

ESPON project 2.3.1 Application and effects of the ESDP in the Member States



The present Final Report of the ESPON project 2.3.1 is a team effort of all project partners and subcontractors under the leadership of Nordregio.

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ESPON project 2.3.1
Application and effects of
the ESDP in the Member
States

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This report does not necessarily reflect the opinion of the members of the Monitoring Committee.

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Foreword

This is the third and Final Report of ESPON project 2.3.1 "**Application and effects of the ESDP in the Member States**". The national Ministers responsible for Spatial Planning adopted the ESDP (European Spatial Development Perspective), in May 1999 in Potsdam (Germany). The focus of this study is on the assessment of the means, ways, and effects of ESDP application in the European Union plus the accession countries Bulgaria, Rumania as well as Norway and Switzerland.

The current project is part of the ESPON Programme, which is implemented in the framework of the Community Initiative INTERREG III. Under the overall control of Luxembourg, the EU Member States have elaborated a joint application with the title "The ESPON 2006 Programme – Research on the Spatial Development of an Enlarging European Union". The European Commission adopted the programme on 3 June 2002. See <http://www.espon.eu/> for more details.

The views expressed in this report do not necessarily reflect the opinion of the ESPON Monitoring Committee.

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Abbreviations

CADSES	Central and Danubian Space
CAP	Common Agricultural Policy
CDCR	Committee for Development and Conversion of the Regions
CEC	Commission of the European Communities
CEMAT	The European Conference of Ministers responsible for Regional and Spatial Planning
CESD	Committee of Experts in Spatial Development
CIP	Community Initiative Programme
CSD	Committee on Spatial Development
CSO	Committee of Senior Officials
DART	Development of the Accessibility to the Railway Traffic initiative
DG	Directorate General
EIB	European Investment Bank
ERDF	European Regional Development Fund
ESDP	European Spatial Development Perspective
ESF	European Social Fund
ESPON	European Spatial Planning Observatory Network
EU	European Union
EUKN	European Urban Knowledge Network
FEDER	Fonds Européen de Développement Régional (cf. ERDF)
ICZM	Integrated Coastal Zone Management
IGC	Intergovernmental Conference
INTERREG	European initiative for cross-border and trans-national regional cooperation
IRE Network	Innovating Regions in Europe Network
ISPA	Instrument for Structural Policies for Pre-Accession

JTS	Joint Technical Secretariat
MEDOCC	Western Mediterranean Interreg-Programme
NORVISION	Spatial Perspective for the North Sea Region
NSRF	National Strategic Reference Framework
NUTS	Nomenclature of Units for Territorial Statistics
NWE	North West Europe
NWMA	North West Metropolitan Area
OMC	Open Method of Co-ordination
RIS	Regional Innovation Strategies
RTD	Research, Technology and Development
SAPARD	Special Accession Programme for Agriculture & Rural Development
SLL+SDP	Saar-Lor-Lux+ Spatial Development Perspective
SEA	Strategic Environmental Assessment
SF	Structural Funds
SUD	Sub-Committee on Spatial and Urban Development
SUD WG	Spatial and Urban Development Working Group
SUDOE	South West Europe
TEAP	Tampere ESDP Action Programme
TENs	Trans-European Networks
TEN-T	Trans-European Network for Transport
TIA	Territorial impact assessment
TSPEU	Territorial State and Perspectives of the European Union
UDG	Urban Development Group
WQ	Web based questionnaire
VASAB	Visions and Strategies around the Baltic Sea
WFD	Water Framework Directive

Seven years on Has the ESDP document really been applied?

The ESPON project, "Application and effects of the European Spatial Development Perspective (ESDP) in the Member States", assesses the application of the ESDP at the EU level and in the Member States regarding policy-making, planning legislation and documents, institutional changes and planning discourses. The main finding of this study was that the ESDP has had only a limited impact on the EU and the Member State level. Moreover, if ESDP elements are used in the above-mentioned contexts, it is often the case that no direct references to the document are found.

After a drafting process lasting from 1993 to 1999, the ESDP was adopted at the European Council meeting in May 1999. The ESDP is the first EU level policy document on spatial planning. The philosophy and the objectives of the ESDP relate to the wider objectives of the European Union such as sustainability and competitiveness. The ESDP is a non-binding document, implying that the Members States are not obliged to apply it.

