

Version 09/04/2009



The ESPON 2013 Programme

Metroborder Cross-border polycentric metropolitan regions Targeted Analysis 2013/2/3

Inception Report



EUROPEAN UNION

Part-financed by the European Regional Development Fund

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

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Introduction: Analytical Approach

The Metroborder project addresses **cross-border metropolitan regions** that are characterised by a polycentric urban structure (CBMRs). The aim of the project is to map and to better understand the structures and the functioning of this type of spatial pattern. In dealing with these questions, the project will adopt a twofold perspective, addressing both the European level and the case study level (Upper Rhine, Greater Region). Furthermore, the aim is to support strategy building in order to improve the performance of the cross-border polycentric metropolitan regions in Europe and in particular of the case study regions.

The starting point of the project is that borders and border regions have changed dynamically during the last decades. Their functions of *separation* have partly – and geographically in differing degrees – turned into the function of *interface*; border regions have partly changed from *peripheries* to *laboratories of Europe* (e.g. Van Houtum 2000, Paasi 2005, Leimgruber 2005, Newman 2006). The Metroborder project will address both sides of the coin.

Economy driven and policy driven integration

It is widely acknowledged that two fundamental dimensions can be distinguished in analysing cross-border integration, i.e. the “institutional” dimension and the “functional” dimension (Joye/Leresche 1997; Sohn/Walther 2009; Sohn et al. forthcoming).

The institutional integration is the result of the willingness of actors to co-operate beyond national boundaries. On this point, Martinez (1994) has shown that cross-border regions can be classified on a range from a situation of ignorance to one of cooperation, by referring to the phases of co-existence, interdependence and integration.

The functional dimension, on the other side, can be analysed as the form and intensity of relations between social and economic actors. As Ratti and Reichman (1993) noted, a similar gradient can be observed between a situation of separation to a situation of interaction, with the intermediate phase reflecting the increasing complexity of the cross-border socio-economic networks.

Numerous terms have been used to describe these two dimensions. Brunet-Jailly (2006), for example, identifies *political/institutional* and *economic* integration when studying the trans-boundary institutionalization and functional interdependency in three North American metropolitan border areas. In the same way, Perkmann (2005: 862) identifies what he calls *policy-driven* integration “based on the building of cooperative relationships between public and other bodies that share certain interests”, and *market-driven* integration “based on the proliferation and/or

reactivation of social or economic relationships". This definition will be adopted in the project. Compared to the original distinction between "institutional" and "functional" integration, Perkmann's definition has two main advantages.

First, it takes into account the fact that not all governance issues are mediated through formal political institutions. "Policy-driven integration" includes formal and informal governance issues, as well as public and private bodies, which contribute to cross-border metropolitan governance. As the focus of Metroborder will later turn towards strategy building, governance aspects are of particular importance.




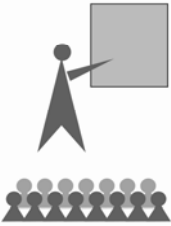
Second, Perkmann's approach serves the Metroborder objectives, especially by focusing on the "market" as a major force for cross-border integration. This allows for the concern of the Metroborder Stakeholders that the Lisbon strategy and – in that – the economic performance of cross-border metropolitan regions is of capital importance. However, "market" approach is not only limited to business relations or commuting flows but also considers societal aspects.

There are only few attempts within the literature to combine the two dimensions of cross-border integration. However, there is a need for an integrated perspective that considers not only the viewpoint of the States or governmental bodies involved in cross-border governance but also the perspective of the economic decision makers and the people who inhabit the borderlands and organise their day-to-day practices along and across a boundary (cf. Donnan/Wilson 1999; Grasland et al. 1999).

In the following, the concept of *economy-driven integration* sharpens the notion of *functional integration* used within the project proposal; likewise, *policy-driven integration* concretises the notion of *institutional integration* proposed earlier. For reasons of formal coherence, the titles of the work packages will adopt the titles used within the accepted project proposal.

Work packages of the Metroborder project

The research is organised in work packages; these work packages will closely follow the logic of the project specifications (for details see chapter 5). The overall logic of the Metroborder project, bringing together 4 project partners and 4 subcontractors, can briefly be visualized in the following chart:

	WP 1 General Framework (EU level)	WP 2 Case Analysis	WP 3 Strategy Building	WP 4 Dissemination
				
Responsible for WP	CEPS	ETHZ	UL	UL
Involved partners	IGEAT, UL, ETHZ	UL, CEPS, USB, UHA, CEGUM, Reg.Bas	ETHZ, IGEAT	Reg.Bas
Leadpartner	UL			

Abbreviations

UL	University of Luxembourg
CEPS	Centre for Population, Poverty and Public Policy Studies
ETHZ	Swiss Federal Institute of Technology Zurich
IGEAT	Free University of Brussels
CEGUM	Centre for Geographical Studies at Metz University
UHA	University of Upper Alsace
USB	University of Saarland
Reg.Bas	Regio Basiliensis

Tab.1: Logic of work packages

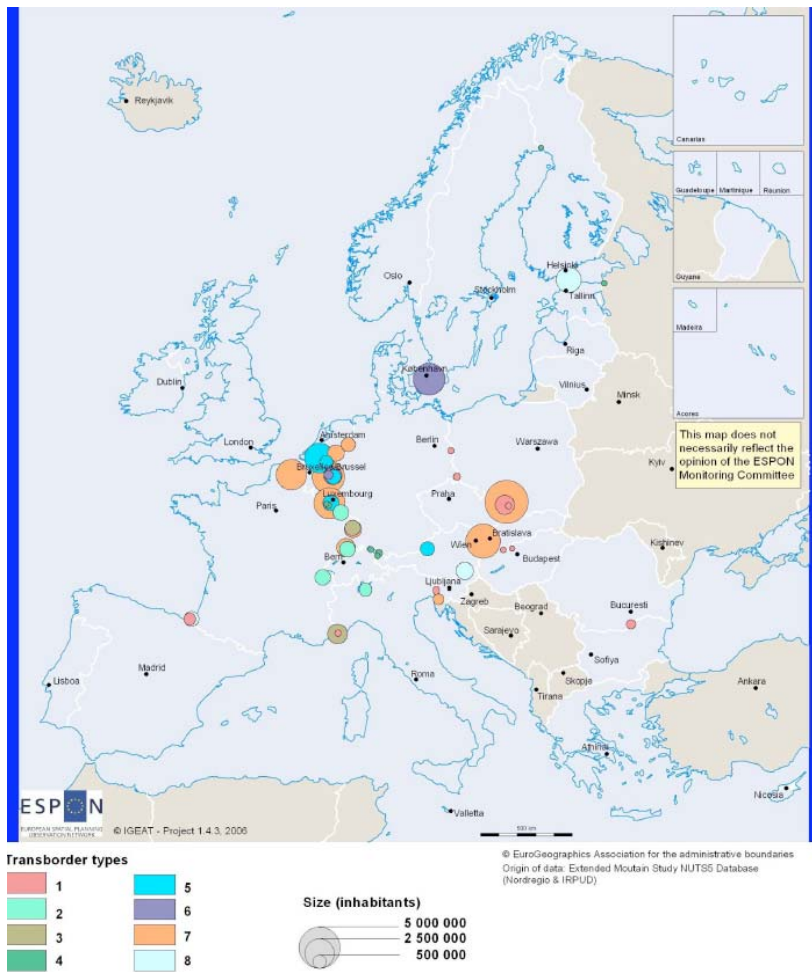
1. WP 1: General Analysis

1.1 Functional Integration (WP 1.1)

Starting point for WP 1 is the work of several ESPON 2006 projects on metropolitan functions, polycentricity and cross-border territories, notably ESPON 2006/1.1.1 and 1.4.3.

