ESDP concepts and to test the criteria retained by the ESDP<sup>2</sup>.*

*When adopting the guidelines for the Community Initiative Interreg III, the Commission declared its intention to answer the Tampere conclusions by co-financing the setting up of a European Spatial Planning Observation Network (ESPON)<sup>3</sup>”.*

For this purpose, this Community Initiative Programme (CIP) is being submitted to the European Commission by the members of the EU, namely the Kingdom of Belgium, the Czech Republic, the Kingdom of Denmark, the Federal Republic of Germany, the Republic of Estonia, the Hellenic Republic, the Kingdom of Spain, the French Republic, Ireland, the Italian Republic, the Republic of Cyprus, the Republic of Latvia, the Republic of Lithuania, the Grand Duchy of Luxembourg, the Republic of Hungary, the Republic of Malta, the Kingdom of the Netherlands, the Republic of Austria, the Republic of Poland, the Portuguese Republic, the Republic of Slovenia, the Slovak Republic, the Republic of Finland, the Kingdom of Sweden and the United Kingdom of Great Britain and Northern Ireland..

### **1.3. The ESPON Joint Programming Processes**

The elaboration of the concept and programme on the ESPON already started with the Luxembourg Presidency when a concept on the ESPON was presented at the Ministerial Meeting in Echternach in December 1997. A task force under the lead of the Luxembourg CSD delegation investigated the institutional, financial and legal matters on the implementation of the ESPON and presented the report to the CSD.<sup>3</sup> A working group in the establishment of the ESPON was set up in summer 1999 when it

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<sup>1</sup> Tampere Ministerial, Presidential Conclusions, Tampere, October 1999, p. 3

<sup>2</sup> Study Programme on the European Spatial Planning, final report March 2000.

<sup>3</sup> The task force on the definition of the Institutional, Legal and Financial Frame of the ESPON Report presented to the CSD 21.10.1998.

became clear that the ESPON could be realised under the new Interreg III initiatives. From summer 1999 the working group on the establishment of the ESPON chaired by the Luxembourgian CSD delegation elaborated main parts on the ESPON which cumulated in a proposal presented to the CSD on 25/26 July 2000. At that stage the Member States already were consulted by questionnaires and gave feed back on the paper. The Member States individually initiated consultation processes with their relevant partners in their countries referring to the Interreg guidelines. These papers provided important and valuable inputs for the preparation of this programme and guaranteed the recognition of broad experiences made up to now.

The CSD delegated the tasks of drafting a programme for the ESPON to the Luxembourg delegation who used the available material, made inquiries to the Commission, the Focal Points, and consulted the CSD at every following meeting after the decision was taken by the CDCR on the guidelines for the ESPON.

On 20 February 2001, the first draft of the CIP was presented to the CSD and the whole strategy on the elaboration of the programme was agreed. The CSD members and the Commission provided comments on the draft CIP by 25 March. A second draft was disseminated to the CSD at its meeting on 5 April 2001, as well as to the other countries which were invited to participate in the programme.

That version of the work programme was also subject to discussion at a conference organised under the Swedish Presidency<sup>4</sup> in Stockholm on 26/27 March 2001. The Ministries and National Focal Points of all participating States (Member States, candidate countries<sup>5</sup> and the EFTA countries) were invited and there were depth discussions regarding the work programme in the plenum and in working groups.

On 17 May 2001, the CSD met in Brussels and agreed the joint submission of the programme with the consideration of clearly defined changes.

**This process culminated in the submission of the ESPON 2006 CIP to the European 12 July 2001 by the Lead partner Luxembourg.**

#### ***1.4. Ex-ante evaluation***

Referring to Art. 41(2) of the Regulation 1260/1999, Art. 25 of the Interreg III Guidelines stipulates the obligation of the Authorities responsible for preparing plans, assistance and Programme Complements to undertake an ex-ante evaluation of the forthcoming programme.

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<sup>4</sup> Financed and conducted by the BBR in Bonn with the help of Nordregio, Stockholm and the Luxembourg CSD delegation.

<sup>5</sup> The Meeting took place in 2001 before the enlargement of the European Union which took place on the 1<sup>st</sup> of May 2004 bringing the number of the Member States from 15 to 25. In the remaining sections of this document the expression "candidate countries" will refer to Bulgaria; Romania and Turkey.

The ex-ante evaluation for the ESPON 2006 Programme was commissioned to the Lead applicant who undertook the evaluation in co-operation with an external consultant as part of a consulting process of the lead applicant in the preparation of the CIP. Due to the size of the programme a simplified approach was chosen: feedback on the programme was provided in the regular meetings of the CSD and the ESPON Provisional Monitoring Committee. Reference was made, in particular, to the experience of the Study Programme on European Spatial Planning (SPESP). The results of the final assessment are attached in annex 4.

Issues covered by the ex-ante evaluation include:

- General Focus and orientations with reference to the previous experience of the SPESP
- Consistency of the strategy, and of the priorities for action with the programme objectives
- An analysis of the expected impacts of the priorities and measures proposed
- Analyses of the adequacy of the programme's aims and the actions envisaged in relation to the human and financial resources available

The ex-ante evaluation concludes that the general focus and orientations of the Programme are well adjusted and that the strategy and priorities are consistent. The ex-ante evaluation of the impacts of priorities and measures proposed raises justified expectations on the outcomes of the projects envisaged. However, the Ex-ante evaluation also states that the programme is very ambitious. Nonetheless, due to the investigative nature of the programme adjustments do not seem necessary at this stage of the implementation of the programme. If necessary the mid term evaluation shall recommend adjustments.

The assessment of the adequacy of aims and financial resources detected single bottlenecks in the funding of the implementation of the CIP in the context of the Technical Assistance budget, such as travel cost for the Monitoring Committee members and observers, financial control and auditing. Although adjustments are not possible within the given framework of the CIP (as those bottlenecks derive from the technical requirements of the Structural Funds such as relational ceilings referring to the total budget of the CIP), careful monitoring of those bottlenecks should allow avoiding interference with the expected results of the programme.

## **II. JOINT STRATEGY**

### ***II.1. Objectives***

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



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

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

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

Where gaps on models and methods are obvious these should be filled by common efforts. The European dimension can take two directions: from the EU perspective towards the regions and the other way around. These objectives ought to secure the ESPON's focus on research with policy relevance, in particular for the Structural Funds. It has already been pointed out that action under the Structural Funds is embedded in the overall spatial development of the EU territory. More general, scientific research at the EU level is subject to the EU's R&D policies namely the 5<sup>th</sup> framework

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<sup>6</sup> Three candidate countries and 25 Member States as from the 1<sup>st</sup> of May 2004.

programme and, therefore, should be kept apart entirely. The ESPON ought to contribute to policy making through the provision of relevant data to reveal spatial trends, including the prospective dimension; and by defining and measuring relevant indicators and working on thematic projects which would help to understand spatial trends and give hints for the adjustment of policies at all governmental levels and towards a better sectoral co-ordination.

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

The European Union was enlarged and 10 new Members joined the EU in May 2004. The Luxembourg European Council (December 1997) allowed candidate countries to participate in Community programmes and agencies - a way of stepping up the pre-accession strategy for the candidate countries. In line with this Community policy, all candidate countries have been invited, from the beginning of the ESPON programme, to participate in the ESPON project. All new 10 Member States are joining the ESPON for its second phase between 2004 and 2006.

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

## **II.2. Strategic framework**

The strategic framework sets out the main directions for ESPON 2006 by defining the policies which should be able to directly and indirectly benefit from the work carried out by the network, and by defining the thematic orientations of the envisaged work. This structure provides a well defined framework for the programme in terms of work parameters. The mid-term evaluation and the integration of the new Member States have provided the framework for reassessing the work programme for the years 2004 to 2006, following the processes outlined in section V and section VI of this proposal. It is evident that single projects may last for more than one year but the annual work programme will specify the steps envisaged for each year.

ESPON 2006 programme follows the objective of contributing to the improvement of EU policies in terms of their spatial effects as it was formulated in the ESDP. The ESDP provides the conceptual framework for a spatially integrated policy approach in a vertical and horizontal dimension. Among all other sectoral policies, the Cohesion policy and the Structural Funds belong to the most spatially relevant policies at the EU level which can benefit from, among others, the comprehensive approach proposed by the ESDP.

Apart from the important links between the ESDP, sector policies and the structural policies of the EU, spatial development policy is gaining recognition in nine further directions to which ESPON co-operation is meant to contribute through analyses and scenarios, which could help to co-ordinate these activities:

- The **ESDP Action Programme** which was derived from the ESDP process and which needs a broadened knowledge base for further action
- The **Structural Funds after 2006** towards a better integration of the territorial dimension of funding and measures within the programmes and with other spatially relevant policies
- Tightening co-operation in urban policies between the Member States at the EU level as expressed by the complete **Urban Agenda of the EU**, and in particular the **Urban Community Initiative**
- The **Interreg III programme** which inheres a strong spatial element supporting cross-border, transnational and interregional co-operation
- The **enlargement of the Union in 2004 as well as the next round of enlargement**, which produce particular spatial challenges due to the size and the heterogeneity of the new Member States and candidate countries in relation to the EU Member States and EFTA countries as well as Southern and Eastern Mediterranean Countries
- **the long perspective neighbours** of the EU, in the East and Balkan and in the South, the enlarged CSD<sup>7</sup>
- the Lisbon agenda<sup>8</sup>, aiming to make the EU the most dynamic and competitive economy by 2010. This strategy involves a whole set of policy areas, from research and education to environment and employment, to name only a few.
- the Sustainable Development Strategy (SDS) where the Barcelona Spring Council (March 2002) will consider a list of structural indicators.<sup>9</sup>

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<sup>7</sup> Reference should also be made to the CEMAT which adopted the "Guiding principles for sustainable development of the European Continent" in Hannover in September 2000.

<sup>8</sup> Lisbon European Council, March 2000

<sup>9</sup> It is appropriate that these indicators are included in ESPON to assess their territorial relevance;

- the 6th Environmental Action Programme (6<sup>th</sup> EAP) where the Common Position of the Council and Parliament in June 2001 envisages an Urban Thematic Strategy. The 6<sup>th</sup> EAP also envisages the further development of Environmental Headline Indicators which will need to be included in ESPON to assess their territorial relevance. The study programme will also help in the elaboration of the Urban Thematic Strategy called for in the Common Position on the 6th Environmental Action Programme.

The ESDP and also the test phase of the ESPON clearly indicated the lack of knowledge of spatial trends at the European level, e.g. in the fields of spatial criteria and urban functions on the one hand; but also revealed the potential for common research on strategic co-operation - e.g. in the field of urban rural relationship - on the other hand. Therefore, the ESPON aims to provide a common platform for research in the policy fields mentioned above, which would lead to improved co-ordination and consistency of policy actions and measures at the EU level and between the EU, national and regional levels, as well as for bilateral relations of individual States. Considering the demands in the context mentioned above, there is an obvious lack of knowledge in several directions, stretching from scientific methods and data bases via strategic projects to institutional and instrumental questions. These should be addressed by projects of different nature such as data gathering, map-making, model-development, methodologies, assessments, strategic studies, etc. These directions indicate the most pressing fields of research:

- **Data bases, indicators and map-making:** data bases, indicators, quantitative analyses, quantitative models (accessibility models etc.), prognoses and scenarios, cartographic representations, case studies, etc., that enable to work on European spatial development matters;
- **Thematic projects:** impact studies, strategic studies, implementation studies; the ESDP could prove its added value by its appropriate application in thematic and sectoral fields of activity. The ESDP makes various proposals in the mode of policy options which need to be applied to the specific demands of a particular territory. Emerging fields of applied research are named in the ESPON Guidelines 2001-2006;
- **Research on the spatial development of an enlarged European Union:** as already mentioned in the title of this single project proposal the thematic frame for the envisaged ESPON research programme should be based on the most challenging task of the EU in the current decade: the enlargement of the EU.

On that base and in accordance with Point 3 of the ESPON Guidelines 2001-2006, the following strands are emerging which will be further elaborated below:

1. **Thematic projects** on major spatial developments on the background of typologies of regions and the situation of cities

2. **Policy impact projects** on the spatial impact of Community sector policies and Member States' spatial development policy on types of regions with a focus on the institutional inter-linkages between the governmental levels and instrumental dimension of policies
3. **Co-ordinating and territorial cross-thematic projects** represent a key component of the programme. These projects evaluate the results of the other projects towards integrated results such as indicator systems and data, typologies of territories, spatial development scenarios, etc. The cross section projects help to thematically co-ordinate the whole programme and add value to the results and to fill gaps which are unavoidable when different themes are dealt with in different projects.
4. **Scientific briefing and networking** in order to explore the synergies between the national and EU sources for research and research capacities.

These strands are further elaborated in section III of this programme. The main concern would be to identify problems and to propose and develop adequate measures to tackle these problems at all governmental levels (from the EU level to the national, regional and local levels) with regard to trans-border and an EU-wide perspective. The kind of project, such as data gathering, mapping, strategic studies development of methodologies, scenarios, and territorial analysis a.s.o. will be indicated in the description of measures and tendered projects in the programme complement.

### **III. PRIORITIES AND MEASURES**

Each of the priorities will contribute directly and in accordance with the ESPON Guidelines for 2001-2006 to the strategy and objectives described in Chapter II. Whilst the strategic objectives correspond to the long-term co-operation framework, priorities and measures will provide practical guidance for concrete projects to be implemented under the programme. Priorities and measures are centred on themes and apply equally to all areas of the EU territory. Some points should be made which relate to all priorities and projects in terms of a common frame:

- The main added value of this programme will be achieved by using methods, which are already available and need to be applied to the whole territory of the EU, or by developing innovative methods capable to cover the investigation of the whole territory. New and old methods may be alternatively chosen in order to achieve a relevant and dynamic study of the EU territory.
- All projects should aim at the observation of the whole EU territory (and even at a largest scale, towards East and South when it appears necessary and possible). The use of Eurostat and the European Environmental Agency (EEA) database, for the time being, is highly recommended, although other relevant databases should remain possible. Case study approaches should only be employed if the selection of case projects is based on a reasonable typology of EU regions in the

investigated thematic field. The relevance of case study approaches should be scientifically addressed.

- The territory of the whole Europe with particular regard to candidate countries and the EFTA countries, both of which expressed their particular interest in the participation and provision of resources, supposed to be addressed in all projects although there are specific measures devoted to the particular problems related to enlargement.
- Cities play a particular role as concentrations of human life and human activities, but in this programme cities and urban areas should rather be seen as focal points of a polycentric development. EU wide common urban problems should also be considered.
- Various typologies for the description of regions “at risk” and with specific potentials need to be developed so they can be used by transnational actors as analytical tools.
- All projects under priority 1 and 2 will have to focus their research in order to support the cross section projects under priority 3 in order to achieve integrated results for the whole ESPON 2006 programme. Provisions made by the cross sector projects have to be taken into account.
- The European Commission takes the responsibility to find an agreement with Eurostat and the EEA on improvements of data base and on the provision of data for free or least costs; vice versa the participating States will take appropriate measures to facilitate the provision of data, in principle, without fees or restrictions.
- Neighbouring countries should be informed in an appropriate way on the projects and process of the ESPON 2006 Programme taking into account their observer status. Proposition for their direct participation in projects shall be made in the second phase of the programme.
- It is clear that intersections exist between the priorities outlined below. Projects may cover priorities 1 and 2, but their specific focus needs to be held apart: While priority 1 focuses on spatial development trends and aims to develop possible policy recommendations, priority 2 turns the focus around and concentrates on policy impact studies.
- All thematic projects must rely on data and indicators related work preferably using new geographical observation tools and using low NUTS levels; they ought to consider new methods in territorial information and at a high applied scientific technical level in order to achieve evidence based results. Geographical information will be an essential part of the research work. Spatial analyses should be based on suitable geographical information from Eurostat's GISCO reference base, supplemented by other sources where necessary. New geographical information resulting from the projects will be delivered in Arc/Info format and in the same projection system as Eurostat's GISCO reference base, including its latest coding. Quantitative information linked to geographical entities should use coding systems compatible with the same reference base.

- Each project should include an executive summary which indicates the added value for practitioners and the conditions for application of results.
- Finally, Interreg IIIB and Interreg IIC programmes represent a possible valuable source of information and data. Indeed, many projects have been already developed under Interreg IIC and will be under Interreg IIIB. These could provide a wide set of information, which could be useful for the ESPON programme. It should be sought to promote an active link and co-ordination with Interreg IIIB to ensure the circulation of information.

In general, all objectives expressed under each priority will apply to all measures listed under that priority; i.e. if an objective under any priority identifies the requirement to develop tools, typologies and data bases, those same requirements will apply equally to all (sub)measures under such priority. The integration of the results from all measures ought to be achieved under priority 3.

The definition of envisaged actions and expected results provide an indicative reference on when tasks are expected to be executed. For example, it is evident that for those envisaged actions which supposed to be addressed in the first half of the programme, the expected results for 2006 should be achieved in the earlier stage.

As required in the General Regulation 1260/1999 Art. 18 2.b) the programme sets out a summary description of the measures planned to implement the priorities.

**Table 1: Overview of the priorities, measures and envisaged actions of the ESPON 2006 Programme**

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

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

- 1.1.1.: The role, specific situation and potentials of urban areas as nodes of a polycentric development
- 1.1.2.: Urban-rural relations
- 1.1.3.: Particular effects of enlargement and beyond for the polycentric spatial tissue
- 1.1.4.: The spatial effects of demographic trends and migration)

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

- 1.2.1.: Basic supply of infrastructure for territorial cohesion
- 1.2.2.: Spatial effects of networks, transport and (tele-)communication services
- 1.2.3.: Identification of spatially relevant aspects of the information society

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

- 1.3.1.: The spatial effects and management of natural and technological hazards in general and in relation to climate change
- 1.3.2.: Management of the natural heritage
- 1.3.3.: The role and spatial effects of cultural heritage and identity

**Measure 1.4.: Deepening thematic projects and new thematic projects**

***Priority 2: Policy impact projects***

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

- 2.1.1.: Spatial diversification by the infrastructure policy of TENs
- 2.1.2.: Spatial effects of the EU R&D policy
- 2.1.3.: Spatial effects of the EU Agricultural Policy with particular reference to the environmental dimension and policy)

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

- 2.2.1.: The territorial effects of the Structural Funds, pre-accession aid and Phare/Tacis/ISPA)
- 2.2.2.: The effects of Structural Funds in urban areas

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

- 2.3.1.: The application and effects of the ESDP in the Member States
- 2.3.2.: The co-ordination of territorial and urban oriented policy from the EU to the local level

**Measure 2.4.: Deepening policy impact projects and new policy impact projects**

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

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

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

**Measure 3.3.: Territorial dimension of the Lisbon and Gothenburg Process**

**Measure 3.4.: Deepening cross-thematic projects and new cross-thematic projects**

- 3.4.1.: Europe in the World
- 3.4.2.: Deepening cross-thematic projects
- 3.4.3.: New cross-thematic projects

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

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



**Measure 4.2.: ESPON briefing and scientific co-ordination of ESPON Contact Points**  
**Measure 4.3.: ESPON briefing and scientific co-ordination of Transnational Project Groups**

**Priority 5: Technical assistance**

**Measure 5.1.: Management, implementation, monitoring and control**  
**Measure 5.2.: Information, publication and evaluation**

### **III.1. Priority 1: Thematic projects on important spatial developments**

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

#### **III.1.1. Specific objectives**

a) to refer to the three fundamental objectives within the ESDP with regard to a balanced and sustainable spatial development: the economic and social cohesion, the conservation of natural resources and cultural heritage and more balanced competitiveness of the European territory;

b) to gain concrete and applicable information on the EU wide effects of spatially relevant development trends and their underlying determinates, and to contribute to the identification of the existing spatial structure of the EU territory. Therefore, every study should be sustained by empirical, statistical and/or data analysis;

c) to define concepts and to find appropriate indicators, typologies and instruments as well as new methodologies to consider territorial information, and to detect territories (preferably below NUTS 2) most negatively and positively affected by the identified trends with special reference to regions in terms of accessibility, polycentric development, environment, urban areas, territorial impact assessment. Particular attention will be paid to areas exposed to extreme geographical positions and natural handicaps such as mountain areas, islands, ultra-peripheral regions, etc;

d) to develop possible orientations for policy responses taken into consideration institutional, instrumental and procedural aspects;

e) to consider the provisions made for priority 3 and to provide input for the achievement of the horizontal projects under this priority, such as tools for diagnosis and observation of long term scenarios, as well as evaluation and assessment procedures.

#### **III.1.2. Measures**

Projects need to be designed to address the priority objectives set out above. Such projects should contribute to those objectives by addressing the following measures.

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

The subject of this measure corresponds with the first and widest set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>10</sup> that a polycentric and balanced urban system and the strengthening of the partnership between urban and rural areas, which overcomes the outdated dualism between city and country side, belong to the central objectives of a future orientated European spatial development. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. In accordance with the ESPON Guidelines 2001-2006, the measure deals with the priorities mentioned under Point 3.1. bullet 1,2, 3, 7 and 8 and Point 3.2 bullet 2 and 4.

**Envisaged action 1.1.1.: The role, specific situation and potentials of urban areas as nodes of polycentric development (priority 2002-06)**

*i) Thematic scope and context*

Cities are the starting point of reference for all measures. Nevertheless, this measure allows to dive deeper into the specific needs of cities. This link is most obvious when studying the role of cities as regional centres (in a polycentric tissue) or the role of cities in fulfilling complementary functions on a transnational or EU scale. The ESDP highlighted the relation between territorial and polycentric development in that respect. The ESDP also highlighted the special role which could be undertaken by Euro-corridors, global integration zones, gateway cities and urban poles. Projects under this measure should be directed towards those fields of activity. The Ministers for Urban Affairs agreed at their meeting in November 2000 in Lille a multi-annual co-operation programme which could act as a reference point for further specification and avoidance of double work. The study programme (SPESP) also provides valuable access points to these questions.

*ii) Primary research question:*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above for polycentrism and urban areas. Compilation of national studies with European focus;
- A joint definition of urban-ness and urban typologies, and evaluation of the role played by urban areas in the territorial structure;
- The functioning of the European spatial system of urban nodes in relation to TENs in order to better identify the European spatial structure;

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<sup>10</sup> ESDP 1999, p. 19.

- Social cohesion and increasing disparities and segregation which belong to the EU-wide concerns about cities;
- The co-operation and networking between cities in a regional (trans-border networks) and on a transnational interregional scale (as regional clusters and thematic clusters);
- The reinforcement of cities and regions, as the ESDP states, has to be considered in this context: Policies for the development of "gateway cities ", multi-modal infrastructure for the European corridors, equal access to telecommunication facilities and intercontinental accessibility could strengthen the role of regions and their cities at the external borders. Connections with measure 1.2 need to be carefully considered.

*iii) Existing access points*

The SPESP already addressed the question of social integration and its measurement which offers an important access point for the investigation of the situation of cities. Indicators on demography, housing and living conditions, social cohesion and political resources<sup>11</sup> are listed in relation to their availability through Eurostat and in each Member State providing a good base for further research and indicator work. The Urban Audit has already compiled indicators and data on cities across the EU. Synergies should be also found with the European Common Indicators initiative. The new Commission's/Eurostat's Initiative on Environmental European Spatial Data Infrastructure (E-ESDI) can also considerably contribute. Interreg IIC and IIB projects are also dealing with this issue and provide some experience on transnational scale.

**Envisaged action 1.1.2.: Urban-rural relations (priority 2002-04)**

*i) Thematic scope and context*

Particular attention should be paid to the new relation between urban and rural areas. The theme is strongly connected with the previous action but focuses on the urban-rural relationship, in terms of exchange processes, institutional links and interdependencies. These relations are of special interest on the background of the diverse structure of the EU territory and the neighbouring countries. The development potential and the development opportunities in the light of a sustainable development of regions provide the point of reference for this action.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above when analysing urban-rural relations. Compilation of national studies with European focus;

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<sup>11</sup> SPESP 2000 CD report of the working group on social integration p. 57ff.

- Existing classifications of European cities demonstrate already the need for new data in order to create a more comprehensive typology of cities which would allow to properly define urban-rural relationships<sup>12</sup> and concepts behind the definition and to measure urban and rural areas and their relations;
- Indicators for the definition of homogenous and functional areas and their relations (such as a European Functional Urban Area)<sup>13</sup> will require information on labour markets, retail, services, culture, housing and the resulting flows of people, goods, energy, information and finances. Information on flows such as commuters should be available at NUTS 5 level;
- The phenomena of metropolisation and urban sprawl in relation to the urban – rural relation is another important issue under this measure in particular in metropolitan areas. In this frame, also the investigation of the concept “r-ur-ban” areas, where urban and rural shape are merged, should be considered.

*iii) Existing access points*

The results of the study programme (SPESP) with regards to rural areas. The work of the OECD working group on territorial questions which investigates functional areas in an international comparative perspective. Leader (rural areas) and Interreg (transnational co-operation) could provide study cases in order to better understand the relationship from a European perspective. The new Commission's/Eurostat's Initiative on Environmental European Spatial Data Infrastructure (E-ESDI) can also contribute considerably. Interreg IIC and IIB projects are also dealing with this issue which will provide some experience on transnational scale.

**Envisaged action 1.1.3.: Particular effects of enlargement and beyond for the polycentric spatial tissue (priority 2002-06)**

*i) Thematic scope and context*

Starting from the knowledge on integration effects and the transformation of economies and societies after the socialist phase, the specific territorial features of development ought to be identified. The research questions under this measure refer to other particular actions and concentrates on the effects of enlargement from both the Member States and the candidate countries perspectives. An interesting question is, indeed, how much is development influenced by the transformation task in itself.