The ESDP mirrors a number of prevailing aims and principles from both national and European-level planning discourse of the 1990s. The three main ESDP policy guidelines for the spatial orientation of policies are:

- 1 Development of a balanced and polycentric urban system and a new urban-rural relationship
- 2 Securing parity of access to infrastructure and knowledge
- 3 Sustainable development, prudent management, and the protection of our natural and cultural heritage

The novel approach fostered by the ESDP is that of cooperation between all levels (vertical integration) and all sectors (horizontal integration) that have spatial impacts.

Tampere ESDP Action Plan – soon forgotten

The Tampere ESDP Action Programme (TEAP) dating from 1999 was established to promote the application of the ESDP. It included 12 implementation actions. The aim here was to translate the policy aims into examples of good practice. The Member States and the Commission were assigned different tasks. The TEAP was however soon forgotten and many tasks were never completely fulfilled, particularly relating to questions over the spatial impacts of enlargement on the EU for example, due to the emergence of new political agendas (i.e. Lisbon and Gothenburg) and new other European policy concepts with spatial relevance. Though a number of

clearly defined tasks were subsequently carried out – in addition to those that did not require significant transnational cooperation - the major endowment of this period was the ESPON programme itself.

INTERREG dominates as a delivery mechanism

With the exception of the Strategic guidelines for the structural funds 2000-2006 including the INTERREG III B Initiative, the ESDP has had a limited impact on EU sectoral policies and programmes.

The main priorities found in the INTERREG IIIB programmes are coherent with the ESDP policy guidelines. In this context, a geographical difference can be observed. In Southern Europe, sustainable development, prudent management and the protection of nature and cultural heritage have been highlighted. In Northern Europe on the other hand, parity of access to infrastructure and knowledge and the concept of polycentricity have been stressed.

Limited ESDP application in the Member States

The direct impact, i.e. formal and institutional changes, of the ESDP is very limited in most Member States. Many of the Member States involved in the preparation of the ESDP however had planning policies and practices that already conformed to the ESDP's objectives. In general, the three main ESDP policy guidelines are present in national planning discourses, however often without referring to the ESDP in name. To some extent then the ESDP has ensured, to some extent at least, that European issues are now more fully addressed in a national planning context.

The project also reveals a number of knowledge gaps in need of addressing if more knowledge about ESDP application is to be secured. The almost total lack of awareness of the ESDP document and its contents at the local and regional level in most Member States remains a fundamental constraint in assessing the degree of application. In addition, the assessment exercise itself was difficult as the direct effects are so limited. There is then a need to perform a more systematic investigation of planning practices currently pertaining in the formal national planning systems.

ESDP and the future – is there one?

Despite the rather limited effects of the ESDP document it can be concluded that the drafting and the following application period, i.e. the 10-year process of intergovernmental cooperation, did make a difference in European spatial planning and policy making.

The enlargement of 2004 from EU 15 to EU 25 moreover produced an ever greater level of diversity between regions within the EU, creating in the process a new spatial reality. In this new context then future European-wide cooperation on spatial development is now imperative. In its origin the ESDP was not pan-European. As such then new themes may have to be considered. Alternative approaches aiming to balance horizontal and vertical integration are also needed. In addition, practical advice and examples which can be understood and used by planners in their daily work and which can also be seen as inspirational in a regional spatial planning context are also needed. Additionally, a greater sense of process ownership at the local and regional levels would undoubtedly help to promote concepts like that of the ESDP.

However, due to the, at best, low level of recognition at the EU-level of the ESDP document, it is unlikely that the ESDP itself will feature in future policy documents. Instead, territorial cohesion, which emerged in 2001 has gained ground and has, to some extent, replaced the ESDP. Territorial cohesion is now a central term in the development of the spatially relevant documents, "Territorial State and Perspective of the European Union" and "Strategic guidelines for the Structural Funds for the period 2007-13".

