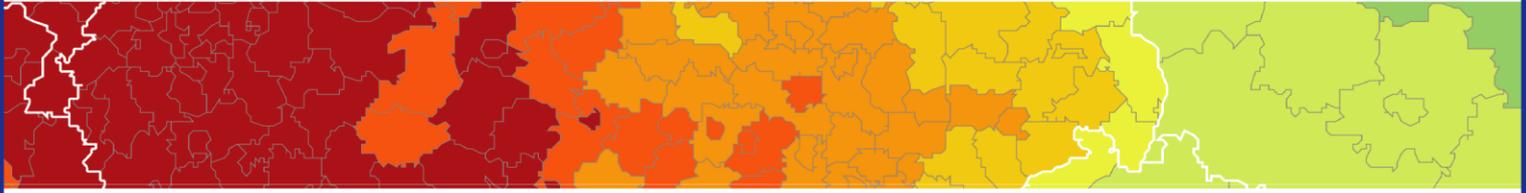


Inspire policy making by territorial evidence



ESPON TIA Tool Moderator's Guide

Monitoring and Tools

Version 10/02/2020

The ESPON TIA Tool is a simplified, evidence-based procedure of Territorial Impact Assessment (TIA). It helps to steer an expert discussion about the territorial effects of an EU policy proposal by checking all relevant indicators in a workshop setting. It translates the results of the expert discussion about the territorial impact of EU policy in maps on NUTS3 level. Thus, it serves as a starting point for discussing different impacts of a concrete EU policy on different regions.

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ESPON TIA Tool Moderator's Guide

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Abbreviations

CB	Cross Border
CoR	Committee of the Regions
CVD	Clean Vehicles Directive
DG MOVE	Directorate General for Mobility and Transport
DG REGIO	Directorate General for Regional and Urban Policy
EC	European Commission
ESPON	European Territorial Observatory Network
EU	European Union
GDP	Gross Domestic Product
GVA	Gross Value Added
ICT	Information and Communications Technology
IPCC	Intergovernmental Panel on Climate Change
LPD	Legislations, Policies, Directives
NUTS	Nomenclature of Territorial Units for Statistics
TIA	Territorial Impact Assessment

1 Introduction

The document at hand constitutes the moderators guide for the application of the ESPON TIA Quick Check by using the TIA webtool. It outlines the process of preparing and conducting a territorial impact assessment with the tool, indicating any potential obstacles and challenges, to assist you in the process. It is structured along four main sections:

- Section 2: The ESPON TIA Quick check at a glance
- Section 3: Preparing the Workshop session
- Section 4: Conducting the TIA workshop
- Section 5: Workshop follow-up

The ESPON TIA Quick check at a glance

Within this section, you will find an introduction to the concept and goals of Territorial Impact Assessment (TIA) also focussing on the distinction between a TIA an evaluation. Additionally, the approach of the TIA Quick Check within the TIA Tool and the underlying methodology is presented.

Preparing the Workshop session

Here you will find a description of the steps to be undertaken before the actual start of the workshop. Both the organisational tasks regarding the group composition and venue where to conduct the workshop, as well as the preselection of indicators and corresponding preparation of the webtool are included.

Conducting the TIA workshop

This section elaborates on the 5 steps of the tool, explaining the different options available and outlining the agenda and procedure of the workshop. Advice on how to prepare a systemic picture of the policy proposal to be assessed, how to guide the discussion on indicator selection and how to conduct the voting are given. Subsequently, the input of the votes into the tool and the interpretation of maps as well as the policy conclusions to be drawn from that is described.

Workshop follow-up

In this section you will find guidelines on how to use and disseminate the results of the TIA workshop. Guidance is given on what to include in the report, how to correctly sum up the workshop results and how to present the maps within this setting, as well as how proceed with the analysis.

While this guide is intended to support in the understanding of the tool and the corresponding workshop, the knowledge necessary to successfully conduct a territorial impact assessment goes beyond this. ESPON is currently developing a curriculum for interested persons to become a certified moderator. If you are interested, please contact Marjan van Herwijnen at the ESPON EGTC under marjan.vanherwijnen@espon.eu

2 The ESPON TIA Quick check at a glance

2.1 The concept of territorial impact assessment

Legislations, Policies and Directives (hereinafter referred to as LPD or “EU policy proposal”, “policy proposal”), may often have unintended impacts on the territory, its development and its organisation on the different spatial levels. It is the aim of territorial impact assessment (TIA) to identify whether a policy, regulation or legislation has “a large asymmetric territorial impact” (EU COM, 2013: 2). Conducting a territorial impact assessment should limit the risk of “causing an unbalanced territorial or spatial distribution of costs and benefits for different types of territories” (ESPON, 2012: 7).

Impact assessment (IA) is a standard procedure to prepare “evidence for political decision-makers on the advantages and disadvantages of possible policy options by assessing their potential impact” (EU COM, 2013: online). The basic idea behind the IA procedure is that ex-ante impact evaluations of new policy proposals, when carried out in parallel to the policymaking process, will improve the original ideas and result in robust, effective, efficient and widely supported policies (cf. ESPON, 2012: 19). The territorial impact assessment (TIA) enriches the IA procedure by showing a regional differentiation of the impact of EU policies.

2.2 The ESPON TIA Tool approach

The concept of territorial impact assessment (TIA) aims at showing the regional differentiation of the impact of EU policies. The ESPON TIA Tool¹ is an interactive web application that can be used to support policy makers and practitioners with identifying ex-ante, potential territorial impacts of new EU Legislations, Policies and Directives. The ESPON TIA Tool is based on the “ESPON TIA quick check” methodology. Its approach combines a workshop setting for identifying systemic relations between a policy and its territorial consequences with a set of indicators describing the sensitivity of European regions. It helps to steer an expert discussion about the potential territorial effects of an EU policy proposal by checking all relevant indicators in a workshop setting. The results of the guided expert discussion are judgments about the potential territorial impact of an EU policy considering different thematic fields (economy, society, environment, governance) for a range of indicators. These results are fed into the ESPON TIA Tool.

The web tool translates the combination of the expert judgments on exposure with the different sensitivity of regions into maps showing the potential territorial impact of EU policy on NUTS3 level. These maps serve as starting point for the further discussion of different impacts of a concrete EU policy on different regions. Consequently, the experts participating in the workshop provide an important input for this quick check on potential territorial effects of an EU policy proposal.

¹ <https://www.espon.eu/tools-maps/espon-tia-tool>

2.3 Territorial impact assessment vs. evaluation

The EU Better Regulation Guidelines (COM (2017): SWD (2017) 350) define **Impact Assessment** as:

“The impact assessment process is about gathering and analysing evidence to support policymaking. It verifies the existence of a problem, identifies its underlying causes, assesses whether EU action is needed, and analyses the advantages and disadvantages of available solutions.

Impact assessment promotes more informed decision-making and contributes to better regulation which delivers the full benefits of policies at minimum cost while respecting the principles of subsidiarity and proportionality. However, impact assessment is only an aid to policy-making/decision-making and not a substitute for it.” (COM (2017), p. 16/17)

Impact Assessments are required for all Commission initiatives, which are likely to have significant economic, environmental or social impacts.

In the Better Regulation Toolbox (COM (2017): SWD (2017) 350 complement) Territorial Impact Assessment shall be applied if

- ▶ *“First, the impacts associated with the problem are often heterogeneously distributed across the Union. This means that the design of effective policy options will also bring about an uneven geographical distribution of impacts (costs and benefits).*
- ▶ *Second, a policy option may act unevenly to produce heterogeneous territorial impacts even where a problem is not necessarily unevenly distributed across the territory of the Union.”* (COM (2017) complement; p. 258)

In the same document **evaluation** is defined as an

“evidence-based judgement of the extent to which an existing intervention is:

- ▶ *Effective;*
- ▶ *Efficient;*
- ▶ *Relevant given the current needs;*
- ▶ *Coherent both internally and with other EU interventions; and*
- ▶ *Has achieved EU added value.”* (COM(2017); p.52)

These definitions show that even if territorial impact assessment as well as the evaluation approach aim at showing effects of policies following the cause-effect chain of the policy interventions, there are existing clear differences:

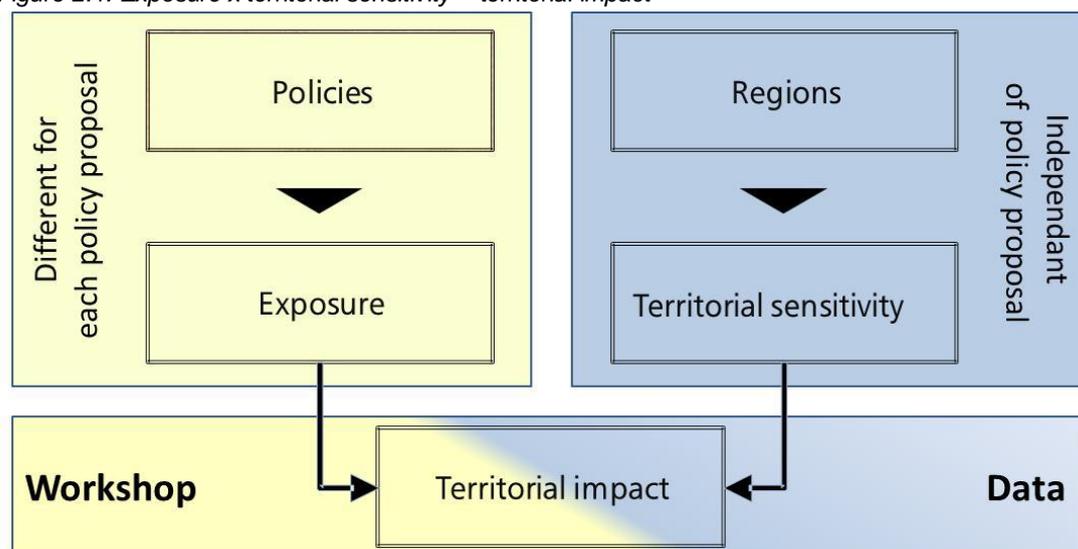
In evaluations the judgement plays a crucial role bringing in values and perceptions of the evaluators, who have to identify how far a policy or programme has reached its goals and how far it has been “successful”. The territorial impact assessment is “normatively blind” only aiming at depicting effects, their interlinkages and their intensity.

Additionally, as the TIA Quick Check methodology is developed as an ex-ante assessment, no actual effects as in an ex-post assessment are measured. In an ex-post assessment, actual effects backed up by measured data are relevant, while in an ex-ante assessment only the probable impacts can be depicted thus acting as a basis for discussion.

2.4 The ESPON TIA Quick check methodology

The ESPON TIA Quick Check methodology is one of the approved methodologies by the European Commission to analyse potential territorial impacts². It combines the expert judgement on the potential effect of the revised LPD (*exposure*) with indicators picturing the sensitivity of regions resulting in maps showing a territorial differentiated impact. This approach is based on the *vulnerability concept* developed by the Intergovernmental Panel on Climate Change (IPCC). In this case, the effects deriving from a particular policy measure (*exposure*) are combined with the characteristics of a region (*territorial sensitivity*) to produce potential territorial impacts (cf. following figure).

