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# Proposal

## **The envisaged Action 2.2.3 of the ESPON 2006 Programme under INTERREG III Art 53 entitled 'Territorial Effects of Structural Funds in Urban Areas'**

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by  
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## TABLE OF CONTENTS

<b>1.0 SUMMARY PRESENTATION OF THE TENDERER AND THE TRANSNATIONAL PROJECT GROUP .....</b>	<b>3</b>
1.1 PROJECT MANAGEMENT AND COORDINATION.....	3
1.2 GEOGRAPHICAL REPRESENTATION.....	6
<b>2.0 INFORMATION REGARDING CONDITIONS OF EXCLUSION .....</b>	<b>9</b>
<b>3.0 INFORMATION REGARDING SELECTION CRITERIA .....</b>	<b>9</b>
3.1 PRECISE IDENTIFICATION OF THE SUB-CONTRACTORS.....	9
3.2 QUALIFICATIONS, PROFESSIONAL EXPERTISE AND TECHNICAL FACILITIES.....	9
<b>4.0 INFORMATION FOR THE PURPOSES OF THE AWARD CRITERIA A: KNOWLEDGE AND EXPERIENCE OF RESEARCH AREA .....</b>	<b>22</b>
4.1 KNOWLEDGE OF REGIONAL POLICY AND THE EUROPEAN SPATIAL DEVELOPMENT PERSPECTIVE WITH RESPECT TO THE TERRITORIAL EFFECTS OF STRUCTURAL FUNDS IN SPATIAL AREAS.....	22
4.2 AIMS AND OBJECTIVES OF THE ESPON 2.2.3 RESEARCH ACTION .....	25
4.3 RESEARCH EXPERIENCE INCLUDING INSIGHT IN RELEVANT SPATIAL STRUCTURES AND TERRITORIAL TRENDS IN THE CONTEXT OF THE COMMUNITY TERRITORY; LEVEL OF EXPERTISE OF THE TENDERER, EXPERIENCE OF SIMILAR SERVICES, ETC.....	26
<b>5.0 INFORMATION FOR THE PURPOSES OF AWARD CRITERIA B: AIMS, OBJECTIVES AND APPROACH TO THE METHODOLOGY .....</b>	<b>41</b>
5.1 INTRODUCTION.....	41
5.2 MEETING THE AWARD CRITERIA .....	42
5.3 OVERALL OUTPUTS OF THE RESEARCH PROJECT .....	44
5.4 THE APPROACH.....	45
5.5 LEVEL AT WHICH DATA WILL BE GATHERED .....	45
<b>6.0 INFORMATION FOR THE PURPOSES OF AWARD CRITERIA C: THE WORK PROGRAMME .....</b>	<b>46</b>
6.1 THE WORK PROGRAMME.....	46
6.2 TIMETABLE FOR THE WORK PROGRAMME.....	70
<b>7.0 FINANCIAL PROVISIONS .....</b>	<b>75</b>
APPENDIX A: DECLARATIONS AND DOCUMENTS RELATING TO THE EXCLUSION OF TENDERERS	
APPENDIX B: LETTERS OF INTENT	
APPENDIX C: DECLARATIONS AND DOCUMENTS RELATING TO THE SELECTION CRITERIA	

## **6.0 INFORMATION FOR THE PURPOSES OF AWARD CRITERIA C: THE WORK PROGRAMME**

### **6.1 *The work programme***

The work programme below outlines a series of 9 work packages which will combine to form the two year research project, plus a co-ordination and management package.

Work Package 1: Literature review and analysis

Work package 2: Work package 2: Develop a conceptual model for the Territorial Impact Analysis of the effects of Structural Funds on urban areas (capable of use at local, regional, European level).

Work Package 3: Indicator compilation and development

Work Package 4: Development and completion of database

Work Package 5: Detailed Analysis of the Territorial Effects of the Structural Funds on Urban Areas: Case Studies

Work Package 6: Applying the Territorial Impact Assessment Method: In-depth evaluation

Work Package 7: Carrying out a mapping exercise to illustrate the territorial effects of the Structural Funds in urban areas (potentials and gaps)

Work Package 8: Development of Policy Recommendations

Work Package 9: Information sharing and dissemination

Work Package 10: Co-ordination and management of study

#### **Work Package 1: Literature review and analysis**

**Aim:** The literature review will analyse available literature on urban areas and the Structural Funds in order to draw out conceptual frameworks, develop an understanding of key urban trends, and provide a first analysis of the key relevance of Structural Fund programmes to urban areas.

**Timescale:** Months 1 - 3

#### **Key deliverables:**

- Compilation of national studies of European relevance

- Description of urban trends including potentials and barriers to the movement of European cities towards sustainable forms of polycentrism and balanced spatial development.
- Development of description of Structural Fund programmes and measures relevant to urban areas, drawing on the results of the literature review (Work Package 2) and previous evaluations.

**Lead Partner ECOTEC**  
**Task Leader NORDREGIO**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
1. Prepare framework for the literature review	NORDREGIO/ECOTEC	2	<b>1-3</b>
2. Analyse available literature Including compilation of national and regional level studies with European relevance and specialist input of all partners according to geographical representation and language specialism	NORDREGIO/ all partners	15	<b>1-3</b>
3. Production of description of urban trends including potentials and barriers to the movement of European cities towards sustainable forms of polycentrism and balanced spatial developments	NORDREGIO/all partners	8	2-3
4. Development of description of Structural Funds programmes and measures with relevance for urban areas	NORDREGIO/ECOTEC	4	<b>2-3</b>
5. Identify approaches and measures which have relevance for urban areas	NORDREGIO/all partners	8	<b>3</b>
<b>TOTAL DAYS</b>		<b>37</b>	