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

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<sup>12</sup> Ibidem, Annex 2.

<sup>13</sup> SPESP 2000 CD report on the typology of cities and urban-rural relationships, (point 3.3.)

projects under this action should depart from and update the study carried out for Europe 2000+ on the effects of enlargement on the Community territory. Elements for the elaboration of scenarios (under priority 3) looking at the territorial structure of Europe after the enlargement of the EU should be elaborated in this context and will be of particular importance.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- To identify the general discontinuities and barriers at European scale using fundamental indicators such as differences in wealth or unemployment, barriers to residential migration or cross-border commuting;
- A comparative analysis of integration processes between transnational and cross-border regions. Cross border regions inside the EU but also between EU and accession countries can be considered as places of particular importance in order to follow the process of European integration on a meso- and micro level.<sup>14</sup> Which are the approaches towards a better transnational and cross-border integration, taking also into consideration the sea between two countries as a border?
- To identify the opportunities and threads for achieving spatially balanced developments on the background of enlargement. How will the spatial structures in and around the future EU look like after the stepwise enlargement?
- To identify the access points for a better spatial integration of candidate countries and future neighbours.

*iii) Existing access points*

The report of the European Commission on the spatial perspectives for the enlargement of the EU<sup>15</sup> already compiled a data set at the national level. These will also need to be made available at the regional level NUTS 2 and NUTS 3 in order to be able to investigate territorial effects in an enlarged Union.

**Envisaged action 1.1.4.: The spatial effects of demographic trends and migration (priority 2003-06)**

*i) Thematic scope and context*

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<sup>14</sup> Actually, most studies about cross border regions are specific studies on particular areas without comparative dimension.

<sup>15</sup> European Commission 2000. Spatial perspectives for the enlargement of the EU. Luxembourg, 49ff.

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

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above; compilation of national studies on demographic trends with a European focus;
- Definition and measurement of EU wide determinants of natural population and migration trends;
- Identification of spatial patterns with reference to the typologies of cities and regions, addressed by the whole measure. Investigation of the endowment of regions which attract certain migrating groups. Spatial effects in certain types of regions, such as rural regions and tourist regions, which take advantage but are also at risk towards those trends. Analysis of the demographic trends at the EU scale and development of possible policy responses. This measure clearly needs to associate with the neighbouring countries of the EU;
- Investigation of the consequences of demographic trends in particular for the long term spatial scenarios.

*iii) Existing access points*

The reports on spatial integration<sup>16</sup> and social integration<sup>17</sup> of the SPESP programme already listed indicators in relation to migration and determinants of migration. If economic strength represents a pull factor for migration various indicators are listed in the report of the working group on that issue which are already available.<sup>18</sup>

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<sup>16</sup> SPESP 2000 CD report of the working group on spatial integration, p. 51ff

<sup>17</sup> SPESP 2000 CD report of the working group on social integration, p. 57ff.

<sup>18</sup> SPESP 2000 CD report of the working group on economic strength.

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

The subject of this measure corresponds with the second set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>19</sup> that the promotion of integrated transport and communication concepts will support the polycentric development of the EU territory which represents an important pre-condition for enabling European cities and regions their integration into the EMU. Furthermore parity of access to infrastructure and knowledge should be gradually realised and regionally adapted solutions need to be found. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority.

In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1,2, 3, 7 and 8 and Point 3.2 bullet 1 and 6.

**Envisaged action 1.2.1.: Basic supply of infrastructure for territorial cohesion (2002-04)**

*i) Thematic scope and context*

The diverse territory of Europe with consideration of the polycentric development already indicates the problem of minimum supply of (public and private) infrastructure in order to provide the basic services required in all regions and to maintain the “service of general interest”. This supply is necessary in order to prevent the final decline of and emigration from remote areas and other areas with specific weaknesses and exposure to extreme geographical conditions. Those basic supplies represent only the first and minimum step towards the provision of higher degrees of infrastructure. Communication from the Commission “Service of general interest in Europe” (COM 2000/580) investigates the effects of market liberalisation in the telecommunication, transport and energy sector. The projects cited in this document clearly indicate regionally and locally deviating effects. This action must be elaborated in close relation with the following action 1.2.2 which addresses the broad pattern of infrastructure, whereas here the focus is set on minimum requirements. The interactions between different infrastructure networks, and the objectives of economic efficiency, consumer protection and economic, social and territorial cohesion should be taken into particular account.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Identification of the most relevant services of general interests referring to migration and regional development potential;

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<sup>19</sup> ESDP 1999, p. 20.

- Identification of specific typologies and territorial patterns referring to the typologies used by all measures;
- Do the territorial patterns call for benchmarking systems, if yes which systems could be identified and would be applicable with regard to the data and indicators available?

*iii) Existing access points*

The Communication from the Commission “Service of general interest in Europe” (COM 2000/580) already offers a good starting point in the definition of indicators and measures. The following action will also add to the indicator question.

**Envisaged action 1.2.2.: Spatial effects of networks, transport and (tele-)communication services (priority 2002-04)**

*i) Thematic scope and context*

Territorial development depends on the optimal combination of available services, thus making use of the resources available in an area as well as to communicate and exchange services with other locations, from transport and energy to telecommunications.

Communication takes place via networks where resources, goods, humans and information are exchanged. Access to those networks is becoming a crucial factor for territorial development. The ESDP highlighted the relation between territorial and polycentric development in that respect. The ESDP also highlighted the special role which could be undertaken by Euro-corridors, global integration zones, gateway cities and urban poles.

The functioning of networks very much depends on access points. A co-ordinated access is of particular importance when the access is related to very large investments. Most prominent in that respect are ports and airports which need to be linked from an organisational network approach. Furthermore, communication between networks takes place through multi modal nodes. Multi-modal points are increasingly important for sustainable transport in order to use the least environmentally unsustainable transport mode possible. The major ESDP concept of “parity of access to infrastructure and knowledge“, understood as territorial equity, should be more clearly defined and further investigated (e.g. for low-density areas, ultra peripheral regions, coastal zones, inlands, mountain areas, etc).

The meaning of those networks for multinational corporations, international direct investments and the structure of the territory is an important aspect. Therefore, it is necessary to investigate the types and the geographical location of foreign direct investments. It would also be interesting to learn about the internal strategic decisions of multinational corporations, for example on the location of headquarters, administration, greenfield investments and acquisitions, as their influences are sometimes decisive for the regional job mix. The European integration process is followed by a growing number of acquisitions and mergers, leading to restructuring of companies and regional economies. How these decisions could be influenced in accordance with political visions could also be discussed. Critical will be the observa-



tion of the territorial effects of the European integration process at a European scale with particular reference to the new Member States and the candidate countries.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Investigation of the most important features of infrastructure with regard to territorial issues, i.e. the spatial patterns of access points, the flows between those access points (usually in an hierarchical order) and the number of users (types of users) which have, in real terms, access (different quality) to the networks;
- Investigation of territorial patterns with regard to typologies of regions;
- How do infrastructure trends relate to polycentric development and other territorial patterns which influence the structure of settlements and migration (action 1.1.1. and 1.1.3)?
- What kind of complementarity and exchange processes exist between different kinds of infrastructure (with special regard to sustainable transport)?

*iii) Existing access points*

The SPESP Programme already states that GISCO geographic references are available for road and rail network through Eurostat. Data on the air network and link travel times are still missing as well as on origin-destination of flights, their time and frequency. Minimum data level required will be the NUTS 3 level, but more detailed analysis will require NUTS 4 and 5 levels. The indicator work has still considerable gaps in the field of inter- and multi-modality transport.<sup>20</sup>

The SPESP study on spatial integration<sup>21</sup> also provides interesting proposals for data work under this sub-measure such as volume of goods transported and number of persons in transport. In addition, the SPESP report detected a shortage of important data at regional level concerning ISDN lines and fax accessibility and other communication network related information.<sup>22</sup> The spatial integration projects already mentioned the need to measure telephone and Internet traffic communications between districts as well as the number of computer links to the Internet.<sup>23</sup>

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<sup>20</sup> SPESP 2000 CD report of the working group on geographical position I.

<sup>21</sup> SPESP 2000 CD report of the working group on spatial integration, p. 51ff.

<sup>22</sup> SPESP 2000 CD report of the working group on economic strength, p. 114.

<sup>23</sup> SPESP 2000 CD report of the working group on spatial integration, p. 52

The Commission's White Paper "European transport policy for 2010: time to decide" and background documents for the "Revision of the Trans-European Transport Networks "TEN-T" Guidelines" provide interesting access points for the investigation of the questions raised.

Interreg IIC and IIB projects are also dealing with infrastructure that will provide some experience at a transnational scale.

**Envisaged action 1.2.3.: Identification of spatially relevant aspects of the information society (priority 2002-06)**

*i) Thematic scope and context*

The so called "information society" will have economic and social implications in various respects such as the education and training of the work force, and the location, structure and communication in and between companies. General research is already underway for many aspects of the information society.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus. The concept of 'information society' is just about to be defined at national level but has not yet been operationalised in terms of its regional and territorial dimension and concepts for its measurement;
- The research available needs to be evaluated taken into account the territorial effects of spatial development at EU level, in particular with regard to the role of metropolitan areas and corridors, polycentrism, urban functions and transport and other patterns investigated particularly under measure 1.1.1;
- The information society may have particular impacts on spatial scenarios, therefore, major long terms trends need to be identified and operationalised. Case projects in typical regions could contribute to develop a future picture on the spatial pattern of the information society.

*iii) Existing access points*

Data work is much related with the previous action in the respect that the use of information technology not only by companies but also by households needs to be identified. The availability of regional data is important in order to detect spatial patterns of development of the information society. The work to be developed under this action has to be co-ordinated, in particular, with those projects developed within the framework of measure 1.2.2 and priority 2.

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

The subject of this measure corresponds with the third set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>24</sup> that the development and conservation of natural and cultural heritage through wise management, would contribute both to the preservation and deepening of regional identities and the maintenance of the natural and cultural diversity of regions and cities of the EU in the age of globalisation. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority.

In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1,3, 7 and 8 and Point 3.2 bullet 3 and 6.

**Envisaged action 1.3.1.: The spatial effects and management of natural and technological hazards in general and in relation to climate change (priority 2002-06)**

*i) Thematic scope and context*

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

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

Environment should not only be studied from the point of view of climate change. The more general interdependence between environment, development and territorial balance should be addressed where reference can be made without additional efforts.

Costal regions and inland regions exposed to flooding are faced with particular problems in the wake of climate change. This, for example, ought to be discussed in the context of increasing water-related problems such as changing of land use patterns including the increasing surface of metropolitan areas, erosion and land conservation. Also ecological networks, as identified in the Pan European Ecological

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<sup>24</sup> ESDP 1999, p. 20.

Networks (1995 Council of Europe) are affected. In effect, the issue can only be tackled from a comprehensive approach, i.e. a two way relation of changing hydrological regimes and spatial planning. Vice versa inland regions in the South of the EU are exposed to increasing and serious drought which is conceived as a further consequence of climate change, and which causes sever spatial effects. Both aspects should be treated as one element of territorial development at the EU scale. The perspective for research under this measure ought to be guided by the objective to identify broad development perspectives rather than meso-level projects.

Apart from the sheer environmental effects of climate change, there are considerable social and economic effects such as effects on the local economy of tourist regions. Special reference, therefore, should be made to the management of natural and technological hazards regarding in particular the territorial dimension of those phenomena. *ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- The design of indicators to measure the driving force, pressures, state, impact and response (DPSIR) exerted on the environment, economy and social life (referring to the sustainability framework) starting with the work of the European Environment Agency;
- Systematisation of natural and technological hazards with regard to their spatial effects and with regard to typologies of regions. Taking into account the broad trends of climate change, projects concerning floods and droughts at meso-regional level where these problems are specially acute could be also appropriate;
- A tentative overview on the effects of climate change in relation to typologies of regions in Europe should be developed. Some specific areas of interest should be deepened, in particular, reference to the Protocol of Kyoto has to be made;
- Listings of sensitive sites for natural and technological hazards should be addressed under this action. The inland spatial effects of climate change, in particular for land use, are of interest especially for long term scenarios.

*iii) Existing access points*

The Environmental Reports of the EEA already built a good starting base for the investigation of those kinds of hazards with particular reference to their spatial effects. The SPESP already considered this topic under the spatial criteria of land use and natural assets.<sup>25</sup> The land use study already compared the list of important types of landscapes with the categories compiled in the land use statistics of

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<sup>25</sup> SPESP 2000 CD report of the working group on natural assets, p. 66ff, and the working group on land use point 3.

Eurostat. The combination of these data sets with climate data facilitated the identification of areas with specific problems under climate change. In addition, the study presented the results of a survey undertaken among Member States on the assessment of different indicators in the DPSIR approach in terms of their usability and availability in each Member State. The study on natural assets also compared different indicator systems available at EU (EEA), UN and OECD level referring to the driving force pressure and response system which provides a good starting point for further work. GIS referenced data and satellite information systems will play a major role for the investigation under this action. The new Commission's/Eurostat's Initiative on Environmental European Spatial Data Infrastructure (E-ESDI) can also contribute considerably. Interreg IIC and IIB projects are also dealing with this issue, therefore, providing some experience on a transnational scale. This sub-measure will not be in contradiction with the Global Monitoring for Environment and Security (GMES) initiative.

**Envisaged action 1.3.2: Management of the natural heritage (priority 2002-06)**

*1) Thematic scope and context*

Natural heritage is an essential part of the environment of each country and should be interpreted in the widest possible sense (land, nature, flora, fauna, etc.). The value of (bio)diversity has been largely recognized by EU policies. Such a heritage must certainly be preserved from hazards but also creatively managed to reach a condition of sustainable development, for example by the recognition and valorisation of natural networks. New forms of development must be found to assure the co-existence of men activities and actions with the natural heritage.

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

Overlapping with issues of natural heritage with regards to, on the one hand, the thematic scope of the previous envisaged action on natural and technological hazards and, on the other hand, with regards to the cultural heritage under envisaged action 1.3.3, has to be avoided by strong co-ordination.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Preparation of an inventory of indicators and measures for the identification of natural heritage with regard to the typologies of regions, including the identification of areas with most emerging conflicts between their natural heritage and men made activities;

- To identify which type of territorial development patterns would minimise the conflicts between the conservation of natural heritage and economic activities and, therefore, contribute to a better management of the natural heritage.

iii) *Existing access points*

See previous action 1.3.1. Attention should be paid to the new developments in biodiversity indicators e.g. for eco-quality objectives in the marine environment.

**Envisaged action 1.3.3.: The role and spatial effects of cultural heritage and identity (priority 2004-06)**

i) *Thematic scope and context*

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

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

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

This action should consider the integration between protection policies and spatial planning, the new creative ways to valorise and manage cultural and natural heritage, how contemporary architecture can give added value to landscapes, and how cultural landscape protection can contribute to improve life quality and its role for achieving economic sustainable development. This action needs to take into account the issue of cultural links between certain European regional communities located in crossing borders to neighbouring countries (e.g. South Mediterranean countries) and also among these neighbouring countries, particularly in relation to immigration.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Provision of a broad concept for cultural heritage which builds upon practicable and measurable categories;
- Examination of territorial typologies with reference to the most important conflicts and mutual support between cultural heritage and current human (economic) activities;
- Identification of types of regions with particular strong relations between the following aspects: cultural heritage, identity, and social, environmental and economic development.

*iii) Existing access points*

Cultural diversity was, up to now, mostly considered in terms of cultural landscapes and urban cultural heritage. However, the study on cultural assets of the SPESP<sup>26</sup>, starting with a broader approach, already indicated a broader understanding of this subject by subdividing the functions of cultural landscapes into the following categories: social, political and regional functional areas (covering religion, power, historic monuments, etc.), economic functional areas (covering economic and agricultural sectors) and social and cultural functional areas (covering education and health services, housing, recreation, tourism, etc.). A comprehensive survey identified the availability and quality of a wide range of indicators which could be used as a starting point for further collection of data in this field of research.<sup>27</sup> This action should also show environmental, cultural landscape and cultural heritage quality developments.<sup>28</sup> A Further access relates to the work of the European Commission (2001): From land cover to landscape diversity in the EU.<sup>29</sup>

**Measure 1.4.: Deepening thematic projects and new thematic projects**

As a consequence of the enlargement and the availability of additional financial resources, the Monitoring Committee decided to create this new flexible measure. The available resources will be allocated to small research projects aiming at completing specific thematic or geographical areas not sufficiently covered by the already planned thematic projects. In particular, under this measure it will be possible to finance projects focusing on more economic and social trends or deepening the already existing analysis to the territories of the new Member States. Final decision on the projects to be

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<sup>26</sup> SPESP 2000 CD report of the working group on cultural assets, p. 18 ff.

<sup>27</sup> Ibidem, p. 43ff.

<sup>28</sup> Council of Europe (1997): The EMERALD Network – a network of areas of Special Conservation Interest for Europe. TP96\TPVS75SER.96. Secretariat of the Bern Convention. Strasbourg.

<sup>29</sup> <http://europa.eu.int/comm/agriculture/publi/landscape/index.htm>.

financed will be taken between 2004-2006 giving the possibility to the new Member States to fully participate in the decision making process.

### **III.1.3. Expected results**

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

#### **Until mid-2002:**

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

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

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

#### **Until 2003:**

- c) to develop appropriate tools for the processing of the new data base, indicators and map-making;
- d) to develop applicable systems for the monitoring of new trends of territorial developments;
- e) to detect typologies of regions revealing risks and potentials for the identified types of regions;

#### **Until 2006:**

- f) to show the new territorial developments in the broader context;
- g) to show access points for policy responses on the new territorial developments.

### **III.2. Priority 2: Policy impact projects**

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



IIB projects are also dealing with this issue providing, therefore, some experience on a transnational scale.

### **III.2.1. Specific objectives**

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

### **III.2.2. Measures envisaged**

Projects need to be designed to address the priority objectives set out above. Such projects should contribute to fulfil those objectives by addressing the following measures set out below. The measures under this priority tie in with the conclusions of the studies researching the influence of Community policies on the territory of the EU.<sup>30</sup>

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

The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies, recognising the proposals in the ESDP to investigate Community policies<sup>31</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support referring to the goals, aims and policy options developed in the ESDP. The sub-measures set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. Assessing the territorial impact of transport policies and major infrastructure projects, CAP and R&D in order to improve the territorial co-ordination of the Community policies, is a major aim of this measure.

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<sup>30</sup> ESDP 1999, p. 13.

<sup>31</sup> ESDP 1999, p. 18.

In accordance with the ESPON Guidelines 2001-2006, the measure deals with the priorities mentioned under Point 3.1. bullet 1, 3, 4, 7 and 8 and Point 3.2 bullet 2, 3, 5 and 6.

**Envisaged action 2.1.1.: Spatial diversification by the infrastructure policy of TENs (priority 2002-04)**

*i) Thematic scope and context*

The diversifying effects of infrastructure networks are already the subject of measure 1.2. This measure concentrates on the territorial evaluation of the effects of TENs (transport, energy and communication). Major questions under this action are how far TENs provide the right answers for a territorial development as described in the ESDP. The measures proposed in the White Paper "The European transport policy by 2010" (COM 2001/370) should provide the framework for the subject investigated under this action. Reference has to be made to the policy options developed in the cross sectoral approach of the ESDP. The ESDP stresses the need for an integrated approach to improve transport links, makes reference to the polycentric development model, highlights the efficient and sustainable use of infrastructure and refers to the importance of the diffusion of innovation and knowledge. Any analysis should take into account the principle of territorial balance, the particular problems of peripheral regions and the improvement of secondary networks. Overlapping with the policies addressed under measure 2.1. have to be taken into account. This sub-measure will take account of the existing and future work on indicators within the EEA's Transport and Environment Reporting Mechanism (TERM)<sup>32</sup> and previous studies<sup>33</sup>, and the new Commission work on performing a Strategic Environmental Assessment (SEA) of the TEN-T network, including its extension into Central and Eastern Europe (e.g. Via Baltica)".<sup>34</sup>

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Operationalisation of the policy options developed in the ESDP relevant for a territorial impact analysis of the TENs programme, and development of a methodology for the impact analysis at EU scale. Research on developing methods on how to measure the degree of transport infrastructure development going beyond notions of length (i.e. length of roads and railways).

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<sup>32</sup> TERM 2001: Indicators tracking transport and environment integration in the European Union, European Environment Agency, Environmental issues series No. 23, 2001.

<sup>33</sup> Spatial and Ecological Assessment of the TEN: demonstration of indicators and GIS methods, European Environment Agency, Environmental issues series No. 11, 1998.

<sup>34</sup> See TERM 2001 report, p.28: "accessibility by road and rail to markets is still unbalanced among regions; infrastructure building does not necessarily trigger socio-economic growth". DG TREN activities on data collection and performance indicators for the TEN-T are also highly relevant (workshop held in Brussels, 15.11.01).

- Conceptualisation and elaboration of a territorial impact analysis for TENs which takes special consideration of the following points:
  - Are all transport modes included in order to achieve a long-term sustainable mobility of goods and persons, and a polycentric spatial development?
  - Do TENs address the emerging border and integration problems taking into account the variety of regions and the arriving enlargement? Do TENs provide adequate accessibility in the regions of the EU and in Europe?
  - What spatial effects are expected in terms of present and future congestions of TENs?
  - How far do TENs support the concentration of development corridors, and consider the concept of polycentric development and further spatial effects emerging?
  - How far do TENs affect the spatial diffusion of innovation and knowledge in Europe?
- Resources available at EU level in order to conduct the policy formulated in the White Paper on Transport. Does the necessary co-ordination with national policies take place?

*iii) Existing access points*

Data work relies much on the findings under sub-measure 1.2.2. Joint investigation of data is strongly recommended. The SPESP study on spatial integration<sup>35</sup> also provides interesting proposals for data work under this sub-measure such as volume of goods transported and number of persons in transport.

The SPESP report detected a shortage of important data at regional level concerning ISDN lines and fax accessibility and other communication network related information.<sup>36</sup> The spatial integration studies already mentioned the need to measure the telephone and Internet traffic connections between districts but also the number of computer links to the Internet.<sup>37</sup>

The Commission's White Paper "European transport policy for 2010: time to decide" and background documents for the "Revision of the Trans-European Transport Networks "TEN-T" Guidelines" provide interesting access points for the investigation of the questions raised and activities of the Joint Research Centre and the European Environmental Agency.

**Envisaged action 2.1.2. Spatial effects of the EU R&D policy (priority 2002-2004)**

*i) Thematic scope and context*

The spatially diversifying effects of the information society are to some extent objected but also intensified by the R&D policy at EU level. The ESPD stresses the need for an integrated approach to

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<sup>35</sup> SPESP 2000 CD report of the working group on spatial integration, p. 51ff.

<sup>36</sup> SPESP 2000 CD report of the working group on economic strength, p. 114.

<sup>37</sup> SPESP 2000 CD report of the working group on spatial integration, p. 52

improve transport links, makes reference to the polycentric development model, highlights the efficient and sustainable use of infrastructure and refers to the importance of the diffusion of innovation and knowledge. Those effects need to be investigated by a methodology, which allows to measure and to assess the impact of R&D in different types of regions. R&D takes place most probably in those regions where the central functions of companies are concentrated (usually in the metropolitan and urban centres). However, the new economy has developed a slightly different demand on location patterns avoiding old industrial areas and giving rise to some particular regions at the fringes of the EU and in central rural areas. Of course, R&D policy has to consider the location of private R&D investments and activities, but R&D policy also allows to set territorial priorities within some limits. Therefore, it is important to develop appropriate tools for the observation of the territorial effects of the R&D policy which would be able to focus on the specific demands of the EU. Particular co-ordination is necessary with the previous action 2.1.1 on TENs and action 1.2.3 on the spatially relevant aspects of the information society. Overlapping with the policies addressed under measure 2.1 have to be taken into account.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Operationalisation of the policy options developed in the ESDP relevant for a territorial impact analysis of the R&D policy, and development of a methodology for the impact analysis at EU scale.
- Conceptualisation and elaboration of a territorial impact analysis for R&D policy with special consideration of the following points:
  - How far does the R&D addresses the emerging border and integration problems taking into account the variety of regions and the arriving enlargement? Does the R&D policy provide adequate accessibility in the regions of the EU and in Europe?
  - What spatial effects are expected in terms of present and future bottlenecks of the R&D policy?
  - How far does the R&D policy support the concentration of development corridors, and consider the concept of a polycentric development, and further spatial effects emerging?
  - How far does the R&D policy affect the spatial diffusion of innovation and knowledge in Europe?
- Resources available at the EU level in order to conduct the R&D policy. Does the necessary co-ordination with national policies take place?

*iii) Existing access points*

The SPESP report on economic strength<sup>38</sup> and spatial integration already identifies the problem of lack of data, data which is essential in order to identify the effects of R&D policies, such as the location of company headquarters, persistence of enterprises with IT branches and the location of foreign direct investments. The empirical work under action 1.2.3 on the information society will provide inputs for the investigation of the R&D policy. Also the Commission's - Global Monitoring of Environment and Security (GMES) initiative could provide important inputs.

**Envisaged action 2.1.3.: Spatial effects of the EU Agricultural Policy with particular reference to the environmental dimension and policy (priority 2002-04)**

*i) Thematic scope and context*

The (Common) Agricultural Policy (CAP) faces particular demands in the light of recent developments. Most prominent are: reforms of the support system, the consequences of enlargement, agriculture move towards the production of non-food goods, the changing role of the farmers' society towards landscape conservation and environmental management. Recent developments in the meat sector call for less intensive meat production, and a trend towards more organic and sustainable agriculture is foreseeable. The changing policy will also affect the land use pattern and, therefore, the development potential of rural areas. The CAP already took first steps away from a regulating price system and quantities towards its "rural development" chapter (importance of the agro-environmental measures and measures for the less-favoured areas, and impact of rural development, for example, in terms of population maintenance) with improved links into the EU Structural Policy. The need for better co-ordination between agriculture and environmental policies is strongly emerging.