Figure 2.1: $Exposure \times territorial\ sensitivity = territorial\ impact$



Source: ÖIR (2015)

- “Territorial Sensitivity” describes the baseline situation of the region according to its ability to cope with external effects. It is a characteristic of a region that can be described by different indicators independently of the topic analysed.
- “Exposure” describes the intensity of the potential effect caused by the revised LPD on a specific indicator. Exposure illustrates the experts’ judgement, i.e. the main findings of the expert discussion at the TIA workshop.

² https://ec.europa.eu/info/files/better-regulation-toolbox-33_en

3 Preparing the Workshop session

3.1 Selection of the topic to be assessed

The standard application of the ESPON TIA Tool is the territorial impact assessment of a concrete policy intervention (e.g. a finalized Directive or Regulation or an almost final draft with defined options) before it is finally approved by co-legislators. The careful selection of the topic that shall be assessed is a cornerstone of a successful TIA:

- The clearer the proposed policy can be described, the better can the experts in the workshop identify potential effects. Vague policy descriptions will make the identification of effects more fuzzy.
However, sometimes it can be required to assess the impacts of a policy proposal in an early stage of the policy making process. The ESPON TIA Tool could help to identify relevant potentially effected fields.
- The ESPON TIA Tool is developed to provide an ex-ante assessment. The indicators within the tool are describing the sensitivity of a region towards different types of exposure, thereby opening room for discussion. They do not measure actual ex-post effects.
- When a policy proposal offers different policy options, it is essential to decide, which of them should be discussed. One option could be to select the most likely one. Another option is to discuss the one with the most intense effects. (This would be a kind of “worst case scenario”.)
If there is no decision made, a workshop for each policy option would be needed.

Example

In a workshop on the effects of the Work Life Balance Directive a bundle of concrete measures that were to be assessed was set up.

Source: CoR (2017), Territorial Impact Assessment Work Life Balance Directive. Report

3.2 Organising the Workshop

The success of the workshop depends amongst others on the design of the workshop setting and the group of experts that are discussing the territorial impact of the concrete LPD.

Who should participate?

The group should include persons with different backgrounds representing various points of view from different genders, if possible, and geographies of the EU (South, North, East and South) so that there is a representative mix of experts. The list of discussants should include the following experts and stakeholders:

- A person who knows the policy proposal and its background very well (e.g. one of the “writers” of the policy proposal) as e.g. a representative of the relevant policy-issuing Directorate General. He/she should give an introducing presentation and explain the background of the policy proposal.
- relevant stakeholders as e.g. DG Regio, CoR, representatives of Member States, regions, cities, cross border areas, and interest groups who will be affected by the proposal;

- experts representing different fields relevant to the topic of the EU policy proposal to be analysed.

Example

In a Workshop about the Revision of the Clean Vehicles Directive a representative of DG MOVE first presented the background for the initiative and the policy options developed before conducting the TIA.

Source: Dallhammer, Erich; Schuh, Bernd; Stavropoulos, Eleftherios; Zintis, Hermansons (2017): Territorial Impact Assessment Report: Revision of Directive 2009/33/EC on Clean and Energy-efficient Road Transport Vehicles – Clean Vehicles Directive (CVD)

How many experts should participate?

A group of 7-15 (max. 20) experts is a good size for discussing the territorial effects of a policy proposal. In a smaller group it is probably difficult to cover all relevant fields of expertise that can contribute to the discussion. With more than 15 people an open discussion and agreements about the indicators used to calculate the policy's effects will become more difficult but is possible and needs good management by the moderator/s.

What information should the participants receive in advance?

It is important that the participants know what the TIA Tool and the policy to be analysed is about. In order to prepare themselves for the workshop they should receive also a background note describing the relevant policy measure (draft legislation, directive that will be analysed) that will be discussed and the main options that it offers and its aims and objectives. In addition the agenda of the workshop including a short description of the TIA Tool in advance.

It is important to make clear to the participants before the workshop that:

- The whole group should be present throughout the process – as the process is built as a cascade of group decisions late-comers will miss important steps. Late arrivals are counterproductive since participants will lose basic information
- The group will take out the most of this process if they approach the session with the willingness to actively contribute, accept other opinions and allow holistic thinking. – In this respect it is not acceptable to ignore and neglect other opinions and contributions.
- The process will be designed as several loops and there will be no ultimate “truth” in the results, but rather a “best compromise solution”.

How many moderators are needed? What should they prepare?

For a successful workshop two moderators are essential. One will focus more on the guidance of the discussion and the interaction with the participants. The other one should focus on the results required for the proceeding of the TIA tool, the conclusions and the interpretations of discussions. Additionally a “*rapporteur*” would be needed for making notes in order to record the arguments of the participants.

Both moderators and the “*rapporteur*” need to be well prepared before the workshop and are expected to have studied the draft legislation and supportive studies and evaluations that are available and to be well acquainted with the policy options and the issues concerned.

What is the role of a preparation study?

It could be valuable to commission a preparation study for picturing the effects of the policy proposal. This could strongly contribute to the TIA by providing the following information:

- Description of main effects in the fields of economy, environment, society and governance;
- Assessing whether different types of regions are effected differently (if this would be the case, the study may identify the concrete regions belonging to a certain type);
- Identification of relevant indicators describing the sensitivity of regions towards potential effects and, if not already available in the TIA tool, gathering the data for these indicators at NUTS3 level.

Which equipment is needed in the room?

The setting of the room should include the following equipment:

- There should be a large table where the participants can stand around and engage into discussions. No person should be in a second row.
- On the table a large piece of paper (size A1 or A0) is needed on which the participants could write and draw a systemic picture of the effects of the policy to be discussed. You need also enough markers to write. Alternatively a big whiteboard could be used with adequate space so that the participants can be placed in a hemicycle.
- A computer with access to internet linked to a projector is needed in order to go through the steps of the ESPON TIA Tool and the expert input visible for all participants.
- It has been proven useful to be able to print out the resulting maps with regional exposure. So a printer that can print at least at paper size A3, best in colour, can be helpful.

Figure 3.1: Table in the middle of the room with a white paper for discussing and drawing the systemic picture



Source: ÖIR (2017c), CoR Workshop Work Life Balance Directive

How long should a workshop session be?

There should be enough time for expert discussion during the workshop. Especially time will be needed for the following steps:

- Discussion of the systemic picture
- Discussion of the results displayed in the maps
- Discussion of the policy consequences after the assessment of the territorial impact

Usually, it is necessary to reserve almost one full day (including a break). – A draft agenda is provided in the annex.

Make certain that you create a pleasant and comfortable environment for participants. A room with good air conditioning, good ambience and light is important. Make sure that there is access for participants with disabilities. Additionally, consider providing coffee, tea, water, refreshments and some snacks to participants.

3.3 Pre-analysing the policy proposal

Defining the type of TIA

The TIA tool includes options for four different types of TIA: GENERAL TIA; CB TIA (Cross-border TIA), URBAN TIA and also CUSTOM TIA. With CB TIA and URBAN TIA the possibility is offered to investigate only certain types of regions, with specific data sets behind them, that are specifically targeted by a policy measure/initiative.

CB TIA allows understanding the impact on cross border regions, while URBAN TIA focuses only on urban areas. The option for a CUSTOM TIA can be used in all other types of TIA and allows the user to select other (pre-defined in the tool) types of regions. The indicator values in the three additional TIA modes are normalized only in reference to selected datasets.

CUSTOM TIA – Defining the set of regions to be considered

The ESPON TIA tool allows to focus the TIA on a set of regions. A TIA covers in general all of ESPON space (EU28+4) but with a CUSTOM TIA one can cover only parts of it such as the EU 15 or even a single country. In the latter case it is recommended to confine the selection to those regions the TIA is focussed on, because then the exposure calculations are related to that selection and the differences between the regions considered will become clearer.

Figure 3.2: Selecting or creating a set of regions

The screenshot shows the ESPON TIA Tool interface. At the top, there is a 'Workshop title' field with 'SoR Demo' and a 'Date' field with '02/07/2018'. Below these are three tabs for 'TIA type': 'GENERAL TIA', 'CB TIA', and 'URBAN TIA'. The 'Set of regions' dropdown menu is open, showing 'All Regions' as the selected option. A tooltip 'New custom region set' is visible next to the dropdown. Below the dropdown are 'Topic' and 'Location' fields with options 'EU 15', 'EU 28', and 'EU 28 + 4'. A 'Description' text area is at the bottom. There is an 'ADDITIONAL INFO' button on the left and a 'SAVE & NEXT' button on the right.

Source: ESPON TIA Tool (2018)

Analysing the intervention logic

It is important that the moderator knows the content of the EU policy to be assessed. As the ESPON TIA Quick check is a *policy decision support instrument*, the more concrete the policy proposal to be assessed by the tool is, the better and the more useful the results will be. So the moderator should try to get as concrete as possible regarding the policy options for the workshop.

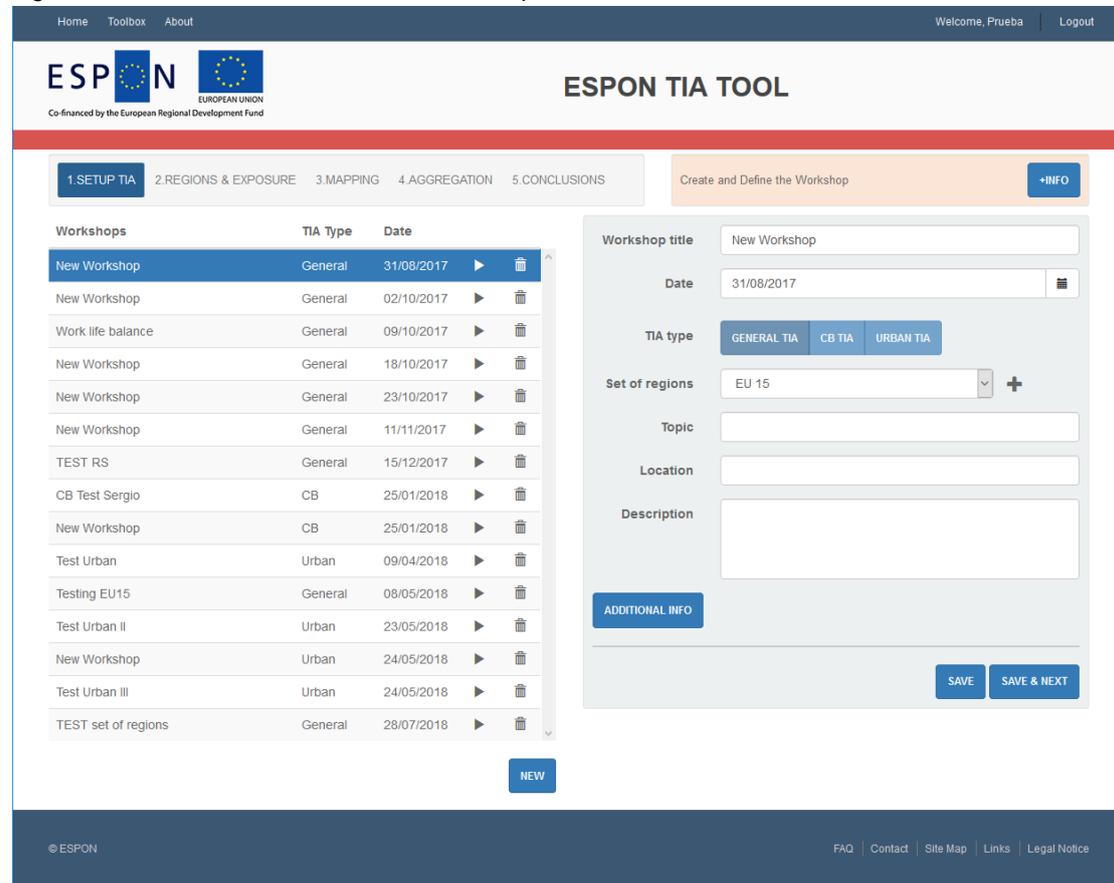
When analyzing the policy proposal he/she will try to analyse the intervention logic and then focusing on to two core questions:

- Are some types of regions affected more than others/in different ways than others?
- In which thematic fields are the main positive or negative (net-) effects of the policy?