Part 1: Summary

1. Executive summary

The task of this project is to study the application of the European Spatial Development Perspective (ESDP). The objective is to identify the ESDP's potential and to highlight examples of its application and implementation at the European, trans-national, national, and regional/local levels. The results of the study on ESDP application is of specific interest to those involved in future territorial policy-making, including the identification of changes and elements that a future "ESDP-like" document and process should entail.

The ESDP document was produced by an informal committee, the Committee on Spatial Development (CSD), which consisted of representatives of the EU Member States assisted by DG *Regio*. The CSD was guided by informal Ministerial Councils, with the ESDP document finally being adopted at a Ministerial Council in Potsdam in May 1999. The informal nature of the CSD means that the document itself is of a voluntary, non-binding character and that the individual Member States therefore may implement it according to their own wishes, timetables, and national agendas.

The questions to be addressed in this report relate to the application and subsequent effects of the ESDP:

- What effects has it had on policy development on the European level, the 15 "old" Member States, the 10 "new" Member States, in the accession countries of Bulgaria and Romania and on the neighbouring countries of Norway and Switzerland – i.e. within the ESPON space of 29 countries?
- Which delivery mechanisms have been most successful and in which 'receiving contexts'?
- Which ESDP related key themes have been most used at the various mentioned geographic levels?

1.1 Methodological approach

The project was driven by a number of hypotheses, which were formulated at the beginning of the project following a literature review. The hypotheses provided the basis for a set of key terms that were used to structure the approach to the various studies undertaken in this project (European level study, national studies and case studies).

The assessment of the effects of the ESDP on policies (i.e. its application), focuses on the degree to which the ESDP philosophy, policy guidelines, aims and options have affected, or been incorporated in other policy documents, strategies, programmes and plans. Changes in institutional settings or in a particular division of responsibilities can also constitute 'impacts' (of the ESDP) in this sense.

The application of ESDP was assessed on four different levels:

- Pan-European level and within the European Union
- Trans-national level (mainly INTERREG)
- National level (29 countries involved)
- Regional level to a certain extent (in case studies)

The results of this report derive from several different data sources: literature reviews (scientific literature and policy documents), interviews with officials at different administrative levels, 29 national reports, web-based surveys answered by national experts and a set of 25 case studies.

It has proved challenging to collect data on the application of the ESDP, as knowledge of the document is often limited and as professional debates in the sphere of spatial planning can usually be interpreted in different ways.

One observation that comes through at all geographical levels is that the application of policy aims and options is not a linear process. The ESDP itself mirrors the professional discourse in the countries most active in the drafting process. The influence it has had after publication depends in the main on the various circumstances pertaining in the policy fields, countries, and regions in question. When arguments taken from the ESDP are regarded as being useful, they are used, though this is often done without reference to the ESDP. The application of the ESDP is thus rather difficult to trace, as it is usually indirect and implicit rather than direct and explicit in nature.

1.2 Major ESDP contents

The ESDP was the result of intensive discussions among the Member States themselves and the European Commission on the spatial development of the EU. It presents itself as "*a policy framework for better cooperation between Community sectoral policies with significant impacts and between Member States, their regions, and their cities*" (ESDP, p.11). As such, its major idea is cooperation between all levels and sectors. Each country takes it forward according to the extent it wishes to take account of European spatial

development aspects in its national policies. The emphasis is set on the attitudes of the receiving institutions.

The core of the ESDP consists of three guidelines and 13 policy aims as stated in the table below. Of the aims, 11 are in turn subsequently developed into 60 policy options of which many are general in character but still provide a certain direction to policy development.