ESPO 1.1.1 provided a first list of Functional Urban Areas (FUAs) for 27 European countries. This result was later been further developed with up-to-date data by ESPON 1.4.3, and also enhanced with more detailed information about Morphological Urban Areas (MUAs) and hence with structural information for the FUAs, considering the FUAs as the labour pools of the MUAs. The FUAs were also grouped in poly-structures, according mainly to distance criteria, among which the big ones are in essence the Metropolitan Areas.

In particular, ESPON 2006/1.4.3 has also analysed the cross-border areas, as functional urban areas that have an international dimension; the relationship between the different morphological centers has been analysed mainly on the basis of work basins data (cp. Map 1) and the disposition of the different sub-elements of the FUAs on each side of the borders.



Map 1:
Transborder types
according to ESPON
2006/1.4.3 (p. 141)

For the Metroborder project, cross-border territories are particularly interesting with regard to their metropolitan function. The project mentioned above considered the metropolitan dimension mainly on a size base and, with regard to polycentricity, on distance between the employment centres (the morphological areas of the cities).

On a general level, the ESPON project has considered metropolitan functions as MEGAs – urban agglomerations “of excellence” (ESPON 2006/1.1.1: 112), grouped in a typology of four. The so far research has considered the following indicators:

Theme	Variable	Variable index	Total index
Mass criterion	Population	Index: average of MEGAs = 100	Mass criterion: average of two indices
	GDP	Index: average of MEGAs = 100	
Competitiveness	GDP per capita PPS	Index: average of MEGAs = 100	Competitiveness: average of two indices. Index weighted so that GDP per capita is 2/3, headquarter location 1/3)
	Location of TOP 500 companies in Europe	Index: 10 companies = 100	
Connectivity	Passengers at airports	Index: average of MEGAs = 100	Connectivity: average of two indices
	Multimodal accessibility indicator	Index: average of MEGAs = 100	
Knowledge basis	Education level	Index: average of MEGAs = 100	Knowledge: average of two indices
	R&D share of employment	Index: average of MEGAs = 100	

Tab. 2: MEGA-analysis variables, ESPON 2006/1.1.1, p. 116

Indicators and Methods

Combining metropolitan functions and polycentric cross-border situations is, in the first instance, a challenge of data availability and comparability on an appropriate scale. Thus, going beyond the existing perspective means to develop indicators on a stable data basis. In concrete terms, the first months of the project will be dedicated to the development of the following indicators:

- Cross-border commuters

This indicator measures the extent of home-work-flows that cross the borders. The indicator relates to the intensity of the current flow and their (dis)symmetry, not the geographical distribution of origins and destinations.

The Atlas of the MOT already provides figures for 6 of the 11 case studies selected. This indicator will be developed by the CEPS.

- Evolution of the population and density

ESPON 2006 already has a database with the municipality population for all the areas analysed. The dates available are 1981, 1991 and 2001. The CEPS also has population data for Luxembourg, Basel and Geneva (1969, 1980, 2000).

These databases will be supplemented but taking into account more up-to-date data will depend on the availability in each country. Differences in the reference dates between countries will be taken into account in the calculation of an average annual growth rate. A map with the population (or density) will be generated for each border city. This indicator is developed by the IGEAT.

- Wealth differential (GDP)

Different indicators may be considered, but tests will have to be carried out in order to validate the choices. On the one hand, it is possible to analyse the distribution of GDP among the different areas that form the cross-border metropolis. This would measure the economic importance of both sides of the border and their evolution over time. On the other hand, we can measure changes in the border differential in terms of GDP growth. The analysis of GDP per capita has no meaning to a sub-metropolitan scale taking into account the bias associated with workers commuting. The analysis is performed with data from Eurostat collected at NUTS 3 level. In case the NUTS3 areas are too large (like in France around Lille), the NUTS 3 area should be divided in order to better fit the spatial units of analysis at the perimeter of FUAs. The indicator is produced by the IGEAT for the years 1995, 2000 and 2005.

- Public transport

The aim of this indicator is to identify the rail, tram and bus connections across the border within the metropolitan areas. The indicator is the number of lines and the number of trips per day (weekdays). The calculation of this indicator requires mobilisation of various sources of information, including websites of public transport companies. The indicator is produced by the CEPS.

- Nationality of the residents

This indicator aims at calculating the rate of residents who are nationals of neighbouring countries on both sides of the border. The difficulty of this indicator lies in the collection of data that is not always easy to obtain, particularly in France (OK in Belgium and Luxembourg). Another difficulty is related to the interpretation: foreigners do not necessarily reflect economic integration. If, and only if, data are available, the indicator will be produced by the CEPS.

- Demographic dependency

The initially proposed indicator on the age structure is abandoned because the requirements of date precision cannot be fulfilled. The evolution of the population is expected to provide more satisfactory results.

Pyramidal approach

The notion of *cross-border polycentric metropolitan regions* (CBMRs) brings together numerous criteria that differentiate the much broader category of cross-border agglomerations. The Metroborder project will reflect this by means of a pyramidal approach (see fig. 1): Starting point of the research will be the typology of ESPON 2006/3.4.1 that identified 28 cross-border regions of which – within that project – 15 have been identified as being *metropolitan*. Taking into account the additional criteria of polycentricity and metropolitan functions, the number of research areas has to be reduced to 11 regions: the cross-border dimension is not sufficiently strong in the cases of Milano and Tillburg-Eindhoven as more than 95% of the population of the cross-border area live in one country; Arnhem-Nijmegen and Twente-Nordhorn do not show a clear metropolitan dimension as evidenced by ESPON 1.4.3.

Four of the metropolitan identified are comprised by the case study regions Upper Rhine and Greater Region.