3.4 Preparing the TIA tool

It is strongly recommended to prepare the TIA tool prior to the workshop and to make an internal test-run.

Figure 3.3: Screenshot of ESPON TIA Tool, Step 1



Source: ESPON TIA Tool (2018)

Especially the following steps can be prepared in advance:

- Entering the information that is already available, as e.g. name of the workshop session, date and location in the tool (in the webtool the dialogue “1. Setup TIA”); this information can be saved until the workshop starts;
- Defining which type of TIA should be performed: either GENERAL TIA; CB TIA (Cross-border TIA), URBAN TIA or CUSTOM TIA as described above.
- In case of a CUSTOM TIA: pre-selecting or pre-defining the set of regions to be included (ESPON-Space, EU 28, EU 15, ...) as shown in Figure 3.2 (in the webtool still in the dialogue “1. Setup TIA”)
- Screening the list of types of regions provided. During the pre-check of the EU policy it should be questioned whether the relevant types of regions that could be affected by the EU policy are covered by the existing list (in the webtool the dialogue “2. Regions & Exposure”);
 - If yes: the moderator should note them.
 - If no: the moderator should try to find an adequate typology of regions (on NUTS3 level) and upload it before the workshop starts.

- Identifying necessary indicators and checking the list of indicators available in the tool. During the pre-check of the EU policy, it should be asked whether the provided list of indicators covers all relevant fields of potential impacts that would be expected to be raised by the experts during the workshop:
- If yes: the moderator should make notes and try to focus the discussion on the most relevant indicators.
- If no: the moderator should try to find adequate additional indicators describing the characteristics of the regions in the relevant fields detected (on NUTS3 or FUA level) and upload them before the workshop starts (in the webtool in dialogue “2. Regions & Exposure”).
- During this task, the moderator should also identify indicators that are potentially less relevant, as this will help in guiding the discussion on indicator selection during the workshop.
- Printing the “indicator postcards” (see section 3.2.1- Sub-step 2.1) – example shown in annex.
- Preparing a set of “voting cards” (see section 3.2.3– Sub-step 2.3), or, if needed, multiple sets with different colours – example shown in annex. Multiple sets are needed if participants will likely or possibly decide on using different types of regions, in which case using one color per type of region is advised.

Own data can be uploaded and pre-filled settings of the workshop session can be entered prior to the workshop. It can be stored and used when the expert workshop starts.

Uploading of data

It is possible to *upload additional indicators* as well as additional typologies to the tool to The process both for exposure fields as well as for typologies is rather similar, making use of excel-tables provided by the tool.

For uploading an indicator, the button “upload indicator” in the “select exposure fields” dialogue within step 2 “Regions & Exposure” has to be pressed. A new window allowing for the input of metadata pops up as shown in Figure 3.4. At the bottom of this window the user can choose whether the indicator should be imported from an external source (e.g. hard-drive of the user) or from ESPON database. When uploading from an external source, the corresponding template for NUTS or FUA data has to be downloaded as provided. The moderator can put in the values for each region in column “C” of the template, and subsequently has to save it as .csv and upload the file. For each indicator uploaded in that way, the name, the general and thematic field has to be given.

Figure 3.4: Screenshot of ESPON TIA Tool, indicator upload

Source: ESPON TIA Tool (2018)

Additionally it has to be defined whether the exposure field needs to be evaluated as being harmful (“cost”) or favourable (“benefit”) for the regions welfare (in the tool it is also called “direction of impact” and defined by either -1 or 1). Then the tool will automatically transform the experts rating into numbers for further calculation (= normalisation).

Uploading an indicator from the ESPON database is also possible, for which the radiobutton “ESPON database” on the bottom of the window has to be selected. Pressing the “search” button will then open a list of available datasets of the ESPON database from which the moderator can choose.

For uploading a typology the button “upload new typology” in step 2 “Regions & Exposure” has to be pressed. A new window allowing for the input of metadata similar to when uploading indicators pops up as shown in Figure 3.5. Accordingly, the upload is possible via the use of an excel template either for NUTS or for FUA geometries which has to be downloaded and filled with values. Both “standard” as well as “fuzzy” typologies can be used here as explained in section 4.2.1. Only the “name” and the “geometry” fields are mandatory to be filled, however it is advised to put in all metadata available as to enable the workshop participants to get a clear picture.

Figure 3.5: Screenshot of ESPON TIA Tool, typology upload

New Typology x

Name *

Source

Reference year

Geometry *

Description

Only for cross-border TIA

If you import data from external sources, you need to use one of the following downloadable templates [NUTS FUA](#)
Import typology from filled excel file previously downloaded - file has to be in .csv format

Keine Datei ausgewählt.

Source: ESPON TIA Tool (2018)

4 Conducting the TIA workshop

4.1 Step 1: Set up TIA

4.1.1 Sub-step 1.1: Opening session for setting the frame

Main Task

The first section of a TIA workshop aims at setting the frame. It should provide the workshop participants with the relevant information about the policy proposal to be assessed and the methodology of the ESPON TIA Tool. Furthermore, the first phase of the workshop should have an “ice-braking” function for the participants in order to enable vivid discussions.

Methodological background

It is essential that there is a common understanding of the policy proposal under analysis and the TIA methodology that is applied in this workshop. The presentations should ensure this.

In the discussion

The opening session shall include the following topics:

- A short presentation of the policy frame, the policy proposal, results of existing impact assessments (if available) and a concrete description on the policy option/s that should be assessed;
- A short presentation of the TIA methodology (see slides in the Annex);
- The introduction of the participants. This introduction should be done by each participant. It should be short, mentioning the name and the institution. A personal question that is related to their connection with the policy proposal could be used as an “ice-breaker”;
- A short presentation of the rules of the workshop;
- A note that everyone is participating as an expert and/or stakeholder concerning the policy proposal to be discussed. The personal opinion of an expert is relevant, not position of the organisation one belongs to;
- A note that all people present at the workshop are expected to participate and to contribute to the discussions. Due to the interactive format of the workshops there are no “observers”;
- A note that the whole group should be present throughout the process – as the process is built as a cascade of group decisions late-comers will miss important steps;
- A note that the result is based on a model picturing the sensitivity of regions and on the expert judgement about the direction and strength of the effects of the policy proposal. There will be no ultimate “truth” in the results, but rather “scenarios” of effects.

Example for an “ice-breaker questions”

TIA Workshop about sharing economy: “What would you like to share with your neighbours as your contribution to a sharing economy?”

TIA Workshop on the modification of the Work Life Balance Directive: “How would you describe your work life balance? What would you like to change?”

In the tool

No input into the tool needed. Everything relevant is done in the workshop preparation.

4.1.2 Sub-step 1.2: Drawing the systemic picture

Main Task

As an element of Step 1 of the TIA the participants of the workshop together create a systemic picture (“*conceptual model*”) depicting the potential effects of the policy measure/initiative at hand on territorial development in the fields of economy, society, environment and governance.

Methodological background

In order to identify potential territorial impacts, it is necessary to translate the text of the policy proposal into cause/effect relations describing the “*intervention logic*” of a policy. These relationships are depicted as flowcharts showing the links between the regulatory elements laid down in the policy measure/initiative, its specific targets and the different fields in which it will potentially show direct or indirect effects (“*fields of exposure*” according to ESPON TIA methodology).

The conceptual model translates the text of the policy proposal into cause-effect relations showed in a systemic picture. It allows for a comprehensive systemic view in case of complex cause-effect chains.

In the ESPON TIA Tool the starting point of the discussion are the potential effects of the analysed EU Policy on different fields of impact: “economy”, “society”, “environment” and “governance” broken down into more detailed thematic fields, measured by indicators. The systemic picture allows traceability of the model for the user.

In the discussion

A brainstorming exercise will be used to support the drawing of the conceptual model. The brainstorming uses the expert knowledge of all participants to identify the potential consequences of policies, etc. It serves as a relatively quick way of identifying potential impacts.

Participants should think about potential effects of the policy proposal on the development of regions’ or cities in comparison to the development without the new legislation (“baseline scenario”).

A large paper (“tablecloth”, size A1 or A0) is fixed on a table where the participants can sit or even better stand around and discuss. No person should be placed in a second row. (When the participants are standing, the interaction would be more lively. So, if you would like to intensify the discussion take the chairs away).

As a starting point of the discussion the following can be done:

- The name of the policy proposal is to be written in the centre of the paper.
- On each corner the main thematic fields are to be written down: economy”, “society”, “environment”, “governance”
- Making sure that there are enough whiteboard markers so that every participant can write down her/his ideas.

The following questions can steer the discussion:

- What are the direct and indirect economic, social, environmental and governmental effects and how they occur?
- Has the policy proposal effects on the economic development of a region or city? On the employment? In which fields?
- Has the policy proposal effects on the people in a region? On their living conditions? How and why?
- Does the policy proposal influence environmental conditions? Which ones? In which way?
- Does the policy proposal or its implementation effect the government or governance systems? Why? In Which ways?
- Are different types of regions affected differently? Which types of regions are affected in what way?

The participants should draw causal links between all the effects deriving from the policy proposal (exposure in the vulnerability concept) and the receptive capacity of a region (sensitivity in the vulnerability concept), indicating indirect or direct negative and positive relations.

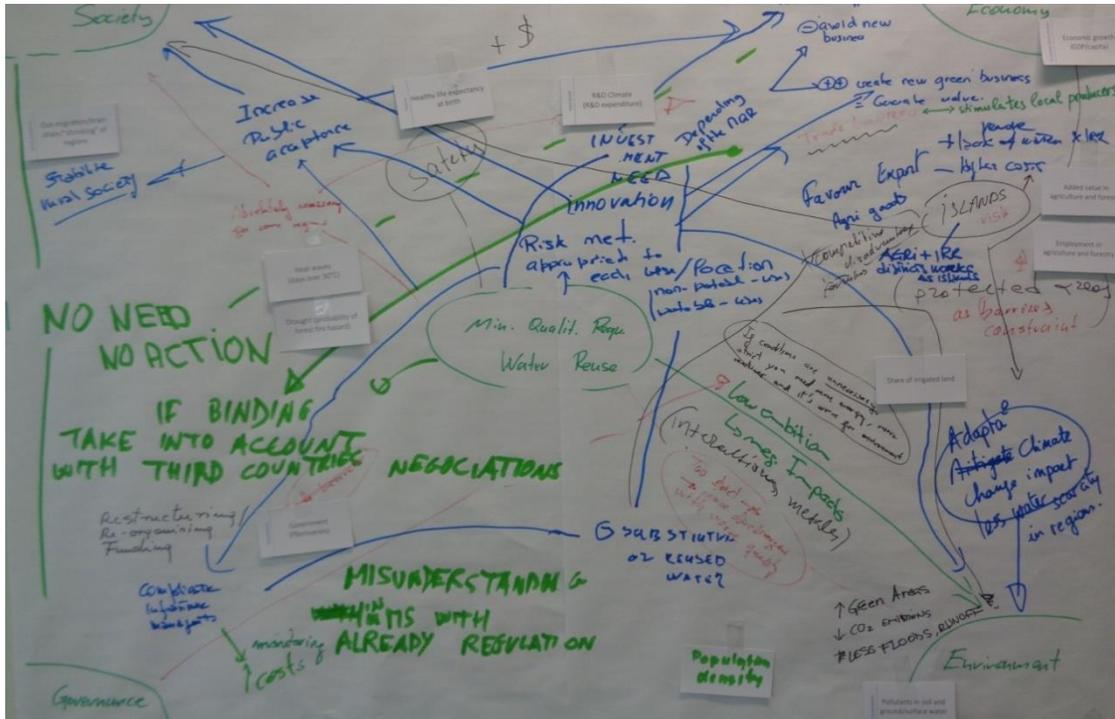
The participants should explain their ideas to the group in a few words (keywords, short phrases) and write them on the paper. Others can write amendments and comments, but crossing out is forbidden. All findings should be listed on the paper.