Table 1 The different levels of ESDP objectives

Type of objective	Contents
Purpose	Better cooperation between Community sectoral policies with significant spatial impacts and between the MS, their regions, and cities Signal for broad public participation in the political debate on decisions at the European level and their impacts on cities and regions in the EU
Higher level objective of the document	Balanced and sustainable spatial development → "Triangle of objectives" (economic and social cohesion, conservation of natural resources and cultural heritage, more balanced competitiveness of the European territory)
3 Policy guidelines for spatial orientation of policies	<ol style="list-style-type: none"> 1. Development of a balanced and polycentric urban system and a new urban-rural relationship. 2. Securing parity of access to infrastructure and knowledge. 3. Sustainable development, prudent management, and the protection of the natural and cultural heritage.
13 Policy aims for the territory of the EU ²	<ol style="list-style-type: none"> 1. Polycentric and balanced spatial development in the EU. 2. Dynamic, attractive, and competitive cities and urbanised regions. 3. Indigenous development, diverse and productive rural areas. 4. Urban-rural partnership. 5. An integrated approach for improved transport links and access to knowledge. 6. Polycentric development model: a basis for better accessibility. 7. Efficient and sustainable use of the infrastructure. 8. Diffusion of innovation and knowledge. 9. Natural and cultural heritage as a development asset. 10. Preservation and development of the natural heritage. 11. Water resource management – a special challenge for spatial development. 12. Creative management of cultural landscapes. 13. Creative management of the cultural heritage.

² Aims 6 and 9 are not really on the same footing as the 11 other aims. Notably, they are not transposed into policy options; they might rather be seen as a general presentation of guidelines 2 and 3 respectively.

The aim of the ESDP, as a legally non-binding document, is to serve as a policy framework for the Member States, their regions and local authorities and the European Commission within their own respective spheres of responsibility.

1.3 Scientific literature assessment

The review of the scientific literature on the ESDP's application by "macro-regional perspectives" comprises four perspectives on European spatial planning, namely the North-Western (Belgium, France, Germany, Luxembourg, the Netherlands), British (Ireland and United Kingdom), Nordic (Denmark, Finland, Norway, Sweden) and Mediterranean (Greece, Italy, Portugal, Spain) perspectives. These four perspectives are supplemented by an additional assessment of Eastern Europe as a new receiving context for the ESDP.

The four chosen macro-regional perspectives plus the East European context on European spatial planning expose a framework in which:

- The *North-Western perspective* spearheaded the collaborative process up until the approval of the basic political document of European spatial planning: the ESDP. Thanks to this perspective, European spatial planning may have an institutional future, based on progressive cooperation among the EU Member States and between them and the European Commission.
- The *British/Irish perspective* has cast light on the crucial and complex link between spatial planning and land use planning. Consequently, it has paved the way for a conception of European spatial planning as embedded in a multi-level governance system that could reach from the supra-national to the local level.
- The *Nordic perspective* highlights the discursive nature of European spatial planning. This may explain how such a multi-level governance system acts in practice, showing that the performing capacities of European spatial planning depend in a crucial way on the quality of interactions established between decision-makers and territorial policies, operating at the Community and at the national levels.
- The *Mediterranean perspective* suggests that, ultimately, European spatial planning takes shape by passing through the prism of progressive and complex changes in planning practices. Even if EU-led, this is an eminently local and diversified process and therefore less visible at the continental scale.

- The new *Eastern European context* illustrates that many countries have encountered the ESDP discussion and contents. The ESDP did have an influence on the creation of new planning systems and institutions around the turn of the century. It should be seen however as providing more of a 'helping hand' within the context of the process of EU accession rather than a clear guidance document. CEMAT and VASAB facilitated the transferring of the ESDP to the Eastern European context. A major criticism of the ESDP from the Eastern European point of view is that it did not fully reflect the spatial development problems of Central and Eastern European countries, the numerous implications of the accession process for these countries and the issues relating to the enlargement of the EU territory.

Looking on these five different contexts it can be assumed that some relations, although non-linear, do occur between the ESDP application experiences and the existing planning traditions. At best, they can be viewed as macro-areas where the receiving contexts play a role both to the contribution to the drafting and the later application of ESDP.

1.4 ESDP application at the European level

The ESDP underwent a long period of preparation (1993-1999) comprising a completely new method and process. The ESDP is actually the first EU level policy document on spatial planning. The philosophy and objectives of the ESDP refer to the general objectives of the European Union.

It is now seven years since the final version of the ESDP was agreed. The effects of the ESDP are analysed concerning three main areas of application:

- The Tampere ESDP Action Programme (TEAP).
- Sectoral policies and programmes of the European Commission, including the INTERREG Community Initiative (on European policy-making level).
- CEMAT – The European Conference of Ministers responsible for Regional and Spatial Planning.

As explained below, the fate of the ESDP at the European level has been rather mixed.