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

Projects should also take into account the effects of national policies; in the case of agriculture, national policies and the national implementation of the Community policy will play a key role in the agricultural land use. Concerning the environment, the need for better co-ordination between the agricultural policy and the environment policy should be highlighted. Overlapping with the policies addressed under the following measure 2.2 has to be taken into account.

*ii) Primary research questions*

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<sup>38</sup> SPESP 2000 CD report of the working group on economic strength, p. 114f.

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Operationalisation of the policy options developed in the ESDP relevant for a territorial impact analysis of the CAP; and development of a methodology for the impact analysis at the EU scale;
- Conceptualisation and elaboration of a territorial impact analysis of CAP with special consideration of the variety of rural areas in Europe in terms of environmental and climate conditions, population density, employment and farm structure, accessibility, peripherality and degree of intensive farming.
  - What spatial effects are expected in terms of addressing present and future problems of rural areas?
  - How far does the CAP affects the concept of a polycentric development and further spatial effects emerging?
- Resources available at EU level in order to conduct the CAP. Does the necessary co-ordination with national policies take place?

*iii) Existing access points*

The SPESP addressed the question of agricultural land use in three studies which have been already cited: the land use, natural assets and cultural assets (landscapes) which used GISCO data, partly on very low grid level. The mentioned and investigated indicators are not all available yet but the results of these studies have helped to build up a base to study the spatial effects of land use and land occupation. The human resource side is strongly related to indicators looking at the economic and demographic structure of the regions. Indicators were addressed in the studies on social integration and economic strength but these must be considered on lower NUTS level such as NUTS 2 and 4.

Further access points provided are: European Commission 2001: Agriculture, Environment, Rural Development: Facts and figures – a challenge for agriculture<sup>39</sup>; European Commission (2001): From land cover to landscape diversity in the EU;<sup>40</sup> Buckwell-Report (1999): Towards a Common Agricultural and Rural Policy for Europe – Report of an Expert group.<sup>41</sup> Furthermore, the Commission has already strengthened their activities towards the integration of environmental and agricultural observers which would provide starting points for a territorial analysis.<sup>42</sup> The new Commission's/Eurostat's Initiative on

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<sup>39</sup> <http://europa.eu.int/comm/envir/report/en>

<sup>40</sup> <http://europa.eu.int/comm/agriculture/publi/landscape/index.htm>.

<sup>41</sup> [http://europa.eu.int/comm/dg6/publi/buck\\_en.htm](http://europa.eu.int/comm/dg6/publi/buck_en.htm).

<sup>42</sup> COM (2000)20: Indicators for the integration of environmental issues in the Common Agricultural policy (own translation of German title), and COM (2001)144: Statistical information requirements for the surveillance of the integration of environmental demands in the Common agriculture policy

Environmental European Spatial Data Infrastructure (E-ESDI) can also considerably contribute, as well as the activities of the Joint Research Centre.

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

The subject of this measure corresponds with the demand for better knowledge on the territorial impacts of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>43</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support. The sub-measures set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority. Co-ordination with the Commission should avoid interference with the Commission's (ex post) evaluation of the Structural Funds as part of its competences. The concentration on the analysis of territorial effects must be in the centre of the project under this action, DG Regio supports the need for co-ordination by the establishment of exchange between the ESPON and the organisations carrying out the evaluation studies.

In accordance with the ESPON Guidelines 2001-2006, the measure deals with the priorities mentioned under Point 3.1. bullet 1,2, 3, 4, 7 and 8, and Point 3.2 bullet 1, 2, 3, 5 and 6.

**Envisaged action 2.2.1.: The territorial effects of the Structural Funds, pre-accession aid and Phare/Tacis/ISPA (priority 2002-04 finalising in 06)**

*i) Thematic scope and context*

The Sixth Periodic Report and the Second Cohesion Report already provided a broader understanding of economic development. Structural Funds are already subject to evaluations on horizontal themes such as environmental effects or gender questions. The time is due to undergo Structural Funds to a territorial impact assessment or analysis (TIA), with consideration of the efforts already made by the UK delegation of the CSD during 2000-01 in researching the scope of TIA as a valuable tool for assessing the impact of spatial development against spatial policy objectives or prospects for an area. As a first step the method for such an assessment needs to be set up on the base of the experience of Structural Funds and evaluations on the Structural Funds already done. The Cohesions report already approached in some respect the Structural Funds from a broader territorial point of view.

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

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<sup>43</sup> ESDP 1999, p .18.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data and development of map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Operationalisation of the policy options developed in the ESDP relevant for a territorial impact analysis of the Structural Funds and Phare/Tacis/Meda programmes; development of a methodology for impact analysis at EU scale;
- Conceptualisation and elaboration of a territorial impact analysis for Structural Funds and Phare/Tacis/Meda programmes with special consideration of the following points:
  - the variety of regions in Europe in terms of their environmental and climate conditions, population density and settlement structure, employment and enterprise structure, accessibility and peripherality;
  - How far do the Structural Funds and Phare/Tacis/Meda programmes address the emerging border and integration problems taking into account the forthcoming completion of enlargement?
  - How far do the Structural Funds and Phare/Tacis/Meda programmes support the concentration of development corridors, and consider the concept of a polycentric development, and further spatial effects emerging?
  - The impact of regional policy on R&D potential geography.
- Resources available at the EU level in order to conduct the Structural Funds and Phare/Tacis/Meda programmes. Does the necessary co-ordination with national policies take place?

*iii) Existing access points*

The SPESP programme offers some access points for indicator works through the study on typology of cities and urban and rural relations. Functional regions, as a corner stone for the monitoring of territorial development, require that the functions can be measured (Headquarter functions, labour markets commuter zones a.s.o.). Further aspects such as how far do Structural Funds address accessibility could benefit from research on TENs, on spatial networks or on the R&D policy. The European Commission should make available the projects on the evaluation of the horizontal objectives of the Structural Funds which provide an additional source for the investigation of the territorial aspects of Structural Funds. Other cross-sectoral aspects are already covered by different sources.<sup>44</sup>

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<sup>44</sup> See for example: European Commission DG XI (1998): A handbook on the Environmental assessment of Regional Development Plans and EU Structural Funds Programmes, London. In addition, Environment and Sustainable Development: a guide for the ex-ante evaluation of the environmental impact of regional development programmes, Series: Evaluation and Documents, No. 6, May 1999.



**Envisaged action 2.2.2.: The effects of Structural Funds in urban areas (priority 2002-06)**

*i) Thematic scope and context*

Cities are becoming more and more a subject of critical interest for policy makers at EU level as the importance of cities as motors for spatial development becomes more clear. Referring to the subsidiarity principle, cities should only be of European concern if visible links between cities and the development of the EU exist. Reference shall be made to the results of the Urban Audit project and the European Common Indicators initiative launched by the Commission. This action fills the gap between the territorial analysis towards urban areas and the Urban Audit.

*ii) Primary research questions*

- Identification and gathering of existing indicators, proposition of new indicators, collection of data development of and map-making methods to measure and to display the state, trends and impacts of the developments referred to above. Compilation of national studies with European focus;
- Operationalisation of the policy options developed in the ESDP relevant for a territorial impact analysis of the Structural Funds in urban areas. Development of a methodology for an impact analysis at EU scale;
- More specific territorial questions within the framework of urban affairs with regards to the variety of regions in Europe are:
  - How far do Structural Funds address the process of metropolisation in relation to accelerated greenhouse effects and climate change?
  - In which respect do Structural Funds address the question of control of urban sprawl and the links between urban and rural areas?
  - Metropolisation increases socio-spatial segregation and inequity of access to public services such as education, health, transport and culture. Furthermore, there are claims that the European social model is endangered. Which kind of territorial effects derive from these problems?
- This measure implies the necessity of good urban governance, which could be promoted at the European level. The effects of Structural Funds in urban areas should be evaluated and assessed in the sense of how Structural Funds help (or not) to strengthen urban functions.

*iii) Existing access points*

The Urban Audit and the European Common Indicators initiative<sup>45</sup> provide an interesting piece of data work which could be used as a starting point for the investigation of Structural Funds in urban areas. In

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<sup>45</sup> European Commission 2000: Urban Audit. Luxembourg Vol. 1 and 2.

addition, the SPESP study on typologies of cities devoted some effort in the delineation of urban areas which has to be considered as a precondition for the identification of further effects in that field of activity. As well, the study on social integration provides some information on indicators which are relevant to this sub-measure.

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

The subject of this measure corresponds with the demand for better knowledge of the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>46</sup> on the background of different spatial concepts such as the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support. Therefore, the co-ordinating function of spatial policies for the orientation of sector policies is of utmost importance. The envisaged actions set out below pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority.

In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1, 5, 6, 7 and 8, and Point 3.2 bullet 5.

**Envisaged action 2.3.1.: The application and effects of the ESDP in Member States (priority 2004-06)**

*i) Thematic scope and context*

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

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

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

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<sup>46</sup> ESDP 1999, p .18.

horizontal integration of sectoral policies could be achieved towards the consideration of territorial issues.

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

*ii) Primary research questions*

- Development of a strategy for the assessment of the impacts of the ESDP in the EU and Member States considering the strategy of the ESDP calling for a vertical and an horizontal co-ordination and spatial integration.
- To identify useful categories for the investigation of assessment instruments, for example, the so called “softlaw” such as guideline, and the “hardlaw” such as regulations.
- Empirical assessment of the application of the ESDP at EU level and by Member States. Special attention should be paid to the sectoral co-ordination at EU level and to its vertical co-ordination in the Member States;
- Assessment of what means spatial integration in theory and in practices with regard to the application of the ESDP;
- Assessment of the application of the ESDP in policy documents;
- Case studies on the assessment of the application of policy options of the ESDP in selected measures such as the Interreg programme;
- Which lessons can be learned, where are the strengths and weaknesses of the ESDP approach, which improvements are recommended for the possible revision of the ESDP.

*iii) Existing access points*

The starting point for this evaluation should be the results of the assessment on the application of the ESDP undertaken under the Belgian Presidency in the second half of 2001. The investigation on the sectoral policies of the EU will have already produced some outputs by the time this action starts in 2003. Special links should be established with the Interact programme.

**Envisaged action 2.3.2.: The governance of territorial and urban oriented policies from the EU to the local level (priority 2004-06)**

*i) Thematic scope and context*

Spatial policy approaches are widely scattered between sector policies, in particular with regard to variety of approaches at EU level, in Member States and their administrative structures. This diversity

will even grow further with the enlargement of the EU. The “EU Compendium of Spatial Planning Systems and Policies”<sup>47</sup> already revealed the complexity of policy instruments and implementation tools available within the EU, and only focussing on the planning side.

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

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

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

*ii) Primary research questions*

- Elaboration of a research framework which allows to comprehensively investigate the issue of governance as well as the vertical and horizontal institutional structure and the instrumental dimension of decision making and implementation of territorially oriented policies;
- Definition of indicators that characterise successful governance when developing and implementing territorial and urban policies;
- Preparation of comparable cases studies (preferably with transnational focus) on governance at EU level regarding wide common territorial issues such as polycentrism, urban sprawl, urban-rural balance and accessibility;
- Conclusions should be drawn towards the identification of success conditions, actor constellations and best practice examples on the governance of urban and territorial decision making;
- Assessment of strategies for the update of the ‘EU Compendium of Spatial Planning Systems and Policies’.

*iii) Existing access points*

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<sup>47</sup> European Commission 1997 and the following country reports.

**Measure 2.4.: Deepening policy impact projects and new policy impact projects**

As a consequence of the enlargement and the availability of additional financial resources, the Monitoring Committee decided to create a this new flexible measure. The available resources will be allocated to small research projects aiming at completing specific policy sectors or geographical areas not sufficiently covered by the already planned policy projects. Final decision of the project to be financed will be taken between 2004-2006 giving the possibility to the new Member States to fully participate in the decision making process.

**III.2.3.** The EU Compendium of Spatial Planning provides a good starting point for the planning part of the governance structure. In 2003, actions under priority 1 should already be able to indicate areas with "more and less successful" territorial development in terms of e.g. polycentrism, urban-rural relations a.s.o. Of course, these developments will be subject to deviating conditions in those areas. These results could provide a base for the selection of case study areas. "City of tomorrow and cultural heritage" and the "Human Dimensions of Environmental Change Theme" funded in the 3<sup>d</sup> and 4<sup>th</sup> Framework Environment and Climate Research Programmes could also provide information. Expected results

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

**until mid 2002:**

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

**Until end 2002:**

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

**until 2003:**

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

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

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

**until 2006:**

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

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

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

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

**Co-ordinating cross-thematic projects** will prepare the ground and will make use of the results achieved under priority 1 and 2. These projects will require the wider participation of the selected institutes from the Member States, candidate countries<sup>48</sup> and the EFTA countries (in particular Norway and Switzerland, which expressed strongest interest) and if relevant other neighbouring countries, and should provide the framework for the liaison between all projects. Projects under this priority should include at least 6 states and 3 ESPON Contact Points, should reflect a balanced geographical representation of countries and also should cover a broad range of methodologies. This priority allows developing the real new European approach of the ESDP by considering the necessary horizontal and vertical co-ordination of spatial development in Europe. This priority takes advantage of the multiple methodological and political approaches available in the EU.

**III.3.1. Specific objectives**

a) To provide a common frame for the projects prepared under priorities 1 and 2, i.e. to provide common definitions for the collection of data, common frame for indicators, common structure for reports, etc.

b) to summarise and evaluate the intermediate and final results of the projects under priority 1 and 2 towards integrated results of the ESPON 2006 programme for a long term perspective;

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<sup>48</sup> Ten new Member States and three candidate countries as from the 1<sup>st</sup> of May 2004.

- c) to add value to the results of single projects by discussing the results in different contexts such as scenarios and options for policy conclusion;
- d) to re-examine the achieved results in the light of the ESDP;
- e) to make the results of the ESPON programme accessible to policy makers;
- f) to allow a better understanding of the complexity of spatial development at EU scale;
- g) to give guidance on the future necessities of policies which recognise the spatial dimension.

### **III.3.2. Measures**

The reference for these measures will be the contributions towards the achievement of the overall objectives underlying the ESDP which represent the triangle of economic and social cohesion, conservation of natural resources and cultural heritage and the more balanced competitiveness of the European territory, which build the cornerstones of the sustainable spatial development of the EU.<sup>49</sup> The outline of this programme already addresses how far these objectives can be challenged by a wider understanding of the territorial approach. The measures under this priority ought to make reference to this comprehensive view and should draw the results of the first two priorities together. Projects need to be designed to address the priority objectives set out above. Such projects should contribute to these objectives by addressing the following three measures. In accordance with the ESPON Guidelines 2001-2006, this priority deals with the co-ordinated and integrated achievement of all priorities mentioned under Point 3.1 and Point 3.2 of the guidelines and the projects prepared under the first two priorities.

#### **Measure 3.1.: Integrated tools for the European spatial development (priority 2002-2004)**

The aim of this measure is to use the results of the projects developed under Priority 1 and 2 towards the development of integrated tools for the European spatial development. This priority is more technically oriented and concentrates in the results developed under the first phase of the ESPON programme. That means, for example, to summarise the indicators suggested in those projects, and to compare and check their consistency as a whole and in relation to the existing indicators currently used in Structural Funds programmes. The results will be suitable tools for the diagnosis of territorial trends, elaboration of scenarios, policy instruments and institutional settings. A comprehensive view towards the various sectoral dimensions within the territorial view should also build on the feed back from the Member States and Candidate countries. Themes under this measure are not exclusively listed:

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<sup>49</sup> See ESDP 1999, 10.

*Integration of European spatial databases* is a core task which will provide the basic material for all further research of the ESPON programme. Starting from the databases and indicator systems suggested and compiled by the SPESP, regular contacts with National Statistical Agencies, Eurostat and European Environment Agency need to be established for a critical review of the existing material. Most European databases suffer from a lack of integration recognised by the institution responsible for their management (EUROSTAT, EEA). During 2001-2003, this task would not only result in the creation of new databases but would also propose efficient solutions for the integration of the existing ones and for a better exploitation of their contents through the use of new tools of cartography, GIS and spatial analysis. Tasks will include the collection and exploitation of the necessary data in the priority fields of the programme (accessibility, polycentric development, environment, urban areas, territorial impact and new methods in territorial information).

In a second step (2003-2006), an integrated system of cartographical outputs ought to be proposed which could be interactively used by policy makers and territorial planners. These data shall be collected, as far as possible, with wide geographical coverage (i.e. including neighbouring countries, Eastern and Southern Mediterranean countries) and using new territorial information methods such as satellite information and digital evaluation models.

*Clarification of the concepts and definition of the indicators to measure spatial and social integration.* The research carried out under the Study Programme (SPSP) could built the base for the creation of unambiguous concepts of "spatial integration", "spatial or territorial cohesion", "social integration", "territorial impact" which are the basis of the ESDP project and the Structural Funds. So concepts need to be clarified and indicators, for the measurement of progress achieved towards European integration at various levels, need to be defined. Furthermore the concepts and indicators for the measurement of the following concepts need to be elaborated:

- "accessibility" not only in terms of the various means of transport (air, water road and rail) but also in terms of the information and communication technology;
- "polycentric development" with reference to the identification of overall integration areas and potential development zones;
- "environment" in term of the identification of sensitive sites and areas of natural and technological hazards;
- "urban areas" on the basis of a joint definition of urban-ness and the role played by urban areas in the territorial structure;
- "landscape" in terms of identification of sensitive structures and areas and their role in the territorial and cultural set-up;
- "territorial impact assessment" in terms of defining a concept which can be used for the measurement of Community and national sectoral policies and of major infrastructure projects.



*Specification of potential thematic fields for Community intervention* and how they could be articulated within national, regional and local policies. The Cohesion report and the ESDP policy orientations already provide references. A review of the application of those concepts, indicators and the use of new data bases should be included. That could mean the evaluation of indicators systems and data pools for various purposes (Structural Funds, spatial observation, provision by Eurostat, EEA) and, in particular, in relation to the policy options of the ESDP:

- to define, by combining territorial and socio-economic indicators, areas with a common dynamic integration, having a European dimension and an interregional and transnational character and to establish a diagnosis of these areas; combining territorial and socio-economic indicators in order to define European global integration zones, and the use of these zones as diagnostic tools;
- to define territories and their specific features at risk; the Cohesion report already identified such regions which should be evaluated under a wider set of indicators;
- to specify in which fields and under which sectoral and structural policies a Community intervention, as regards territorial development, could be envisaged and how this could be linked to national, regional and local policies. To specify which Community actions are to be implemented and which modifications are to be included in the current sectoral policies for a balanced development of the Community territory;
- Evaluation of mapping methods developed in the previous projects for various purposes and, on that experience, creation of new useful methods and classifications.

These results should provide the basis for the preparation of a method for spatial analysis of transnational territories. Preparation of a methodology for the elaboration of spatial scenarios should be undertaken during 2003-06.

In accordance with the ESPON Guidelines 2001-2006, this priority deals with the co-ordinated and integrated achievement of all priorities mentioned under Point 3.1 and Point 3.2 and the projects prepared under the first two priorities.

**Measure 3.2.: Spatial scenarios and orientations towards the ESDP and the Cohesion Policy (priority 2004-06)**

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

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

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

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

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

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

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

The scenarios need to be studied with a broad focus, including all the neighbouring countries (also the Balkan area, and the Eastern and South Mediterranean countries). If possible a discussion process with research institutes from those areas ought to be launched.

The scenarios should indicate possible domains and territories of the EU policies and should allow better identifying and describing the strengths and weaknesses of Europe's spatial structure in the midterm future.

In accordance with the ESPON Guidelines 2001-2006, this measure deals with the priorities mentioned under Point 3.1. bullet 1,2 and 3, and Point 3.2 bullet 2,4.

**Measure 3.3.: Territorial dimension of the Lisbon and Gothenburg Process**

The ambitious political process aimed at making the EU more dynamic, competitive and sustainable knowledge-based economy by 2010 has at this stage not explicitly reflected on the territorial dimension of this development. However, territorial cohesion is seen as an underlying objective, but concerns in relation to the aim of territorial cohesion have so far not been made concrete. However, the fulfilment of the Lisbon/Gothenburg strategy will inevitable include a territorial focus/footprint and connect to the territorial development policy. The links between European documents including territorial policy issues and the Lisbon/Gothenburg strategy are apparent, but need to be further explored and complemented by concrete and operational objectives with the aim of contributing to the Lisbon/Gothenburg strategy, including corresponding indicators capable of monitoring the development.

Studying the territorial dimension of the Lisbon/Gothenburg comprises a multitude of very complex and broad processes and contexts. It will neither be feasible to conduct an analysis of the impact of the Lisbon/Gothenburg strategy nor to embrace all factors of competitiveness. A tender for project 3.3 will have to build on this fact.

The main scope of the study is to develop a number of basic analytical elements that can introduce territorial cohesion to the Lisbon/Gothenburg strategy and indicate ways of integrating the Lisbon/Gothenburg strategy in Structural Funds interventions in support of a balanced territorial development of the enlarged EU. Of particular importance will be to identify additional (territorial) indicators to the indicators chosen to monitor the Lisbon/Gothenburg strategy, which can be recommended to be taken into account at political level.

**Measure 3.4.: Deepening cross thematic projects and new cross-thematic projects**

As a consequence of the enlargement and the availability of additional financial resources, the Monitoring Committee decided to assign part of the budget to finance minor research projects aiming at completing specific cross-thematic aspects not sufficiently covered by measures 3.1-3.3. A final decision of the project to be financed will be taken between 2005-2006 giving the possibility to the new Member States to take part to the decision taking process.

**3.4.1: Europe in the World**

With the enlargement of the European Union, the consolidation of the European Council with its 45 Member States and the ongoing process of integration with the neighbouring countries, Europe becomes more and more a great big whole integrating all parts and regions of it (albeit with different integration models and dynamics). Through globalisation, free trade and exchange Europe is intensely linked to the rest of the world. This makes it impossible and inadequate to see Europe or the European Union as an isolated system which can fully be understood on its own.

This need to see Europe in its world-wide context also holds true for the trends, goals and strategies of European spatial development. Given this background it seems appropriate to also analyse spatial

aspects like polycentrism, accessibility, balanced competitiveness or the role of dynamic urban growth in more global aspects.

By this the ESPON three level approach (European/transnational, national, regional/local) will be opened to a fourth level of analysis viewing at Europe as one world region and integrated economic area in the global context. In other words, the spatial perspectives of the three levels will be embedded into a world orientation.

#### 3.4.2: Deepening cross-thematic projects

The Monitoring Committee of the ESPON programme has decided to reserve financial resources to deepening certain important cross-thematic issues.

#### 3.4.3: New cross thematic projects

A decision on the new projects to be financed under this measure will be taken during 2004-2006.

### **III.3.3. Expected results**

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

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

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

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

#### **until 2003:**

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

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

d) to prepare methodologies for prospective scenarios.

#### **Until 2006:**

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

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

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

**III.4.1. Specific objectives**

a) To provide a common data access for the projects prepared under priorities 1-3

b) to establish the scientific infrastructure of the ESPON approach;

c) to strengthen the coherence of the common ESPON approach;

d) to scientifically and thematically co-ordinate actions under the ESPON programme.

**III.4.2. Measures**

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

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

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

A range of projects needs to be prepared under this measure. The programme strongly advocates to undertake any data related work for the whole territory of the EU and the candidate countries. All projects need information on data bases and mapping capacities available in all countries as a precondition for fulfilling their research tasks and duties. Projects under this heading will be prepared to provide general information on the data situation and sources of data as not all projects can cover these tasks for all countries. These activities will help Lead Partners to find those partners which can provide the data required for their specific projects and measures respectively. One has to bear in mind that national and regional data are usually only available in the language of each country if the data is

not available via the EU institutions. Therefore, projects would provide access to national institutions and contact partners. Furthermore, the candidate countries are not subject to the EU databases yet, which means that even the basic data for candidate countries will need to be acquired within the ESPON network framework. Those projects on database and data provision should be commissioned to competent (research) institutes or ESPON Contact Points and (bearing in mind the number of countries involved) should not cost more than 5.000-10.000 EURO per study.

Following the enlargement, small surveys to update the information available on the new Member States will also be financed on the same basis.

In addition, under this measure will be financed the purchase of updated data from EUROSTAT as well as any other data set required for the ESPON programme, together with any other technical studies needed for guiding project in collecting and using European data sets. All data will be included in the ESPON database which will be available online to all TPG members. The Managing Authority and the Coordination Unit will take all the necessary steps to give access to the ESPON database to the widest possible public within the limits allowed by relevant copyrights and intellectual property rights rules.

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

As it will be pointed out in V.5, not all costs of the ESPON Contact Points can be covered by the projects and, therefore, part of the costs will need to be fully financed by the participating states. The tentative list of tasks which can be financed by the programme and those which will have to be financed by the participating national states on a 100 percent base is attached in annex 2. The list foresees that meetings between the Co-ordination Unit and the ESPON Contact Points will have to take place approximately four times per year (see point B.7 of Annex 2). In order to balance the burden of those meetings, due to different travel and meeting costs for the ESPON Contact Points from the different Member States, the Programme will finance the travel costs of one member of the ESPON Contact Point per Member State and the related cost of the Co-ordination Unit for the four scheduled yearly meetings.

In order to improve ECP networking activities following an explicit recommendation of the Mid Term evaluators, the Monitoring Committee of the ESPON programme agreed to allocate a larger proportion of the budget to Priority 4.2. The additional resources will be used to strengthen the ECPs networking activities via a new financial mechanism bringing together ECPs to achieve common transnational networking objectives.