The moderator can ask guiding questions to make sure that all aspects have been considered and all information is captured in the picture.

Results

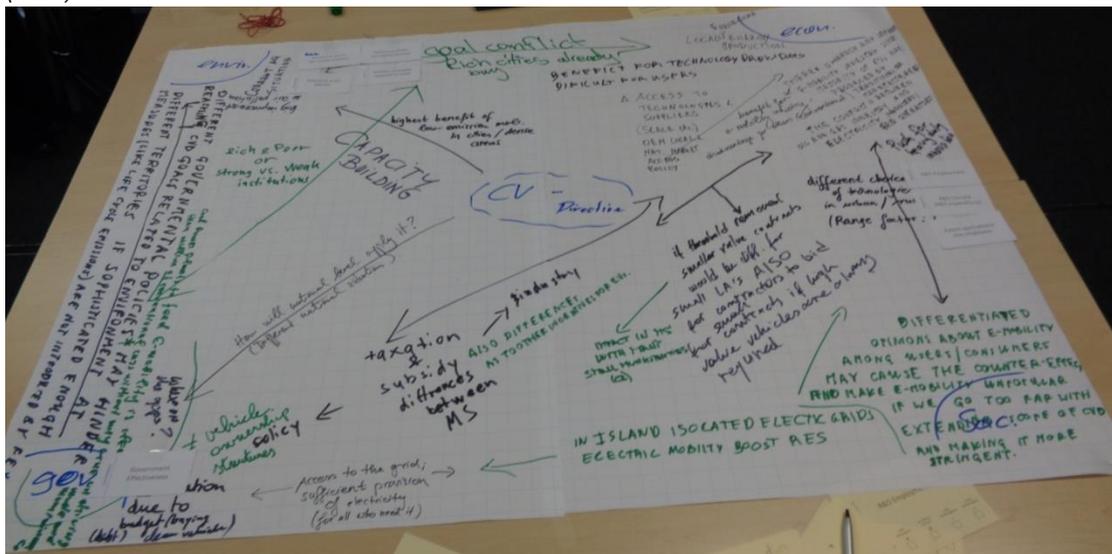
A systemic picture showing the conceptual model of the policy proposal according to its intervention logic and potential effects. This picture can be uploaded into the tool.

Figure 4.1: Workshop findings: Conceptual model of the regional effects of the development of minimum quality requirements for reused water in agricultural irrigation and aquifer recharge



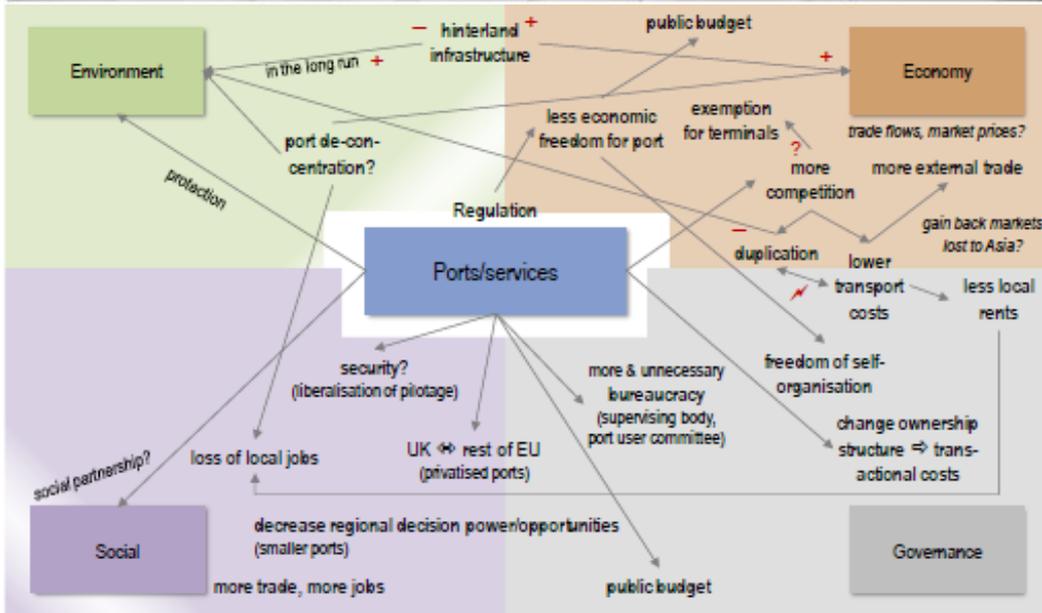
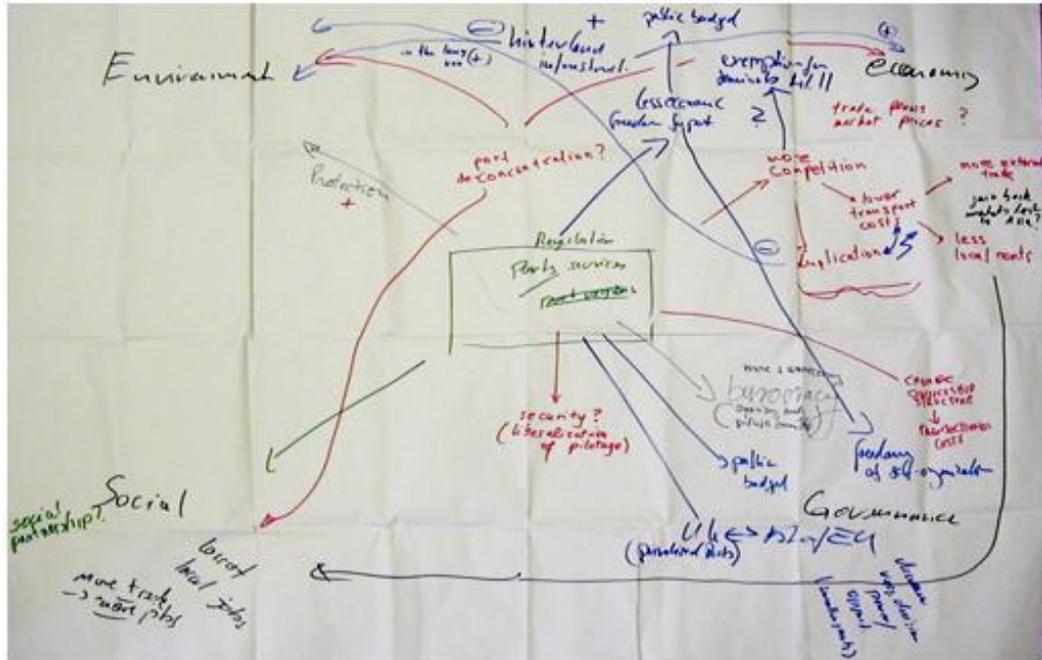
Source: ÖIR (2017a), Territorial impact assessment expert workshop, Brussels, 5 April 2017

Figure 4.2: Workshop findings: Conceptual model of the potential territorial effects from the revision of Directive 2009/33/EC on clean and energy-efficient road transport vehicles – Clean Vehicles Directive (CVD)



Source: ÖIR (2017b), Territorial impact assessment expert workshop, Brussels, 11 May 2017

Figure 4.3: Conceptual model of the regulation COM (2013) 296 final/establishing a framework on market access to port services and financial transparency of ports (handwritten in the workshop and elaborated version)



Source: ÖIR (2013), Territorial impact assessment expert workshop, Brussels, 25 September 2013

In the tool

An attachment with the systemic picture can be uploaded in the webtool in the dialogue “2. Regions & Exposure”.

4.2 Step 2: Regions and exposure

4.2.1 Sub-step 2.1: Selecting regional typology

Main Task

Policy proposals can produce spatial effects on a certain type of regions, as e.g. urban regions, mountainous regions, coastal regions, If the participants of the workshop identify certain effects on a special type of regions during the discussion of the systemic picture, this needs to be clearly defined, as there will be a separate voting on the strength of the effect on each type of regions identified.

Methodological background

The effects of a policy proposal could vary according to the type of region: A policy proposal may affect only particular regions (e.g. coastal regions, regions with presence of particular productions or facilities like coal mines etc.) or different types of regions could be affected in different ways. Therefore, it is essential to pre-select in this step only those types of regions being affected for-further analysis.

The tool also offers the ability to use “fuzzy” typologies. Other than in a “standard” typology, where a region can either be assigned as part of the typology (value “1”) or not part of it (value “0”), a fuzzy typology can depict the extent to which a region belongs to a certain typology as a value between 0 and 100% (i.e. value between 0 and 1). An example for this would be the fuzzy typology “Share of people living within 25km of a border region”. If 50% of the population of a given region live inside the defined corridor of 25km of the border, the corresponding value for the region in the typology would be 0.5, thus reducing the extent to which the region is affected by a policy in the calculation by 50%. Accordingly, a value of 0.1 would reduce the extent to which the region is affected in the calculation by 90%.

In the discussion

Based on the results of the discussion the moderator will ask whether territorial effects of a policy proposal as laid down in the systemic picture effect different types of regions. A clear agreement on the types of regions to be assessed is required. The following questions can guide the discussion:

- Does the policy proposal affect all regions in the same way or are just certain regions affected?
- Do different regions experience different effects of the policy proposal? Which types of regions are these?
- Is the differentiation relevant for all indicators or just for some?

The participants of the workshop should agree, with the help of the moderator, for which types of regions they would like to estimate the effects of the policy proposal that is analysed.

According to the experiences from previous workshops there should be a limit on two to maximum three types of regions. It could also be decided that just a few indicators need a differ-

ent judgement for different types of regions. As an expert vote is required for each type of region and indicator selected, it would be good to limit the number of types of regions.