**Focus:**

The work will be undertaken by all partners to ensure a breadth of analysis that does not rely upon limited language sources and to take advantage of relevant expertise. It will be based upon European level reports, national level work and other appropriate sources. This information will be used to guide the development of the analytical

framework prepared for the different elements of the study. Literature to be reviewed will include completed evaluation reports, such as the ex-post evaluations of Objective 1 and 2 programmes at the EU level and the evaluation of the Territorial Employment Pacts. National material will be collected and reviewed as relevant. It will also include relevant academic papers and conference contributions – in particular for the European Evaluation Society and Regional Policy Association. Sources will include:

- a. Structural Funds regulations and guidelines;
- b. the ESDP,
- c. SPESP final report,
- d. Ex-post, ongoing and thematic evaluation material as available (objectives 1 and 2 as cited above, Objective 3 and 4 if available, Urban Community Initiative etc),
- e. Sustainable Urban Development in the European Union: A Framework for Action,
- f. MEANS documents,
- g. The Urban Audit results and methodology,
- h. The European Common Indicators,
- i. Eurostat publications, including “Sustainable development indicators”
- j. The spatial and Urban dimensions in the 2000-06 objective 1 and 2 programmes (EPRC, University of Strathclyde)
- k. National studies or documents with a European focus, etc

The analysis will be conducted using pre-developed guidelines in order to maximise the effectiveness of this exercise. Inter alia, it will seek to address matters such as:

- In what manner do Structural Fund programmes address urban areas (direct effects)
- In what manner do Structural Fund programmes address issues affecting urban areas (indirect effects)
- What are the issues facing urban areas that might be addressed by Structural Fund actions (focusing on themes relating to: accessibility, competitiveness, social inclusion, employment, environmental quality, networks and linkages)
- What are the main urban tendencies in different areas of Europe
- How urban areas are commonly defined
- The existing level and state of indicators at an urban scale

The literature review will be a key element of the study, as it will inform the other stages of our approach. The main objectives of the literature review will be to:

- a. identify the main characteristics of and issues faced by urban centres in the EU as well as ways of measuring urban change,
- b. gather information on existing urban indicators and available data,
- c. identify existing methodological frameworks to assess the impact of Structural Funds on urban areas,
- d. provide a detailed overview of the policy guidelines and decisions relating to the Structural Funds as well as the strategic policy documents on spatial development and sustainable (urban) development.
- e. provide an overview on Structural Funds interventions which are relevant for urban areas

- f. develop a greater understanding of the particular problems and opportunities faced by urban areas in Accession countries, and boundary countries in the context of enlargement

In order to frame the elements of the research that are to be addressed we will break the analysis down into three subsections. Each will be the subject of a report drawing out the main elements of the literature, which will form the basis of future aspects of the work programme.

The first deliverable for this work package will be a compilation of national reports with European relevance. Each partner will contribute to this task in relation to the countries they cover within the research team.

The second deliverable will be a description of urban trends including potentials and barriers to the movement of European cities towards sustainable forms of polycentrism and balanced spatial developments. The description will highlight key challenges which could be addressed by the Structural Funds in urban areas, and key potentials which the Structural Funds could exploit.

Potentialities might include:

- Urban-rural relationships
- Development of networks of smaller towns
- Increased competitiveness
- Concentrations of FDI
- Concentrations of R&D and innovation
- Environmentally sustainable policies
- Collaboration across borders and in transnational networks
- Movements in industries and services
- Globalisation
- Enlargement

Risks may include

- Failing economies and declining industrial base
- Urban problems within cities such as social deprivation, environmental problems etc
- urban encroachment on other landscapes eg urban sprawl
- problems associated with metropolisation including increasing social segregation and contribution towards greenhouse gases
- movements of industries and services away from traditional locations
- Globalisation
- Enlargement

The approach taken by the project will take into account the diversity of urban areas in Europe, both as regards the definition/understanding of urban areas as well as the differences when it comes to the understanding of challenges in urban areas. Indeed particular attention will be paid to urban areas in accession countries.

The third deliverable will be a description of Structural Fund programmes and measures relevant to urban areas.

This will be based on analysis of Objective 1, 2 and 3 funds 1994-9 and 2000-6, the Urban and Urban II initiatives and other Community Initiatives such as Konver, Resider, Rechar and SME). It will outline a list of programmes and measures to be investigated within later Work Packages of the research project.

**Work package 2: Develop a conceptual model for the Territorial Impact Analysis of the effects of Structural Funds on urban areas (capable of use at local, regional, European level).**

**Aim:** The aim of developing the conceptual model will be to develop a territorial impact assessment methodology for all three dimensions of the Structural Funds and their relation to urban areas – policy (contents and strategies), polity (institutions, organisations), politics (processes) in relation to spatial balance on EU territory.

**Timescale: 3 – 24 months**

**Deliverables:**

Deliverable 1: Development of outline methodology of impact analysis at a European level for first Interim report

Deliverable 2: Development of hypothesis and elaborated methodology for the Second Interim report

Deliverable 3: A series of functional and territorial typologies of urban areas level

Deliverable 4: Territorial Impact Assessment tool to be used to analyse the impact of Structural Funds on urban areas at a European and regional level

Deliverable 5: Analysis of the impact of Structural Funds on urban areas through application of above tool at a European level and on a series of case study regions

**Lead Partner ECOTEC**  
**Task Leader OIR**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
1. Analysis of policy options identified in ESDP relevant for a territorial impact analysis of Structural Funds policy on urban areas	ECOTEC	2	<b>1-2</b>
2. Development of territorial and functional typologies of urban areas	OIR/ECOTEC	6	<b>2-9</b>
3. Development of methodology of impact analysis Development of first hypothesis on the potential territorial effects of Structural Fund policy on urban areas	OIR/ECOTEC	6	<b>3-4</b>
4. Production of a user friendly territorial impact assessment tool to be used by those involved in the management and implementation of Structural fund Programmes Piloting of Territorial Impact Assessment tool as part of mapping exercise and through case studies	OIR/all partners	8	<b>4-15</b>
5. Improvement of the methodology after taking into account issues arising from application, views of partners and contents of other ESPON interim reports (where appropriate)	OIR/all partners	8	<b>15-16</b>
<b>TOTAL DAYS</b>		<b>30</b>	

**Focus:**

This work package will develop and test a territorial impact assessment tool. It is intended to assess the overall influence of Structural Fund activities on urban areas, both internal to the urban area and in mediating relationships with other areas. Developing the conceptual model will involve identifying a methodology for territorial impact analysis of the Structural Funds on urban areas at a European, national and local level.