1.4.1 The implementation of TEAP

In 1999, the informal ministerial Council designed the Tampere ESDP Action Programme (TEAP) to carry out 12 ESDP implementation actions. Its aim

was to “translate the policy aims for European spatial development into examples of good practice at trans-national and European level as well as at national, regional, and local level”.

There has been a follow-up to most actions, but implementation did not fully meet with initial expectations (see table 2). Tasks that were already under implementation such as the establishment of the ESPON programme and tasks that were well defined and which did not require a lot of cooperation between countries have been carried out to a much greater extent than other tasks that did not meet these criteria.

Several elements of the TEAP were however carried through. The most prominent example is the ESPON 2006 programme and the subsequent ESPON 2013 programme. The ESDP also helped to give rise to INTERREG IIC, which was followed up by Strand B (trans-national cooperation) of the INTERREG III Initiative, which is consequently the most closely related strand to the aims of the ESDP.

Indeed, from 2001 onwards, most actions went on without any reference to the TEAP. Part of the explanation for the difficulties encountered in implementing the TEAP can be found in process-aspects and in significant modifications of context. Both are related to the character of the TEAP-process (informal, innovative, relying on voluntary commitment) making it quite sensitive to the political and organisational context. For instance, the downgraded status of the monitoring and coordinating body from 2001, when a number of the missions of the Committee of Spatial Development (CSD) were transferred to the working group on Spatial and Urban Development (SUD) could be seen in this context.

Table 2 Implementation of the TEAP

	Action	Imple-mented?	As foreseen ³ ?	By?
Promoting a spatial dimension in Community and national policies				
1.1	ESDP policy orientations in SF mainstream programmes	Yes ⁴	No (partners)	Commission (study)
1.2	INTERREG III and ESDP demonstration projects	Partly ⁵	Yes	Commission MS (OPs)
1.3	ESDP policy orientations in national spatial planning	Yes	No (delay)	Belgium (report) MS (answers)
1.4	Spatial impacts of Community Policies	Partly ⁶	Yes	Commission (study)
1.5	Territorial impact assessment	Yes	Yes	United Kingdom
1.6	Urban policy application and cooperation	Yes	Yes	France + other Presidencies
Improving knowledge, research and information on territorial development				
2.1	Establishing the ESPON cooperation	Yes	Yes	Luxembourg (LP) All MS
2.2	Geography manuals for secondary schools	Yes	Yes	France
2.3	'Future regions of Europe' award	Partly ⁷	No (delay, other form)	Germany
2.4	Guide on integrated strategies for coastal regions	Partly ⁸	No (delay, other form)	Greece Spain
Preparing for an enlarged territory of the European Union				
3.1	Pan-European framework for spatial development	Partly ⁹	Yes	Germany Sweden (NC)
3.2	Spatial impacts of enlargement on EU MS and non MS	Partly ¹⁰	No (other form)	Commission

³ Concerns the implemented part if partial implementation – Refers to the initial description of the TEAP actions

⁴ But varying degree of integration of the ESDP in national/regional OPs

⁵ No early evaluation of I2C, no demonstration projects applying the ESDP

⁶ No reflection/process/event on link between transport and ESDP/spatial planning

⁷ No competition for secondary schools

⁸ No European guide on ICZM implementation

⁹ No follow-up on involvement of neighbouring countries (NC)

¹⁰ No examination of the consequences of enlargement for ESDP policy orientations

The TEAP was partially implemented and had some persisting effects on European spatial planning. However, the emergence of new political agendas (e.g. Lisbon and Gothenburg) and new European policy concepts resulted in pushing the TEAP into the background.

1.4.2 Impact of ESDP on EU sectorial policies and programmes

An assessment of EU policies and their consistency with the 'themes' of the ESDP was undertaken. This review considered the 1999 Communication concerning guidelines for Structural Funds 2000-2006 and their coordination with the Cohesion Fund, the 2003 supplement to this document, the 2000 Communication on INTERREG III, the recent 2005 Communication on Cohesion Policy 2007-2013 and a number of other policies with a spatial dimension (TEN, CAP, etc.).