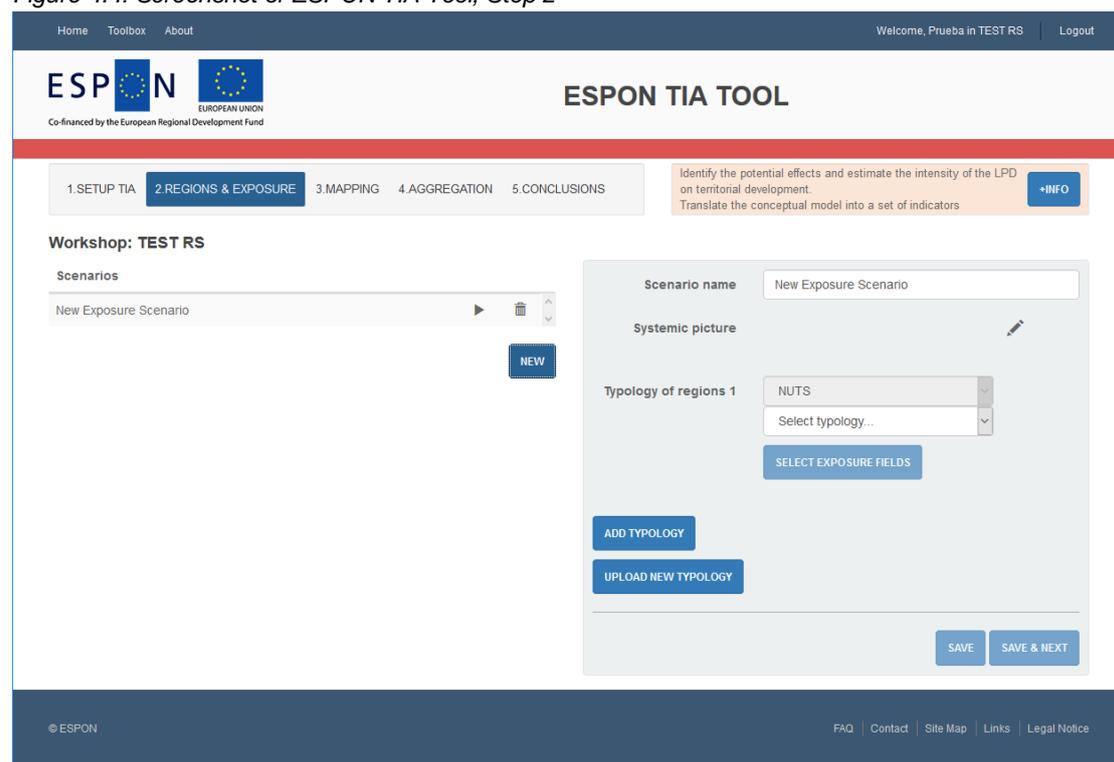
In the tool

In each exposure scenario up to five regional typologies can be entered. For each regional typology, multiple exposure fields (indicators) can be selected. In this option expert votes can be entered for different types of regions.

If there is a need for different votes by the experts for different type of regions, the moderator can define different exposure scenarios. This is done by adding a new scenario, editing scenario name, uploading an attachment (e.g. picture) of the systemic picture, selecting one or multiple types of regions to which exposure fields (indicators) as well as expert voting on the exposure is entered.

The web-tool provides a set of pre-selected types of NUTS3 regions to choose from (e.g. rural/urban, central/peripheral, advanced/lagging) that can be used. Additionally the tool offers the possibility to upload new types of regions.

Figure 4.4: Screenshot of ESPON TIA Tool, Step 2



Source: ESPON TIA Tool (2018)

Results

Final selection of regions, which are expected to be affected.

4.2.2 Sub-step 2.2: Identifying the exposure fields/indicators

Main Task

In this step indicators (in the TIA methodology known as “exposure fields”) are selected that best reflect the systemic relations, as drawn in the systemic picture.

Methodological background

In order to assess the potential effects pictured in the conceptual model, suitable indicators related to the parameters that the experts discussed in the fields of economy, environment, society and governance need to be selected. The indicators are required as an input in the TIA, which describes the different sensitivity of regions.

The availability of data for all NUTS 3 regions is posing certain limitations to indicators that can be used. From the available indicators that the ESPON TIA Tool offers, the experts commonly agree on choosing indicators to describe the identified effects.

In case of the Urban-TIA, some of the standard datasets provided by the tool have a reference year of 2020 or later. These datasets are projections produced by the JRC for functional urban areas and are the results of varying modelling procedures based on measured data in previous years. In principle, using data based on modelling should be avoided, however as the data availability for functional urban areas is very scarce, in some cases it might be preferable to use modelled data rather than having no data at all. When using such datasets, the uncertainties and limitations connected to using projections have to be explained to the participants.

In the discussion

The ESPON TIA Tool provides a pre-selected set of indicators. Each indicator of the ESPON TIA Tool is written down on a separate postcard (“indicator-postcard”- see annex) in order to be able to add the relevant indicators on to the systemic picture. The “indicator-postcards” should be printed prior to the workshop.

The “indicator-postcards” are held by the co-moderator who has observed the discussion about potential effects of the policy proposal. When the discussion on the systemic relation is closed he/she will open the discussion with the question “Which possible indicators are able to picture the discussed effects?”

The moderator makes suggestions for possible indicators. The participants discuss whether a proposed indicator is useful/appropriate and/or might be used as a proxy or second best approach for depicting effects. For each indicator the moderator should have available the definition of what the indicator measures, which ideally should be printed on the backside of the indicator-postcards.

The moderator should try to focus the discussion for choosing the most relevant and suitable indicators. Choosing too many indicators may take much time for the expert judgements required afterwards. Moreover choosing more indicators means more different results in terms

of maps depicting territorial differences and patterns to discuss at the end of the TIA. Here a trade-off between coverage (i.e. more indicators) and time for in-depth discussions on judgments and results (i.e. less indicators) has to be considered. In most of the workshops conducted so far, the average amount of indicators which was used and still could be handled by the group was between 5 and 9.

The final selection of indicators by the group are added to the systemic picture by gluing them to the paper and drawing the relevant links.

In the tool

The tool offers a set of indicators in the fields of economy, society, environment and governance that could be affected by a policy proposal. Information on each of the indicators is shown when you scroll over each of the indicator fields. Additionally, any indicator you have uploaded as explained in section 3.4 is available for selection.

Furthermore it is possible to screen the “interactions between indicators” in the tool. This gives the similarity between the selected exposure fields in values for an adjusted r^2 over the regions in the set of regions and typology selected. Thus it can be seen if different indicators are expected to give very similar or different regional exposure. This may be of help when interpreting the results.

Figure 4.5: Interactions between indicators



Source: ESPON TIA Tool (2018)

Results

Final selection of indicators, which will be used to calculate the territorial impact of the policy to be analyzed

4.2.3 Sub-step 2.3: Expert voting

Main Task

The experts estimate for each type of regions (identified in the preceding step) and each thematic field (indicator) the intensity of exposure caused by implementing the policy proposal. It is a judgement based on expert knowledge taking into account the results of the previous discussion on the systemic interlinkages.

Methodological background

The conceptual model is translated into a set of indicators that describe the intensity of policy exposure. The ESPON TIA Tool offers the opportunity for each indicator (exposure field) to judge the effect of the policy proposal according to the following scale:

- strong advantageous effect on territorial welfare
- weak advantageous effect on territorial welfare
- minor effect/diverse effects
- weak disadvantageous effect on territorial welfare
- strong disadvantageous effect on territorial welfare

When the effect is unknown, no judgement is needed.

In the discussion

The voting of the experts is collected by “voting cards”, which are provided by the moderator. (see the annex) Each expert takes one voting card for each indicator selected. When votes are needed for different types of regions the voting cards will be distinguished by different colours (One colour represents one type of regions). Thus it is advised to prepare multiple sets of voting cards (2-3) with different colours for all experts.

According to their knowledge the experts provide their judgements. When judging and voting some rules are to be communicating:

- The judgement represents the point of view of the expert;
- An effect is to be judged as advantageous, when the effect is deemed to be positive for the development of a region, independently whether the relevant indicator increases or decreases;
(For instance experts judge that a policy proposal will reduce unemployment. They will judge the effect as advantageous, even in the unemployment rate decreases.)
- If the effect is unknown, cannot be specified or if the direction cannot be specified because of diverse effects, please indicate the respective class for the indicator (“unknown”, “direction cannot be specified”).
- An Expert may choose not to vote for an indicator if he/she believes that it is not very relevant

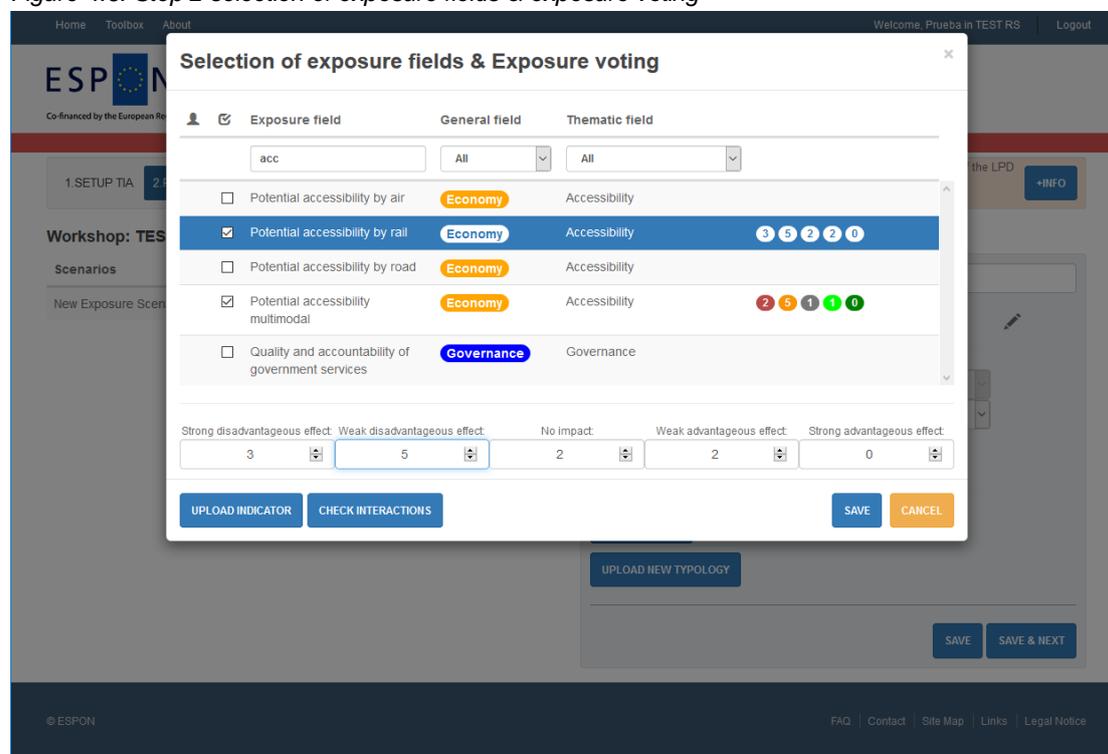
The votes are collected by the moderator and counted, then entered into the tool.

In the tool

The tool offers a set of thematic fields that could be affected by the policy proposal described by indicators in the fields of economy, society, environment and governance. Information on each of the indicators is shown when the mouse moves over each of the indicators.

The moderator counts the votes and fills in the results into the tool for each selected indicator and each type of region. Usually this is done during the lunch break, as it takes some time to collect and count the votes and to enter them into the tool.