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

The whole programme implies a strong co-ordination between all Transnational Project Groups as all groups supposed to work with co-ordinated categories and contribute to a common result. This will be supported by meetings involving all Lead Partners from active projects. It is of utmost importance and considerable adds to the value of the projects and the programme that the Co-ordination Unit is

enabled to inform and brief all Transnational Project Groups and ESPON Contact Points on the methods, processes, milestones and obstacles of the ESPON 2006 programme. It must also be borne in mind that the competitive selection procedure will result in a selection of a broad variety of institutes which will need to be informed and briefed periodically.

In addition, seminars should be organised at least twice a year. These seminars would allow to directly inform the Members of the Monitoring Committee about the ongoing research and to exchange ideas on the orientation of results for researchers and policy makers.

The measure covers the cost of the organisation of the briefings, meetings, seminars and invitation of experts.

### **III.4.3. Expected results**

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

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

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

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

c) Permanent scientific monitoring of the approach and progress.

### **III.5. Priority 5 Technical assistance**

#### **III.5.1. Specific objectives**

a) Efficient management and monitoring of the implementation of the programme;

b) Efficient assistance to the Managing Authority, Paying Authority and Monitoring Committee in the fulfilment of their respective responsibilities including monitoring, evaluation and control of the use of the ERDF assistance and the national funded assistance, and the project selection process;

c) Joint sound, smooth and transparent management of the programme budget and accountancy;

d) Technical and scientific guidance to the Transnational Project Groups;

e) Collection and integrated management of the financial monitoring.

### III.5.2. Measures envisaged

The presentation of the implementation of the technical assistance is divided into two measures referring to the Commission Regulation 1685/2000<sup>50</sup> Rule No. 11 point 2.5 on “cost incurred in the management and implementation of Structural Funds”<sup>51</sup> – introduced under measure 5.1. “implementation, management and monitoring” - and other cost referring to the same rule 11 under point 3<sup>52</sup> which are reserved for some very specific tasks – introduced under measure 5.2. “information, publication and evaluation”.

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

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

The core of management and monitoring will be taken on by the Co-ordination Unit (CU) according to the Commission Regulation 1685/2000<sup>53</sup> Rule No. 11 point 2.5 on “cost incurred in the management and implementation of Structural Funds”. It will provide appropriate resources to implement the overall Programme strategy, including publicity and promotion. It will be responsible for the co-ordination of the network together with the co-ordination of projects under priority 3 and will implement priority 4 following the decisions of the Monitoring Committee.

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

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

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<sup>50</sup> OJ No. L 193, 29.7.2000

<sup>51</sup> Which is limit to 5 % of the total contribution.

<sup>52</sup> Which allow exceeding the technical assistance above 5%.

<sup>53</sup> OJ No. L 193, 29.7.2000



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

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

Annex 3 provides an overview of the calculated cost for this measure. At the meeting on 13 December 2000, the Luxembourg Ministry of the Interior offered to the CSD to cover the costs of the Co-ordination Unit beyond the 5% technical assistance of the programme.<sup>54</sup>

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

According to the Commission Regulation 1685/2000<sup>55</sup> Rule No. 11 point 3 on “cost incurred in the management and implementation of Structural Funds”, the following kind of tasks are not subject to the condition of the 5% rule (cost under this measure accumulate to 2 %), in particular :

- *Information action;* The distribution and flow of information on the ongoing research and their outcome are essential assets of the programme. Access to and discussions about information and results should not be limited to the directly participating institutes, there must also be an opportunity to offer these to the outside world to partly participate in the network. Information action should be taken via the Internet in the first place. However, the study programme proved that printed reports are of utmost importance to disseminate information. Concerning the exchange of informa-

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<sup>54</sup> However, measure 5.1. covers more items than the Co-ordination Unit. Consequently the costs of this measure, now after the deduction of the Luxembourg contribution of the technical assistance had to be calculated for 8.8 %, exceeding the usual ceiling of 5 % of technical assistance for management and monitoring which is possible for duly justified cases. The specific situation in this case lies in the small budget of the whole programme in relation to the necessary functions which need to be provided to all projects of the whole programme under the technical assistance. In addition, although the programme will involve as from the 1<sup>st</sup> of May 2004 25 Member States the total amount allocated to Technical Assistance remains extremely limited (€1.270.000). The functioning of the Coordination Unit can only be ensured thanks to the additional contribution of more than €2.000.000 from Luxembourg. It has also to be underlined that the 70% of the additional resources for T.A. are used for the recruitment of a Project Expert for the period 2004-2007, which is the only staff paid by the programme resources.

<sup>55</sup> OJ No. L 193, 29.7.2000

tion, the UK delegation supports the information base ESPRID that could be involved in particular for the external communication of results.

- *Evaluation;* Structural Funds Regulation require an intermediate and ex-post evaluation of the Programme, details are to be decided by the Monitoring Committee.
- *Acquisition and installation of computer systems for management, monitoring and evaluation.* The programme involves 25 Member States plus third countries and nearly 20 projects over the whole period.

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

#### IV. FINANCIAL PLAN

The overall financial ERDF and national allocation to the Programme is expected is €14.464.688 million at 2004 prices, already indexed up to 2006, covering 2002 to 2006. At this point, the ERDF figures indicated below are not complete and therefore strictly indicative.

The tables below show the indicative allocation of expenditure co-financed by the ERDF:

- by Priority for the whole commitment period;
- year by year from 2002 until 2006.

Project implementation may go until 31 December 2008.

##### **IV.1. Allocation of funds by Priority: 2001-2006**

The allocation under the outlined priorities starts from the assumption that priority 1 encompasses a lot of primary data work, development of indicators and research tools which will be of use also for priority 2. Therefore the biggest share of the allocation of funds is devoted to priority 1 bearing in mind that projects under priority 2 are able to benefit from these data bases. Although priority 3 seems to have much less primary tasks, experiences from previous study programmes revealed that the harmonisation of different projects towards integrated results is a very difficult task, and often needs to go into detail in very specific areas in order to bridge the gaps between different (e.g. sectoral) projects. The ESPON aims at the suitable preparation of results which consider the different approaches in Europe, cover the European territory and are of direct use to policy makers in the field of spatial development. Therefore, appropriate resources are foreseen in order to achieve these kind of results. The overview set out in Table 2, considers under line P.5 of the Technical Assistance the contribution of Luxembourg to

the Programme for the establishment of the Co-ordination Unit. These costs are external to the programme and therefore not included in the total amount.

**Table 2: ESPON 2006 programme allocation by priority**

Priority	Euro	Total costs	Public expenditure		Private	Share of priority	
			Tot.elig.exp.	ERDF			National
P.1 Thematic projects on import spatial developments		4.250.000	4.250.000	2.125.000	2.125.000	0	29.38
P.2 Policy impact projects		3.719.325	3.719.325	1.859.662,50	1.859.662,50	0	25.71
P.3 Co-ordination cross-thematic projects		3.699.500	3.699.500	1.849.750	1.849.750	0	25.58
P.4 Research briefing and scientific networking		1.106.100	1.106.100	553.050	553.050	0	7.65
P.5 Technical assistance		1.689.763	1.689.763	844.881	844.881	0	11.68
(P.5 Luxembourg contrib.)		(+2.063.000)	(+2.063.000)	0	(+2.063.000)	0	
<b>Total</b>		<b>14.464.688</b>	<b>14.464.688</b>	<b>7.232.344</b>	<b>7.232.344</b>	<b>0</b>	<b>100,00</b>

The allocation of funds for the Technical Assistance budget, including a detailed outline of the contribution of Luxembourg, is presented in annex 3.

#### IV.2. Allocation by year

The Annual ERDF Allocation table shows the commitment funds agreed between the European Commission and the Member States. The allocation by year follows the logic that the whole programme period is divided in two parts. Usually the first part of each period is less busy until projects are properly implemented but work increases over time. One has to bear in mind that the first period is, in fact, shorter than the second period but the first period ought to deliver the same "quantity" and quality of results as the second period.

**Table 3: ESPON 2006 programme allocation by year (1)**

Years	Euro	Total costs	Public expenditure		Private	
			Tot.elig.exp	ERDF		National
2002		2.888.800	2.888.800	1.444.400	1.444.400	0
2003		2.716.800	2.716.800	1.358.400	1.358.400	0
2004		3.407.004	3.407.004	1.703.502	1.703.502	0
2005		2.597.816	2.597.816	1.298.908	1.298.908	0
2006		2.854.268	2.854.268	1.427.134	1.427.134	0
<b>Total</b>		<b>14.464.688</b>	<b>14.464.688</b>	<b>7.232.344</b>	<b>7.232.344</b>	<b>0</b>

(1) without Luxembourg's external contribution for the Co-ordination Unit.

According to Article 31 of the General Regulation, ERDF commitments by the Commission to the ESPON Programme are made on an annual basis. (These commitments should not be confused with

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funds committed to individual projects by the Monitoring Committee after signature of the Grant Offer Letter).

**Table 4: ESPON 2006 programme allocation by year total public\***

*Only eligible expenditure all financed 50% ERDF, and 50% national, excluding Luxemburg external contribution to the Co-ordination Unit.*

Priority/Measure	Euro					Total Progr.
	2002	2003	2004	2005	2006	
<b>P.1. Thematic projects - total</b>	<b>€ 960,000.00</b>	<b>€ 1,010,000.00</b>	<b>€ 1,070,000.00</b>	<b>€ 605,000.00</b>	<b>€ 605,000.00</b>	<b>4.250.000</b>
M.1.1. Polycentric development	€ 380,000.00	€ 430,000.00	€ 370,000.00	€ 270,000.00	€ 270,000.00	1.720.000
M.1.2. Infrastructure and knowledge	€ 320,000.00	€ 320,000.00	€ 240,000.00	€ 75,000.00	€ 75,000.00	1.030.000
M.1.3. Natural and cultural heritage	€ 260,000.00	€ 260,000.00	€ 360,000.00	€ 210,000.00	€ 210,000.00	1.300.000
M. 1.4 Deepening and new projects			€ 100,000.00	€ 50,000.00	€ 50,000.00	200.000
<b>P.2. Policy impact projects - total</b>	<b>€ 950,000.00</b>	<b>€ 950,000.00</b>	<b>€ 644,000.00</b>	<b>€ 539,100.00</b>	<b>€ 636,225.00</b>	<b>3.719.325</b>
M.2.1. Sector policies	€ 500,000.00	€ 600,000.00	€ 204,000.00	€ 100,000.00	€ 100,000.00	1.504.000
M.2.2. Structural Funds	€ 450,000.00	€ 350,000.00	€ 80,000.00	€ 70,100.00	€ 61,225.00	1.011.325
M.2.3. Institutions and instruments	€ 0.00	€ 0.00	€ 260,000.00	€ 244,000.00	€ 300,000.00	804.000
M.2.4. Deepening and new projects			€ 100,000.00	€ 125,000.00	€ 175,000.00	400.000
<b>P.3. Cross-themat. projects – total</b>	<b>€ 480,000.00</b>	<b>€ 480,000.00</b>	<b>€ 843,261.00</b>	<b>€ 866,739.00</b>	<b>€ 1,029,500.00</b>	<b>3.699.500</b>
M.3.1. Integrated tools	€ 480,000.00	€ 480,000.00	€ 180,000.00	€ 0.00	€ 0.00	1.140.000
M.3.2. Spatial scenarios	€ 0.00	€ 0.00	€ 400,000.00	€ 480,000.00	€ 579,500.00	1.459.500
M.3.3. Lisbon / Gothenburg Process			€ 100,000.00	€ 200,000.00	€ 200,000.00	500.000
M.3.4. Deepening and new projects			€ 163,261.00	€ 186,739.00	€ 250,000.00	600.000
<b>P.4. Research briefing and network - total</b>	<b>€ 258,000.00</b>	<b>€ 78,000.00</b>	<b>€ 313,000.00</b>	<b>€ 226,500.00</b>	<b>€ 230,600.00</b>	<b>1.106.100</b>
M.4.1. Data navigators	€ 210,000.00	€ 30,000.00	€ 35,000.00	€ 37,500.00	€ 37,500.00	350.000
M.4.2. ESPON contact points	€ 24,000.00	€ 24,000.00	€ 205,000.00	€ 126,000.00	€ 130,100.00	509.100
M.4.3. ESPON networking	€ 24,000.00	€ 24,000.00	€ 73,000.00	€ 63,000.00	€ 63,000.00	247.000
<b>P.5. Technical assistance - total</b>	<b>€ 240,800.00</b>	<b>€ 198,800.00</b>	<b>€ 536,743.00</b>	<b>€ 360,477.00</b>	<b>€ 352,943.00</b>	<b>1.689.763</b>
M.5.1. Management, implementation, monitoring	€ 170,800.00	€ 168,800.00	€ 380,000.00	€ 275,477.00	€ 275,417.00	1.270.494
M.5.2. Information, publication, evaluation	€ 70,000.00	€ 30,000.00	€ 156,743.00	€ 85,000.00	€ 77,526.00	419.269
<b>Total per year</b>	<b>€ 2,888,800.00</b>	<b>€ 2,716,800.00</b>	<b>€ 3,407,004.00</b>	<b>€ 2,597,816.00</b>	<b>€ 2,854,268.00</b>	<b>14.464.688</b>

Committed funds not actually paid to final beneficiaries by the end of the second year, after the year of initial commitment, will be automatically de-committed by the European Commission and lost to the programme. The procedure relating to the commitment and de-commitment of funds is described in the Programme Complement.

The initial ERDF contribution was indexed at 2% a year up to 2003 and by the end of 2003, the European Commission has determined the rate of indexation applicable for the period 2004 to 2006. Due to indexation the ERDF contribution to the ESPON programme was increased of a total amount of €170.897. This amount does not include the ERDF contribution coming from the enlargement of the programme from 15 to 25 Member States.

The national authorities of the Member States will transfer their assigned 50 % share to the Managing Authority annually.

The Management Authority will pay in due course the 100 % of the requested funding, 50% of Community contribution and the expenditure corresponding to the national 50%. With the aid of the Co-ordination Unit, it will keep accounts and will submit them to the Commission and the Member States.

The costs for all the projects will comprise the sum of €14.464.688 for the whole period, which will be financed by the Member States and the Commission in equal shares of 50 %. This means an average of 2,3 MEURO per year, with 1,15 MEURO to be financed by the Member States for each year of the 6 year's period 2001-2006 or 1,4 MEURO of the five years period 2002-2006. The details will be agreed by the Monitoring Committee.

The following approach breaks down the financial participation of the Member States. 75 % of the budget is allocated on an equal shares basis and the remaining 25% in relation to the contribution of the respective country to the Community budget. This approach (column 1) leads to a difference of 45% between the smallest and the largest country contribution.

**Table 5: Financial break down of national contributions to the programme per year in EUROS**

Member State	Total national contribution for the whole programme	National average per year (assuming 5 years) 50% (2) <sup>1</sup>	National average per year (assuming 6 years) 50% (2) <sup>1</sup>	National share of the contribution to the Community budget (actual 1998) (3) <sup>2</sup>
Belgium	367.168	73.434	61.195	3.8
Denmark	340.942	68.188	56.824	2.1
Germany	695.769	139.154	115.961	25.1
Greece	333.228	66.646	55.538	1.6
Spain	416.536	83.307	69.423	7.0
France	563.094	112.619	93.849	16.5
Ireland	327.058	65.412	54.510	1.2
Italy	507.556	101.511	84.593	12.9
Luxembourg	313.173	62.635	52.196	0.3
Netherlands	404.194	80.839	67.366	6.2
Austria	347.113	69.423	57.852	2.5
Portugal	328.600	65.720	54.767	1.3
Finland	330.143	66.029	55.024	1.4
Sweden	353.284	70.657	58.881	2.9
UK	543.039	108.608	90.506	15.2
Cyprus	90.000	30.000	22.500	-
Czech Republic	141.447	47.149	35.362	-
Estonia	90.000	30.000	22.500	-
Hungary	110.000	36.666	27.500	-
Latvia	90.000	30.000	22.500	-
Lithuania	90.000	30.000	22.500	-
Malta	90.000	30.000	22.500	-
Poland	160.000	53.333	40.000	-
Slovakia	90.000	30.000	22.500	-
Slovenia	110.000	36.666	27.500	-
non-Member-States			-	
<b>Total</b>	<b>7.232.344</b>	<b>1.578.828</b>	<b>1.293.845</b>	<b>100</b>

<sup>1</sup> on the base of the national share of the contribution to the Community budget (actual 1998). 75 % of the budget is distributed on an equal share base and 25% in relation to the national share contribution to the Community budget noted in column 3. Assuming respectively 3 years for the 10 new Member States.

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

#### **IV.3. Data costs and data provision**

The programme builds on the provision of sufficient data. Valid results are only expected if all existing data at the EU, national, regional and local level are made available. The ESPON 2006 programme also relies on the collection and provision of new data and needs external assistance.

All involved partners (CSD representatives and the Commission) support the provision of data at their respective level and for free or at least cost possible. The ESPON 2006 programme is an initiative of the

European Union and the Member States and, therefore, data should be provided by both sides, in principle, without any costs.

The wide thematic range of the programme and the tasks involved have to be seen in the light of the budget for the programme. It is evident that any data cost will reduce the budget available for research and, therefore, the quality and quantity of results of the programme.

Data acquired once within the programme by one partner or by the Co-ordination Unit should be available, in principle, for all project partners without further restriction or further fees or any licence. Nevertheless, the cost of geographical data should be analysed in each particular case, and could require further fees (copyright) for the partners.

ESPON Contact Points will take a key responsibility in co-ordinating and assisting the provision of existing data and new data in their respective countries. It will be the task of the Transnational Project Group together with the ESPON Contact Points to scout at national and, together with the EU institution, at EU level for regional data in order to prepare projects.

In the European Commission, DG Regio takes the responsibility to find an agreement with other DGs, Eurostat, and the EEA on the provision of geographical and statistical data available in EU institutions and for the collection of new data for the ESPON programme for least cost and for the use of the network as whole. This also relates to data which were compiled in the wake of the preparation of studies for the Commission and which could be useful for the achievement of the programme. The European Commission can only assume this responsibility if a precise analysis of the availability and comparability of data at the Community level is undertaken before mid 2002 by the Transnational Project Groups together with the ESPON Contact Points. In this analysis, the issue of scale and temporal dimension (availability of data for a large period) must be very carefully considered. As a result of this analysis, a list of main requests for statistical and geographical data (available or new data) should be addressed to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies before mid 2002. By respecting that date, some of the requests contained in the list could be included, in principle, in the Eurostat annual work programme. The mentioned analysis should be periodically updated.

It is clear that the ESPON 2006 programme cannot and must not replace the work of statistical offices in the long term. Therefore, the creation of a sound data base at EU level should be considered in several steps in parallel to the ad-hoc compilation of data in projects.

First step is the compilation of a list of data requirements to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies before mid 2002 on the base of the study programme (SPESP) and the existing relevant indicator initiatives. Indicator development should therefore start with an assessment of information needs and an inventory of each of the existing relevant indicator initiatives.



The ESPON 2006 requires the agreement on main indicators by mid-2002. This analysis could be completed by the end of 2002. This list will provide the base for a further extension of data bases. A second revised and extended request for further indicators should be addressed to Eurostat, the EEA, National Statistical Institutes and National Mapping Agencies latest until the end of 2002.

After that, at least once a year, Eurostat, the EEA, DG Regio, the Co-ordination Unit and representatives of affected Transnational Project Groups will meet to discuss the data situation and to make proposals for the long-term expansion of the regional data bases, of the respective institutions, which shall be already beneficial for the preparation of scenarios at the end of the programme period.

Eurostat will also set up and strengthen links with the National Statistical Offices for the collection and further processing of data for the ESPON 2006 programme.

The Commission acknowledges that the added value and the success of the ESPON 2006 programme relies very much on the smooth provision of data and urges National Statistical Institutes, National Mapping Agencies and ESPON Contact Points to fully cooperate giving adequate access to their statistical and geographical data.

## **V. THE ORGANISATIONAL FRAMEWORK**

The Member States, in consultation with the Non Member States, have agreed to build on the experience of the implementation structures of the Interreg IIC programmes under consideration of the new General Regulation for the Structural Funds, Council Regulation (EC) no 1260/1999, the Guidelines for Interreg III, published on 23 May 2000 (OJ C 143), and on the ESPON Guidelines for 2001-2006 as well as the provisions for the Implementation of the ESPON, which set the framework for the administration of the new Interreg programmes.

The implementation concept is based on the following overall principles:

- Compliance with the General Regulation for the Structural Funds as well as with the Interreg guidelines;
- Efficient and effective programme management and clear division and definition of responsibilities in order to minimise costs, also at the project level (lead partner principle);
- Balance between structures at transnational and national level, defining their respective responsibilities at the most adequate level;
- Involvement of Partner States (EU-Members and Non-Members) as observing members and project partners (in detail V.8)

The co-operating countries decided to sign a letter of intent/convention.

The programme includes a description of the organisations participating in the network as well as of its organisational set up and of its working procedures.

The ESPON programme is composed of:

- a Monitoring Committee,
- one Managing and one Paying Authorities,
- one Co-ordination Unit and Joint Technical Secretariat,
- ESPON Contact Points, and
- Trans-national Project Groups (which are the final beneficiaries of funding)

The Transnational Project Groups will carry out the research projects in a network approach; the co-ordination would be undertaken by the Co-ordination Unit acting as a co-ordinating node of the network together with the ESPON Contact Points which will also be partners in the Transnational Project Groups. The Co-ordination Unit would work under the guidance of the Monitoring Committee and the Managing and Paying Authorities. The management and monitoring of the ESPON 2006 programme is the responsibility of the Monitoring Committee, as well as of the Managing and Paying Authorities. Finally, the Managing and Paying Authorities would liaise with the Commission, with the other national authorities and with the independent audit authorities.

#### **a) Management**

- **The Monitoring Committee<sup>1</sup> (MC)**

The Monitoring Committee is based on the composition of the previous CSD (Committee for Spatial Development). Two delegates per participating Member State, and two Commission representatives will participate in the Monitoring Committee as full members. Candidate countries and the EEA countries, in particular Norway, which showed strongest interest, will be able to participate as observers. Other third countries such as Switzerland, may also participate as observers, whenever invited by the Member States and taking account of the relevant legal frameworks for co-operation with the EU (see also in detail V8). The Committee will monitor the implementation of the ESPON programme, the Managing and the Paying Authorities, the Co-ordination Unit and the network of contact points and will organise the selection of projects. The annual work programme will be drafted on the base of the adopted programme and following the priorities expressed by the Monitoring Committee and opinions of the ESPON Contact Points and will be presented by the director of the Co-ordination Unit to the Monitoring Committee for approval.

Decisions will be taken in consensus.

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<sup>1</sup> Which also undertakes the tasks which in other programmes are undertaken by the Steering Committee. This merger seems only recommended because the programme is clearly structured and not many day-to-day decisions need to be taken

- **The Managing and Paying Authority (MA and PA)**

The functions of the Managing and the Paying Authorities have been delegated to the Ministry of the Interior of Luxembourg in agreement among the Member States. The Paying Authority will receive the ERDF funding as well as the national match-funding for all priorities.

**b) Co-ordination**

- **The Co-ordination Unit and Joint Technical Secretariat (CU)**

The Co-ordination Unit will co-ordinate and support the activities of the network and manage projects for the network. The Co-ordination Unit will also function as Joint Technical Secretariat but will be designated as Coordination Unit (CU). Co-ordination is not limited to administrative aspects. The necessity for co-ordination derives from several angles, such as the heterogeneity of involved research institutions and of scientific approaches and the specific objective of achieving results which are policy oriented and suitable to be digested by policy makers. The Co-ordination Unit will have to undertake the difficult task of leading the network to achieve added value. The success of the chosen approach depends much on the ability to make use of all resources available in the network. The test phase revealed that some leadership is necessary to lead the process throughout the duration of work, to determine stages and priorities, without losing sight of the diversity of the various European schools of thoughts and their contributions to the political debate on spatial development.

- **The ESPON Contact Points (ECP)**

The ESPON Contact Points will represent the Member States' research capacity through their own expertise and links with and knowledge about national research institutions in all spatially relevant sectors of research. They will contribute to the transnational projects through their own research by undertaking the research activities and/or by appointing specifically for each study and task an appropriate partner, as a national representative in a specific research field. In this respect, the ESPON Contact Points will act as nodes for their respective national networks on spatial research. The list of ESPON Contact Points is attached in annex 1.

**c) Project partners**

- **The trans-national project groups (TPG)**

Each Trans-national Project Groups will include research institutes from at least three countries, which should represent the variety of countries and approaches in the EU, to carry out the research projects. Each Transnational Project Group will be led by a Lead Partner and must involve at least one ESPON Contact Point, who should liaise with other ESPON Contact Points and with the Co-ordination Unit. The Transnational Project Groups will be responsible and financially accountable for the achievement of research projects. The project groups will have to deliver intermediate and final results of their researches to the focal points, other co-ordinating projects and the Co-ordination Unit.

**d) The standard working mode of the network**

As a rule, all projects and tasks carried out by the ESPON co-operation will cover all Member States with the consequence that all focal points will be, in principal, committed to contributing to each research topic. For practical reasons, however, each study should be conducted by a Trans-national Project Group composed of institutes of at least three countries. At least one partner must be an ESPON Contact Point in order to secure the links to the network. The research teams should preferably integrate different schools of thought or partners from a wider geographical scope in order to ensure a diversified European approach. The networking in the research will take place via two mechanisms:

- The Transnational Project Groups, ESPON Contact Points and the Co-ordination Unit will meet regularly (at least once a year) in order to exchange intermediate and final results. The ESPON Contact Points will be asked to comment on the results of all Transnational Project Groups.
- The cross-thematic projects, under priority 3, will support a co-ordinated research and the elaboration of integrated results. These projects will also support the Co-ordination Unit in its task to co-ordinate scientifically and thematically the implementation of the programme.