The logic of the pyramidal approach is to deepen the analysis for the *cross-border polycentric metropolitan areas* (CBMRs) as for these regions the characteristics defined in the Metroborder project specifications are comprehensively given. The regions in detail:

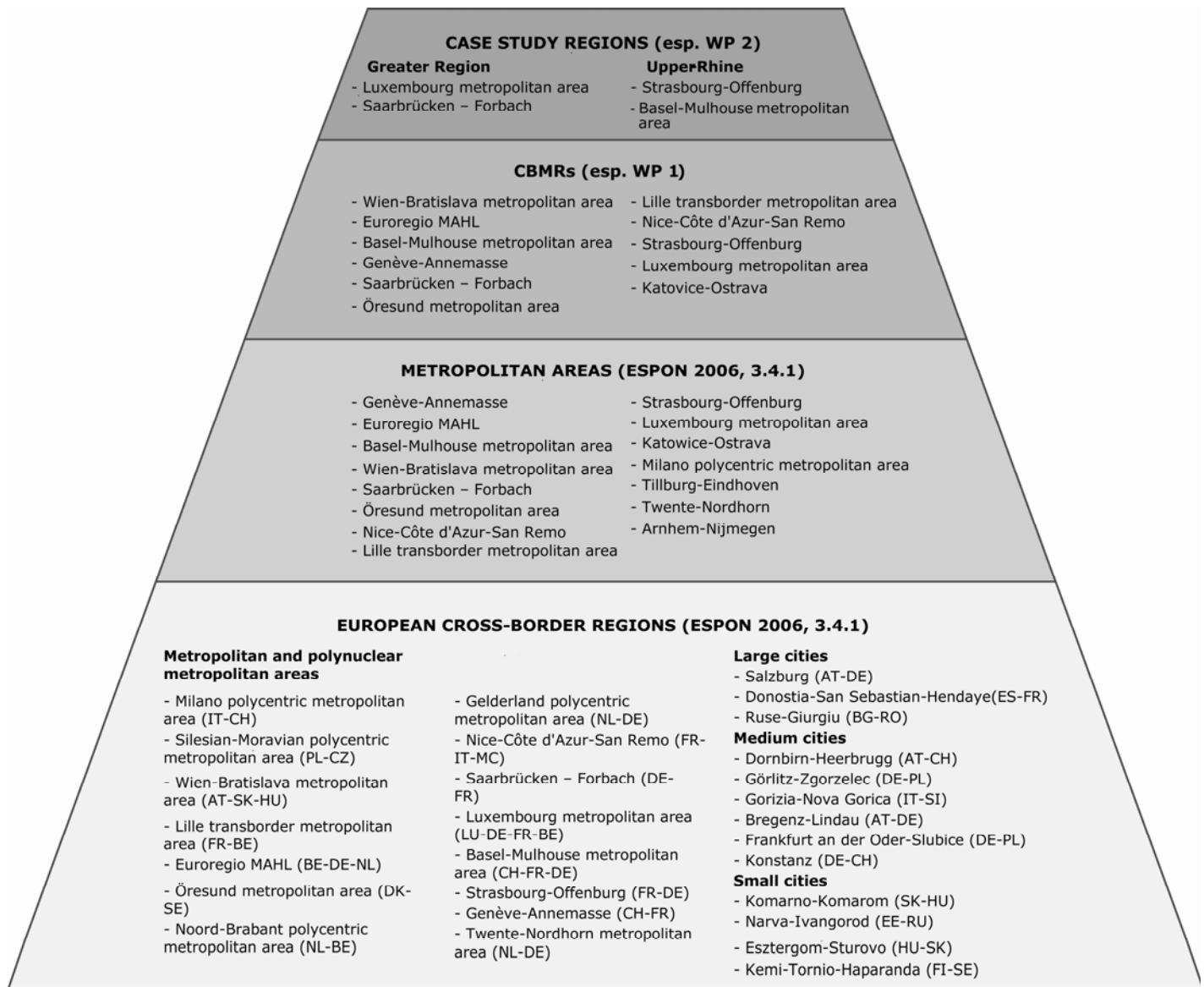


Fig. 1: Pyramidal approach to cross border areas
(European cross-border regions and Metropolitan Areas according to ESPON 1.4.3, p.133-139; CBMRs and Case study regions as subject to the Metroborder Project).

Overall positioning

The interpretation of the results would be somehow meaningless if the non-cross-border regions were not taken into account as a relative reference for the overall positioning of CBMRs evaluation. This will be done by positioning the CBMRs with regard to the other comparable MEGAs.

The positioning of the cities in the European and world networks can be approached through several indicators. These indicators cover the accessibility and the capacity to participate in the European and global economic networks.

Indicators of accessibility focus on the airflows, for which we can distinguish intra-European and extra-European airflows. This indicator could also be combined to a road accessibility indicator in order to evaluate accessibility from nearby airports (to be confirmed).

Indicators of cities insertion in the global networks include:

- transnational headquarters as an indicator of the commanding functions in the city (source : Fortune);
- offices of transnational of advanced services located in the city as an indicator to attract high level services which are a key of recent economic growth (Source : GAWC);
- the insertion of the cities in the transnational networks (source : AMADEUS database).

These different indicators are well correlated to each other and a synthetic indicator could be implemented through a principal component analysis.

This indicator would allow a comparison of the participation in the global networks of the CBMRs with regard to the other comparable MEGAs.

Furthermore, a link with ESPON 2013 FOCI-project (Future Orientations for Cities) will also be developed in order to address the global positioning. This will be facilitated especially by means of IGEAT that is both FOCI lead partner and Metroborder partner institution.

1.2 Institutional Integration (WP 1.2)

WP 1.2 *Institutional integration* aims to analyse the policy driven integration, i.e. the governance related aspects. The Metroborder TPG considers the results of the ESPON 2006 project on Governance, especially on transnational/cross-border areas, as an important inspiration. The overall finding of this project – based on 9 case studies – has been:

“The cross-border case studies tended to be based on voluntary collaboration between local authorities across national borders, with an overall lack of participation of civil society and stakeholders. In addition to this horizontal collaboration, the vertical relations to the nation states are of importance particularly in relation to their role as providers of legal frameworks etc. The case study areas can also be characterised by their Europeanization, both in terms of EU funding and EU programme frameworks such as INTERREG. Cross-border collaborations are the laboratories through which transnational ideas on governance can be channelled and tested” (ESPON 2006/2.3.2.: 26).

The ESPON 2006 project was spatially limited to very concrete cooperation issues (like the PED within the Greater Region) and it has not addressed the metropolitan function of cross-border regions nor has it considered the economic performance. Thus, Metroborder has to go beyond the scope of that approach.

As lined out above, governance relies on institutions in a broader sense comprising formal (i.e. codified) and informal institutions. Informal aspects play a crucial role especially in cross-border contexts. However, and also due to resources of the project, the informal aspects cannot be analysed in detail. Thus, the study will regard formalised institutions in a twofold sense: Firstly, formal institutions are seen as an *explanation* for the functioning of cross-border life; and secondly, they are considered as an *indicator* for the overall function, including the informal aspects.

This work package will apply a multi-criteria approach, also based on existing studies, in particular Reitel 2007, AEBR 2008 and ESPON 2006/2.3.2.

The sources to be used are firstly existing data collections (ESPON Database, MOT and AEBR 2008), and secondly an empirical survey. This survey – to be conducted by the CEPS from September 2009 on – will compile the information necessary to build the following indicators:

- Cross-border identity (common name, logo, symbols...),
- Historicity (Date of creation, development),
- Degree and structure of Institutionalisation of CB cooperation,
- Financial resources,
- Operational projects,
- Public-Private Partnerships,
- Strategic vision.