Figure 4.6: Step 2 selection of exposure fields & exposure voting



Source: ESPON TIA Tool (2018)

Results

Expert judgment depicting the effect of the policy proposal on the different fields of indicators in the selected types of regions

4.3 Step 3: Mapping

4.3.1 Sub-step 3.1: Generating TIA maps for each indicator/exposure field combined with expert judgement

Main tasks

Maps showing potential territorial impact are generated. In order to do so, the moderator has to select scenario, typology and exposure field including expert voting for which impact is to be presented. By default, the maps show impact for the judgement which has received most votes. It is also possible to select different normalization modes, as well as to switch between different expert judgements leading to maps with different impact. Results are further complemented by distance to average values and a set of graphs (see Figure 4.9) showing the impact. Maps as well as graphs can be exported.

Methodological background

The territorial impact is the product of the intensity of the exposure as estimated by the participants of the workshop and the pre-defined regional sensitivity for each region described by an indicator on NUTS3 or FUA level. While expert judgement is a qualitative judgement provided in Step 2 of the process (e.g. strong advantageous effect on territorial welfare), the sensitivity is a quantitative indicator estimating the identified effects.

The intensity of exposure (e) is assessed by expert judgement, based on the identification of the fields of exposure as described in the systemic picture. Expert judgements (strong advantageous, weak advantageous, minor effect/divers, weak disadvantageous or strong disadvantageous) are converted into respective numerical exposure values ($e \in \{-1.5, -1, 0, 1, 1.5\}$).

The regional sensitivity (s) is given by an indicator. For all regions included in the set of regions and the typology/typologies, the indicator is normalised to be in the range of 0.75 to 1.25. There are three different options for the normalization of the data provided: Z(0-100), Z(10-90) and Log. The three normalization modes offer different possibilities:

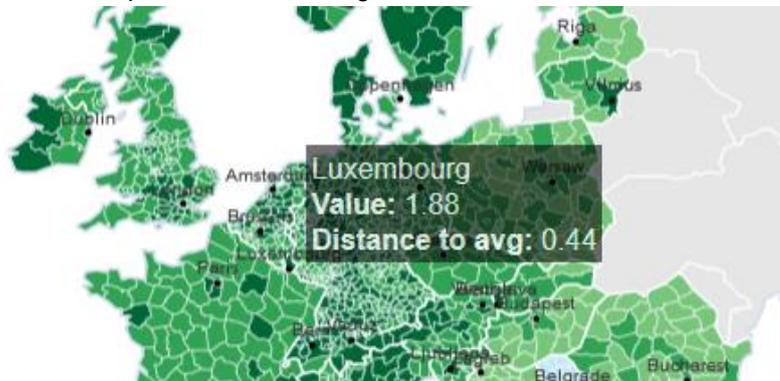
- *Z(0-100) normalization mode*: Here all data is directly normalized to be in the range 0.75 to 1.25. This mode does not exclude any outliers and as such offers to possibility of visualizing all data. The disadvantage of this mode is that outliers may blur differences between values at the centre of the distribution. Maps are, thus, often very homogenous in colour.
- *Z(10-90) normalization mode*: The z(10-90) method is based on first bounding the values to the 10% and 90% quantile of the values. Then values are normalized to be in the range 0.75 to 1.25. Outliers are cut off, allowing to show more subtle differences for the “normal” (non-outlier, centre 80%) regions.
- *Log normalization mode*: For the log-normalisation, first for all cases with 0 values, they are replaced (by 0.0001) to allow computability. Then the data is logarithmized and finally also normalized to be in the range of 0.75 to 1.25. Logarithmizing values allows for a finer grained look at values when they are skewed to the left, i.e. there are many small values and few large values. This may be useful e.g. with degrees of urbanizations or similar indicators depicting spatial concentration.

Based on the normalization the territorial impact (i) is calculated to be the product of the numerical value for the intensity of the exposure estimated by the experts and the normalized values for regional sensitivity ($i = e * s$). As a consequence the final scores depicting the impact are continuous and in the range of -1.875 to +1.875. These impact scores are then mapped to four positive or negative classes (plus the 0 class, indicating no exposure): minor impact ($|i| \in]0;1]$), moderate impact ($|i| \in]1;1.2]$), high impact ($|i| \in]1.2;1.5]$) and very high impact ($|i| \in]1.5;1.875]$).

The tool shows the calculated impact for each region. Additionally it provides the functionality to show the *distance to the average* among impacts for each region. There is an option to show distance to average of three types of regions: the same regions as the selected typology, all regions or other regions which then need to be specified. Having chosen the type of distance to average to be calculated, the actual distance to average of each region can be

read while moving the cursor of the computer over the region (see Figure 4.7). For workshop participants this is another informative way of presenting the impacts.

Figure 4.7: Step 3 Distance to average

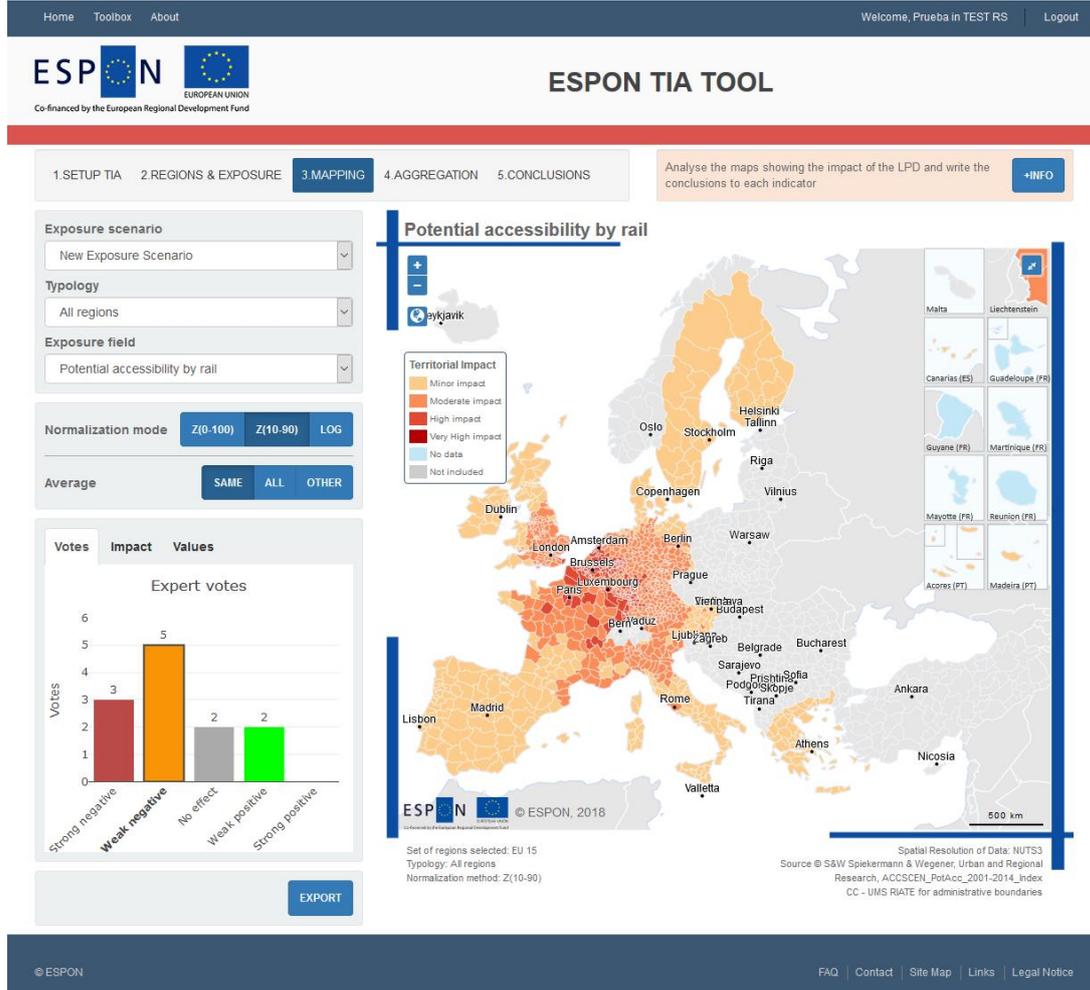


Source: ESPON TIA Tool (2018)

In the tool

In order to generate maps, the moderator (or user) has to indicate for which scenario, typology and exposure field – including expert voting – the impact should be visualized on a map. Normalization mode should be selected as well and, if wished, the type of average for showing the distance to average. According to the selected type of region, values are shown only for the regions covered by the respective type. It is assumed that regions that do not belong to the selected type are either covered by another type of regions with a separate expert judgement or that they are only affected in a minor way.

Figure 4.8: Screenshot of ESPON TIA Tool, Step 3



Source: ESPON TIA Tool (2018)

In addition, the tool also provides visual presentations in different tabs. The tab “votes” shows the outcomes of expert voting on a bar graph. Impact assessment is always shown for one type of expert judgement (usually the one that has received most votes). If the group wishes, the moderator can show the impact assuming another expert judgement. This can be done by clicking on the bars with judgement in the tab “votes.”

Further visualizations are provided in form of pie charts showing the percentages of frequency among regions for different scales of impacts for each expert vote (tab “impact”) as well as a diagram presenting all kinds of values calculated for regions with a red line corresponding to the selected average type (tab “values”).

Figure 4.9: Step 3 graphs



Source: ESPON TIA Tool (2018)

Finally, the tool contains a button for exporting maps as well as graphs and diagrams.

In the discussion

The moderator presents the voting results and the maps for each indicator for each scenario while engaging into discussion of the results. The group can choose different ways of presenting and understanding the results by switching normalization modes. The moderator can further foster the discussion and understanding by discussing the pie charts and diagrams with the experts.

Guiding questions could be:

- Does the selection of regions provide a plausible picture?
- Is the relationship between the different regions and the different results reasonable?
- Which patterns and results are astonishing for you? For which regions have you expected other results?
- Which might be the reason for different results than expected?
- Is the relationship between the different fields of exposure plausible? If it is not, the expert judgment about the intensity of exposure may need modification and further elaboration.

Note

As some participants will use the TIA tool for the first time, they can be overwhelmed with the amount of information and graphic presentation. The moderator should make sure to go through the different results and options available in the tool slowly and explain how to read the maps and diagrams.

Furthermore, when discussing the maps, it should not be forgotten that the maps are not showing the ultimate “truth”, but the result of the sum of the judgments of the experts participating at the workshop.

The results should therefore be handled with care – i.e. in case of publication a clear reference must be made. The results should be critically reviewed and at best used to make up the minds of the decision makers and/or to trigger further targeted analysis (i.e. a case study for some regions that have been identified as potential impacted in an asymmetrical way) It worth’s also comparing with findings of stakeholder consultations etc.

Results

Maps visualizing the impact based on the expert judgement, as well as graphs and diagrams that can be exported.

4.4 Step 4: Aggregation of Impact

Main tasks

The ESPON TIA quick check highlights, in which thematic fields which regions are potentially affected by a policy proposal. In policy discussions there might be a need, to get a more consolidated information summing up the effects of all relevant thematic fields for each region. Such an aggregation can be done within the tool, but one has to consider some basic conditions under which this can be done:

Methodological background

The claim for an aggregation of results and a single denominator of territorial impact is legitimate and goes hand in hand with the human need for complete comparability and commensurability in decision making. There are four major concepts which have to be taken into account (see e.g. Martinez-Alier et al., 1997):

- Strong commensurability, according to which there exists a common measure of the different consequences of an action, based on a cardinal scale of measurement.
- Weak commensurability, according to which there exists a common measure based on an ordinal scale of measurement.
- Strong comparability, according to which there exists a single comparative term by which all different consequences can be ranked.
- Weak comparability, according to which values are irreducibly plural and cannot be uniquely ordered along a single scale.