The aim will be to address how far the Structural Funds have contributed towards or detracted from the goal of the polycentric and sustainable development of urban areas within Europe as identified within the European Spatial Development Perspective. The Territorial Impact Analysis will be available as a tool for future use by policy makers and programme managers.



The model will include both a quantitative and qualitative approach and will build on work undertaken in Work Packages 1 and 2, as well as wider work undertaken through the framework of ESPON research actions funded under Priority 1.

The initial model will be developed through the secondary analysis of existing work and a review of urban trends and indicators. This will identify where impacts are currently occurring (both intended and unintended spillover effects) and where impacts are not occurring but this might constitute a weakness.

The conceptual model will consider the following socioeconomic variables (informed also through indicator work in WP3):

- Economic aspects
- Demography
- Environment
- Training and education
- Labour market
- Social aspects

There will be a focus on governance issues and institutional frameworks and the territorial dimensions of identified impacts. An important aspects of the Territorial Impact Assessment framework will be to consider different territorial contexts, drawing upon the literature review undertaken in this study but more particularly from work undertaken through other ESPON research actions (such as Priority 1). This will require careful co-ordination and timing and a willingness for co-operative working relationships. The aim will be to answer a series of territorial questions relating to the impact of structural Funds on urban areas including:

- How far the Structural Funds influence the process of metropolisation with regards to a variety of regions within Europe especially in relation to:
- How far Structural Funds influence the process of metropolisation in relation to accelerated green house effects and climate change?
- In which respect Structural Funds influence the question of control of urban sprawl and the links between urban and rural areas?
- What the effects of territorial socio-spatial segregation and inequity of access to public services through metropolisation are?

#### *Developing territorial and functional typologies*

A key basis for the conceptual model will be the development of functional and territorial typologies of urban areas, which can then be used to measure the differential aspects of Structural Funds on these areas. In particular, this analysis will allow the detection of types of territories most negatively and positively affected by identified

trends in relation to the balanced and sustainable development of urban areas, and the role of the Structural Funds in addressing or exacerbating these trends.

This aspect of the work programme will draw heavily on the urban types elaborated within ESPON project 1.1.1, 1.1.2 and 3.1. This work package will also be integrated closely with Work Package 3 on Indicator Development. An initial working functional typology will be developed by month 3, to be refined following further work and the results of other ESPON actions, in order that the timetable proposed for this study can be maintained.

The types of criteria to be considered in developing typologies will include both functional criteria (based upon social, economic and environmental functions) and territorial criteria. We illustrate potential considerations below:

### **Functional criteria**

- Urban role (eg regional centre, national capital, sub-regional service centre)
- Industrial base (economic indicators)
- Labour market role (commuter zone, workplace center etc)
- Growing urban area (economic and social indicators)
- Declining urban area (economic and social indicators)
- Lagging urban area (economic and social indicators)
- Restructuring urban area (economic and social indicators)
- Strong amenity value (natural and cultural heritage, environmental indicators)
- Weak amenity value (natural and cultural heritage, environmental indicators)

### **Territorial criteria**

- Size (population and area)
- Accessibility (connectivity and time/distance)
- Centrality-peripherality (broad)
- Locational criteria (border regions, region in accession country etc)
- Physical criteria (regions which are mountainous, island based etc)

Strong liaison with projects funded under Priority 1 will be a key aspect of the methodology here.

## **Work Package 3: Indicator compilation and development**

**Timescale:** Months 1 – 6

**Aim:** To develop consensus on indicators for use in assessing the territorial impact of Structural Funds policy on urban areas and to develop new indicators where necessary.

**Deliverables:**

Deliverable 1: Set of indicators to be used in testing the Territorial Impact Assessment model for Structural Funds in urban areas, following analysis on data availability at European, national and regional level

Deliverable 2: Set of new territorial indicators to be used in future research, on the basis of two requests to EUROSTAT, EEA etc

**Lead Partner ECOTEC  
Task Leader NEI**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
1. Prepare method for compiling and organising available indicators	NEI/ECOTEC	4	<b>1-2</b>
2. Review available literature on indicators at a European, national and regional level Specialist input of all partners according to geographical representation and language specialism, in order to review indicators available at a NUTS II and NUTS III level	NEI/all partners	21	<b>1-3</b>
3. Compilation of indicators available at a European, national and regional level	NEI/ECOTEC	10	<b>3-4</b>
4. Define appropriate indicators against initial conceptual model in consultation with other partners and identify gaps in relation to the compilation of indicators resulting from WP4	NEI/all partners	8	<b>3-4</b>
5. Identify where new indicators are required for effective territorial impact analysis	OIR/ECOTEC	4	<b>4</b>
6. First request for development of new indicators by EUROSTAT, EEA etc	NEI	1	<b>4</b>
7. Second, more elaborated request for development of new indicators by end 2002	NEI	2	<b>7</b>
8. Assessment of data availability against indicators at a Community level, at NUTS III level, and for the 12 candidate countries	NEI/all partners	10	<b>6-9</b>

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
9. Revise indicators following review of data availability	NEI	5	<b>9</b>
10. Presentation of final set of indicators for use in implementation of the Conceptual Model	NEI	2	<b>10</b>
<b>TOTAL DAYS</b>		<b>67</b>	

**Focus:**

Work on assessing urban issues across the Union and in Accession States has always been hampered by weak and non-comparable data sets at the level of urban areas (generally NUTS III). This is gradually beginning to change. National and European statistical agencies are beginning to compile statistics that can be utilised in the analysis of urban issues across the Union. Studies, such as the Urban Audit and Urban Audit II have also moved practice forward in recent years.