As a background, the indicators of the ESPON-2006-project 2.3.2 will be considered, namely (cf. ESPON 2006/2.3.2.: 33):

- political system of the involved states,
- spatial planning systems within the involved states,
- role of sub-national governments within the involved states,
- multilevel-governance: forms of cooperation and coordination.

Last but not least, studies on governance have to address the normative aspects of *(good) governance* in the sense of the White Paper of the EU Commission on Governance respectively the aspects of the *territorial governance* of ESPON-2006/2.3.2: The openness to broad participation has to be considered. In the end, territorial governance has to be understood “as a process of the organisation and co-ordination of actors to develop territorial capital in a non-destructive way in order to improve territorial cohesion at different levels” (ESPON 2006/2.3.2: 13).

Work package 1 will analyse the market driven integration and the policy driven integration separately. The interpretation of the results, however, will bring the two axes of research together. This ‘confrontation’ step should result in an integrated typology.

2. WP 2: Case studies

2.1 Logic of work package 2

WP 2 is based on the general framework of WP 1, will take its results as a starting point, and then goes into detail. The objective is to better understand the cooperation and integration processes, its driving forces and its barriers.

The two examples Upper Rhine and Greater Region cooperate politically over a large distance. At the same time, both case study regions are located within the most active economic centre of Europe, with longstanding experience of economic cross-border cooperation.

However, the political and economic cooperation spaces are not identical, even if they are closely related. The starting point of the investigation will be the territory of the (outer) limitation of formally institutionalised cooperation: in the case of the Upper Rhine, this means the limitations of the *Upper Rhine Conference* (in this case the numerous overlapping cooperation agreements make it difficult to detect clear-cut borders of the Upper Rhine). In the case of the Greater Region the representatives of the *Summits of the Greater Region* stand for the involved territory (cp. Fig. 2).

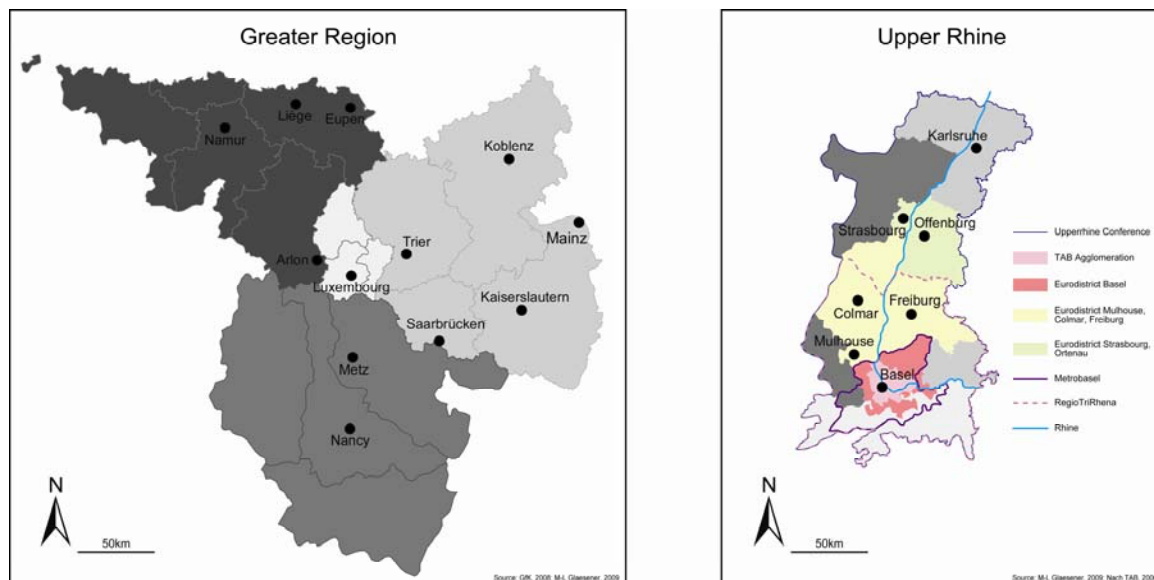


Fig. 2: Outer limitations of the political cooperation space of the case study regions

The area of institutionalised political cooperation is not entirely metropolitan: Some areas simply do not have metropolitan functions; others belong to or are strongly influenced by domestic (non cross-border) metropolitan areas, like parts of Wallonia, strongly influenced by Brussels etc.

At the same time, we can assume for both case studies, that the *cross-border* metropolitan areas are completely covered by the political cooperation space.

Thus, in approaching the case study regions, we consider three kinds of spaces (cp. Fig. 3):

1. **Metropolitan cores** are those territories which meet the classical indicators of metropolitan functions at most, firstly in an economic sense (labour market, headquarter function etc.). Moreover, political actors also attempt to position 'their' region on the European and global stage, defining their interests, planning their development paths and starting cooperation with neighbours as well as with other MRs on a European or even global level.
2. The **metropolitan region** (MR) comprises the whole area of metropolitan functions, including secondary centres. This addresses exchanges between suppliers and clients, workforce and the activities of institutions which altogether form the metropolitan production system.
3. As mentioned, the **political cooperation space** of Upper Rhine/Greater Region comprises the territory of institutionalised cooperation spaces. This umbrella term does not pretend overlapping and competing cooperation issues within the multi-level governance; nor does it oversee the interlinkages with the economic context. Both case study regions share the logic of European competitiveness of former peripheral regions in the respective national states.

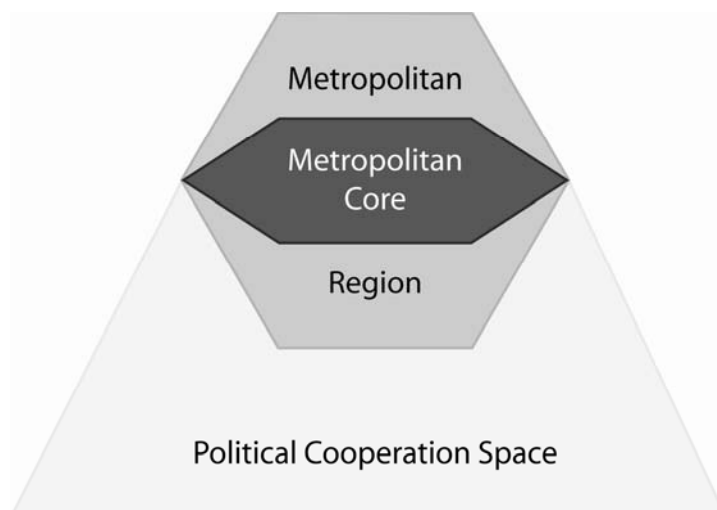


Fig. 3: Limitations of integration spaces – not automatically congruent

2.2 Functional Integration (WP 2.1)

On case study level, the analysis of functional integration will concentrate on the economy or market driven integration. Both case study regions address some common, some complementary and some competing interests on a national and even European level.

The cross-border situation is crucial for the position of firms and economic sectors within the CBMR. Their situation is characterised by the cross-border collaboration of actors (e.g. client-supplier relations, labour markets) as well as by differentiation and the persisting demarcation rules (different regulations in law, taxation, customs).