However in decision theory it is also clear that an increase in either or both comparability and commensurability leads as consequence to a loss of information (see criticism on methods like cost-benefit analysis, ecological footprint concepts etc.). Thus in principle an aggregation of results may be possible (e.g. through cluster analysis), but it would mean that the TIA quick check loses its character of being quick and simple. Moreover methodologically a simple overlay of two maps is completely misleading and outright wrong, as despite the fact that the single indicators are strongly comparable (as a single scale has been created), they are only weakly commensurable and may not be simply added up – as this would lead to false simplifications of thematically unrelated conclusions.

Therefore aggregation of vastly different exposures is generally something one should only consider with great caution. The overall strength of different impacts related to each other is not known in detail. As a consequence the aggregated impact can only hint on what is exactly the overall result. The following conditions have to be taken into account:

- First, only exposures within a single typology can be compared and thus aggregated. Thus for every typology impact aggregation is conducted separately.
- Second, positive and negative exposure need to be aggregated separately, as it cannot be safely assumed that positive and negative effects mediate each other.
- Third, the results of the expert voting are used to weight the single exposures, i.e. the single exposure contributes to the overall positive or negative exposure based on the votes that have been collected.

The tool offers the possibility to get an overview of the aggregated territorial impact with the conditions above applied. An average positive and negative vote for each exposure is calculated. For the positive and negative aggregated impact the votes for strong and weak effects in that direction are added up with a respective vote value (1 for weak effects, 1.5 for strong effects) and then averaged by the use of the count of all votes (positive and negative). Thus, conflicting or undecided votes reduce the weights for the respective exposure field.

Then these average votes are applied as factors to the exposure values and they are added up. Finally, those values are normalized in the common way described in section 4.3.1 for all territories included in the set of regions and the typology selected. Here again an average vote is applied but this time only those exposure fields with a positive or negative voting are considered to land at a overall positive or negative impact comparable to the single maps.

In the discussion

In the discussion the moderator can present the results for an aggregated positive and an aggregated negative impact separately. However, in doing so, he needs to mention under which conditions.

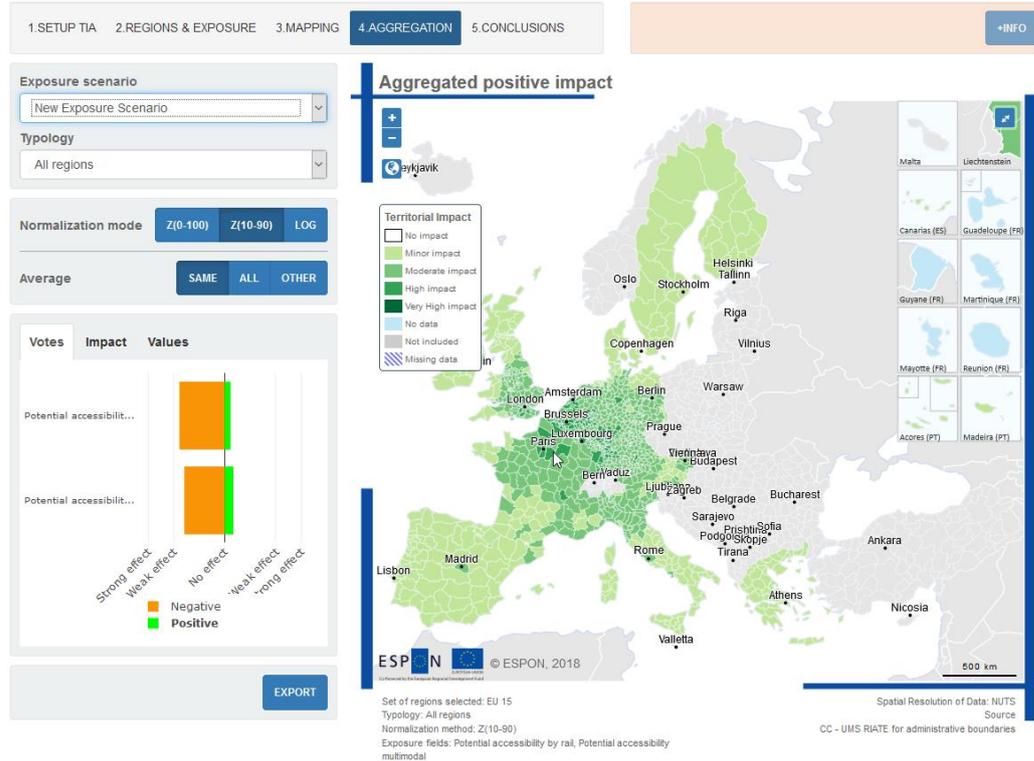
Based on the aggregated impact maps for each type of region the moderator can foster the discussion by some guiding questions:

- Which regions are effected mostly in positive and negative turns?
- Which patterns and results are astonishing for you? For which regions have you expected other results?
- Are there special types of regions that would need special attention when further developing the policy proposal?

In the tool

Figure 4.10 shows an example for a map of aggregated positive impact. On the bottom left the average positive and negative voting (i.e. the weights) for the exposure fields is shown. When moving the cursor of the computer over a region, the name of the region appears and its aggregated impact value and a chart for the individual positive and negative exposure values for this region. This may help to understand better the territorial specifics in terms of all exposure fields. In the map, a distinction between “Missing data” and “No data” is made. “No data” indicates, that there is no data available for the specific region in any exposure field included in the aggregation. “Missing data” (drawn as an overlay hatch) indicates, that some of the exposure fields have data available while others do not for a given region. In this case, the aggregation is performed only for the exposure fields where data is available.

Figure 4.10: Aggregated impact map



Source: ESPON TIA Tool (2018)

Results

Overview of the impact of the policy on a larger scale, taking into account all regions within the selected set, and all selected exposure fields.

4.5 Step 5: Conclusions

4.5.1 Sub-step 4.1: Discussion on conclusions and recommendations

Main tasks

Based on the discussions about the systemic picture and the maps showing the territorial patterns of the potential impact a discussion on conclusions and policy recommendations can be initiated.

Methodological background

The main aim of the ESPON TIA Tool is to develop policy recommendations based on the results of the workshop. The results need to be discussed and reflected upon from a wider perspective of the proposed policy measure/initiative.

In the discussion

When starting the discussion about policy implications, it should be kept in mind that the maps give a “quick and dirty” first impression about the territorial distribution of potential impacts based on expert judgement and modelling. They show how, according to the expert group assessment, the policy proposal may affect different territories. The maps can be a starting point for further analysis on the territorial distributions of effects.

The discussion can be steered by the following guiding questions:

- Could this policy proposal have a disproportionately large impact on certain areas, regions or Member States? If yes, please indicate which ones and why.
- What kind of positive and negative implications can be derived?
- Is this problem concentrated in certain areas, regions or Member States?
- Which policy implications can be deduced from the results of the workshop?
- Should the policy be adjusted for the entire Union or some of its parts?
- Should the EU exempt some parts of the Union from the policy?

In the tool

The tool offers the possibility to formulate conclusions based on the findings of the workshop. The moderator and experts can mutually reflect on the findings based on guiding questions. Subsequently, the tool offers the possibility to download a template of the report where the steps and findings can be described while exported maps and graphs can be attached.

Results

Formulated conclusions based on the results of the workshop.

Figure 4.11: Screenshot of ESPON TIA Tool, Step 4

The screenshot displays the ESPON TIA Tool interface at Step 4, 'CONCLUSIONS'. The top navigation bar includes 'Home', 'Toolbox', and 'About' on the left, and 'Welcome, Prueba in TEST RS' and 'Logout' on the right. The main header features the ESPON logo (with 'EUROPEAN UNION' and 'Co-financed by the European Regional Development Fund' text) and the title 'ESPON TIA TOOL'. Below the header is a progress indicator with five steps: '1.SETUP TIA', '2.REGIONS & EXPOSURE', '3.MAPPING', '4.AGGREGATION', and '5.CONCLUSIONS' (highlighted in blue). To the right of the progress bar is a text box with the instruction: 'Sum-up the conclusion of today's workshop and write them down in order to fix common findings and to include them in the final report' and a '+INFO' button. The main content area contains four text input fields with the following prompts: 'What kind of positive and negative territorial impacts can be derived?', 'Which implications can be deduced from the results of the workshop?', 'How the negative effects could be addressed in terms of the policy?', and 'What could be considered for further analysis on the territorial distributions of effects?'. At the bottom of the form are 'SAVE' and 'DOWNLOAD REPORT' buttons. The footer includes '© ESPON' on the left and 'FAQ | Contact | Site Map | Links | Legal Notice' on the right.

Source: ESPON TIA Tool (2018)

5 Workshop follow-up

Main tasks

As the result of a TIA Quick Check is meant to be a first impression of territorial distribution of potential impacts, and not an in-depth analysis of those impacts, the follow-up is an important part. Depending on the scope of the TIA and the policy measure/initiative in question this can result in very different requirements. In general, based on the results of the workshop a report describing all outcomes of the workshop can be prepared. All further measures, which could include an expert discussions on the base of the TIA report, consultation with the target audience such as policymakers, dissemination of the results to the general public etc. will depend on the policy background.

Methodological background

In order to record the outcomes of the workshop, it is essential to make a (short) report which includes all relevant steps and results. This helps to communicate the results of the ex-ante analysis to the relevant audience. It could serve as an input for further discussions.

However, the limitations of the results should be kept in mind: The maps are a result of a one day workshop, the exposure is based on the expert judgement of a small group of experts, while the sensitivity of regions is described in many cases by proxy indicators. This very general model helps to steer the discussion but it cannot replace a thorough assessment of relevant and concrete territorial effects of a policy proposal.

The conclusions based on the workshop, and the interpretation of maps especially when presenting them within a report should always be clearly written down. The maps themselves without proper explanation and interpretation could lead to very wrong assumptions, in particular when made available to the general public. This has to be kept in mind when writing the report and any further policy recommendations derived thereof.

In the tool

All impact-maps and diagrams can be downloaded and attached to the report.

A draft version of the report can be circulated to the participants asking them for their input. A final version of the report can then be prepared.