Whilst the challenge of accessing comparable data is not yet solved an equally pressing need is increasingly raising its head: to marshal the various statistical indicators available into an heuristic data set. Too often indicators are collected for their own sake leading to extensive lists of statistics with only limited relevance to the issue at hand. The objective of this work package will be to review the indicators already used for the analysis of the Structural Funds and complement this with the identification of indicators specifically geared to understanding the territorial effects of the Structural Funds on urban areas.

The identification of indicators will be closely related to the typologies being developed in WP2 but will also be led by three considerations:

- Challenges of urban areas and challenges addressed by SF
- Policy relevance (relation to ongoing policy debates)
- Data availability

A precise analysis of the availability and comparability of data at Community level will be necessary, including availability of data at NUTS III level. It will also be necessary to ensure coverage of indicators and data for the 12 candidate countries. Past experience of evaluating Structural Funds programmes as well as our involvement in the Urban Audit pilot study has shown that there will be a number of potential difficulties linked to the development of indicators and data collection at urban level. In particular, these include:

- a) varying definitions of “urban areas”
- b) varying data availability between Member States and between urban areas;
- c) Within individual urban areas, varying spatial boundaries depending on the type of data collected (e.g. travel to work area for transport indicators, wider urban area for waste indicators, etc);

- d) lack of comparability of data collected between Member States and between urban areas;
- e) lack of comparability of data overtime (changes of definitions or data sources for examples).

It will not be possible to totally overcome these but the approach adopted will highlight the significance of different issues in how they affect the final analysis, acting as a sensitivity test to the Territorial Assessment model produced. In this element of the work we will take advantage of existing work (through secondary review and synthesis), and build upon the knowledge of the expert team in order to identify a range of suitable indicators which are 'fit for purpose'.

As specified in the terms of reference, prior to any methodological development for an impact analysis of SF on urban areas, the TPG will undertake some preliminary research on definitions of concepts on a EU-wide basis, such as "urban areas" (building on the SPESP study). The delineation of "urban areas" whether in terms of geographical, administrative or functional boundaries will be key to assessing territorial impacts of SF policies. Furthermore, a clear definition of concepts relating to the identified urban characteristics and functions is a pre-requisite if one wants to be able to assess SF effects on a comparable basis.

As far as information sources are concerned, the Urban Audit demonstrated that very limited quantitative data is available from EU sources (Eurostat) at the urban level. We would consult Eurostat at very early stages of the work to identify further developments in the work that they have been doing regarding urban statistical sources. We will also draw heavily on the information sources set out in Data Navigator in order to minimise duplication of effort and to maximise the use of scarce resources, seeking to explore identified sources in more depth (and fill potential gaps) rather than reinventing the wheel. This would be the case at both European and national levels.

Most data will come from national statistical offices and regional/local sources, including city authorities themselves. Thus they are likely to be important sources for developing indicator sets. Relevant organisations will be contacted and, in case study countries, interviews will be conducted. In other countries we will build upon the work undertaken through the Data Navigator with written queries for specific data sources. Given the scope of the study (numbers of SF programmes and cities covered), we intend to work with a representative sample of urban areas, located in our national study areas. This would also enable us to complement the quantitative information with qualitative information collected in individual urban areas as part of the detailed case study work.

In addition to reviewing and selecting existing indicators, the study will also explore the development of new indicators. These indicators would need to reflect the latest developments in Structural Funds interventions, as well as sustainable (urban) development. In addition, they will clearly provide a basis for the territorial impact analysis of Structural Funds interventions on urban areas, especially as motors for regional development and their linkage with surrounding areas.

Indicators should not be limited to snapshot indicators, providing the picture of a city at various points in time as in the Urban Audit. The appropriate timeframe for monitoring and updating indicators will need to be clearly set out. Therefore, in accordance with the Commission's methodological guides on indicators, we would envisage developing a variety of both quantitative and qualitative indicators including:

- context/structure indicators,
- state indicators, process/pressure indicators and performance result/impact indicators,
- trend indicators.

It will also be useful to distinguish between a core number of strategic indicators of urban change, for which trend data would be collected, and a series of domain based indicators covering the four capitals' framework of sustainable development i.e. human capital, social capital, natural capital and productive capital. This will lead to a 'cascade' or hierarchical structure that will enable effective management of a range of indicators through relational analysis. In concept this is similar to the approach adopted in current Structural Fund Programmes (whereby High-level Programme indicators are related to Priority-level indicators that should in turn be related to Measure-level indicators in a pyramidal structure).

With regards to fields to be covered by these indicators, account will also need to be taken of developments since the first Urban Audit study was launched. For instance the Urban Audit indicators covered 21 domains, classified under 5 areas: socio-economic, education and training, environment, recreation and culture and civic-involvement. Indicators to be developed as part of this assignment will need to focus on those indicators where Structural Fund interventions can impact (e.g. potentially excluding Urban audit indicator such as "participation of the population to national/local elections"), and include indicators relating to urban governance or R&D and ICT (which were not part of the original Urban Audit).

In addition, some issues in relation to urban change are far more difficult to measure than others, the physical quality of the environment and the notion of overall quality of life and social inclusion for example. Therefore, 'soft' qualitative indicators (informed by data from interviews or surveys) may need to be collected in order to illustrate how Structural Funds work in urban areas and how they contribute to those aspects of intangible aspects of urban change and to good urban governance.

In summary, the achievement of consensus on indicators and the necessary data will be a first priority for the research project and will be available as part of the first Interim report. Initial lists of data, and requests for statistical data will be based on information gathered from EUROSTAT, EEA, National Statistical Institutes and National Mapping Agencies. The ESPON Data Navigator will be an initial source of principal data sources and contact points.