The analysis of the economy driven integration will focus on so called *Cross-border Metropolitan Production System (CMPR)*, comprising the whole range of economic sector location, common used practices, information exchange and confidence, most relevant labour markets and shared values between regional actors.

By analysing the CMPR we assume that the cross-border situation delivers a higher added value to those enterprises who are acting within these environments compared to other actors/ locations without cross-border context. In some cases only the cross-border location justifies their persistence (e.g. import-export firms or logistics).

These advantages fuel functional integration and provide an important basis for the future significance of the CBMRs in general.

Therefore the aim of WP 2.1 is to explore in particular the cross-border component of the relevant economic sectors within the two CMPRs. This addresses all the specificities of the production process which are linked to the border: including the recruiting of qualified personal, the supplier-client relations and finally the spatial division of functions within the sectors (e.g. production and dwelling sites). In order to do this, existing studies will be taken into account, and empirical data will be gained, in particular by means of expert interviews.

The respective situation in both case study regions will be analysed firstly on a general level and then with regard to a particular economic sector.

A) Overall assessment

The overall assessment of both case study regions will mainly be based on the analysis of the "Highly qualified metropolitan employment". The analysis of metropolitan employment is based on the OECD-Eurostat (2006) high-technology manufacturing and knowledge-intensive service sectors nomenclature. This nomenclature has already been adapted to the case of Luxembourg and contains six categories:

- high-technology manufacturing industry;
- high-technology knowledge-intensive services;
- market knowledge-intensive services;
- financial knowledge-intensive services;
- other knowledge-intensive services;
- international organizations.

For each category a breakdown of the economic activities based on the NACE Rev. 1.1. classification will be mobilised at 3-digit level (NACE: classification of economic activities in the European Community).

Greater Region

The data files of the Social Security Agency in Luxembourg (Inspection Générale de la Sécurité Sociale) are envisaged to be the data basis. These files, available for each year, comprise all persons who benefit from Luxembourg's social welfare system, including the cross-border workers and their families. For each person, a variety of information is included, such as: place of residence, place of the employer's headquarter, economic activity (5-digit NACE), socio-professional status, nationality, age, gender, etc. So far, the years 1994, 1996, 1999, 2002, 2005, 2008 have already been collected and processed by the CEPS.

The results will give a profound overview of the economic structure of the Greater Region, including particularly the differentiation of sectors.

Upper Rhine

The Upper Rhine case study also considers metropolitan employment measured by socio-professional categories and the number of workforce in the NACE/NOGA database, adopting the method described above. Furthermore, commuter matrices will be analysed, notably with regard to the spatial development and labour markets.

The main challenge for the Upper Rhine case study is the data collection and harmonisation in three countries with different systems and different problems:

1. With regard to commuting: Switzerland and France data are comparably old (2000, 1999; however offering the possibility to compare with 1980 respectively 1982). In Germany the data at hand are more recent but only on the level of people in the social security system.

2. The NACE database (in Switzerland NOGA, in France NAF) is available for a three-year interval in Switzerland (1991/95/98/2001/05/08). For Germany these data should be available also via the social security system (Bundesagentur für Arbeit, Nürnberg). The questions of availability and cost will be clarified in due course.

The same counts for France: The NACE/NOGA/NAF indicator, collected by census of enterprises, allows measuring the amount and structure of the metropolitan production system which in Upper Rhine is dominated by life sciences, arts & design and logistics.

3. In France and in Switzerland census data of socio-professional categories exist. They are collected by *census of population* so that these data are not linked with NACE/NOGA (*census of enterprises*), i.e. a certain sector. Therefore it is still not

clear how these data can be used. This means that "highly qualified metropolitan employment" in life sciences might be classified only indirectly by estimating the qualification structure of the bio-sector.

B) Sector specific analysis

The described overall assessment will give an overall picture of the economic structure with regard to cross-border metropolitan functions. The aim of a sector specific analysis is to analyse the underlying mechanisms of economic cross-border interlinkages by in-depth research.

Greater Region: automotive industry

Within the Greater Region, the cross-border functional integration will be studied in depth using the example of the automotive industry. The automotive industry is especially appropriate as it is a large industry comprising diverse branches and both small and middle sized enterprises as well as large entities. All countries being involved in the Greater Region try to foster the automotive industry by means of cluster initiatives etc. Moreover, this *Leit-Industrie* has in all involved countries been one pillar of structural change during the last decades, and it is a crucial sector also in the current crisis of the economy (cp. Dörrenbächer & Schulz 2002, 2005, 2006).

The research focus will combine both quantitative as well as qualitative aspects: To inventory the automotive sector in the Greater Region, the existing companies will be studied with regard to their organisational structure (headquarter vs. branch plant, degree of independence etc.) and their development path / history.

The objective is to analyse their contribution to the metropolitan function within the territory. This part will mainly consist of internet inquiries.

On the basis of this inventory we will take a sample of companies which will be studied by a standardised questionnaire. This questionnaire will deal again with the organisational structure and the history of the respective companies (development paths) in order to acquire an in-depth knowledge. Furthermore, the questionnaire will study the cross-border relationships of each company with regard to the fields of:

- research & development,
- product development,
- production (production process / production organisation),
- lobbying, networking,
- marketing,
- human-resources (training, recruitment, employment),
- participation, work flow, working culture, work team.

After this quantitative step, a sample of actors of various product sectors (e.g. drive train, chassis, electrics, production requirements etc.) and of actors representing various types of organisations and companies with different structural, cultural and other characteristics (e.g. 1st, 2nd, 3rd tier suppliers, branch plant, headquarters etc.) will be interviewed (qualitative inquiry). In addition to the topics of the questionnaire these interviews will focus on further information and data about the cross-border integration, on an evaluation of the effects of cross-border integration and on the identification of potential barriers for a higher degree of integration.

Upper Rhine: Life Sciences

For the Upper Rhine region, the life sciences sector is of particular interest: The corresponding research and production cluster has evolved from 19th century textile coloring, the transformation from bulk chemical to chemical specialties to biotechnical research and production. Cross-border relations exist since the early days of industry – at first between cantons, then, soon between the national states, only interrupted by the wars and soon afterwards restarted. Viewed on the taxable earnings per capita, the canton of Basel-Stadt (the metropolitan core) is the richest in Switzerland. As the core has less than 200'000 inhabitants, this value is biased. At the same time, this example shows that the metropolitan production system of Basel can only be explained in the cross-border perspective.

The sub study will take the following steps:

- taking into account existing research (e.g. Zeller 2001, publications of the BioValley association, strategies of the cantons Basel-Stadt and Baselland etc.);
- use of existing data (esp. NACE/NOGA/NAF) and getting information how and in which way other industrial sectors of manufacturing and services may contribute to the dominating life sciences sector as client/suppliers. Therefore links between different sectors have to be identified in further steps (as e.g. the cluster of arts, design and architecture).
- Compilations of data collected by associations for the promotion of the science cluster (BioValley) will be considered.
- Additional methods to gain the new empiric data are expert-interviews, especially with decision makers in the economic sphere and an economic part in the Delphi study (see below).
- It should be mentioned that also other NACE/NOGA industrial sectors (as tools & machines) may contribute to the dominating life sciences sector as client/suppliers. Therefore links between different sectors have to be identified in further steps.