The Monitoring Committee will organise a transparent process for the selection of projects proposed by the Transnational Project Groups and in accordance with the annual work programme. The selection of projects should take into account the quality of proposals and geographical balance.

A maximum of 15 projects will be implemented in parallel in order not to overstrain the capacity of the Co-ordination Unit and of the network. Each ESPON Contact Point should also participate in at least one Transnational Project Group.

All projects should be assessed by all ESPON Contact Point during the annual meetings and before their finalisation so as to ensure a comprehensive picture of the variety of European approaches.

The only working language is English in order to facilitate the communication between the multi-national teams. All countries will have to provide own sources if they wish to translate their documents into their own language.

Further details are laid down in the programme complement.

**V.1. Management 1: The Monitoring Committee (MC)**

A transnational Monitoring Committee will be set up in accordance with Article 35 of Council Regulation (EC) no 1260/1999. The Monitoring Committee will jointly undertake the task of the Monitoring Committee and the Steering Committee mentioned in the same Article, as the ESPON 2006 programme is smaller and less complex than the other programmes under Interreg III A, B and C.

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The Monitoring Committee's overall task will be to ensure the quality and effectiveness of implementation and accountability of the programme operations. It will be responsible for the overall strategic management and monitoring of the ESPON programme.

It is formed by the same members as the previous CSD, i.e. two delegates per Member State and two representatives of the European Commission. Candidate countries and other partners may participate as observers (for details see V.8).

Decisions will be taken by consensus.

The Managing Authority will attend the Monitoring Committee meetings. The Co-ordination Unit will participate in the Monitoring Committee meetings with a supportive function.

The main responsibilities of the Monitoring Committee are:

- Setting up a timetable, steps and tasks for the implementation of the programme as soon as the programme is approved by the Commission;
- approval of the Programme Complement, including the physical and financial indicators to be used to monitor the Programme;
- approval of adjustments to the Programme Complement during the term of the programme (on the Monitoring Committee's own initiative or on a proposal from the Managing Authority);
- decision in accordance with the Commission to stop, carry, complement and /or re-orientate certain actions;
- approval of proposals to amend the CIP before submission to the European Commission for consideration;
- approval of the project selection procedure, including relevant selection criteria within six months of approval of the assistance;
- annual review of progress made towards achieving the CIP objectives;
- evaluation of implementation results, particularly, the achievement of targets set for individual Measures and the mid-term evaluation;
- approval of the Annual and Final Implementation Reports prior to submission to the European Commission;
- approval of the steps to be taken, if any, or the response to the Commission following the annual review of the programme between the Managing Authority and the European Commission;
- approval of a publicity strategy, including defining and monitoring publicity and information procedures and Terms of Reference for Calls for Project Proposals;

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- approval of the Co-ordination Unit's work-plan;
- re-orientation of the project development process in order to ensure that the strategic objectives of the Programme are met;
- approval of the Technical Assistance Budget and monitor its implementation ;
- establishing the link between Funds and measures of the programme;

Pursuant to Article 29 of the Interreg III Guidelines, the Monitoring Committee will also take on board the following responsibilities:

- joint and consensus selection of a list of projects, ( set up according to the ESPON programme guidelines) on the base of a proposal made by the Co-ordination Unit;
- co-ordinated monitoring of project implementation.

Projects will be selected in compliance with the Selection Procedure and criteria set out bellow in chapter VI.3.4 and in the Programme Complement.

The members of the Monitoring Committee shall be appointed by the respective governments of each Member State within 30 days of the approval of the CIP. In case of the Non Member States, observers to the Monitoring Committee should be appointed in a letter of intent. The Monitoring Committee shall have a chairman and a co-chairman, representing the national authorities. The chairman and co-chairman shall be nominated for a period to be defined in the Rules of Procedure and alternate between the partner states.

The Monitoring Committee shall meet at least four times a year. Decision-making in the Monitoring Committee will be by consensus among the national delegations (one vote per delegation taking into account that no decision shall be taken against the indications of the Commission. Decisions may be taken via written procedure, when required. At its first meeting, the Monitoring Committee shall establish its own Rules of Procedure, including any appropriate organisational arrangements..

The Monitoring Committee will be assisted by the Co-ordination Unit. The Co-ordination Unit will be responsible for the preparation of all documentation relating to the meetings.

**V.2. Management 2: The Managing Authority (MA)**

The participating Member States have appointed the **Luxembourg Ministry for the Interior and Spatial Planning- DATer** to act on their behalf as Managing Authority vis-à-vis the European Commission.

**Contact:**

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The Managing Authority fulfils the functions according to Art 9 (n.) and 34 of Council Regulation (EC) no 1260/1999 and it works under the guidance of the Monitoring Committee and operates to achieve the best implementation of the programme. In order to enable the Managing Authority to assume this responsibility in a context where national jurisdiction cannot be applied, a memorandum of common understanding / convention with all participating states will be signed and the text of this convention will be part of the program complement. The convention will set out the competencies and rules of procedure, as required.

In the context of the conventions with all participating states, the Managing Authority shall be responsible for the efficiency and correctness of management and implementation of the ERDF and national assistance, in particular:

- representation of the CIP towards the European Commission;
- ensuring that the Co-ordination Unit sets up a system to gather reliable financial and statistical information, in order to implement and evaluate monitoring indicators and to forward the data in accordance with the arrangements agreed between the Member States;
- adjusting and implementing the programme complement;
- ensuring with national authorities that the annual implementation report is drafted by the Co-ordination Unit and (after approval by the Monitoring Committee) is submitted to the Commission;
- organising, in co-operation with the Commission and Member States, the mid-term evaluation;
- ensuring that those bodies taking part in the management and implementation of the assistance maintain either a separate accounting system or an adequate accounting code for all transactions related to the assistance;
- ensuring, with national authorities and with the support of the Co-ordination Unit, the correctness of operations financed under the assistance particularly by implementing internal controls in keeping

with the principles of sound financial management and acting in response to any observations or requests for corrective measures adopted;

- ensuring, with the Monitoring Committee, the compliance with Community policies;
- ensuring, with national authorities and the Co-ordination Unit, compliance with the obligations concerning information and publicity.
- contracting the Co-ordination Unit ;
- signing contracts for ERDF and national financing with the ERDF lead partners as final beneficiaries;
- acting as contracting authority with the support of the Co-ordination Unit,
- co-ordinating the internal financial control function of national authorities, as defined in the convention. The internal financial control shall cover 100% of the project budget.
- In addition to its responsibilities under Article 34 of the General Regulation, the Managing Authority will co-ordinate together with the Co-ordination Unit the preparation of the decisions to be taken by the Monitoring Committee.

The Managing Authority will be assisted by the Co-ordination Unit as co-signatories of the conventions in the implementation of its responsibilities. The operational management and the day-to-day-work of the Managing Authority will be carried out mainly by the Co-ordination Unit.

In the context of the convention with all participating States, the Managing Authority will be responsible for the co-ordination of the internal financial control of the ESPON Programme. Hence, the partners shall take the necessary measures according to the Commission Regulation 438/01.

In accordance with regulation 438/01, an in-depth audit must be conducted on a minimum of 5% of the total cost of the Programme. (Each State will propose criteria, in consideration of the new financial Regulation concerning Structural Funds).

Following consultation with the ESPON Contact Points, the Managing Authority will compile the in-depth auditing Programme (sampling will take account of the type of actions, the nationality of the lead partners and their profile, the state of implementation of the operation, etc.).

This auditing Programme will be conducted by each partner country according to its own terms and conditions, through services and agents, which will not be involved in the examination and implementation of the projects. This audit will involve all project partners and, therefore, all involved Member States. The audit will be performed with the support of national authorities, according to the established agreement. The audit may be performed by external experts, with the cost being borne by the Programme's technical assistance as far as funding is available.



**V.3. Management 3: The Paying Authority (PA)**

The function of the Paying Authority according to Article 9 (o), Article 32 of Council Regulation (EC) 1260/1999 and point 25 and 31 of the Interreg guidelines will be carried out by the Budgetary Unit of the Treasury in the Ministry of the Interior and the Central Payment and Control Structure in the Ministry of Finance.

ADDRESS:

**General Contact :**

GRAND-DUCHÉ DE LUXEMBOURG  
 MINISTÈRE DE L'INTÉRIEUR ET DE L'AMÉNAGEMENT DU TERRITOIRE  
 Direction Budgétaire  
 1 Rue de Plébiscite  
 L-2341 Luxembourg  
 Tel : +352-4786915  
 Fax : +352-408970  
 Email : [jean-claude.sinner@mat.etat.lu](mailto:jean-claude.sinner@mat.etat.lu)

**Financial Control :**

Ministère de l'Intérieur et de l'Amenagement du Territoire  
 Direction du Controle Financier  
 L-2933 Luxembourg  
 Tel: 00352-478-4652  
 Fax: +352-26202694  
 Email: [raymond.binsfeld@dcf.etat.lu](mailto:raymond.binsfeld@dcf.etat.lu)

Taking into account the national legislation, the whole structure will be responsible for:

- drawing up and submitting payment applications to the European Commission;
- reception of payments from the Commission;
- monitoring financial implementation of the projects;
- monitoring commitments and payments at programme level;
- paying out ERDF- funds and national contributions to the final beneficiaries in accordance with Article 32 of Council Regulation (EC) no 1260/1999.
- the management of ERDF -funds and national contributions;
- financial monitoring.

The **Inspection Général des Finances** – (IGF) will undertake the ex post auditing described below in section VI.5.

ADDRESS:

GRAND-DUCHÉ DE LUXEMBOURG  
 Ministère des Finances  
 Inspection Générale des Finances IGF  
 Inspecteur adjoint des Finances  
 Fonds structurels communautaires, Travail et Emploi  
 2, rue de la Congrégation  
 L-1352 LUXEMBOURG  
 Tel: +352-478-2782  
 Fax : +352-478-2673  
 Email: michelle.steichen@igf.etat.lu

The Paying Authority will be guided by the Managing Authority and will fulfil the decisions of the Monitoring Committee.

The Paying Authority, which shall be functionally independent of the Managing Authority, will be responsible for the payment of ERDF assistance. National assistance will be paid either by the Paying authority or directly by Member States, as required.

**V.4. Co-ordination 1: The Co-ordination Unit and Joint Technical Secretariat (CU)**

According to point 25, 30 of Interreg guidelines, the programme shall have one Joint secretariat, which will be designated as Co-ordination Unit (CU). The Co-ordination Unit will provide technical support to the Monitoring Committee as well as to the Managing Authority and the Paying Authority.

The Managing Authority will establish a contract with the Centre de Recherche Public Henry Tudor (CRP-HT), in Luxembourg, so that this Centre hosts the Co-ordination Unit. The CRP-HT will then, according to that contract, be appointed as the legal employer of the Co-ordination Unit staff who will be directly responsible to the Managing Authority. The Co-ordination Unit will have its main office in the premises of the Centre de Recherche Public Henry Tudor (CRP-HT), im Technoport Schlassgoart Luxembourg/Esch sur Alzette. The independence of the Co-ordination Unit from the CRP-HT will be indicated in the contract with the Managing Authority.

Address of the Co-ordination Unit:

ESPON Co-ordination Unit  
 Director: Mr Peter Mehlbye  
 CRP Henri Tudor  
 PO Box 144  
 66, rue de Luxembourg  
 L-4002 Esch-sur-Alzette  
 GRAND-DUCHÉ DE LUXEMBOURG  
 Tel: +352-545580-700  
 Fax : +352-545580-701

The core Co-ordination Unit will be formed by 3 persons (as a minimum):

- One *director, who* will be contracted by the CRP-HT on the basis of an international call for tender and the selection made by the Monitoring Committee. The terms of reference for the international tender and the definitive contract between the Managing Authority and the Co-ordination Unit will have to be approved by the Monitoring Committee. The duration of the contract will be fixed by a common decision by the Monitoring Committee. The formal employer will be the CRP-HT. Provisions will be made to secure full responsibility to the Managing Authority and the Monitoring Committee.
- One *secretary, who* will be jointly selected by the Monitoring Committee and by the director and employed by the CRP-HT. The contract will be also terminated in accordance with advice from the Monitoring Committee. Key tasks will comprise day-to-day contacts and secretarial work and the maintenance of the ESPON's web page.
- Three experts (dealing with both projects and finances), two will be jointly selected by the Monitoring Committee and by the Director and employed by the CRP-HT and the contract will be also terminated in accordance and with advice from the Monitoring Committee. One expert (fully financed by Luxembourg) will be selected by the Managing Authority in accordance with the Monitoring Committee and the Director and also employed by the CRP-HT.

The core Co-ordination Unit may be completed by national experts on a temporary base, following offers from Member States. They will provide support to the director and the secretary in fulfilling the tasks further specified below. The appointment of additional staff will be approved by the Monitoring Committee. At the start, the CRP-HT will provide two additional work spaces for national experts. In addition, in average 2 trainees per year for an indicative period of 5 months each will also be hosted at the Coordination Unit.

The main tasks of the Co-ordination Unit are:

- Responsibility for the operational day-to-day management of the programme,
- to support the Managing Authority in meeting its tasks, in particular the elaboration of drafts annual reports,
- to prepare and provide the information needed by the Paying Authority in meeting its responsibilities;
- to prepare and implement decisions of the Monitoring Committee including written procedures;
- to fulfil the usual work of a secretariat, i.e. organisation of meetings, drafting of minutes. etc.;
- to assist applicants during the project development process, including guidance on technical and financial matters;
- to assist Lead Partners (project co-ordinators) during the course of project implementation;

- to monitor progress made by projects through collecting and checking project monitoring reports,
- to deal with information and publicity on the programme and its projects,
- liaison with the ESPON Contact Points and Transnational Project Groups in developing project ideas and promoting the Programme in co-ordination with the concerned Member States;
- to support co-operation between EU and Non EU Member States as well as among Non EU Member States in co-ordination with the ESPON Contact Points of the concerned Member States;
- to commission the organisation of seminars and network meetings according to priority 4 part 2;
- to commission the installation of the ESPON web site and be responsible for its maintenance, in accordance with priority 4 part 2;
- to commission the preparation of projects in accordance with priority 4 part 2;
- to liaise with the European Commission and other Interreg III B co-operation areas;
- to co-operate with organisations, institutions and networks relevant to the objectives of the programme;
- to implement the Technical Assistance budget adopted by the Monitoring Committee.

The tasks of programme management will be usually undertaken at the Coordination Unit's office.

The Co-ordination Unit will co-operate closely with the ESPON Contact Points. This co-operation will be of high importance for a smooth operation of the multi-level interaction of the committees and of the related organisations at the European, national, regional and local levels in the framework of the programme. To institutionalise this co-operation regular meetings will take place – at least once a year.

Independently of these meetings, the Co-ordination Unit will request the support of the ESPON Contact Points in fulfilling its tasks.

#### **V.5. Co-ordination 2: ESPON Contact Points (ECP)**

One ESPON Contact Point will be established in each Member State in order to facilitate the implementation of the Programme within the Member States (see V.8 on non-member states). The ESPON Contact Points will act as a network which, in co-operation with the Co-ordination Unit, will assist the process of project development in co-ordination with the CSD delegation in each Member State. (A list of ESPON Contact Points is attached in annex 1). The ESPON Contact Points and the Transnational Project Groups will work closely with the Co-ordination Unit to promote the programme and assist project partners in the development of high quality projects.

The ESPON Contact Points will have expressed their commitment to contribute to the network by a letter of intend.

Additionally, the ESPON Contact Points could play a role in advising the Transnational Project Groups on the preparation and implementation of projects. It is the responsibility of each Member State to determine how this will be organised in its respective country. The ESPON Contact Points will be involved in the Promotion Strategy of the Programme.

The ESPON Contact Points will provide links with and knowledge about policy oriented and national research institutions in all spatially relevant sectors of research. They also ought to be able to organise a study on the data sources in their country. These tasks could be undertaken by (depending on the situation of each Member State):

- A departmental unit of government (in principle other than the member of the Monitoring Committee)<sup>2</sup> which has established strong links with the national research institutions;
- A state or public research institution which is appointed to undertake this function;
- A private research institution which is appointed to represent the ESPON Contact Point on behalf of government. (Of course, a consortium of public and private research bodies could also hold this position).

The last two would be able to contribute by own research whereas the first would specifically appoint an appropriate partner as a national representative for each study and/or topic. Furthermore, it would be expected that the ESPON Contact Points would incorporate the expertise of any public and private research institute or consultancy, if better results were expected. In this respect, the ESPON Contact Points may act as a central node for a national network of spatial research.

It is strongly advised that at least one ESPON Contact Point for Member State, preferably of the country of the Lead Partner, has to be project partner in a Transnational Project Group in order to secure the network approach of the ESPON. The ESPON Contact Points will be responsible for the networking part of the project carried out by the Transnational Project Group .

The results of all projects should be assessed by all ESPON Contact Points to receive a comprehensive picture of the variety of European approaches. Commenting other projects belong to the crucial network elements of the whole programme.

The ESPON Contact Point for each Transnational Project Group will also represent the Transnational Project Group's link to the Co-ordination Unit.

Costs for ESPON Contact Points in Member States which cannot be covered within the preparation of projects will have to be covered by the Member States in order to secure the fulfilment of all tasks

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<sup>2</sup> This rule shall ensure that the ESPON Contact Point is not represented by the same persons in the monitoring Committee and in Transnational Project Groups.

involved (see Annex 2). As the approaches on Contact Points differ much between the Member States, it is the task of the CSD delegations to find an individual agreement in their own countries.

Each participating State appoints (according to national procedures and requirements) one institution as a ESPON Contact Point, which should undertake this task for a longer period, in order to secure the best continuity of co-operation. However, in the event that a Member State wishes to replace their Contact Point, the best time would be the launching of the second programme phase in 2003.

**V.6. *Project level: Transnational Project Groups (TPG)***

Transnational Project Groups, which will be formed in a self-organising process (facilitated by ESPON Contact Points), representing spatial research institutes from at least three Member States, considering the variety of countries and approaches, will apply for projects tendered under the measures described above. Each Transnational Project Group should employ the Lead Partner Principle where one partner undertakes the financial liability for the whole project and involved partners (see below in detail). The Lead Partner could be a research institute or an ESPON Contact Point. Research institutes from at least six Member States and three ESPON Contact Points need to be partners in projects under priority 3<sup>3</sup>. They will represent the national expertise in accordance with the structure of the spatial research institutions of each country.

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

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

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

At least one meeting per year should take place with all Transnational Project Groups, ESPON Contact Points, the Co-ordination Unit, the Monitoring Committee and the currently collaborating partners in specific research projects in order to inform participants about the work process and to co-ordinate the research tasks between the different actors. That meeting should also be used to discuss proposals for the work programme for the following year (between the Co-ordination Unit, the ESPON Contact Points

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<sup>3</sup> With the exception of projects with a budget below €450.000

and the Monitoring Committee). Apart from these plenary meetings, the research groups should meet in relation to their ongoing research tasks and as when they require.

***V.7. Agreements between Programme partners***

An agreement between the Managing Authority, the paying authority and the participating Member States will lay down their respective responsibilities and tasks. The convention signed by all partners will include the share of risks, the modalities on the transfer of payments and the establishment of independent financial controls. As mentioned above the text will be part of the Programme Complement.

The ad hoc convention between programme partners shall be complementary to the memorandum of understanding that will exist with non member states, as well as a contract that will exist between project partners. The text of the memorandum and/or contract will also be part of the Program Complement.

Moreover, the Programme Complement will include a comprehensive description of the procedures applying to the joint operational and financial management of the CIP as well as the respective responsibilities of, and co-operation links between, the various bodies involved in the implementation of the CIP.

***V.8. Co-operation of Member and Non-Member States in the programme***

Candidate countries and the EEA countries, in particular Norway, which showed strongest interest, will be able to participate as observers. Other third countries such as Switzerland, may also participate as observers, whenever invited by the Member States and taking account of the relevant legal frameworks for co-operation with the EU. The Monitoring Committee may decide at half term to allow further neighbouring countries in the East and in the Mediterranean area as observers in the Monitoring Committee.

Observers may participate in all meetings of the Monitoring Committee and have access to all documents drafted and circulated to the Monitoring Committee. They may give their opinion on proposals made within the Monitoring Committee, but do not have the right to vote. The observers may become full members of the Monitoring Committee when they contribute financially to projects, by own or other financial means such as the Phare, Tacis and Meda programmes. Candidate countries will be kept informed of work progress. They will be able to participate with an observer status in the Monitoring Committee. After accession, candidate countries have become full members of the ESPON Programme.

Non Member States may sign a Memorandum of Understanding with the Managing Authority, representing the partnership, to establish the terms of their association with the ESPON programme. With regard to the participation of candidate countries (as observers) in the meetings of the Monitoring

Committee, they will support the costs of their participation in the Monitoring Committee, in principle, unless there is a budgetary possibility to co-finance these costs from the Technical Assistance budget and if their participation is considered necessary and when they are specifically invited. However, the members of the Monitoring Committee may decide to meet without the participation of observers.

The ESPON Contact Points from candidate countries will receive full member status in the network of ESPON Contact Points when they are full members of Transnational Project Groups. Research institutes from those countries and other neighbouring countries will be invited to participate in Transnational Project Groups.

The ESPON programme under Interreg III cannot finance the project costs of the participating non-Member-States. These costs have to be covered by the Non-Member-States eventually using other EU related financial source such as the Phare, Tacis and Meda programmes.

In the case of Non Member State, a Memorandum of Understanding will be signed between the authority responsible for the management of the ESPON programme in the concerned Non Member State and the Managing Authority. The objective of this agreement will be to lay down the common objectives, duties and responsibilities for all the partners related to the implementation of the ESPON programme. For the Non Member States, the signing of the agreement mentioned below is a pre-condition for receiving the observatory status for their membership within the programme.

In the concerned Non Member States all technical, financial and administrative aspects of implementation will be the responsibility of the National Managing Authority for Interreg.

In general, payments to the final beneficiaries within programmes such as Phare, Tacis and Meda will be executed by the national institutions responsible for those programmes.

ESPON Contact Points in the Non Member States together with the Authority responsible for programme management in those States will have further tasks within the concerned country, i.e. launching the programme, assessing the projects in accordance with specific EU funding instruments eligibility criteria (or specific criteria relevant to other co-financing funds), contracting the concerned project parts, approving payment claims, and monitoring the implementation in close relation with the Co-ordination Unit.

## **VI. PROGRAMME MANAGEMENT**

Drawing on the experience of the Study phase and in accordance with article 25 of the Interreg III Guidelines, a clear and transparent programme management system will be created. The various elements and procedures of this system are described in the following sections.



**VI.1. Co-ordination at the programme level and project level**

**VI.1.1. Co-ordination at the programme level**

The co-ordination between the authorities named above and involved in the implementation of the ESPON Programme shall be within the sphere of responsibility of the Managing Authority / Paying Authority and/or, as commissioned by the latter, the Co-ordination Unit. The Managing Authority / Paying Authority will act on basis of decisions taken by the Monitoring Committee. The Co-ordination Unit will stay in close contact with the ESPON Contact Points and Transnational Project Groups.

The following agreements shall be made complementary to the provisions of Council Regulation 1260/1999 with regard to the tasks of the Managing Authority and Paying Authority:

- The Managing Authority / Paying Authority shall become active with regard to the following issues of programme-strategic importance only in agreement with the Monitoring Committee:
  - 1) preparation of proposals for Monitoring Committee decisions regarding programme amendments or programme planning supplements;
  - 2) preparation of and (if required) participation in the annual meetings with the European Commission pursuant to Article 34 (2) Council Regulation 1260/1999;
  - 3) preparation of comments to the Monitoring committee on regular monitoring, progress reports, annual reports and interim appraisals.
- The Inspection Général des Finances – IGF will co-ordinate financial audit reports according to Commission Regulation 438/01 provided with the support of the Member States, according to the established Agreement and shall transmit them to the Managing Authority. The Managing Authority, as counterpart to the EU, shall transmit them to the European Commission.

**VI.1.2. Administration of the programme at the project level**

The administrative work involved in the procedures for granting assistance to the individual projects under the Interreg III ESPON Programme will be managed according to the following procedures, which may be further specified by way of written agreement between the Managing Authority and the Co-ordination Unit.

A Memorandum of understanding will be signed by all Partner States (see V.7) to confirm the implementation procedures set out below, especially to give a binding framework for the division of work between the transnational and the national level. All the details of co-operation and division of responsibilities between the different units/ bodies will be contracted.

**VI.2. The Project Lead Partner principle**

The partners from each project shall nominate a project Lead Partner (LP) in the context of every project. The Lead partner will take the overall responsibility for the application and implementation of the entire project. The co-ordination of financial management and full financial responsibility for all ERDF and national funds will be covered by the Lead Partner. The Lead Partner will be the final beneficiary according to Council Regulation (EC) 1260/1999 and will receive the whole funding.

The Lead Partner will establish the legal relations with the project partners in order to legally define their co-operation and to safeguard itself against its partners by contract. Lead Partner can be a research institute or an ESPON Contact Point. The Lead Partner will establish the legal relations with the project partners in order to legally define their co-operation and to safeguard him against its partners by contract. Lead Partner can be a research institute or an ESPON Contact Point. All Lead Partners must come from a Member State. However, partners from third states may participate as usual project partners.