#### **Work package 4: Database design and development**

**Timescale:** Month 4- 5 , Month 23

**Aim:** The development of a database will allow a user-friendly mechanism for data collection against indicators which will be uniform across all partners

**Lead Partner ECOTEC**

**Task Leader ECOTEC**

<b>Key tasks</b>	<b>Key partners involved</b>	<b>No of days</b>	<b>Mnths</b>
1. Design of a database and collection methodology for the uniform collection of data in a way which will be suitable for GIS mapping techniques	ECOTEC	3	<b>4</b>
2. Database development	ECOTEC	7	<b>4-5</b>
3. Presentation of complete database as part of final report	ECOTEC	2	<b>23</b>
<b>TOTAL DAYS</b>		<b>12</b>	

**Focus:**

The database will be a multi-layered device for recording data gathered at a regional, national and European level against the set of indicators agreed by the research team. The information will be organised so that it can be accessed both on a geographical basis (such as particular urban areas), and against a series of functional and territorial typologies (ie types of urban areas) developed as part of the Territorial Impact Analysis.

#### **Database Development Specification**

The database will be designed and developed using MS-Access 2000 and will be based upon a hierarchical structure. The system will use a system based around a central Access database and a number of remote client databases (*Figure 1*). The remote applications, provided in either Access 97 or 2000, will be used for data entry at a local-level, while providing the capacity for data-upload to the central system, via e-mail transfer.

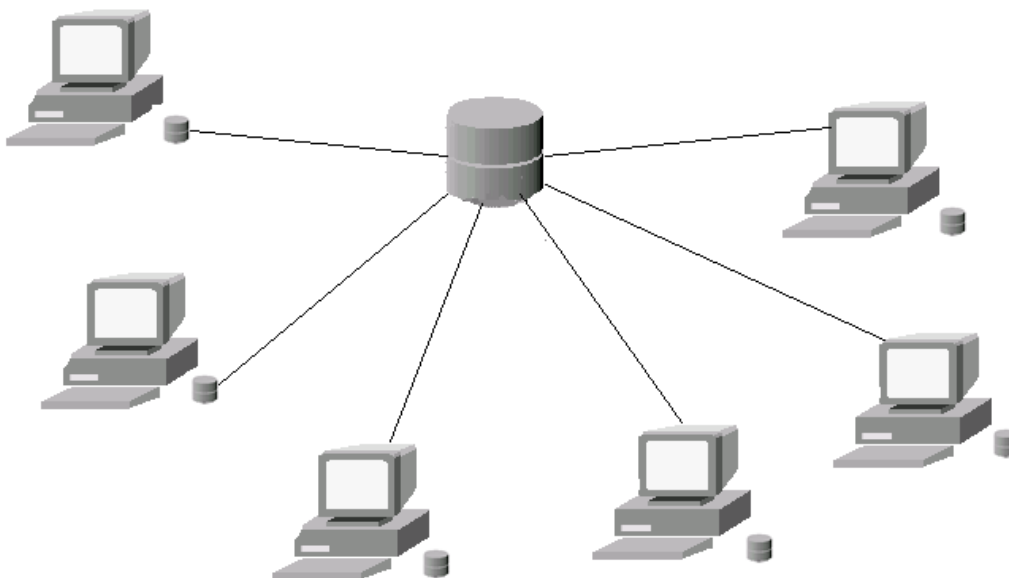


Figure 1

The database will be structured using the example criteria and relationships specified in Figure 2. This system allows for, for example a type of region to be entered into a central table within the application and data to be linked between the primary key and foreign key tables via one-to-many relationships. Thus, a number of territorial and functional typologies can be investigated.

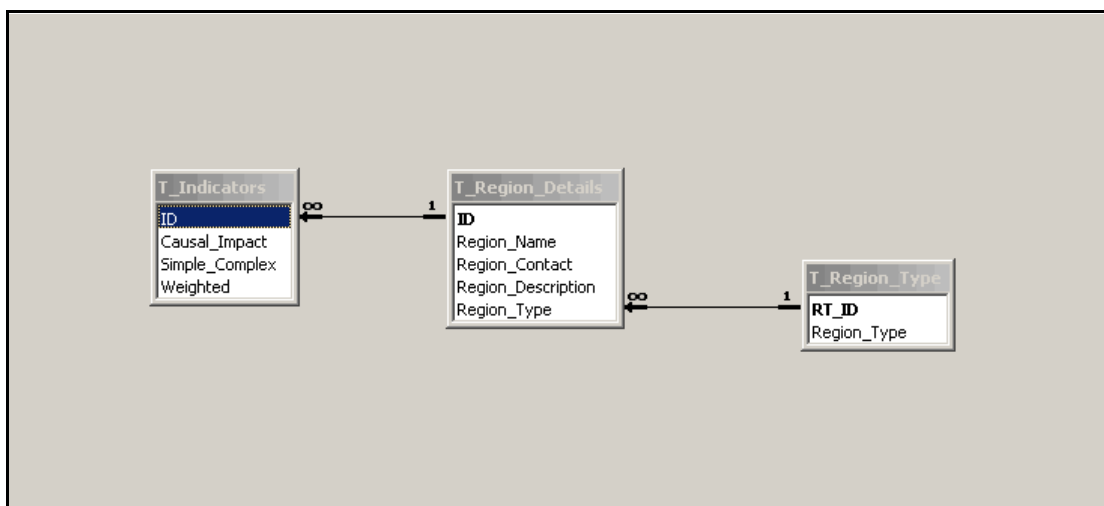


Figure 2

The database is designed to serve as link to the mapping system and to provide an additional forms-based user interface to enable data management and analysis at a network-level.

ECOTEC databases are designed to provide secure locations for a wide range of quantitative and qualitative data. Incorporating a range of security features, they provide ease of access for data inputting and versatility in querying and extracting



data within a dynamic environment. Created using a wide range of platforms, a strict back-up policy exists to ensure data integrity.