2.3 Institutional integration (WP 2.2)

The policy driven integration and the governance regime of both case study regions and their positioning at the European scale will already be explored in WP 1.

WP 2 will give added value to these considerations in three ways:

- **Informal dimension:** WP 2 considers informal and de-facto-functioning of cross-border cooperation not only by considering formal institutionalisation as an indicator (as WP 1 has to do for reasons of efficiency). Instead, the informal and de-facto functioning *itself* will be regarded. This is of crucial importance, as intercultural challenges and complex juridical situations enforce e.g. the importance of individual engagement and personal network building.
- **Future dimension:** As strategy building within the case study regions is one of the major aims, the political strategic options for (a better) cross-border cooperation will be explored (and will later in WP 3 be further developed).
- **Detailing:** The mentioned dimensions are based on more detailed empirical evidence, considering more expert opinions, documents etc.

In order to do this, the following methodological approaches will be applied:

- Analysis of documents;
- Expert Interviews;
- Delphi study.

The research process will follow the following steps:

Analysis of documents

Documents (in addition to the already considered documents of WP 1.2) of numerous types will be considered: official codifications of cooperation (legal texts, treaties etc.), political statements, cross-border project results and evaluations (e.g. INTERREG), and grey literature.

The analysis will address the following aspects:

- type and intensity of cross-border cooperation (e.g. kind and number of partners, relation to a certain policy, stability over time);
- positioning within the multi-level governance: in this context, the horizontal as well as the vertical dimension has to be addressed. In addition, the distinction between the internal and the external dimension will be particularly considered.

Expert interviews

In each case study region, 10-20 expert interviews will be conducted (recorded, but not transliterated). They should be complemented by workshops etc. – this depends largely on the possibility to link into political events that take place anyway: Organising single group events at this stage bears the risk to overstrain the cooperativeness of certain actors that will be indispensable in later stages of the strategy building process. The aim of the interviews will be twofold:

- Providing context knowledge with regard to the documents to be analysed.

- Preparation of the Delphi study (identification of relevant experts, focussing the survey design).

Delphi Study

A crucial part of the analysis of governance will be a Delphi study, conducted in both case study regions. The two-round Delphi study will be organised in the form of an online questionnaire.

In very general terms, a Delphi study “is based on a structured process for collecting and synthesising knowledge from a group of experts by means of a series of questionnaires accompanied by controlled opinion feedback” (Evalsed 2008).

The aim of the survey is to *develop, aggregate and assess strategic options for the future of the CBMR development*. In doing that, the experiences hitherto gained will also be addressed.

Thus, the Metroborder Delphi study does not aim to formulate a foresight in the sense of very classical Delphi studies (‘technologic futurology’). Neither will the study aim at creating consensus amongst the diverse actors, which is another important strand of Delphi studies (cp. ESPON 2006/1.3.1.). Instead, the envisaged Delphi conception belongs to the so-called ‘policy’ or ‘strategic’ Delphi studies. Especially in the context of territorial research questions, this combination has proved to be fruitful (e.g. Stratmann 2000: 129, Pütz 2005).

The challenge is the high complexity of the subject addressed (cp. Evalsed 2008). The strategic future of cross-border cooperation within multi-level contexts is – no doubt – a multifaceted and complex subject. Thus, the indispensable objective is to ‘focus’ and to break down the context into manageable units.

It has to be mentioned that the interviews and the Delphi study are not restricted to question of policy driven integration but also take the market driven side into account.

The Delphi study has to be prepared by an interactive preparation phase that will be carried out by the UL, the ETHZ and Regio Basiliensis. It will be organised in the following steps:

A) Selection of participants

- The two partners responsible within the case study regions will work in close collaboration to define the *expert* status. The relevant persons will be experts with a high degree of professional experience with cross-border (non-) cooperation issues. They will represent mainly political institutions and economic activities (e.g. associations, firms).
- The actual identification of the persons will – on the basis of the joint definition – be made on the basis of official information but also by means of interviews with ‘insiders’ (see below). Approximately 50-100 persons are expected to be identified within each case study region.

B) Interactive Preparation Phase

- The preparation of the actual survey is of crucial importance – especially in order to focus the research question to a manageable format. This focussing will mainly be based on the information of expert interviews, conducted in both case study regions and analysed in collaboration of the involved TPGs. Questions of formal institutionalisations will also be addressed as the role of confidence, reputation and convention.
- As a Delphi study survey is a highly standardised and quantitative method, the exploratory phase and the pre-test have to be carried out very carefully. (Carto-) Graphic elements will complement the text-based methodology.

C) Delphi rounds 1 and 2

- The actual Delphi study in form of two rounds will invite the participants by email, indicating a Web-Page offering an online survey. Non-responding addressees will be recontacted via email and by telephone to ensure a high response rate, also for the second round. The rounds will be conducted in Autumn 2009 and in early 2010. The second round will comprise results of the first round and – as kind of case-study cross-checking – selected results from the other case study region will be inserted, too. In case of dissenting responses, explanations will be asked.

D) Analysis and synthesis phase

- The analysis will comprise the respective statistical tools as well as some qualitative tools regarding the comments.
- The results will be synthesized within the TPG in order to maintain the coherence between WP 1 and 2 as well as between the two case study regions.

2.4 Zoom-in: 'secondary centres'

The existing research on metropolitan functions is very much focussed on the core metropolitan regions and on linkages to other metropolises on the global level. However, the complementary functioning on a regional scale with *secondary centres* is an important dimension, too. This is particularly true for the two case study regions as they are, on the one hand, embedded in a polycentric environment, and, on the other hand, they are not dominated by a global centre. For this reason, the role of the secondary centres will be scrutinized more closely (cp. ESPON 2006/1.1.1: 130).

This sub-study will address attitudes and approaches toward a common "metropolitan future" of cross-border municipalities. The outcome will be an overall general logic of the role of secondary centres within a metropolitan context; the empirical evidence will be collected mainly by means of the Basel region.

- Example Basel: Basel is the dominant centre acting as international player and defining the guidelines of the territorial project. So the surrounding periurban centers in other countries or cantons cannot easily respond to these ambitions. However, they may constrain them by pursuing own plans and claiming more participation as the core town is willing to give. Although these are normal problems in the relations between the core town and its neighbours, these problems get a supplementary dimension by the transborder situation. Questions of particular importance are the enlargement of the transport infrastructure and the compensation of benefits and charges.
- Data/Methods: This research will be done by a combination of data analysis and interviews. First there will be an analysis of the administrative sector by comparing the number and qualification of employed people in the public services. This allows it to estimate the capacities of these towns in getting external knowledge, in developing their specific trajectory and in negotiating their own interests towards the core town. Secondly, focussed interviews will be conducted, addressed to the relevant decision makers in these secondary centres. The interpretation must consider the differentiation between "normal" town-periphery-problems and specific cross-border problems.