The responsibilities of a Lead Partner include:

- the submission of the project application after the agreement of all partners in the Transnational Project Group ;
- the co-ordination of the submission of the project application for the ERDF, national and other EU contribution;
- the signature of the ERDF contracts for the whole project;
- transnational project management including public relation measures;
- collecting information about all the project parts and monitoring and reporting about the progress of the whole project in the framework of the agreed monitoring system;
- monitoring and reporting financial flows for the whole project including ERDF funds;
- facilitating audit by all relevant national authorities.

The responsibilities of a Lead Partner coming from a Member State do not include financial responsibilities for other EU (non ERDF) or national funds which are not directly provided by the Paying Authority to the Lead Partner, but which are directly provided to one partner of the Transnational Project Group. The responsibilities must be directly negotiated between the bearers of finance and the beneficiaries.

The Lead Partner should provide a contract on co-operation which defines the responsibilities and shared risks, and clarifies the modalities of financial transfers among the partners in the project.

### **VI.3. Application Procedure**

#### **VI.3.1. Information and consulting**

With regards to Commission Regulation (EC) No 1159/2000 on information and publicity measures to be carried out by the Member States concerning assistance from the Structural Funds, a communications action plan will be implemented under the responsibility of the Monitoring Committee. The communications action plan will include the information and publicity measures to be carried out in the framework of the CIP covering the overall programme period.

Persons or institutions potentially interested in, or responsible for, projects located in a Partner State shall be adequately informed by the Co-ordination Unit in co-operation with the ESPON Contact Points of the respective Partner State of the objectives of the programme, the prerequisites for obtaining ERDF funds and the individual procedures to be followed.

The ESPON Contact Points, of the Partner State the Lead Partner is coming from, will advise the in preparing a project application for ERDF, Phare, Tacis and Meda or other co-financing.

Active public relations work for the programme will be implemented by the Managing Authority through the Co-ordination Unit on basis of a promotion and public relations plan which once a year has to be adopted by the Monitoring Committee. The communication strategy includes:

- the preparation and distribution of call for tenders under the measure defined above including the list of ESPON Contact Points which can be contacted for information and co-operation;
- a web site with internal and external communication;
- programme promotion events organised jointly by the Co-ordination Unit and ESPON Contact Points if appropriate financial means are available.

#### **VI.3.2. Procurement procedure**

As soon as the programme is approved by the Commission, the Monitoring Committee will specify the thematic projects which will be tendered in a restricted call for tender according to the provisions made in the European Parliament's regulation 97/52/EC<sup>4</sup> with regard to the Council's regulation 92/50/EEC<sup>5</sup> on procurement and the guidelines on the Implementation of the ESPON.<sup>6</sup>

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<sup>4</sup> OJ No. L 328, 28.11.1997

<sup>5</sup> OJ No. L 209, 24.7.1992

<sup>6</sup> Open calls for proposals will be launched and published in the EU's Official Journal, only if this will be required by the EU rules on Public procurement.

Each of the research institutes which would like to participate in the ESPON 2006 programme will have to establish a Transnational Project Group according to the requirements in the programme. Most prominent rules are representation of countries and, if possible, the involvement of ESPON Contact Points depending on the priority. Apart from these requirements, the Lead Partner will be free to select any other partner institute of their choice in order to form the Transnational Project Group.

According to the duties of a Lead Partner (see VI.2), the Lead Partner sends in a project proposal for the project tender under which he was invited and according to the rules for application and selection procedure further specified below.

The Monitoring Committee will not tender any projects more than once a year.

### **VI.3.3. Submission of applications**

Formal applications for ERDF funds within the scope of the programme shall be submitted by the Lead Partner to the Co-ordination Unit (also in an electronic form, details still to be clarified).<sup>7</sup>

#### *Who can apply?*

Pursuant to Article 18(3)b of the General Regulation, beneficiaries are research institutes (public or private bodies):

- *Under priority 1 and 2:* a Transnational Project Group should involve at least three countries (one of them acting as Lead Partner) and have, possibly, one ESPON Contact Point as project partner.
- *Under priority 3* a Transnational Project Group should involve at least six countries (one of them acting as Lead Partner) and have possibly three ESPON Contact Points as project partner. In case of priority 3 projects with a budget below €450.000, the same conditions as for priorities 1 and 2 may apply.
- *Under priority 4.2:* ESPON Contact Points

#### *How to apply for funding?*

A standard application form will be included in the call for tender. It will be circulated to selected Transnational Project Groups and will also be available from the Co-ordination Unit and on the web site.

Based on the priorities given by the Monitoring Committee, a call for tender will be sending out. Transnational Project Groups will formulate and send in project proposals on the base of the tender and the relevant Programme/Complement. ESPON Contact Points may help to form transnational research teams.

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<sup>7</sup> Phare applications will be submitted to the relevant national institutions as well.

The call for tender will include all necessary guidance to assist Transnational Project Groups when preparing their application, including one or more indicative models of convention between project partners. These would include the common text of the contract as defined in the Programme Complement.

Original applications will be submitted by the project Lead Partner only in English or in any other language accompanied by an English translation.

**“The starting date for the eligibility of expenditure is 12 July 2001, or the date established in each Grant Letter of Community assistance”.** Expenditure may not be eligible for an ERDF contribution if it has actually been paid by the final beneficiary prior to this date.

*Applications shall include:*

- information on the legal and economic situation of the Lead Partner as well as the other project partners – differentiating between project partners in EU Member States (entitled to receive ERDF funds) and project partners coming from a Non-Member State;
- the objective of the project;
- the territory covered by the project;
- the scheduled project costs including the most important components and the planned financing (separating the project parts eligible for ERDF co-funding, and Phare, Tacis and Meda co-funding (if this is the case) as well as national funding (if this is the case); and giving detailed information on any other public assistance obtained and indicating the cash value of such assistance);
- the financial management and control structure of the project.

#### **VI.3.4. Project selection process, criteria and priorities until the years 2003 and 2006**

In compliance with Articles 7 and 25 of the Interreg III Guidelines, a joint project assessment and selection procedure will be put in place. The project selection will be undertaken by and under the responsibility of the Monitoring Committee as far as the Monitoring Committee does not delegate this task to any other body.<sup>8</sup> The Co-ordination Unit will provide technical support for the selection process such as checking the initial eligibility/ admissibility of projects. In any case, the final decision will be taken by the Monitoring Committee with the accordance of the Commission due to their full membership in the Monitoring Committee.

The selection will be based on the thematic provisions of this programme and the ESPON guidelines. Priorities are formulated in the respect.

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<sup>8</sup> The ESPON guidelines propose a set a selection committee born from the Monitoring Committee with full membership of the Commission which proposes in consensus a list of project to the Monitoring Committee. In fact, in might be not necessary to employ such a selection committee pending on the number of project proposals.

By the end of 2003:

- Projects should concentrate on technical aspects of projects concerning with building data base and indicator systems to measure the phenomena described in the programme;
- Involvement of actors in transnational co-operation for the systematisation of spatial analysis;
- Specification of potential fields for community intervention and how they linke to national, regional and local policies.

By the end of 2006:

- Finalisation of the thematic projects and scenarios;
- Development of methodologies not covered yet.

Priorities are further specified under priority 3 and measures 3.1 for the years 2003 and 3.2 for the years until 2006.

*a) The project selection procedure*

The selection procedure will be based on the following principles:

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

*b) Eligibility and selection criteria*

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

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

For both eligibility and selection criteria, a distinction can be made between core criteria (applicable to all projects) and detailed criteria (applicable at Measure level). The eligibility criterias are listed below.<sup>9</sup>

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<sup>9</sup> In case of project proposals asking for support from PHARE or other EU sources as a general rule the same minimum requirement and priority criteria will be used. With the agreement of the Transnational Monitoring Committee additional criteria should take into account the specific PHARE or other EU funds issues.

*c) Core eligibility criteria*

1. The project is transnational. This is defined as follows: In priority 1 and 2, the projects should involve at least three co-operating partners (one of them should possibly be an ESPON Contact Point). In priority 3, the projects should involve at least six co-operating partners of which at least three are ESPON Contact Points, with the exception of project with a budget below €450.000 for which the same conditions as for priority 1 and 2 may apply.
2. A Lead Partner has been identified in order to safeguard a reliable project organisation, a sound financial management and a competent project implementation;
3. The geographic scope of the project is wide enough to deliver a comprehensive contribution to the EU territory on issues addressed. All projects should address the whole EU area as a general rule. Exceptions must be seriously motivated. Projects also ought to consider the coverage of candidate countries and other neighbouring countries when appropriate;
4. The project will bring about tangible and innovative results, is of a complementary character and will not duplicate existing work;
5. Include the description of quantified outputs and / or clear attainable targets to allow for appraisal and ex-post evaluation; for 'study' projects: the research must contribute to the further development of the Interreg Spatial Visions and address one or more priority research topics included in the list published by the Monitoring Committee, if available;
6. The project represents a positive contribution to the programme objectives;
7. The bidding partnership is consistent, i.e. it brings together the relevant partners with the capacity to deliver and make use of project results;
8. The thematic co-ordination and networking with other projects, in particular, with the cross section projects is secured;
9. The project does not receive any other Community support, and applicants have committed themselves not to apply for any such support to finance the activities scheduled in the plan;
10. The solvency of the project 'Lead Partner' is demonstrated or covered by a bank guarantee<sup>10</sup> and the mutual financial and legal responsibilities and controlling of the project partners have been defined in a joint convention;
11. All sections of the application form have been properly and accurately filled in, in particular those relating to the outputs, activity indicators and targets, the management structure and the budget;

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<sup>10</sup> The solvency of public bodies is supposed to be demonstrated, unless otherwise regulated in applicable national laws

an original copy of the application signed by a qualified representative of the Lead Partner has been received by the Co-ordination Unit;

12. The project will be completed within the period indicated in the call for tender;
13. The project complies with EU legislation (in particular the rules applying to the eligibility of expenditure of Structural Fund support, to competition policy, to State aid, and to environmental impact assessment);

*d) Detailed eligibility criteria*

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

*e) Assessment of the co-financing application*

Assessment of project applications lies within the tasks of the Co-ordination Unit in co-operation with the Monitoring Committee in order to secure a complete examination of the project application. In assessing the project applications the selecting body shall examine the following aspects:<sup>11</sup>

- Economic and organisational capacity of the project partners;
- Amount and appropriateness of the costs of the project;
- Appropriateness of the ratio between own funds and public assistance (taking into account the possible programme co-financing with ERDF funds as well as any other national public funds applied for, already granted or promised);
- Recommendations of preliminary assessment of project proposals and project applications by respective national committees, if available;
- Secured financing (including statements of funding bodies (public and/or private) concerned);
- Whether the project meet the specific Interreg III assistance requirements pursuant to the Programme and Programme Complement;
- Whether the project meet the ERDF assistance requirements pursuant to Council Regulation (EC) No 1260/1999 and the Council Regulation of the EC No 1685/2000 on the eligibility of assistance of measures;
- Compliance with other relevant provisions of EU law (subsidy laws, rules for the awarding of public contracts, environmental law, etc.);

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<sup>11</sup> Phare/Tacis/Meda applications will be also assessed according to specific national Phare criteria by the relevant national institutions of the Non Member States. Project parts will be pre-selected taking into account the size of the funds available.



The results of this examination will be presented by the Co-ordination Unit to the Monitoring Committee (or the commissioned selection committee) for a decision in the standardised form of a report with an assistance recommendation.

*f) Decision regarding ERDF-funds*

The Monitoring Committee will take the decision on EU funding on the basis of the results of the assessment process. The financing of a project with ESPON 2006 funds shall be granted (according to availability) in specific amounts only if the results of the examination are as follows:

- the assistance requirements are fulfilled as defined by the criteria of the ESPON 2006 programme, the relevant assistance guidelines and other relevant national and Community legislation;
- the amount of the co-financing to be granted, taking into consideration the total amount of subsidies, is commensurate with the content of the project and the financial capacity and/or needs of the Lead Partner and – if applicable – complies with the provisions of EU competition legislation;
- the amount of the ERDF and national co-financing funds can be covered within the scope of the available financial framework of the programme and does not exceed the respective upper co-funding limits (pursuant to Art. 29 of Regulation No. 1260/1999).

**VI.3.5. Co-financing approval/ contract for EU- funding**

The Managing Authority / Paying Authority via the Co-ordination Unit will inform the Lead Partner as well as – for information – the ESPON Contact Point either in form of project rejection or in form of co-financing contract.

The legally binding written approval for ERDF and national co-financing granted to a project shall be issued by the Managing Authority/Paying Authority in form of a co-financing contract between the Managing Authority / Paying Authority and the Lead Partner (to be signed by the Lead Partner). Then, the Managing Authority will issue a Grant offer letter or subsidy contract to the project partnership (to the Lead Partner), which will establish the terms and conditions of the grant.

The ERDF and national co-financing contract shall contain the information requested in the project application about the Lead Partner and the project itself in a clearly understandable manner and define, in accordance with the legal basis of the programme and other relevant legislation, the costs eligible for assistance in terms of territory concerned, timeframe and subject matter.

The Lead Partner shall moreover be obliged to co-ordinate all involved project partners named in the ERDF and national co-financing contract and to comply with the conditions and requirements with regard to reporting, auditing and repayment.

The legally binding commitment of ERDF and national funds to a project shall be reported by the Managing Authority/Paying Authority when reporting to the financial monitoring system.

**VI.3.6. Project reporting and monitoring procedures**

The Commission Regulation 438/01<sup>12</sup> sets out the reporting requirements for project partners as the project monitoring is a task of the relevant programme implementing institution. The Co-ordination Unit's project monitoring task will include the contents and the finances of the whole project. The finance monitoring will focus on ERDF and other EU funds and will take national co-financing into account. National co-financing institutions and national pre-accession fund managing organisations will be important partners for monitoring of ESPON 2006 programme.

ESPON 2006 projects should provide project homepages in the Internet not only for dissemination of their results and internal communication but also for project reporting and monitoring purposes.

The project's progress monitoring will focus on a consistent reporting system. Basically, the reporting system should consist of the formal requirements for a project application, project assessment, project monitoring sheet interim and final report and a financial report.

The Lead Partners will submit a project activity report and a financial report every six months. These reports will be the central source for the Co-ordination Unit to monitor project implementation. The Lead Partners will be responsible for co-ordinating the overall project including all partners.

The Co-ordination Unit will provide all relevant information to the Monitoring Committee to ensure a proper implementation of the programme:

- For monitoring of progress, the Co-ordination Unit will provide a summary report on project progress to the Monitoring Committee on a regular basis;
- on quarterly basis, the Paying Authority will have to report to the Monitoring Committee on commitments and payments at programme level as well as at project level;
- furthermore, the Co-ordination Unit will draft the annual report to be submitted to the European Commission by the Managing Authority (Council Regulation (EC) 1620/1999, Art 37). The annual report is to be drawn up following the requirements set by the EC. The chairman of the Monitoring Committee will forward the final annual report to the EC.

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<sup>12</sup> OJ No. L63, 3.3.2001

#### **VI.4. Financial implementation**

##### **VI.4.1. The Joint Bank Account**

A Joint Bank Account (JBA) will be set up in the name of the Paying Authority.

The JBA will be broken down into two sub-accounts: one for project funding (Priorities 1 to 4) and another for Technical Assistance funding (Priority 5). On request of the authorising services of the Managing Authority, the Paying Authority will execute payments directly to final beneficiaries and will make sure that funds reach the final beneficiary as quickly as possible and in full so that no transaction costs of the Paying Authority are reducing the payment order.

##### **VI.4.2. Payments and Commitments at Community level**

Following provisions of Article 32 of the General Regulation, payments by the Commission of the ERDF contributions shall be made, in accordance with the corresponding budget commitments, to the Paying Authority. Any interest earned on the payment on account will be allocated by the Paying Authority to the Programme.

The Managing Authority, in consultation with the Paying Authority, will send the Commission their updated forecasts of applications for payment for the current year and the forecast for the following year by 30 April each year.

Payments will be calculated at the level of measures contained in the financing plan of the Programme Complement. In order to demonstrate the link between the financing plan and expenditure actually paid out, the declaration of expenditure will present financial information broken down per year and by Priority and Measure.

In accordance with Article 31 of the General Regulation, Community budget commitments are made on the basis of the Decision approving the CIP. The first commitment is made when the Commission adopts this Decision and subsequent commitments will be effected as a general rule by 30 April each year.

The Commission will automatically de-commit any part of a commitment for which it has not received an acceptable payment application by the end of the second year following the year of commitment. The ERDF contribution will be reduced by that amount.

##### **VI.4.3. The share of ERDF contribution**

In accordance with Article 28 of the General Regulation, any ESPON project may benefit from ERDF contributions of the ESPON 2006 Programme only. An operation must not be financed simultaneously by more than one CIP or other Structural Funds Programme.

The ERDF contribution must be consistent with the financial plan laid down in the decision approving the CIP. It shall principally take the form of non-repayable direct assistance.

In compliance with Article 29 of the General Regulation, ERDF Funds will contribute up to 50% of the total eligible cost.

#### **VI.4.4. Payments to final beneficiaries**

ERDF and national contributions for projects will be committed in the programme budget from the date the Lead Partner countersigns the grant offer letter.

The Co-ordination Unit will monitor the progress of projects and receive payment claims from Lead Partners to which grant offer letters have been issued. Lead Partners will present regular progress reports to the Co-ordination Unit. Full progress reports will be provided with grant claims at least every 6 months, with claims of €50,000 minimum. All payment claims shall be backed up by invoices or other properly certified accounting documents. The payments will take place after certification of the conformity of the expenditure by the financial control body of the Transnational Project Group (either a national public control structure or an international audit firm) and the financial expert of the Co-ordination Unit.

The Co-ordination Unit will check the payment claims against the offer of grant and the project papers and ensure consistency with the performance targets and eligibility. If acceptable, the Managing Authority will authorise payment and will send a request for payment to the Paying Authority.

Payments will be made by the Paying Authority directly from the Programme Joint Bank Account to the Lead Partner's bank account within one week of receipt of the request of payment from the Managing Authority. In accordance with Article 32(1), the Paying Authority will ensure that final beneficiaries receive payment without reducing the amount by Paying Authority transaction costs in full and as quickly as possible. No deduction, retention or further specific charges, which would reduce these amounts, shall be made. The confirmation of the payment of the ERDF and national funds shall also be reported to the Co-ordination Unit as well as to the project partners.

If the payment claim is justified, the payment should reach not later than four month after the payment claim has been made by the Lead Partner.

In the event a repayment is required, the Managing Authority/Paying Authority shall request repayment of the ERDF and national funds and shall organise the re-transfer to the programme account. Also, the Paying Authority/Managing Authority shall report this to the financial monitoring system.

Specific guidelines for Financial Management at project level will be provided to the Lead Partners in the Programme Complement.

## **VI.5. Controls and Financial Corrections**

### **VI.5.1. Financial control by the Member States**

The Monitoring Committee, on behalf of the Member States, will be responsible for the financial management and control arrangements in such a way as to ensure that Community Funds are used efficiently and correctly and that assistance is managed in accordance with all the applicable Community rules and in accordance with the principle of sound financial management. It is evident that the Managing and Paying Authorities of the ESPON 2006 Programme will not be able to cover the financial control in all involved states on their own. The financial control will encompass two dimensions: the annual financial control and the auditing, both of which will have to be covered, in a shared responsibility, between financial authorities of the participating states (for the Funds received by Final beneficiaries on their territory). The co-ordination of annual financial control shall be undertaken by the Paying Authority and the co-ordination of the auditing shall be undertaken by the Inspection Général des Finances - IGF Luxembourg. Details will be agreed in the convention.

The Managing and the Paying Authorities and the Member States, as well as the final beneficiaries (i.e. Lead and Project Partners), will keep available for the Commission all supporting documents regarding expenditure and checks on the assistance for a period of three years following the payment by the Commission of the final balance. This period may be interrupted in the case of legal proceedings or at the duly motivated request of the Commission. The Managing Authority and the Paying Authority and the member states will keep a clear audit trail in compliance with the definition set out in Commission Regulation 438/01 and annex.

Each Member State may carry out on its own initiative or at the request of the Paying Authority an on-the-spot check to verify the correctness of one or more transactions in respect of projects or part of projects being implemented in its own jurisdiction. It shall notify the Commission of its intention to do so and the Paying Authority when it is doing so under its own initiative. Officials of the Commission may take part in such checks.

### **VI.5.2. Financial control by the Commission**

The Commission may carry out spot checks, including sample checks, on the operations financed by the Funds and on the management control system with a minimum of one day's notice. The Commission will give notice to the Member States with a view to obtaining all the assistance necessary. Officials from the Member States may take part in such checks.

Without prejudice to its responsibilities described above the Commission may, in exceptional circumstances, require particular Member States to carry out on-the-spot check to verify the correctness of one or more transactions in respect of projects or part of projects being implemented within the jurisdiction of each of the Member States concerned.

### **VI.5.3. Irregularities and financial corrections**

#### ***The role of the Member States***

In accordance with Article 39 of the General Regulation, each Member State has in the first instance responsibility for investigating irregularities, acting upon evidence of any major change affecting the nature or conditions for the implementation or supervision of assistance and for making the financial corrections required.

Financial corrections will be made in connection with the individual or systematic irregularities and will consist of the cancelling of all or part of the Community contribution. Community Funds released in this way may be re-used by the Programme for the assistance concerned.

Any sum found to have been received unduly and to be recovered will be repaid to the Commission together with interest.

#### ***The role of the Commission***

As set out in Article 38 of the General Regulation, the Commission may make observations following examinations and evaluations, particularly regarding the financial impact of any irregularities detected. These observations will be addressed to the relevant Member States where the irregularities have been detected and to the Paying Authority and will be accompanied, where necessary, by requests for corrective measures to remedy the management shortcomings found and to correct those irregularities, which have already been corrected. The relevant Member States will have the opportunity to comment on these observations. Where the Commission adopts conclusions, the relevant Member States will take the necessary steps within the deadline set by the Commission and will inform the Commission and the Monitoring Committee of its actions.

The Commission may suspend all or part of an interim payment linked to a serious and uncorrected irregularity. The Commission will inform the Member States and the Paying Authority of the action taken and the reasons for it.

### **VI.6. *Monitoring, reporting and evaluation***

#### **VI.6.1. *Monitoring***

Pursuant to Article 36 of the General Regulation, and in accordance with the Commission Regulation 438/01, the Managing Authority and the Monitoring Committee will hold joint responsibility for the carrying out of the monitoring of the Programme. This monitoring will ensure the quality and effectiveness of implementation through assessments of progress towards achievement of the target financial and physical indicators specified in the CIP and the Programme Complement. These are developed taking into account the indicative methodology and list of examples of indicators published by the Commission

in its Working Paper 3 *'Indicators for monitoring and evaluation: an indicative methodology'* as far as they are applicable to a research network programme of that kind at all.

The indicators will show:

- the specific and mutually consistent targets, quantified when they lend themselves to quantification, for the Measures and Priorities and their mutual consistency;
- the stage reached in the Programme in terms of implementation, results and, as soon as practicable, its impact at appropriate level (Priority or Measure); it is however anticipated that 'impacts' as understood in the Commission's Working Paper 3 will be difficult or even impossible to measure in the case of the ESPON 2006 Programme, owing to the immensity of the co-operation area and the relatively limited size of the budget;
- the progress of the financing plan.

The Co-ordination Unit will gather the relevant data throughout the whole Programme period. It will secure a smooth exchange of compatible data with the relevant services of the Commission. A description of the related arrangements will be included in the Programme Complement.

Monitoring data will be used for the mid-term and ex-post evaluation of the Programme.

#### **VI.6.2. Annual and final implementation reports**

Pursuant to Article 37 of the General Regulation, the Managing Authority will, by June 30 of each year following a full calendar year of implementation, submit to the Commission an annual implementation report. The final report will be submitted by June 30, 2008.

The annual and final reports will be drafted by the Secretariat and approved by the Monitoring Committee before they are sent to the Commission.

#### **VI.6.3. The Mid-term evaluation**

Pursuant to Article 42 of the General Regulation, a mid-term evaluation carried out by an independent assessor will examine the CIP in regard to rationale, continued relevance, effectiveness, efficiency and impact as well as the initial results of the Programme, their relevance and the extent to which Programme objectives have been met. It will also assess the use made of financial resources as well as management and administrative issues.

The mid-term evaluation will not only serve to provide a feedback on Programme implementation but also to draw recommendations for the remainder of the Programme.

The Co-ordination Unit will provide the evaluator with the required information, e.g. the monitoring data. The results of the mid-term evaluation will be forwarded to all members of the co-operation structure and to the Commission.

The Monitoring Committee will consider the findings of the Mid-term evaluation and decide what reprogramming, including reallocation of funding between measures, if any, is necessary. On the basis of the findings of the mid-term evaluation, the Monitoring Committee shall approve or amend the initial procedures of Programme implementation.

The relevant report will be submitted to the Monitoring Committee and forwarded by the Managing Authority to the Commission no later than December 31, 2003.

**VI.6.4. The Ex-post evaluation**

In compliance with Article 43 of the General Regulation, the ex-post evaluation will be the responsibility of the Commission, in collaboration with the Member States and the Managing Authority.

It will be carried out by independent assessors and cover the utilisation of resources, the effectiveness and efficiency of the assistance and its impact, conclusions regarding policy on economic and social cohesion, the factors contributing to the success or failure of implementation as well as the achievements and results, including their sustainability.

**VI.7. Compliance with Community policies and state aid rules**

Article 12 of the General Regulation provides that operations shall be in conformity with the provisions of the Treaty of the EU, with instruments adopted under it and with Community policies and actions.

The ESPON 2006 programme does not intend to subsidise any private investment in any way so conflicts with state aid rules are not expected.

**VI.8. Complementarity with other Community policies and EU funded programmes**

Due attention will be paid at Programme and project level to the need for complementarity with Community policies.