### **Work Package 5: Detailed Analysis of the Territorial Effects of the Structural Funds on Urban Areas: Case Studies**

**Timescale:** Month 6 - 12

**Aims:**

1) To investigate a sample of Structural Funds programmes for 1994-9 and 2000-6 (up to present) to determine appropriateness, complementarity, “programme effectiveness” and “territorial effectiveness” through a review of documentation and a series of structured interviews with key stakeholders.

2) To collect quantitative data to feed into the database for mapping purposes

**Deliverables:**

Deliverable 1: Data collected against key indicators for input into database

Deliverable 2: Summary report on appropriateness of Structural Fund programmes to urban areas and complementarity to national, regional and other EU programmes for chosen sample to feed into the final report

Deliverable 3: Summary report on programme effectiveness and territorial effectiveness of Structural Fund programmes in urban areas for chosen sample to feed into the final report

**Lead Partner ECOTEC**

**Task Leader ECOTEC**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
1. Identify sample	ECOTEC/all partners	3	<b>5-6</b>
2. Desk analysis	ECOTEC/all partners	28	<b>8-10</b>
3. Stakeholder interviews at all scales	ECOTEC/all partners	28	<b>10-12</b>
4. Writing up and reporting on case studies	ECOTEC/all partners	60	<b>10-12</b>
<b>TOTAL DAYS</b>		<b>119</b>	

**Focus:**

The analysis of the territorial effects of Structural Funds in urban areas will be based upon a sample of urban areas for in-depth study. It is proposed that 7 urban areas are subject to analysis. The case study analysis will be based around a common assessment framework drawn up on the basis of the findings of Work Package 1 (literature review). The framework will set out key issues to be explored and common questions to be answered. Inter alia, it will include consideration of:

- Urban-rural relationships and the effect of the Structural Funds in mediating these
- The influence of the Structural Funds on the economic competitiveness of urban areas
- The influence of the Structural Funds in issues of social exclusion
- The influence of the Structural Funds in matters of environmental quality within urban areas

The assessment framework will be applied through:

- A review of Structural Fund Programmes which are relevant to the case study urban areas
- A review of available data, based upon the indicator sets identified and collected as part of WP2
- A series of interviews with stakeholders at European, national, urban and regional levels in relevant institutions or organisations, including members of Programme Monitoring Committees

The sample of urban areas will be related to the national study areas and will be chosen on the basis of the functional and territorial typologies developed in the first stages of the Conceptual Model and agreed with the ESPON coordination Unit.

In investigating Structural Funds documentation for 1994-9 and 2000-6 (up to present) and carrying out the series of structured interviews with key stakeholders, attention will need to be paid to:

- Extent of urban focus and appropriateness of measures in relation to the urban challenges identified
- Effectiveness of the implementation of these measures
- Assessment of territorial impact using TIA conceptual model including knock on effects on factors contributing towards/detracting from ESDP model of sustainable polycentric development eg greenhouse effects, urban rural relationships, urban and transnational networks
- The role of management and implementation arrangements

A key focus will be on the added value of Community interventions through the Structural Funds including:

- An assessment of the appropriateness of different types of programmes in addressing the needs of urban areas

- An assessment of how programme effectiveness can vary between regions and different types of urban area
- An assessment of the extent to which “territorial effectiveness” be assessed for Structural Funds programmes and projects.
- An assessment of how the Structural Funds complement regional and national strategies for urban areas, and whether areas had already been identified as national priorities or not
- An assessment of the extent to which there has been coordination with other Community interventions, such as R&D expenditure
- An assessment of the extent to which Structural Funds programmes/projects in urban areas achieve the wider Community objectives within the ESDP?
- An assessment of which measures give the highest added value towards territorial development
- An assessment of the extent to which interventions have promoted an exchange of experience or co-operative relationships, inter-regionally or trans-nationally.

The sample will be selected in order that a number of urban areas that were a focus of the Territorial Employment Pacts, funded by the Commission since 1997, can be compared to urban areas which did not benefit from this initiative. The TEPs can be seen as a strong effort to improve co-ordination and to consider the territorial effects of the Structural Funds in the field of employment.

The methodology adopted will enable an assessment of both territorial effectiveness and structural fund programme effectiveness within the sample areas. The main purpose of this will be to assess how different arrangements, in different types of urban area, can affect the delivery of desired objectives for different types of programme (Objective 1, 2 and 3). The analysis will then relate this to the effects of focusing on these objectives on issues such as the following, in so far as this can be ascertained through secondary data analysis and detailed interview techniques:

- Territorial approach (ESDP policy aims)
- Economic aspects
- Demography
- Environment
- Training and education
- Labour market
- Social aspects

Analysis will be focused on the how and the why, in that it will assess the role of management and implementation systems (governance relations) in delivering successful outcomes, coupled with the role of fiscal approaches (particularly the allocation of resources to particular geographical areas or particular sectors).

#### **Work Package 6: Applying the Territorial Impact Assessment Method: In-depth evaluation**

**Timescale:** Month 14-18

**Aim:** Piloting of Territorial Impact Analysis methodology through an in depth study of a sample of projects. Leading to the development of orientations for policy recommendations.

**Deliverables:**

Deliverable 1: Data collected against key indicators for input into database

Deliverable 2: Development of case study report to feed into final report

**Lead Partner ECOTEC**

**Task Leader ECOTEC**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
1. Identification and interview of key local stakeholders	ECOTEC/all partners	14	<b>13-16</b>
2. Development of case study report to feed into conceptual model of Territorial Impact Assessment	ECOTEC/all partners	14	<b>17-18</b>
<b>TOTAL DAYS</b>		<b>28</b>	

This aspect of the study is intended to build on the case studies undertaken as part of WP 5. Through detailed data review and interviews with key stakeholders at the urban level it is intended to explore how Structural Funds policy might be improved towards a better territorial cohesion. It will be based upon the territorial impact assessment tool developed as part of WP2 and will seek to develop and refine this further.