This module within WP 2 gives answers to question of functional/spatial integration by questioning the role of secondary centres as part or counterpart of the entrepreneurial ambitions of the core centre in the completion of metropolitan areas. This contribution delivers information about the capacities of the whole metropolitan region to act in a concerted way.

This sub-study will be carried out by the University of Mulhouse.

2.5 Feasibility Study: Access to emergency related services

Cross-border cooperation is in parts a question of political attitudes, but it has existential aspects, too, when considering the cross-border functioning of emergency related services. The Metroborder project will address this aspect, at first, in form of a feasibility study until the interim report.

This feasibility study will address emergency related services for two reasons:

- Spatial accessibility is more significant than social accessibility for this kind of service. In other terms, the distance from the inhabitants to the service providers is determinant for the chances of survival. Thus, the question of a cross-border harmonization of emergency systems is likely to improve the level of service for the inhabitants living close to the boundaries. For other services like the universities or the airports, social conditions often prevail before spatial accessibility.
- The emergency related services rank high in the agenda of policy priorities in the Greater Region and in the Upper Rhine region.

The objective of the feasibility study is to assess the contextual and methodological preconditions:

- Providing the inhabitants a common access to emergency related services suppose some technical and administrative arrangements between national systems. In the ideal situation, someone phoning to the emergency number could be answered by a common platform, and helped by a security team coming from the nearest point, whatever the side of the border. A first work to progress in the feasibility of such a work lies in underlying the technical, administrative and even cultural challenges.
- By analysing the context, the study will propose criteria to define which services display real cross-border stakes, i.e. could ensure the inhabitants a clear added value in case of harmonization of national systems. This output is important from a pragmatic point of view. The cross-border stakes will allow determining which services do not deserve any reorganisation in a cross-border way.
- The methodological preconditions consist in assessing the availability of data regarding the emergency related services, and proposing a way to combine them. Following the methodology raised in the ESPON 2006/3.2 work on the accessibility to maternity hospitals, three kinds of data are requested:
 - o The supply: localisation of the emergency related service providers and measure of their capacity (number of beds, number of physicians, etc.).
 - o The demand: localisation of the inhabitants, and eventually of the places where injuries/accidents can be of tremendous importance (Seweso plants) or are likely to occur (e.g. large road crossroads).
 - o The accessibility in terms of time distance.

This sub-study will be carried out by the CEGUM Metz.

3 WP 3: Strategy Building

3.1 SWOT Analyses

Work package 3 aims to develop strategies that help to improve the performance within the CBMRs in Europe and in particular within the case study regions. The starting point will be the SWOT analysis in the strict sense, thus it does not produce new empirical evidence but will conduct a focussed interpretation towards political strategies and this will be based exclusively on the empirical evidence from WP 1 and 2.

In this sense, the economic and political processes of cross-border integration will be brought together in order to assess possible future developments.

The aim of the SWOT analysis is to present the actual situation and trends in an intelligible way that encourages the political discussion on strategies, favours the elaboration of diagnosis and interdisciplinary coherence (cf. Terrados et al. 2007: 1275). In that sense, the SWOT is a tool to 'translate' scientific evidence for political strategy building (cf. Karppi et al. 20001: 16). They also serve as basis for the later phase of scenario building.

SWOT "is often used in participatory planning approaches, although it was originally developed for strategic planning in business and marketing purposes. It must be taken into account that SWOT is only a tool and has to be based on a sound knowledge of the present situation and trends", that has to be transferred between scientific and political actors (Terrados et al. 2007: 1279).

The principle idea of SWOT analyses is to assess the 'performance' of organisations both with regard to the internal structures and to the external context. The aim is to "build on strengths, eliminate weaknesses, exploit opportunities, mitigate the effect of threats" (Karppi et al. 16; see fig. 4).

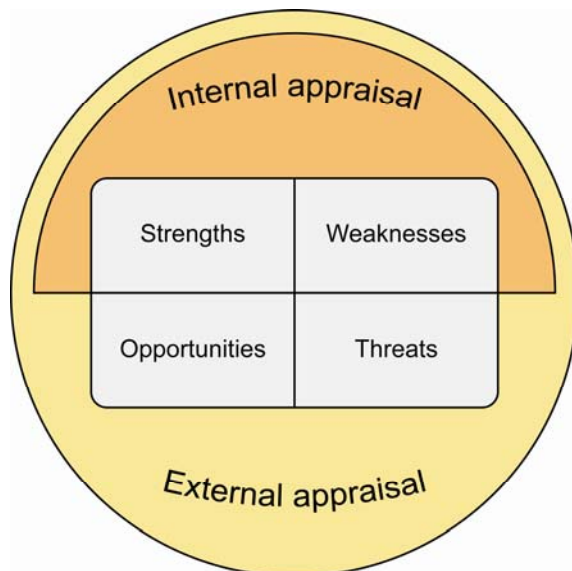


Fig. 4: The Logic of SWOT analyses

In this case, a *regional* SWOT-analysis will be conducted. The main challenge for regional SWOTs is to define the limitation between the internal and external spheres. Of course, territorial limitations for the social-economic findings have to be adopted. For aspects of governance the simple seat of institutions or even places of residence cannot be the only criterion. As well, deterritorialised organisational or political communities are not easy to be operationalised. This challenge must be faced step by step, based on the results of WP 1 and 2. Existing studies often work with spatially anchored networks of organisations as blurred borders are a common problem in regional development in general and in cross-border environments in particular.

The outcome of the SWOT approach will be one SWOT analyse for each case study (Greater Region, Upper Rhine), and several SWOT analyses following the typology of CBMRs at the European level.

The steps that have to be taken are:

- delimitation of internal and external context;
- defining the crucial categories of results in which both the economy driven and the policy driven dimension have to be considered;
- summing up and reinterpretation of results in a comparative perspective;
- presentation in SWOT table and text addressing stakeholders.

3.2 Scenarios

Whilst the SWOT analysis mainly considers the current trends of the regional and cross-border development, *scenarios* are increasingly oriented towards the future political engagements. The ESPON 2006 programme has considerably contributed to develop this technique for territorial research questions (cp. ESPON 2006/3.2). In that sense,

“scenarios are narrative descriptions of possible futures that focus attention on causal processes and decision points. A scenario describes a possible future through the development of logical ‘cause and effect’ steps. The scenarios outline future developmental pathways based on schematic descriptions of certain key variables.” (Dammers/Evers 2008: 630)

In this context, an integrated multi criteria scenario is foreseen, that has to be based on the following steps:

- Reference to Scenario context (socio-economic and policy trends);
- Definition of scenarios (base line-; positive and negative scenarios);
- Scenario hypotheses;
- Integrated presentation and visualisation as input to stakeholders in the case study regions. Theses presentations have to take into account existing political visions that are in the case of the Greater Region even shaped as a scenario (cf. Niedermeyer/Stiens 2004).

In that sense, the scenario building is supposed to be a most interactive process in order to not remain academic consideration.