While avoiding any form of double funding of a same operation, the ESPON co-operation will draw on the experience of and, when appropriate, establish specific co-ordination mechanisms with the following EU funded programmes and related operations:

- The European Spatial Planning Study Programme 1998/99 financed under ERDF Art 10
- Interreg IIA/IIIA, Interreg IIB, Interreg IIC/IIIB and other Interreg IIIC programmes
- Objective 1 and Objective 2 Structural Funds programmes
- other Community Initiative Programmes: URBAN, LEADER and EQUAL
- EU 5th Framework Research Programme and the 6th Environmental Action Programme



- other EU funded programmes such as LIFE, RAPHAEL, the EU Demonstration Programme on Integrated Management in Coastal Zones, etc.

With ESPON there is a large risk of duplication or overlap with many activities that are already on going. It should therefore be ensured - namely by the creation of adequate consultation mechanisms and procedures such as contacting the relevant bodies and the compilation of information – not only to avoid duplication of efforts, but also to maximise synergies with other institutions that are already financing actions and projects, such as:

- the Joint Research Centre (JCR), including the MOLAND methodology, that has now been incorporated into the EUROLANDSCAPE project. Transnational Project Groups could consider for example the use of the digital land use database created in MOLAND and study the involvement of MOLAND actors in the adequate projects.”
- The European Environmental Agency (EEA), namely its work on devising territorial indicators (the TERRIS system);
- the Commission’s GMES initiative;
- Eurostat activities;
- as regards transport policy, the White Paper *“European transport policy for 2010: time to decide”* that the Commission adopted on 12 September 2001 as well as the proposal for revision of the guidelines concerning the trans-European transport network;
- in relation to RTD and Information and Communication Technologies (ICT), ESPON should ensure coherence with the 5<sup>th</sup> and subsequent Framework Programmes for R&D as well as with the “e-Europe” initiative regarding the development of the Information Society. The programme could draw from the eEurope Action Plan, launched in the EU Summit in Feira and subsequently updated in Nice.
- As regards sustainable city management, particular attention will be given to the results of the key action - City of Tomorrow and cultural heritage - in the framework of the 5th Framework Programme for RTD.
- Finally, and as regards complementarity and consistency with other policy frameworks, in particular as regards the concept of “territorial impact assessment”, the ESPON programme should ensure that there it will be a degree of co-ordination and of consistency with the recently adopted Directive on Strategic Environmental assessment as well as with the existing Directive on Environmental Impact Assessment. Furthermore, following the adoption of the Sustainable Development Strategy of the EU in June 2001 , account should be taken of a “Sustainability Impact Assessment (SIA)”. SIA are envisaged according to the SDS to precede all major proposals of the Commission in the future.

Co-ordination has to take place in two directions: from the ESPON to the mentioned policy actors and vice versa:

- Transnational Project Groups working in the particular research fields will be obliged to check the activities at the EU level before launching any field work. They should also identify contact partners in the DGs concerned. Transnational Project Groups will report the email addresses of these contact partners to the Co-ordination Unit which will add them to the ESPON mailing list. Contact partners may also be invited to the conferences held by the ESPON.
- Vice versa DGs representatives should also report to the Co-ordination Unit and the respective Transnational Project Groups if they see any danger of duplication.

DG Regio will have a crucial role in supporting this kind of co-ordination in terms of the identification of useful contact partners and the provision of access.

#### ***VI.9. Co-ordination of Interreg and national sources of non-Member States***

##### **VI.9.1. General co-ordination**

At the transnational level, spatial development programmes can only be implemented through really joint, transnational projects. Projects of the ESPON 2006 Programme are transnational in character, their co-operative implementation can only be guaranteed and implemented if the participating Non-Member States or potential beneficiaries from these countries are given the opportunity to practically participate in the programme as observers in the Monitoring Committee and as full right members in the Transnational Project Group and in accordance with harmonised rules.

The minimum criteria of participation in ESPON 2006 projects shall reflect the financial support of Phare, Tacis and Meda, national or other financial instruments in the framework of new joint projects in accordance with:

- the programme conditions of the European Commission for Non-Member States by endorsing the proposals for those programme parts within the national, Phare, Tacis and Meda, or other EU initiatives and programmes of which Interreg IIIB/IIIC projects can be financed;
- in principle the decision making process of projects will follow ESPON 2006 rules provided that institutional requirements are fulfilled by the given non-Member State. Project fund approach will apply.
- Multi-annual programming and implementation should be introduced so that projects could be implemented in parallel with project parts of the Member States.
- Implementation procedures (procurement, financial management, monitoring, etc.) will be harmonized based upon Interreg rules applied in the framework of the ESPON 2006 programme.

Extended decentralisation, and where it is possible ex-post control, will be applied according to the Council Regulation (EC) No 1260/1999.

Each country has to set up its own Guidelines stipulating the rules of programme management, project implementation and nominate the responsible institutions. The specific Guidelines will be based on the ESPON 2006 Programme and will take into account the Phare, Tacis and Meda or other implementation rules as well. The national Guidelines will have to be approved by the National Committee and sent to the transnational Monitoring Committee for information.

#### **VI.9.2. The participation of partners from third countries and the use of other funds**

**Applications for projects can only be submitted by the Lead Partner. This programme only funds projects with Lead Partners from the partner Member States**

Partners from third countries may also participate at project level but they cannot act as Lead Partners. This will avoid unnecessary and overcomplicated procedures regarding financial management. Financing for partners from third countries may nonetheless not be provided under this programme from ERDF funds, but will be taken from their own resources or from other relevant European Union funding sources (e.g. Phare, Tacis, Meda, etc.) in line with the funding rules for each source.

In the case of participation of partners from third countries, the following will apply:

- Non-Member States will indicate the funds available from other financing sources, such as earmark national, Phare, Tacis, Meda or others to be used specifically for the ESPON 2006 programme.
- Regarding co-operation across the external EU borders with Non-Member States the following principles have to be taken into account when the Lead Partner principle is applied:
  - in the course of project development, the Non-Member States are given the same opportunities as the Member States, as they can fully participate in projects;
  - the project parts to be financed from different national or EU financial sources (ERDF, Phare, Tacis and Meda etc.) will require different contractual relations and different forms of financial responsibility.

The possibility to initiate projects and to participate in the ESPON projects will be open for all of the eligible organisations, although the different nature of the general financial responsibility of the different financial instruments to be used makes it impossible to handle the different project parts fully in the same way.

Therefore, Project partners coming from a Non-Member State will:

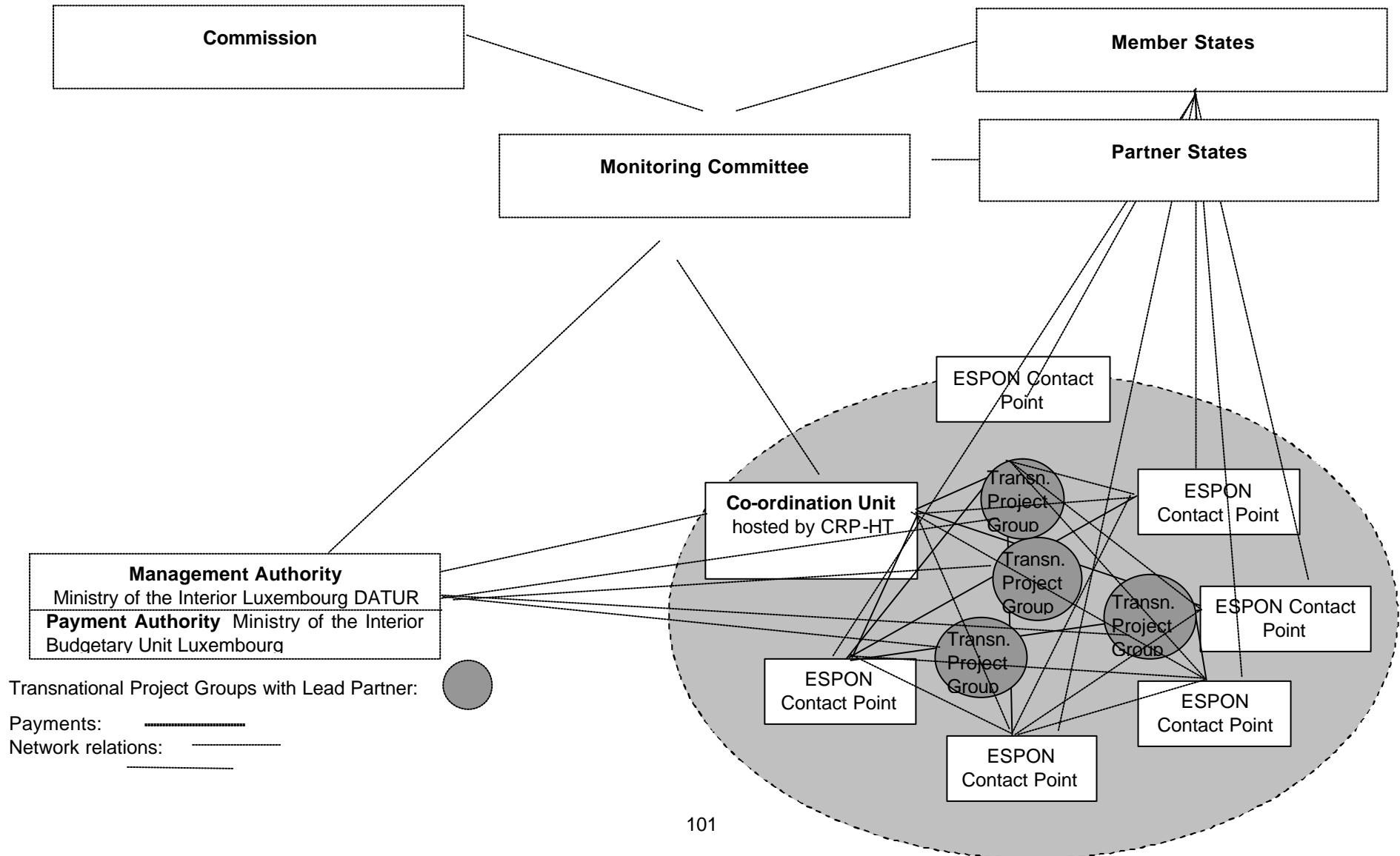
- not be able to act as Lead Partner;
- submit the project application together with the project Lead Partner;

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- provide all necessary information to the Lead Partner, collect information regarding their participation and report about the progress of their part of the project;
- submit the necessary requests for funding to the relevant sources of financing;
- facilitate audit by the relevant authorities;
- will be financially responsible for any EU funds that may be awarded to them, from different instruments.

Figure 1: Overview of the management structure of the ESPON 2006 Programme



Monitoring:

**Annex 1: List of ESPON Contact Points**

Updated 09.06.2004

**Austria**

**Österreichische Raumordnungskonferenz (ÖROK)**

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**Brussels**

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**Vlaanderen**

**University of Leuven Institute of Urban and regional planning**

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**Dept. of Town Planning and Housing**

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**Estonia**

**Ministry of Internal Affairs**

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ESPON Contact Point 2001 – 2004

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**France**

**ORATE-France**

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## Germany

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#### **National University of Ireland**

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Maynooth

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## Italy

### **Ministry of Infrastructures and Transports**

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#### **General Division for EU Programmes – Interreg Service**

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**Annex 2: Tentative list of tasks of the ESPON Contact Points and financing**

The following is an attempt to divide the ESPON Contact Point tasks into two different budget blocks in order to estimate the amount of additional national funding which will be required. Page no's are with reference to the third draft ESPON programme.

**A) ESPON Contact Points - Administrative tasks to be financed by project budget**

1. If possible, at least one ESPON Contact Point must be project partner in each project in order to secure the network co-operation in ESPON. The ESPON Contact Points will be responsible for this task and for the exchange with other projects and the Co-ordination Unit.
2. All projects should be commented by all ESPON Contact Points before the final version of the report is submitted in order to receive a comprehensive picture of the variety of European approaches. As such, it should be promoted that all of the 25 countries take part in at least one of the ESPON projects (the standard working mode). ESPON Contact Points in a Transnational Project Group will represent the connection to the Co-ordination Unit. ESPON Contact Points and Transnational Project Groups will work closely together with the Co-ordination Unit in order to promote the programme and to assist project partners to develop projects of high quality.
3. This co-operation is of high importance for a smooth operation of the multi-level interaction of the committees and of the related organisations at the European, national, regional and local level within the framework of the programme.

**B. ESPON Contact Points - Tasks to be finance by national extra funding:**

1. ESPON Contact Points will contribute to the programme implementation in Member States (MS).
2. ESPON Contact Point will assist the project development process in co-operation with the Co-ordination Unit and other ESPON Contact Points.
3. ESPON Contact Points may play a role in advising Transnational Project Groups on the preparation and implementation of projects. It is the responsibility of the Member States to organise this work.
4. ESPON Contact Points will be involved in the Promotion Strategy of this Programme.
5. ESPON Contact Points must be able **to represent the participating Member States' scientific policy advice capacity** regarding links to and knowledge about policy oriented national research institutions in all spatially relevant sectors of research. These tasks could be undertaken by: a departmental unit within government, a state public research institute, a private research institute. The last two mentioned may contribute with their own research. It is expected that ESPON Contact Points will incorporate expertise from public and / or private research institutes or consultants if better results are expected.

6. The ESPON Contact Points should be able to commission the search for data in their country respectively
7. To institutionalise this co-operation regular meetings will take place - at least once a year a conference. Independent of these meetings, the Co-ordination Unit will ask ESPON Contact Points for their support in fulfilling its tasks.

**C. ESPON Contact Points – Transnational networking activities to be financed by the ESPON Programme under Measure 4.2.**

In order to improve ECP networking activities following an explicit recommendation of the Mid Term evaluators, the Monitoring Committee of the ESPON programme agreed to allocate a larger proportion of the budget to Priority 4.2. The additional resources will be used to strengthen the ECPs networking activities via a new financial mechanism bringing together ECPs to achieve common transnational networking objectives.

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**Annex 3: Indicative financial overview on the priority 5 (Technical Assistance budget in €)**

(Contribution of Luxembourg to the Co-ordination Unit is external to the budget)

	Total costs Programme Costs  In €/Euro	Public expenditure				Private expenditure	Allocation in time		
		Tot.elig.ex.	ERDF	Na- tional	External contr. Luxembourg <sup>1</sup>		first instalment	average/ year	Total
<b>Measure 5.1. total</b>	<b>1.270.494</b>	<b>1.270.494</b>	<b>634.119</b>	<b>636.375</b>					
<b>External contribution Luxembourg</b>									
<b>1. CU</b>					<b>2.063.000</b>				
<b>1.a)Staff</b>									
Director	720.000	720.000			720.000	0		120.000	720.000
Finance expert	360.000	360.000			360.000	0		60.000	360.000
Project Expert (2004-2007)	300.000	300.000	150.000	150.000		0		75.000	300.000
Secretary	240.000	240.000			240.000	0		40.000	240.000
Secondment from New Member States (2004-2006)	43.750	43.750	21.875	21.875		0		14.583	43.750
Trainees (2004-2006)	30.000	30.000	15.000	15.000		0		10.000	30.000
General expenditure	420.000	420.000			420.000	0		70.000	420.000
<b>1.b)Offices</b>									
First instalment of offices	25.000	25.000	3.500	3.500	18.000	0	18.000		
Instalment o. Hardware	35.000	35.000			35.000	0	35.000		
Office rent	198.000	198.000	30.000	30.000	138.000	0		33.000	198.000
Consumables	132.000	132.000			132.000	0		22.000	132.000
<b>2.CU representation/travel</b>									
Representat./displacement	60.000	60.000	30.000	30.000		0		12.000	72.000
Travel	150.000	150.000	75.000	75.000		0	5 years	30.000	150.000
<b>3.MC meetings</b>									
MC EU members travel	400.000	400.000	200.000	200.000		0	5 years	80.000	400.000
MC observers travel	60.000	60.000	30.000	30.000		0	5 years	12.000	60.000
MC site costs	27.744	27.744	12.744	15.000		0	5 years	4.800	24.000

<sup>1</sup> This figure is purely indicative at this stage

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<b>4.Financial Control and related issues</b>	90.000	90.000	45.000	45.000		0	5 years	18.000	3.600
<b>5.Miscellaneous</b>	42.000	42.000	21.000	21.000		0	2.000	8.000	42.000
<b>Measure 5.2. total</b>	<b>419.269</b>	<b>419.269</b>	<b>209.635</b>	<b>209.635</b>	<b>0</b>	<b>0</b>			
Information and dissemination actions (including Communication strategy, graphic design support and printing material)	304.269	304.269	152.135	152.135		0		60.854	304.269
Evaluation	65.000	65.000	32.500	32.500		0			65.000
Computer monitoring	50.000	50.000	25.000	25.000		0		10.000	50.000
<b>Total priority 5</b>	<b>1.689.763</b>	<b>1.689.763</b>	<b>843.754</b>	<b>846.010</b>	<b>2.063.000</b>	<b>0</b>			



#### Annex 4: Ex-ante evaluation

### Ex-ante evaluation of the ESPON 2006 Programme

The ex-ante evaluation comprises the tasks of providing feedback during the interactive process of the preparation of the programme and to assess the programme after its finalisation. The drafting of the programme took place under the leadership of the Luxembourg Ministry of the Interior as lead applicant of the programme. Luxembourg commissioned the task of drafting and co-ordinating the production of the programme to an external consultant, who participated in the relevant meetings of the CSD and later on the provisional Monitoring Committee meetings of the ESPON. The consultant reported regularly on progress made and gave feed feedback about the orientations and structure of the programme to the members of the Committee. So the evaluation is carried out in the spirit of the philosophy and interactivity between the lead applicant, the Committee and the Commission.

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

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

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

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

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

After the Echternach Ministerial meeting (December 1997), a test phase of 2years (1998-99) was launched as a pilot project under Article 10, co-financed by the Commission and the Member States,

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on the base of these considerations and the concept of the establishment of the ESPON. It had three themes: spatial indicators, urban-rural partnership, and mapping. On 16/17 March 2000, the results and conclusions of the test phase of the ESPON were presented to the CSD; the high potential of the joint approach and its guiding character for the future shape of the ESPON was revealed. The minutes of the CSD meeting reflect its success:

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

*The following particular points were made:*

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

Furthermore, the Commission supported the continuation of this approach:

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

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

- *Member States and the Commission nominating 2 administrators each for the co-ordination body, the Commission appointing the director;*
- *A flexibility for change in staff over the 6 years.*

However, the new EU's policy led to constraints in particular with regard to the organisational frame. The "ESPON Guidelines for 2001-2006", agreed by the CDCR on 19 December 2000 offered the reference for the preparation of the ESPON 2006 Programme. Not all of the proposals made in the evaluation of the SPESP were transferred one to one to the new guidelines. Most prominent were size and financing of the Co-ordination Unit and the changing role and the way to finance the national focal points (now ESPON Contact Points). Both points are deepened below in section 4 together with the organisational and financial assessment.

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

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

### **Figure 1: ESPON 2006 Programme objectives**

1. To add value to existing national research by taking a clear European and trans-national focus, and improving the understanding of the diversity of the European territory and territorial development, including the prospective dimension and sustainable development, and beyond the usually employed statistical units. These would include an analysis of territorial trends in the 13 candidate countries (3 candidate countries as from the 1<sup>st</sup> of May 2004) and neighbouring countries as well as in the Member States to draw conclusions for the territorial development of the Union;
2. To specify the implications of the ESDP policy orientations on transnational-national spaces, the interpretation of existing ones (such as Interreg II/III) and eventually evolving ones in the wake of the enlargement of the EU;
3. To develop orientations for instruments and institutions necessary for a better perception and application of ESDP policy option by policy actors at all levels from the EU to the local level; also including a better co-ordinated application of the ESDP principles;
4. To contribute to a better understanding of the enhancement of the spatial dimension of the Structural Funds, Cohesion policy and other Community policies, and national sector policies;
5. To make concrete contributions and proposals to improve co-ordination of territorially relevant decisions, taken at different levels (at the Community, national, regional and local level) and in different sector policies;
6. To bridge the gap between policy makers, administrators and scientists;
7. To create a network of the scientific European community in the fragmented field of spatial development.

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

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

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

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

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

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

Measure 1.2.: Parity of access to infrastructure and knowledge

Measure 1.3.: Natural and cultural heritage

Measure 1.4.: Deepening thematic projects and new thematic projects

**Priority 2: Policy impact projects**

Measure 2.1.: The territorial effects of sector policies

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

Measure 2.3.: Institutions and instruments of spatial policies

Measure 2.4.: Deepening policy impact projects and new policy impact projects

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

Measure 3.1.: Integrated tools for the European spatial development

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

Measure 3.3.: Territorial dimension of the Lisbon and Gothenburg Process

Measure 3.4.: Deepening cross-thematic projects and new cross-thematic projects

3.4.1.: Europe in the World

3.4.1.: Deepening cross-thematic projects

3.4.2.: New cross-thematic projects

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

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

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

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

**Priority 5: Technical assistance**

Measure 5.1.: Management, monitoring and implementation

Measure 5.2.: Information, publication and evaluation

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

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

Priority 3 must take into account Priority 4 and the terms of reference of the Co-ordination Unit (under priority 5) as both, the programme objectives and the strategy, address organisational issues. Strong co-ordination is necessary and will be guaranteed by the relative size of priority 3. The organisational structure of the ESPON, supported by priority 4, raises expectations for intensive networking between the research institutes for all the various research subjects which will serve the objective of supporting the establishment of a scientific community in the different fields addressed by the ESPON. The approach chosen is adequate and meets the requirements. However some points should be highlighted which may require some attention in the collaboration process.

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

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

### **3. An analysis of the expected impacts of the priorities and measures proposed**

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

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

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

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

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

#### 4. Adequacy of the aims of the programme and the envisaged actions in relation to the human and financial resources available

The assessment of the adequacy of aims and actions in relation to the human and financial resources available is made with consideration to previous experiences under the programme. In general, the chosen approach leads in the right direction and is well balanced as it was set out in the previous three sections. Although the programme appears to be well resourced by 12 MEuro, an in-depth investigation reveals slight imbalances which are not dangerous in the narrow sense but have to be carefully observed. Imbalances derive from two sides (a) the structure and embedding of the programme under Interreg and, to a lesser extent, (b) the thematic demands; (c) conclusions will give the overall assessment.

(a) The Structural Funds regulation and Interreg guidelines followed by the implementation guidelines impose structures for the management, implementation and finance of the programme, which were obviously formulated for programmes in scale much bigger than the ESPON 2006 Programme. Furthermore, the management and what is called management in financial terms of the Technical Assistance seems to be more appropriate for the implementation of practical projects rather than research projects.

The key point relates to the restriction of expenditure allowed under the Technical Assistance. Technical Assistance budget is a *relational* budget which limits the finance, according to the Interreg guidelines, to 5 % of the programme budget. With regard to the deviation size of Interreg programmes ranging from more than 300 MEURO (NWE Interreg IIIB) to 12 MEURO (ESPON) the conflict becomes rather obvious. Typical Technical Assistance tasks are not sufficiently financed:

- The ESPON Contact Points and their networking are slightly under-financed. In fact they should be co-financed by the Technical Assistance budget like in other Interreg Programmes. Now, although scientific tasks will be financed under projects (if ESPON Contact Points participate in successful project tenders), other tasks will have to be financed by the Member States. But the common approach of tasks and financing of ESPON Contact Points (with reference to annex 2 of the CIP) is only indicative and practice will prove whether the ESPON Contact Points are sufficiently equipped in order to provide the assistance to the programme as required.
- The Monitoring Committee (which in other Interreg Programmes usually only includes a regional selection of Member States) does now comprise all Member States, which considerably raises the travel costs. Only four meetings are scheduled per year for budgetary reasons but that may not be sufficient. Other Interreg programmes do not cover the travel cost of the Monitoring Committee members. This approach only reaches consensus in not-EU-wide, but transnational or regional co-operations due to shorter travel distances.



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- The programme very much relies on the involvement of candidate countries as the research addresses the enlargement and needs data input from them. The Technical Assistance budget only foresees for budgetary reasons the financing of one trip per year per candidate country as an observing member of the Monitoring Committee. That could cause problems with the organisation and provision of data in those countries.
- The Co-ordination of the programme could not be covered solely by the Technical Assistance budget due to financial constraints. Therefore, Member States have offered to undertake the financing of the Co-ordination Unit. Luxembourg has offered three post, and the office space required for 5 persons which comes close to the requirements mentioned in the evaluation of the SPESP (see section 1). The Co-ordination Unit will rely on secondments by the other Member States for the two remaining post in order to be able to cover all tasks mentioned in the programme.
- The easiest way to organise the financial control and auditing of the projects would also be to commission this task to external private companies. The Technical Assistance budget does not allow such delegation. Therefore, a more complicated structure of networking between national authorities has to be organised which, provided success, may become a model for Interreg programmes.
- Information action is under-financed. There is not any funding available for the publication of results on paper and the organisation of larger events for the presentation of results. Other platforms such as Interact, Interreg IIIB and conferences such as the transnational seminars on the ESDP should be considered for an adequate dissemination of results.

(b) With regard to the thematic demands the following points should be highlighted. The measures and projects have a wide thematic scope. Of course, there are many very important and interesting questions related to territorial development and policies. Carefully reading reveals the ambitions of the programme and may provoke the conclusion that financial means are not sufficient. But, in fact, there is a strong hierarchy in the formulation of measures and envisaged actions that provide guidance on what to do first. The funding available may not be able to cover all demands formulated under the envisaged actions. Research under ESPON, considering the efforts of indicator work and data collection, represents a time- and resources consuming activity. The projects carried out may not receive all results envisaged by the programme but most important results can be expected. For this reason, any research activity under ESPON will be required to develop sound research strategies sustained by the definition of milestones and clear priorities. Consequently clear orientations are set in the programme complement, which provide unequivocal priorities for the preparation of projects and studies under the envisaged actions.