It will go further than the case study assessment undertaken in WP 5 in that it will focus more closely on those involved in the implementation of Structural Fund Programmes in practice, particularly through area-based initiatives. Such initiatives may be, or have been, funded by the Structural Funds (such as URBAN CI or Urban Pilot Projects of Art.10 ERDF) but on the whole will not be.

**Work Package 7: Carrying out a mapping exercise to illustrate the territorial effects of the Structural Funds in urban areas (potentials and gaps)**

**Timescale:** Month 1-24

**Aim:** To develop GIS mapping system appropriate for illustrating territorial effects across an enlarging Europe based on the collection of data within analysis of Structural Funds programmes and projects against agreed indicators.

**Deliverables**

Deliverable 1: Production of maps, graphics and other outputs for visualisation of research findings

Deliverable 2: Mapping system for future research projects

**Lead Partner ECOTEC**

**Task Leader MCRIT**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
1. Development of GIS mapping system	MCRIT	4	<b>2-9</b>
2. Consultation with partners on appropriateness of mapping system against conceptual model for territorial impact assessment	MCRIT	2	<b>9-11</b>
3. Creation of a series of maps illustrating a Territorial Impact Analysis for Structural Funds on urban areas at a European level	MCRIT	16	<b>10-23</b>
<b>TOTAL DAYS</b>		<b>22</b>	

**Focus:**

This work package will involve developing the mapping concept and consultation with partners (Months 1 – 6), mapping the available data (Months 7 – 18) and developing the final set of maps with emphasis on user-friendliness and policy relevance (19 –24).

The mapping exercise will produce maps illustration the current situation and trends. The mapping work package will focus on typologies of urban areas and issues affecting these related to the territorial effects of the structural funds. It will primarily be a tool for illustration and communication, based upn the iconography developed through the SPESP. Maps will be developed to be user friendly and therefore highly relevant to policy makers.

Mapping will work with new geographical observational tools where possible and will use low NUTS levels. The mapping exercise will also incorporate developing a typology of urban area revealing risks and potentials for these different areas.

The work to be made by Mcrit within the work package will include three different work activities:

1. Development of the GI mapping system which will be used
2. Integration of indicators and data available from the study
3. Production of maps, graphics and other output for visualisation

Development of the GI mapping system which will be used

Mcrit will start by providing all participants in the project a set of simple but clear rules for data documentation (metadata procedures) and data format compatibility

(based on standard formats available in the market). Once agreed on these basic compatibility rules, Mcrit will collect and assemble data provided by different participants and integrate it in a single harmonised system.

The system to be developed will use as simple as possible technology for database management and mapping, in principle at Microsoft Office level (Microsoft ACCESS, EXCEL, Mapinfo).

Additionally, Mcrit will develop a user-friendly interface for novice users on Java, free of royalties, so the whole database could be disseminated and used more easily through CDROM and Internet.

Mcrit will host in its own server the harmonised database and provided restricted use of it to all project participants. Once agreed by the participants and the Commission, the access could be open to third parties and to the general public if required at the end of the project and during six months afterwards.

A master copy in CDROM of the whole system will be provided as a deliverable.

#### Integration of indicators and data available from the study

The data, once received, will be validated, documented, and included in the general metadata.

Mcrit will provide all necessary cartographic basis (administrative zones down to NUTSIII zones, cities, networks and geographic reference features).

Additional to the indicators already provided by project participants, the system will have its own functionalities for defining and calculating new kind of indicators. For this, Mcrit will develop a specific user-interface in Microsoft EXCEL, linked to the system, or a Java routine, in case this facility is considered useful to be used through Internet.

#### Production of maps, graphics and other output for visualisation

Mcrit will propose a uniformed graphic design style for all outputs to be produced, as well as the specific characteristics of each type of map to illustrate basic data and indicators.

Mcrit will produce in paper at the scale and format to be decided by participants (from DINA4 up to DINA0) all maps and graphics needed. It will store each map in electronic version to be disseminated through Internet and CDROM.

Additionally, Mcrit will provide user-friendly functionalities in the system so any interested novice user can make their own maps, using or no the recommended design criteria adopted for the outputs of the study.

## **Work Package 8: Development of Policy Recommendations**

**Timescale:** Month 18-24

**Aim:** To develop timely recommendations for future policy development in support of territorial cohesion and the ESDP, identifying how Structural Funds policy can avoid negative spatial effects on urban areas, and promote balanced and competitive development.

### **Deliverables:**

Deliverable 1: Development of recommendations of management of Structural Funds 2000-6 on as a basis for mid-term review

Deliverable 2: Development of policy recommendations as a basis for the future focus of the Structural Funds post 2006 including thematic recommendations and recommendations on institutional settings and instruments

**Lead Partner ECOTEC**

**Task Leader ECOTEC**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>	<b>Mnths</b>
1. Development of recommendations of management of Structural Funds 2000-6 on as a basis for mid-term review	ECOTEC/all partners	4	<b>20-23</b>
2. Development of policy recommendations as a basis for the future focus of the Structural Funds post 2006 including institutional settings and instruments for the third Interim Report	ECOTEC/all partners	6	<b>20-23</b>
3. Conclusions and proposition of thematic policy adjustments regarding Structural Funds policy	ECOTEC/all partners	6	<b>23</b>
<b>TOTAL DAYS</b>		<b>16</b>	

### **Focus:**

Policy recommendations will initially be developed to feed into the management and development of the Structural Funds 2000-6 to be taken into account in the mid-term review. The policy recommendations will also need to feed into Structural Fund objectives post-2006, particularly taking into account the context of enlargement. Proposals will therefore need to look at:

- Cross border, transnational and interregional activities
- Pilot projects, innovative projects and good practice
- Coordination, coherence and complementarity of interventions and policies

- Actions and measures providing the highest added value

The study team will draw upon the combined results of the work undertaken in the various work packages to assess the implications of the following aspects of the structural funds in mediating their territorial effects:

- Programme rationale
- Selection of areas and target groups
- Eligible actions
- Programming process and strategy
- Implementation method and structures
- Co-ordination, coherence and complementarity between different policy regimes

The assessment of the results will be undertaken in the context of emerging principles of good urban governance, for example as set out in the recent European White Paper on European Governance and with due respect to key principles such as subsidiarity.