4 WP 4: Dissemination

With regard to dissemination, the TPG will apply an 'on-demand-approach': As the Metroborder project belongs to ESPON priority 2, the dissemination activities depend from the dialogue between the TPG (esp. UL as responsible for this WP) and the stakeholders; moreover, the consultation committee will be involved in this dialogue. Dissemination of scientific results cannot be expected before 2010; however, the relevant stakeholders will regularly be informed about the project, its progress and the programme background during 2009 (see Tab. 3).

The TPG will also attempt to 'link in' thematically relevant events that are organised anyway. The TPG considers the political events as the best starting point for dissemination activities. After the event, press articles will be published, websites and newsletter will be updated.

These actions will be complemented by a continuous update of the lead partner's university website. This webpage will communicate the Metroborder latest findings in a synthetic manner.

To make sure that ESPON projects learn from each other and develop appropriate synergies, the TPG will take part in ESPON seminars. This dialogue will be reinforced with other key projects such as FOCI and Database as the UL and IGEAT are in close contact.

Finally, the TPG will disseminate the results to the research community in participating in seminars and/or in writing papers.

MEDIA TARGET GROUP	EVENTS	PAPER DOCUMENTS	WEB DISSEMINATION
ESPON Programme	June 09 ESPON seminar, Prague Dec. 09 ESPON seminar, Sweden Spring 10 ESPON seminar, Spain Autumn 10 ESPON seminar, Belgium	09.04.09 Inception report 28.02.10 Intermediate report 31.10.10 Draft final report 31.12.10 Final report	Web site dedicated to the project (with reports), www.espon.eu
STAKE-HOLDERS in general: EU & both case study regions & consultation committee	9.1.09 Stakeholders meeting, Strasbourg 29.4.09 Stakeholders meeting, Luxembourg 4./5.09 Stakeholders/ Consultation Committee, Brussels (tbc) (on demand) XX.10.10 Open day, Brussels XX.11-12.10 Metroborder Final event	Some of the obligatory ca 10 short input papers. (Dates tbd)	"Metroborder in a nutshell": short description of the project; informing about the latest developments of the project: www.geo.ipse.uni.lu
Stakeholders/ Public in Greater Region	03.03.09 Presentation of the project to the stakeholders of the GR 22.04.09 MORO Workshop (coordination with the German research project MORO)	(Depending on the project results and events) Some of the obligatory ca 10 short input papers. (Dates tbd)	Greater Region ECP Luxembourg Depending on interest sites of Ministry, Europaforum etc.
Stakeholder/ Public in Upper Rhine	19.02.09 Conference Metropolitan region Upper Rhine 26.02.09 Upper Rhine conference coordination committee 27.03.09 "Präsidium" Upper Rhine Conference 11.12.09 Plenum Upper Rhine Conference XX.12.09: 12 th tripartite congress on "education research innovation" XX.12.10 Plenum Upper-Rhine conference	Depending on the project results and events Press releases in transnational / regional journals	Regio Basiliensis and, Depending on interest sites of Ministry,, MetroBasel, Trinational Eurodistrict Basel etc.
SCIENTIFIC COMMUNITY	Presentation of project results at scientific conferences (e.g. AESOP, Deutscher Geographentag,...)	articles in scientific journals Some of the obligatory ca 10 short input papers. (Dates tbd)	-

Tab. 3: Preliminary Matrix of dissemination activities

5. Timetable

The project will be divided into two parts that are strongly interlinked:

- Research activities which have already started and will be conducted until spring 2010;
- Strategy building activities which should start 2010 to end with the project.

Institutions responsible for a work package will not only ensure the coherence between the different WPs, but also the continuity between these two phases.

Moreover, about 10 short input papers which will be delivered to the stakeholders upon their request should help the TPG to translate the scientific results into a very clear and comprehensive manner.

As their delivery depends both from the research progress and from the political demand, the exact timing cannot yet be indicated.

Research activities are then divided into work packages and tasks, coordinated by a responsible partner.

TPG meetings will take place depending on the progress of the scientific research.

A synthesis of the research flow can be found below.

WORK PACKAGE RESEARCH TIMETABLE

WORK PACKAGE	2008	2009												2010												
	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	
1. COORDINATION - Coordination of the project including scientific and administrative tasks Preparation of the reports (all: LP, PP, SC) Additionally 10 short input papers will be delivered, depending on the stakeholders' demand	A	[Hatched pattern]												[Hatched pattern]												
2. ACTIVITIES																										
1. General analysis		CEPS																								
1.1 Functional integration data availability and development of indicators analysis/interpretation		CEPS/IGEAT				CEPS / IGEAT																				
1.2 Institutional integration: multi criteria analysis Synthesis of the existing sources Survey Analysis/interpretation																										
Bringing together the results of 1.1 and 1.2; considering global positioning																										
2. Case studies		ETHZ Upper Rhine / UL Greater Region																								
2.1 Functional integration																										
2.1.1 Metropolitan employment analysis																										
2.1.1.1 Data availability & harmonisation																										
2.1.1.2 Analysis and interpretation																										
2.1.2 Zoom: specific economic sector																										
2.1.2.1 Automotive industry Greater Region																										
2.1.2.2 Life sciences (Upper Rhine)																										
2.1.3 Accessibility towards emergency services																										
2.2 Institutional integration																										
2.2.1 Analysis of existing sources																										
2.2.2 Expert interviews																										
2.3 Focus on secondary centres																										
2.4 Delphy study																										
2.4.1 Selection of the participants																										
2.4.2 Interactive preparation phase + development of the questionnaire																										
2.4.3 Conducting the Delphy study																										
2.4.4 Analysis/interpretation																										
3. Strategy building																										
3.1 SWOT analysis																										
3.2 Scenarios																										
3. DISSEMINATION		[Hatched pattern]												[Hatched pattern]												
This WP includes the delivery of ten short input papers, the participation to stakeholders' own events and the TPG's own dissemination activities. These activities will be continuously developed and will mainly depend on the stakeholders' demand. These activities will be developed in closed cooperation with the Regio Basiliensis, especially for the Upper Rhine region.		[Hatched pattern]												[Hatched pattern]												

LEGEND

Deliveries

- Inception report IR
- Intermediate report IM
- Draft final report DF
- Final report F

Abbreviations

- Official approval of the project A
- Official end of the project E

Lead Partner

- University of Luxembourg UL

Project Partners

- Centre for Population, Poverty and Public Policy Studies PP
- CEPS
- Swiss Federal Institute of Technology Zurich ETHZ
- Free University of Brussels IGEAT

Sub-contractor

- Centre for Geographical studies at Metz University SC
- CEGUM
- Regio Basiliensis RB
- University of Saarland UBS
- University of Upper Alsace UHA

TPG meeting (tbc) They will be completed by other internal meetings dedicated to WPs coordination.

- Preparation
- Development of research activities
- Continuous LP responsibility

Continuous PP coordination
Analysis of the WP results, synthesising the results and wrapping-up.
Tasks coordinated by the PP responsible for the WP in strong cooperation with all other partners to ensure the coherence of the project.



Annex

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- Figure 2 Outer limitations of the political cooperation space of the Case Study Regions
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- Map 1 Transborder types according to ESPON 2006/1.4.3 (p.141)

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