As mentioned before, the programme relies on the involvement of candidate countries not just in the Monitoring Committee, but also as partners in Transnational Project Groups. The Commission follows the interpretation that finances are only available for Member States and that candidate countries can

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only participate by own resources. This has implications in terms of data collection from candidate countries. It is not impossible but it will not be easy to get the relevant and necessary data, in particular, for the first half of the programme. The candidate countries should receive guidance on how to make resources available and by how they will be able to participate with the ESPON 2006 Programme.

(c) Conclusions towards the overall assessment of the resources in relation to the aims are as follows: although the programme is, in comparison to other Interreg programmes, very ambitious there is no doubt about its possible achievements. Certain bottlenecks foreseen in the financial side derive from the requirements for such a programme developed under the Interreg rules. Having those bottlenecks identified it should be possible to monitor and take appropriate action in case problems occur.

**Annex 5: Quantitative indicators for the evaluation of the ESPON 2006 Programme**

Objectives/priorities/measures	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Objectives	Impacts	Description		
1. To add value to existing national research by taking a clear European and trans-national focus, by improving the understanding of the diversity of the European territory and territorial development. These would include an analysis of territorial trends in the 13 candidate countries (3 candidate countries as from the 1 <sup>st</sup> of May 2004) and neighbouring countries as well as in the Member States to draw conclusions for the territorial development of the Union;	Projects cover the whole EU territory and the neighbouring countries. Typologies are developed and employed which allow identifying and comparing the variety of Europe's territory.	Number of projects tendered and finished: - in total covering - the EU territory - the candidate and partner states - wider territory of the EU	10 - 10 0	15 - 13 2
2. To specify the implications of the ESDP policy orientations on transnational-national spaces, the interpretation of existing ones (such as Interreg II/III) and eventually evolving ones in the wake of the enlargement of the EU;	Projects take stock of the ESDP policy options and make proposals for the specification and advancement with particular regard to the Interreg areas.	Number of ESDP existing policy options addressed, in total, assuming that all thematic issues are addressed in a balanced way	40	50
3. To develop orientations for instruments and institutions necessary for a better perception and application of ESDP policy option by policy actors at all levels from the EU to the local level; also including a better co-ordinated application of ESDP principles;	Do the results of the programme support the better application of the ESDP?	Number of projects addressing the application of the ESDP: - instrumental dimension - institutional dimension	0 0	1 1
4. To contribute to a better understanding of the enhancement of the spatial dimension of the Structural Funds, Cohesion policy and other Community policies, and national sector policies;	Development of tools/methods for the territorial assessment of sectoral policies. Systematic assessment of EU sector policies.	Total projects on sectoral policies: - TENS - Agricultural policy - R&D policy - Structural Funds/Cohesion - Accession aids	5 1 1 1 1 1	5 1 1 1 1 1



**Indicators for the evaluation of the ESPON 2006 Programme (continuation)**

Objectives/priorities/measures	Impacts/result/output	Indicators	Quantification	
			2002-04	2002-06
<b>Objectives (continuing)</b>	<b>Impacts</b>	<b>Description</b>		
5. to make concrete contributions and proposals to improve co-ordination of territorially relevant decisions, taken at different levels (at the Community, national, regional and local level) and in different sector policies;	Results contribute to the understanding of a better horizontal and vertical co-ordination of sector policies.	Number of projects regarding the co-ordination of planning policy at - Horizontal level - Vertical level -	0 0	1 1
6. To bridge the gap between policy makers, administrators and scientists;	Methods and results are presented in a way which contribute to the mutual understanding of the mentioned groups using chats, maps, listing of advantages and disadvantages of approaches.	Each project includes an executive summary which indicates the added value for practitioners and the conditions for application of results.	Each project	Each project
7. To create a network of the scientific European community in the fragmented field of spatial development.	The involvement of many institutes from all EU Member States and from the candidate and partner countries.	How many institutes are involved: - in total - from how many countries - inside/outside of the EU	50 15 15	70 30 20

**Indicators for the evaluation of the ESPON 2006 Programme (continuation)**

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

Indicators for the evaluation of the ESPON 2006 Programme (continuation)

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>1.1. Cities, polycentric development and urban rural relations</b></p> <p>The subject of this measure corresponds with the first and widest set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>1</sup> that a polycentric and balanced urban system and the strengthening of the partnership between urban and rural areas, which overcomes the outdated dualism between city and country side, belong to the central objectives of a future orientated European spatial development. The envisages actions under this measure pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should taken account of the objectives preceding and expected results following the description of this priority.</p>	<p>The further specification of actions within the thematic range of this measure focuses on the following issues:</p> <p>1.1.1.:The role, specific situation and potentials of urban areas as nodes of polycentric development (2001-06)</p> <p>1.1.2.:Urban-rural relations (2001-03)</p> <p>1.1.3.:Particular effects of enlargement for the polycentric spatial tissue (2001-06)</p> <p>1.1.4.:The spatial effects of demographic trends and migration (2003-06)</p> <p>The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions.</p>	<p>Number of spatial indicators developed:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> </ul> <p>applied:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> </ul> <p>Number of spatial concept defined</p> <p>Number of spatial typologies tested</p> <p>Number of EU maps produced</p> <p>Number of ESDP policy options addressed in that field</p>	<p>15</p> <p>15</p> <p>7</p> <p>10</p> <p>10</p> <p>4</p> <p>4</p> <p>7</p> <p>8</p> <p>16</p>	<p>15</p> <p>15</p> <p>7</p> <p>15</p> <p>15</p> <p>7</p> <p>4</p> <p>10</p> <p>10</p> <p>20</p>

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

Indicators for the evaluation of the ESPON 2006 Programme (continuation)

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>1.2. Parity of access to infrastructure and knowledge</b></p> <p>The subject of this measure corresponds with the second set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>2</sup> that the promotion of integrated transport and communication concepts support the polycentric development of the EU territory and represent an important pre-condition for enabling European cities and regions their integration into the EMU. Furthermore parity of access to infrastructure and knowledge should be gradually realised and regionally adapted solutions developed. The envisaged actions under this measure pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority.</p>	<p>The further specification of actions within the thematic range of this measure focuses on the following issues:</p> <p>1.2.1.:Basic supply of infrastructure for territorial cohesion (2001-03)</p> <p>1.2.2.:Spatial effects of networks, transport and (tele-) communication services (2001-03)</p> <p>1.2.3.:Identification of spatially relevant aspects of the information society (2001-06)</p> <p>The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions.</p>	<p>Number of spatial indicators developed:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> </ul> <p>applied:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> </ul> <p>Number of spatial concepts defined</p> <p>Number of spatial typologies tested</p> <p>Number of EU maps produced</p> <p>Number of ESDP policy options addressed in this field</p>	<p>15</p> <p>15</p> <p>7</p> <p>12</p> <p>12</p> <p>5</p> <p>5</p> <p>7</p> <p>10</p> <p>12</p> <p>12</p>	<p>15</p> <p>15</p> <p>7</p> <p>15</p> <p>15</p> <p>7</p> <p>7</p> <p>10</p> <p>12</p> <p>15</p>

<sup>2</sup> ESDP 1999, p. 20.



Indicators for the evaluation of the ESPON 2006 Programme (continuation)

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>1.3. Natural and cultural heritage</b></p> <p>The subject of this measure corresponds with the third set of policy options of the ESDP and focuses on the themes mentioned in the ESPON guidelines in that specific field. The ESDP states<sup>3</sup> that the development and conservation of the natural and the cultural heritage could be achieved through wise management, which would contribute both to the preservation and deepening of regional identities and the maintenance of the natural and cultural diversity of regions and cities of the EU in the age of globalisation. The envisaged actions for this measure pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines and should take account of the objectives preceding and expected results following the description of this priority.</p>	<p>The further specification of actions within the thematic range of this measure focuses on the following issues:</p> <p>1.3.1.:The spatial effects and management of natural and technological hazards in general and in relation to climate change (2001-06)</p> <p>1.3.2.:Management of the natural heritage (2001-06)</p> <p>1.3.3.:The role and spatial effects of cultural heritage and identity (2003-06)</p> <p>The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions.</p>	<p>Number of spatial indicators developed:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> </ul> <p>applied:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> </ul> <p>Number of spatial concepts defined</p> <p>Number of spatial typologies tested</p> <p>Number of EU maps produced</p> <p>Number of ESDP policy options addressed in this field</p>	<p>10</p> <p>10</p> <p>5</p> <p>7</p> <p>7</p> <p>3</p> <p>3</p> <p>7</p> <p>5</p> <p>10</p>	<p>10</p> <p>10</p> <p>5</p> <p>10</p> <p>10</p> <p>5</p> <p>10</p> <p>17</p>

<sup>3</sup> ESDP 1999, p. 20.

**Indicators for the evaluation of the ESPON 2006 Programme (continuation)**

Objectives/priorities/measures	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
<b>Priority 2</b>	<b>Results</b>	<b>Description</b>		
<p><b>Policy impact projects</b></p> <ul style="list-style-type: none"> <li>- to develop methods for a territorial impact assessment of sector policies;</li> <li>- to show the influence of sector policies on spatial development at the EU scale;</li> <li>- to sustain every study by empirical, statistical and/or data analysis;</li> <li>- to show the interplay between EU and sub-EU spatial policies and best examples for implementation;</li> <li>- to develop methods for a territorial impact assessment of sector policies and to find appropriate instruments to improve the spatial co-ordination of EU sector policies;</li> <li>- to consider the provisions made under priority 3 and to provide input for the achievement of the horizontal projects under this priority.</li> </ul>	<p><i>Until mid 2002</i></p> <ul style="list-style-type: none"> <li>- to reach consensus on indicators and necessary data after a precise analysis of the availability and comparability of data at the Community level and to develop new database indicators and map-making.</li> </ul> <p><i>Until end of 2003</i></p> <ul style="list-style-type: none"> <li>- to develop methods for a territorial impact assessment of sector policies;</li> <li>- to gain information on the EU wide effects of the most important EU and Member State sector policies in terms of economic relocation and other spatial criteria;</li> <li>- to detect typologies of regions revealing risks and potentials for the identified types of regions;</li> <li>- to find appropriate indicators, typologies and instruments to detect regions and territories most negatively and positively affected by territorial developments.</li> </ul> <p><i>Until 2006</i></p> <ul style="list-style-type: none"> <li>- Other community policies are started and will be finished in the second phase of the programme;</li> <li>- to define institutional settings and instruments which support a better co-ordination of sector policies towards spatial concerns;</li> <li>- to provide answers on possible policy adjustments in order to avoid unintended effects.</li> </ul>	<p>Indicators on the measure level applied below relate to the following issues:</p> <ul style="list-style-type: none"> <li>- Number of spatial indicators each developed and applied</li> <li>- The application of those indicators in total, covering the EU territory, more than the EU territory</li> <li>- Number of spatial concept defined</li> <li>- Number of spatial typologies tested</li> <li>- Number of EU maps produced</li> <li>- Number of ESDP policy options addressed in that field</li> <li>- Number of sector policies fully addressed</li> <li>- Number of charts on the institutional structure of sector policies</li> <li>- Number of charts about the institutional structure in spatial planning</li> </ul>	See measures	See measures

Indicators for the evaluation of the ESPON 2006 Programme (continuation)

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>2.1. The territorial effects of sector policies</b></p> <p>The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>4</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and, therefore, in need for support referring to the goals, aims and policy options developed in the ESDP. The sub-measures pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines, which should take account of the objectives preceding and expected results following the description of this priority. Assessing the territorial impact of transport policies and major infrastructure projects, CAP and R&amp;D in order to allow the improvement of the territorial co-ordination of the Community policies is a major aim of this measure.</p>	<p>The further specification of actions within the thematic range of this measure focuses on the following issues:</p> <p>2.1.1.:Spatial diversification by the infrastructure policy of TENs (2001-03)</p> <p>2.1.2.:Spatial effects of the EU R&amp;D policy (2001-2003)</p> <p>2.1.3.:Spatial effects of the EU Agricultural Policy with particular reference to the environmental dimension and policy (2001-03)</p> <p>The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions.</p>	<p>Number of spatial indicators employed in addition to priority 1</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- EU territory</li> <li>- more than the EU territory</li> </ul> <p>applied:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- EU territory</li> <li>- more than the EU territory</li> </ul> <ul style="list-style-type: none"> <li>- Number of sector policies fully addressed</li> <li>- Number of EU maps produced</li> <li>- Number of charts on the institutional structure of sector policies</li> <li>- Number of policy aims mentioned in the ESDP reference made to by sector study</li> </ul>	<p>10</p> <p>8</p> <p>4</p> <p>7</p> <p>8</p> <p>3</p> <p>20</p> <p>3 (one by sector)</p> <p>all aims</p>	<p>10</p> <p>8</p> <p>4</p> <p>10</p> <p>8</p> <p>5</p> <p>20</p> <p>3</p> <p>all aims</p>

<sup>4</sup> ESDP 1999, p .18.

Indicators for the evaluation of the ESPON 2006 Programme (continuation)

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>2.2. New territorial aspects of the Structural Funds and related Funds</b></p> <p>The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>5</sup> on the background of different spatial concepts such the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and therefore in need for support. The sub-measures pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines which should take account of the objectives preceding and expected results following the description of this priority. The co-ordination with the Commission should avoid interference with the Commission's evaluation (ex post) of the Structural Funds as part of her competences. The concentration on the territorial effects must be ensured. DG Regio supports the co-ordination by the establishment of exchange between the ESPON and the organisations</p>	<p>The further specification of actions within the thematic range of this measure focuses on the following issues:</p> <p>2.2.1.:The territorial effects of the Structural Funds and pre-accession aid and Phare/Tacis/ISPA (2001-03 finalising in 06)</p> <p>2.2.2.:The effects of Structural Funds in urban areas (2001-06)</p> <p>The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions.</p>	<p>Number of spatial indicators employed in addition to priority 1</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- EU territory</li> <li>- more than the EU territory</li> </ul> <p>applied:</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- EU territory</li> <li>- more than the EU territory</li> <li>- Number of Funds fully addressed</li> <li>- Number of EU maps produced</li> <li>- Number of charts on the institutional structure related to the Funds in their policy context</li> <li>- Number of charts about the</li> <li>- Number of policy aims mentioned in the ESDP addressed by Funds investigated</li> </ul>	<p>7</p> <p>7</p> <p>2</p> <p>7</p> <p>4</p> <p>2</p> <p>3</p> <p>7</p> <p>4 (one by Fund )</p> <p>all aims</p>	<p>7</p> <p>7</p> <p>4</p> <p>7</p> <p>10</p> <p>6</p> <p>all aims</p>

<sup>5</sup> ESDP 1999, p .18.

*The ESPON 2006 Programme*

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carrying out the evaluation studies.				
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**Indicators for the evaluation of the ESPON 2006 Programme (continuation)**

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>2.3. Institutions and instruments of spatial policies</b></p> <p>The subject of this measure corresponds with the demand for better knowledge on the territorial impact of EU sector policies recognising the proposals in the ESDP to investigate Community policies<sup>6</sup> on the background of different spatial concepts such as the use of spatial categories, the development of functional synergies, integrated spatial development approaches, the improvement of infrastructure and the delineation of areas in danger and therefore in need for support. Therefore, the co-ordinating function of spatial policies for the orientation of sector policies is of utmost importance. The envisaged actions pinpoint the most emerging thematic priorities in accordance with the ESPON guidelines, which should take account of the objectives preceding and expected results following the description of this priority.</p>	<p>The further specification of actions within the thematic range of this measure focuses on the following issues:</p> <p>2.3.1.: The application and effects of the ESDP in the Member States (2003-06)</p> <p>2.3.2.:The coordination of territorial and urban oriented policy from the EU to the local level (2003-06)</p> <p>The output indicators relate to the results defined above for this priority and break it down to the measures and envisaged actions.</p>	<ul style="list-style-type: none"> <li>- Number of countries investigated in total covering the EU member states now</li> <li>- Number of charts about the institutional structure in spatial planning both urban and territorial policies</li> <li>- Number of policy aims mentioned in the ESDP addressed in the studies</li> <li>- Number of study cases (one by country)</li> </ul>	<p>0</p> <p>0</p> <p>0</p> <p>0</p>	<p>15</p> <p>30</p> <p>all aims</p> <p>15</p>

<sup>6</sup> ESDP 1999, p .18.

Indicators for the evaluation of the ESPON 2006 Programme (continuation)

Objectives/priorities/measures	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
<b>Priority 3</b>	<b>Results</b>	<b>Description</b>		
<p><b>Co-ordinating cross-thematic projects</b></p> <ul style="list-style-type: none"> <li>- to provide a common frame for the projects prepared under the priorities 1 and 2 i.e. provide common definitions for the collection of data base, common frame for indicators, the common structure of reports etc;</li> <li>- to add value to the results of the single projects by discussing the results in different contexts such as scenarios and options for policy conclusion;</li> <li>- to re-examine the reference of the achieved results in the light of the ESDP;</li> <li>- to make the results of the programme accessible to policy makers;</li> <li>- to allow a better understanding of the complexity of spatial development at the EU scale;</li> <li>- to give guidance on the future necessities of policies which recognise the spatial dimension.</li> </ul>	<p><i>Until mid 2002</i></p> <ul style="list-style-type: none"> <li>- to reach consensus on indicators and necessary data after a precise analysis of the availability and comparability of data at the Community level;</li> <li>- to define of the geographical level/technology for data collection, and the availability of data. First list of main requests about statistical and geographical data should be addressed to relevant authorities before mid 2002;</li> <li>- Second revised and extended request until the end of 2002.</li> </ul> <p><i>Until 2003:</i></p> <ul style="list-style-type: none"> <li>- to create tools for the identification of threads and potentials for a more balanced territorial development such as indicator lists, databases, mapping methods covering all themes in a comprehensive and integrated way;</li> <li>- to identify orientations on the implementation of spatial objectives into the existing EU policies – from analytical tools to policy measures;</li> <li>- to prepare methodologies for prospective scenarios.</li> </ul> <p><i>Until 2006:</i></p> <ul style="list-style-type: none"> <li>- to develop policy scenarios in written and visual form which help to understand the importance and potentials of the territorial development;</li> <li>- to propose ideas for the possible orientation of the up-date of the ESDP and of the Cohesion policy at the EU level (bearing in mind that the revision of the ESDP is a genuine task of the CSD).</li> </ul>	<p>Indicators rank around</p> <ul style="list-style-type: none"> <li>- the integrated data base, and its indicators in total covering the EU territory, more than the EU territory</li> <li>- Number of spatial concepts as mentioned in the programme explored</li> <li>- Number of typologies applied</li> <li>- Number of spatial scenarios</li> <li>- Number of maps produced</li> <li>- All strands and orientations of the ESDP addressed</li> </ul>	See measures	See measures

**Indicators for the evaluation of the ESPON 2006 Programme (continuation)**

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>3.1.: Integrated tools for the European spatial development (2001-2003)</b></p> <p>The aim of this measure is to use the results of the projects under Priority 1 and 2 towards the development of integrated tools for the European spatial development. The priority is more technically oriented and concentrates in the first phase of the programme. That means e.g. to summarise the indicators suggested in those projects, and to compare and check their consistency as a whole and in relation to the existing indicators currently used in Structural Funds programmes. The results will be suitable tools for the diagnosis of territorial trends, elaboration of scenarios, policy instruments and institutional settings. A comprehensive view towards the various sectoral dimensions within the territorial view should also build on the feed back from the Member States and Candidate countries.</p>	<p>The output relates to the results defined above for this priority and breaks it down to the measures and envisaged actions.</p> <ul style="list-style-type: none"> <li>- Integration of European spatial databases is a core task which provides the basic material for all further research by projects under the ESPON (starting from the databases and indicator system suggested and compiled by the SPESP regular contacts with National Statistical Agencies, Eurostat and European Environment Agency);</li> <li>- Clarification of the concepts and definition of the indicators to measure spatial and social integration (6 concepts mentioned);</li> <li>- Specification of potential thematic fields for Community intervention and how it could be articulated within national, regional and local policies.</li> </ul> <p>The output indicators relate to the results defined above for this priority.</p>	<p>Size of the integrated data base, and indicators</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> <li>- Number of spatial concepts as mentioned in the programme explored</li> <li>- Number of maps produced</li> <li>- Meetings with EU statistical authorities</li> </ul>	<p>40</p> <p>40</p> <p>20</p> <p>1</p> <p>6</p> <p>10</p> <p>6</p>	<p>Not applicable</p>



**Indicators for the evaluation of the ESPON 2006 Programme (continuation)**

Objectives/priorities/measure	Impacts/results/output	Indicators	Quantification	
			2002-04	2002-06
Measures	Output	Description		
<p><b>3.2.: Spatial scenarios and orientations towards the ESDP and the Cohesion Policy</b></p> <p>After the achievement of the improvement of the analytical base, the focus should be directed towards the preparation of projects with prospective character incorporating various spatial development trends in different types of regions. The preparation of scenarios (to 2020 and beyond) should employ an innovative, creative and multi-methodological approach and should be focused on the policy orientation of the ESDP and the Cohesion policy under the heading of a balanced and sustainable development.</p>	<ul style="list-style-type: none"> <li>- The scenarios consider the view of all Members States and candidate countries. The methods applied integrate these views but allow different kind of scenarios. Development of a common approach without suppressing deviating positions;</li> <li>- Territorial impact assessment methodology should pull together already existing results;</li> <li>- To establish links with Interreg III projects in particular with the Spatial Visions Projects;</li> <li>- The scenarios need a broad focus, including all the neighbouring countries;</li> <li>- The scenarios indicate possible domains and territories for EU policies, and identify and describe the strength and weaknesses of Europe's spatial structure in the midterm future.</li> </ul> <p>The output indicators relate to the results defined above for this priority.</p>	<p>Size of the integrated data base, and indicators</p> <ul style="list-style-type: none"> <li>- in total</li> <li>- the EU territory</li> <li>- more than the EU territory</li> <li>- Number of spatial scenarios</li> <li>- Covered of counties (EU, candidate and partners)</li> <li>- Number of maps produced</li> <li>- Strands the ESDP assessed towards improvements</li> <li>- Possible typologies proposed for community intervention</li> </ul>	<p>Not applicable</p>	<p>45</p> <p>35</p> <p>15</p> <p>3</p> <p>all</p> <p>10</p> <p>all</p> <p>6</p>

*Indicators for the evaluation of the ESPON 2006 Programme (continuation)*

Objectives/priorities/measures	Impacts/results/measures	Indicators	Quantification	
			2002-04	2002-06
<b>Priority 4</b>	<b>Results</b>	<b>Description</b>		
<b>ESPON Research briefing and scientific networking</b> - to provide common data accesses for the projects prepared under the priorities 1-3; - to establish the scientific infrastructure of the ESPON approach; - to strengthen the coherence of the common ESPON approach; - to scientifically and thematically co-ordinate the actions.	<i>Until end of 2002</i> - to develop the ESPON internal compendium on national data access and mapping capacities as input for the TPG in the Member States; - ditto for the candidate and partner states. <i>Throughout the whole programme</i> - Annual meetings of ESPON Contact Points and Bi-annual Transnational Project Groups for a co-ordinated and coherent ESPON approach between the Transnational Project Groups and ESPON Contact Points for scientific briefing and co-ordination of projects; - permanent scientific monitoring of the approach and progress.	Indicators range from the numbers of surveys on data access to the number of briefing and meetings held for the better co-ordination of the whole programme.	See measures	See measures
<b>Measures</b>	<b>Output</b>			
<b>4.1.: Data navigator: preparatory surveys on data access</b>	The output indicators relate to the results defined above for this priority.	Number of national data access surveys Number of EU data access surveys	27 4	27 4
<b>4.2.: ESPON briefing and scientific co-ordination of ESPON Contact Points</b>	The output indicators relate to the results defined above for this priority.	Number of ESPON Contact Point briefings.	3	6
<b>4.3.: ESPON briefing and scientific co-ordination of Transnational Project Groups</b>	The output indicators relate to the results defined above for this. priority	Number of conference with Transnational Project Groups	6	12

**Indicators for the evaluation of the ESPON 2006 Programme (continuation)**

Objectives/priorities/measures	Impacts/results/measures	Indicators	Quantification	
			2002-04	2002-06
<b>Priority 5</b>	<b>Results</b>	<b>Description</b>		
<b>Technical assistance</b> - Efficient running of the programme; - Efficient assistance to the Managing Authority, Paying Authority, Monitoring Committee in the fulfilment of their respective responsibilities; - Joint sound, smooth and transparent management of the programme budget and accountability, - Scientific and CIP oriented guidance for the Transnational Project Groups; - Collection and integrated management of the financial monitoring.	Results are mostly of a qualitative nature and are related to the smooth and efficient running of the programme. It has to be reminded that the core of the implementation of the whole programme, the Co-ordination Unit, is not financed under the programme.	Indicators derive from the numbers of meetings organised and the information action in terms of paper and internet presence.	See measures	See measures
<b>Measures</b>	<b>Output</b>			
<b>5.1.: Management, monitoring and implementation</b>	The output indicators relate to the results defined above for this priority.	- Number of projects contracted (priority 1-3) - Number of Monitoring Committee meetings (four per year) - Number of Monitoring Committee meetings with the participation of observers	20 12 3	30 24 6
<b>5.2.: Information, publication and evaluation</b>	The output indicators relate to the results defined above for this priority.	Number of publications organised (no finances available) Number of visitors of the ESPON web site homepage - in total - internal - external Evaluation study tendered	2 4000 1500 2000 1	5 10000 3000 7000 2