As relates to policy relevance, recommendations will be discussed with partners who are involved in actual policy-debates. In general, the project team would like to develop the project in close contact with the relevant actors working on the elaboration of the next generation of Structural Funds. Thus, "useful" research results giving direct input or evidence to the current debate can be guaranteed.

Furthermore, a close co-operation with ESPON 3.1 is anticipated in order to achieve a smooth integration of the project results into the overall analysis ongoing under ESPON.

This will enable the study team to elaborate concrete proposals for Structural Fund interventions post 2006, guided by sustainability criteria and informed by policy aims and options set out in the ESDP but fundamentally based upon good practice as identified through the study programme.

The main results of the study programme will be reported in the Final Report (August 2004) but available interim findings can be published in the third Interim Report (August 2003) in order to inform the mid-term review of Structural Fund programmes.

## **Work package 9: Information sharing and dissemination**

**Aim:** To strengthen the overall research findings, to disseminate these widely amongst the research community, policy makers and practitioners and ensure that the value of the research action is maximised.

**Timescale:** Months 1 - 24

### **Key deliverables:**

Deliverable 1: Series of internal working group meetings



Deliverable 2: Website for both internal collaboration and external exchange  
Deliverable 3: Two web-based /email networks with other ESPON projects and experts within candidate countries and other parts of the EU or further afield.

**Focus:**

ESPON is more than just a research action, it is about developing a community of practitioners and researchers that are able to develop knowledge jointly. By developing strong dissemination tools the study team propose to both strengthen the inputs to the work programme but also to make available the outputs of the study to assist practitioners and policy makers in this field. In particular, useful outputs for dissemination will be:

- Guidelines on how to implement Territorial Impact Assessment
- Good practice examples of territorially integrated activities

The strength of the work programme will also be assisted through managed networking between the study partners. In depth information sharing between the partners involved in developing the work packages will be achieved through six-monthly working group meetings, which will deepen the regular exchange of ideas and actions through e-mail networking and web-based co-ordination.

As lead partner, ECOTEC will ensure that the partners with main responsibility for taking forward each work package will be kept up to date with progress on other ESPON research projects. This will be facilitated by the development of an email or web based network with a series of key experts working on relevant ESPON projects. An additional network will also be set up with interested institutions in the candidate countries to facilitate dissemination of research findings to these institutions.

The project could also include a **seminar** to discuss, disseminate and develop concepts and findings at Month 16 of the project. Invitees could include institutions from candidate countries, a number of policy makers, practitioners and academics from the field, and participants from other ESPON research projects. The seminar would be held with enough time for discussion with experts to feed into the final conceptual model. We would wish to discuss this option with the Co-ordination Unit.

As part of ongoing dissemination, the research team will develop a website which will be used by all partners as a point of exchange of knowledge, a place to site documents, and a point for dissemination of information and useful links. The costings for these activities are all set out in the Co-ordination and Management Work Package below.

## **Work package 10: Coordination and management**

**Timescale:** Months 1 - 24

**Aim:** The aim of this work package will be to ensure the smooth and effective running of the project, to coordinate working group meetings, and networks with other ESPON

research projects and institutions in candidate countries and to discuss findings at an interim stage.

A summary of the coordination and management technique for the Transnational Project Group is included in Section 1 of this proposal. However, more details on the different stages of the process are set out below.

We would request that the NCP and lead partner attend an initial meeting with the ESPON Coordination Unit as part of the inception phase to clarify expectations, confirm the methodological approach and refine the study work programme in a way which best meets the needs of the ESPON Coordination Unit.

This work package will include the organisation of **working group meetings** involving members of the study team. There are three working group meetings planned. The first of these working group meetings will be held at inception stage and will enable the Transnational Project Group to:

- clarify aims and objectives
- agree shared definitions and terminology
- confirm allocation of roles and responsibilities and agree to deadlines and timescales:

Coordination with other ESPON research projects and institutions in candidate countries will be key to the success of the research, and ECOTEC will achieve this through developing **email and web-based networks** with key experts at an early stage in the research project.

As lead partner, ECOTEC will ensure that the partners with main responsibility for taking forward each work package will be kept up to date with progress on other ESPON research projects. This will be facilitated by the development of a **virtual network** with a series of key experts working on relevant ESPON projects. An additional network will also be set up with interested **institutions in the candidate countries** to facilitate dissemination of research findings to these institutions.

**Lead Partner ECOTEC**

**Task Leader ECOTEC**

<b>Key Tasks</b>	<b>Key Partners Involved</b>	<b>No Of Days</b>
1. Inception phase – including initial meeting with ESPON Coordination Unit Other co-ordination meetings	ECOTEC Research & Consulting Ltd	1 3
2. Coordination of three working groups	ECOTEC Research & Consulting Ltd/All partners (based on one member of staff per partner)	21

3. Coordination of reports sent to ESPON Coordination Unit including		
<ul style="list-style-type: none"> <li>• <b>Interim report 1</b> September 2002:</li> <li>• <b>Interim report 2</b> February 2003:</li> <li>• <b>Interim report 3</b> August 2003</li> <li>• <b>Final report</b> August 2004</li> </ul>	ECOTEC/ All partners	16
4. Development of web-based communication medium	ECOTEC	10 Days included in WP 10
5. Development of email network of experts from other ESPON research projects who will be interested in the research results (particularly Priority 3 and Priority 1) and other contacts via website	ECOTEC	8 Days included in WP 10
6. Management of partnership including reports, managing financial procedures etc	ECOTEC	18
<b>TOTAL DAYS</b>		<b>59</b>

## **6.2 Timetable for the Work Programme**

The following table sets out the timetable for taking forward the Work Programme.