Results

Report documenting the results of the workshop, dissemination of the results to the target audience

List of Annexes

Annex 1: Links and Literature

Annex 2: Draft Agenda for a one-day workshop

Annex 3: List of indicators

Annex 4: Presentation on the ESPON TIA Quick Check methodology

Annex 5: Voting cards

Annex 6: Indicator postcards

Annex 1: Links and Literature

ESPON has conducted a lot of research in the field of territorial impact assessment. Examples of projects are ESPON ARTS – on which the ESPON TIA Tool is based upon – as well as the project ESPON EATIA. Further information can be obtained from the following links:

- ESPON (2011): The TIA tool. Standard Version. Available from: https://www.espon.eu/sites/default/files/attachments/TIA_quick_check_standard_version.pdf
- ESPON (2011): The TIA tool. Advanced Version. Available from: https://www.espon.eu/sites/default/files/attachments/TIA_quick_check_advanced_version.pdf
- ESPON (2012): ESPON ARTS. Assessment of Regional and Territorial Sensitivity. Available from: <https://www.espon.eu/programme/projects/espon-2013/applied-research/arts-assessment-regional-and-territorial-sensitivity>
- ESPON (2013): EATIA – ESPON and Territorial Impact Assessment. Available from: <https://www.espon.eu/programme/projects/espon-2013/targeted-analyses/eatia-espon-and-territorial-impact-assessment>

A practical ESPON guide summarises the main issues of territorial impact assessment:

- ESPON (2012): Territorial Impact Assessment of Policies and EU Directives. A practical guidance for policymakers and practitioners based on contributions from ESPON projects and the European Commission. Luxembourg. Available from: https://www.espon.eu/sites/default/files/attachments/TIA_Printed_version.pdf

Key documents of impact assessment in the European Union:

- EU COM general webpage on Impact Assessment: http://ec.europa.eu/smart-regulation/impact/index_en.htm
- EU COM (2009): Impact Assessment Guidelines. SEC(2009) 92. Available from: http://ec.europa.eu/smart-regulation/impact/commission_guidelines/docs/iag_2009_en.pdf
- EU COM (2013): Commission Staff Working Document. Assessing territorial impacts: Operational guidance on how to assess regional and local impacts within the Commission Impact Assessment System. Available from: http://ec.europa.eu/smart-regulation/impact/key_docs/docs/cswd_ati_en.pdf
- EU COM (2017): Commission Staff Working Document. Better Regulation Guidelines. Available from: <https://ec.europa.eu/transparency/regdoc/rep/10102/2017/EN/SWD-2017-350-F1-EN-MAIN-PART-1.PDF>
- EU COM (2017 com): Better Regulation toolbox. Complementing SWD(2017) 350. https://ec.europa.eu/info/sites/info/files/better-regulation-toolbox_0.pdf

Additional publications are e.g.:

- Martinez-Alier, J., G. Munda and J. O'Neill (1997), 'Incommensurability of Values in Ecological Economics', in M. O'Connor and C. Spash (eds), *Valuation and the Environment – Theory, Method and Practice*, Cheltenham, UK and Lyme, USA: Edward Elgar.
- Fischer, Thomas B.; Gore, Tom; Golobic, Mojca; Marot, Naja (2013): *Territorial Impact Assessment – a new policy assessment tool to support territorial cohesion*. Available from: [http://conferences.iaia.org/2013/pdf/Final%20papers%20review%20process%](http://conferences.iaia.org/2013/pdf/Final%20papers%20review%20process%20)

2013/Territorial%20Impact%20Assessment%20%E2%80%93%20a%20new%20policy%20assessment%20tool%20to%20support%20territorial%20cohesion%20.pdf

- Fischer, Thomas B.; Sykes, Olivier; Gore, Thomas; Marot, Naja; Golobic, Mojca; Pinho, Paulo; Waterhout, Bas; Perdicoulis, Anastassios (2014): Territorial Impact Assessment of European Draft Directives – The Emergence of a New Policy Assessment Instrument. Available from: <https://www.tandfonline.com/doi/abs/10.1080/09654313.2013.868292>

Committee of the Regions on Territorial Impact Assessment

- General information page including links to conducted workshops: <https://cor.europa.eu/en/our-work/Pages/Territorial-Impact-Assessment.aspx>
- CoR (2017): TIA Report - Work-life balance directive. TIA Workshop conducted on the 11.10.2017. Available from <https://cor.europa.eu/en/our-work/Documents/Territorial-impact-assessment/work-life-balance.pdf>

Other Sources:

- ÖIR (2013): Test exercise for a TIA workshop based on ESPON ARTS - Analysing the Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing a framework on market access to port services and financial transparency of ports - The PORT'S PACKAGE (COM(2013) 296 final). TIA Workshop conducted on the 25.09.2013
- ÖIR (2015): Introduction presentation of the TIA Webtool.
- ÖIR (2017a): TIA Workshop - Development of Minimum Quality Requirements for Reused Water in Agricultural Irrigation and Aquifer Recharge. Workshop conducted 05.04.2017.
- ÖIR (2017b): TIA Workshop - Revision of Directive 2009/33/EC on Clean and Energy-efficient Road Transport Vehicles – Clean Vehicles Directive (CVD). Workshop conducted 11.05.2017.
- ÖIR (2017c): TIA Workshop - Work-life balance directive. TIA Workshop conducted on the 11.10.2017

Annex 2: Draft Agenda for a one-day workshop

09:30 – 09:30	Registration and Welcome Coffee
09:30 – 09:40	Welcome and introduction into the Territorial Impact Assessment e.g. representative of the hosting institution
09:40 – 10:00	Tour de table – Getting to know the experts
10:00 – 10:30	Presentation of the policy proposal representative of the institution developing the policy proposal
10:30 – 10:45	Presentation of the results of impact study (if available) author of the impact study
10:45 – 11:00	ESPON TIA Quick Check tool Moderator
11.00 – 12:30	Interactive discussion on potential benefits of the policy proposal with respect to the development of different territories of the EU <ul style="list-style-type: none"> • Discussing cause/effect chains • Defining the types of regions affected and estimating the intensity of the regional exposure
12:30 – 13:30	Lunch Break
13:30 – 14:30	Interactive discussion on effects of the policy proposal with respect to the development of different territories of the EU, Discussion on the findings, results and hypothesis
14:30 – 15:30	Policy recommendations
15:30 – 15:45	Summing up the results, feedback, discussion on options for further improvements

Annex 3: List of indicators

General TIA Indicators

Accessibility

- Potential accessibility by road
- Potential accessibility by rail
- Potential accessibility by air
- Potential accessibility multimodal

Demography

- Population density
- Economically active population per km²
- Old age dependency ratio
- Young age dependency ratio
- Out-migration

Education and Skills

- Educational attainment of 30-34 year olds, primary education (levels 0-2)
- Educational attainment of 30-34 year olds, secondary education (levels 3-4)
- Educational attainment of 30-34 year olds, tertiary education (levels 5-8)
- Share of pupils in Youth Education system
- Number of students in tertiary education
- Early leavers from education and training
- Quality of public education

Environment

- Land cover: Share of agricultural areas
- Land use: Share of agriculture
- Land use: Share of irrigated land
- Protected areas (NATURA 2000)
- Land cover: Share of Woodland, Shrubland and Wetland
- Relative size of built-up areas
- Land use: Share of heavy environmental impact
- Urban population exposed to PM10 concentrations
- Emissions of CO₂ per capita (tonnes)
- Emissions of NO_x per capita (kilotonnes)
- Land cover: Share of Water areas
- Water Consumption
- Structural Green Infrastructures
- Urban wastewater
- Municipal waste generated
- Urban heat islands

Governance

- Corruption
- Quality and accountability of government services
- Impartiality of government services
- Quality of law enforcement
- EAGF & EAFRD: Expenditure in share of GDP

- ERDF & CF Expenditure in Million Euro

Health

- Life expectancy at birth
- Total fertility rate
- Birth rate
- Quality of the public health care system
- Medical care (doctors)
- Medical care (hospitals)

Infrastructure

- Regional ICT infrastructure
- Regional transport infrastructure: navigable canals
- Regional transport infrastructure: navigable rivers
- Regional transport infrastructure: motorways
- Regional transport infrastructure: total railway lines

Innovation

- Patent applications/Mio inhabitants
- Employment in technology and knowledge-intensive sectors
- Share of R&D personnel and researchers

Natural Hazards

- Soil erosion by water
- Capacity of ecosystems to avoid soil erosion
- Soil retention
- Landslide susceptibility
- Risk of flooding
- Risk of avalanches
- Risk of forest fire hazard

Economic development

- Economic performance (GDP/capita)
- Economic performance (GVA/capita)
- GDP loss due to cross-border obstacles
- Entrepreneurship (share of private enterprises)
- Total overnight stays per thousand inhabitants
- Employment in agriculture, forestry and fishing
- Employment in industry and construction
- Employment in services
- Share of full-time employments
- Share of part-time employments
- Female employment ratio

Social disparities

- Gender balance employment
- Unemployment rate
- Disposable Income
- People at risk of poverty or social exclusion

Societal wellbeing

- Crimes recorded by the police
- Housing: Number of rooms per person
- Perceived social network support
- Self-evaluation of life satisfaction

Cross-Border TIA Indicators

Accessibility

- CB lower: Potential accessibility multimodal

Environment

- CB product: Protected areas (NATURA 2000)

Governance

- CB lower: Quality and accountability of government services
- CB difference: Quality and accountability of government services

Health

- CB difference: Hospital beds

Urban TIA Indicators

Accessibility

- Potential accessibility by transport infrastructure
- Average travel distances

Demography

- Population density
- Population weighted density
- Old age dependency ratio
- Young age dependency ratio
- Urbanisation level

Environment

- Recreational areas
- Concentration of PM10
- Concentration of NO2
- Removal capacity of PM10
- Removal capacity of NO2

Health

- Crude birth rate

Infrastructure

- Urban form efficiency
- Length of local roads per inhabitant
- Road safety

Land use and conservation

- Share of green infrastructure

- Hectare of green infrastructure per capita
- Built-up areas per inhabitant
- Annual land take per inhabitant

Natural Hazards

- Urban Flood Risk

Social disparities

- Unemployment rate

Outermost regions TIA indicators

(all indicators where at least 50% of the outermost regions are covered)

Accessibility

- Potential accessibility by road
- Potential accessibility by rail
- Potential accessibility by air
- Potential accessibility multimodal

Demography

- Population density
- Economically active population per km²
- Old age dependency ratio
- Young age dependency ratio
- Out-migration

Education and Skills

- Educational attainment of 30-34 year olds, primary education (levels 0-2)
- Educational attainment of 30-34 year olds, secondary education (levels 3-4)
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- Early leavers from education and training
- Quality of public education

Governance

- Corruption
- Quality and accountability of government services
- Impartiality of government services
- Quality of law enforcement
- EAGF & EAFRD: Expenditure in share of GDP
- ERDF & CF Expenditure in Million Euro

Infrastructure

- Regional ICT infrastructure

Innovation

- Patent applications/Mio inhabitants
- Employment in technology and knowledge-intensive sectors
- Share of R&D personnel and researchers

Economic development

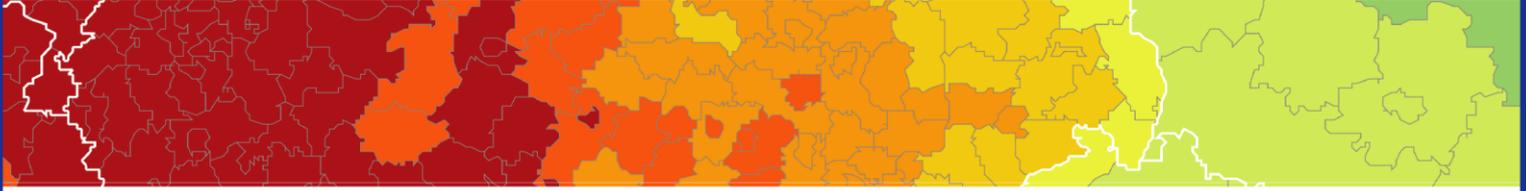
- Economic performance (GDP/capita)
- Economic performance (GVA/capita)
- Entrepreneurship (share of private enterprises)
- Total overnight stays per thousand inhabitants
- Employment in agriculture, forestry and fishing
- Employment in industry and construction
- Employment in services
- Share of full-time employments
- Share of part-time employments
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Societal wellbeing

- Crimes recorded by the police
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ESPON 2020 – More information

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