There are explicit references to all three of the ESDP's policy guidelines (polycentric development and a new rural-urban partnership, parity of access to infrastructure and knowledge, and wise management of the natural and cultural heritage) in the Structural Funds guidelines for 2000-2006. These Guidelines remained valid after the publication of the revised indicative guidelines in 2003 however reflecting some of the major changes to have occurred in EU policies such as the concept of regional cohesion. At this stage there was no longer a direct reference to ESDP in the revised guidelines.

Guidelines for the INTERREG III Programme (2000-2006) were published in 2000. These make many direct and indirect references, stating the recommendations for territorial development of the ESDP and mention polycentric development and urban-rural relationships as well as the need of *vertical, horizontal, and spatial integration*.

The ESDP is however no longer visible in the Guidelines for Cohesion Policy 2007-2013. The document contains no explicit mention of polycentricity, urban-rural relationships or of the other relevant ESDP themes. It does however, refer to the need for more balanced development and recognises the important role of urban areas for issues such as growth and jobs, implying that competitiveness can be improved by the clustering and networking of cities.

The ESDP identifies a number of ways in which (sectoral) policies can have a spatial dimension. It has proved difficult to gain recognition for ESDP concepts in such policies, because the concepts are not enshrined in the EU treaties. Two of the EU policy documents referring to the ESDP, namely, the Sustainable Development Strategy and the White paper on Governance,

were both published in 2001, i.e. shortly after the adoption of the ESDP. More recently, few European policy documents have referred directly to the ESDP.

Important crosscutting issues, such as competitiveness or innovation, are linked to economic development and thus currently have more resonance with policy-makers than the ESDP. Interestingly, although the Constitutional Treaty has been put on hold, there is nevertheless an increasing awareness of the territorial logic behind policies (e.g. Environmental policy) and in particular structural funds investments.

A further project finding is that it seems unlikely that the ESDP will feature in future policy documents, as the content of the ESDP is generally not familiar to desk officers in the European Commission outside DG *Regio* and inter-sectoral cooperation between DGs often is of *ad-hoc* character. Moreover, non-binding documents such as the ESDP are regarded as being of less importance generally.

The overall conclusion is that the application of the ESDP at the EU level, just as at other levels of government, is institutionally complex and that the ESDP is used when it lends support to another policy.

1.4.3 CEMAT as pan-European application of the ESDP

The *Conférence européenne des Ministres responsables de l'Aménagement de territoire* (CEMAT) began its activity in 1970 as part of the Council of Europe. Until the start of the ESDP process in 1989, CEMAT was the prime platform for discussions of spatial planning issues at the European level.

The CEMAT cooperation process under the Council of Europe was the main pan-European forum for discussions of spatial development during the 1990s. Partly inspired by the ESDP process, the CEMAT developed its own policy document, the *Guiding Principles for Sustainable Spatial Development of the European Continent (2000)*. The CEMAT Guiding Principles are then essentially a more concise and coherent version of the ESDP, whose terminology is adopted and whose principles are elaborated upon in order to address the European territory as a whole.

The ESDP primarily addresses the needs of the EU15, and as such, was not regarded as being 'pan-European' by other countries. CEMAT meetings and activities thus never refer to the ESDP. CEMAT activities were however intensified during the ESDP process until the recent enlargement of the EU. The CEMAT Guiding Principles can be seen therefore to have plugged a gap

in the Central and Eastern European countries, which were at that time in transition.

The ESDP is applied in CEMAT through the guiding principles, though this occurs only in an indirect manner i.e. a form of 'hidden application of the ESDP'. The guiding principles were translated into most languages and offered support in a new context for spatial planning.

1.5 Trans-national and cross-border level

At the trans-national level, INTERREG provides financial support for cross-border and trans-national projects with the objective of strengthening economic and social cohesion in the Community by promoting cross-border, trans-national and inter-regional cooperation and balanced development. In contrast to the previous programmes, the INTERREG III programme has been strongly influenced by ESDP.

The main priorities of the Strand IIIB Programmes (2000-2006) in particular are coherent with the ESDP's three guiding policy guidelines, since the 2000 Communication from the European Commission laying down the guidelines for INTERREG III specifies that Strand B proposals should take account of the ESDP.

The INTERREG III B programmes for the Atlantic, CADSES, and North Sea regions reflect the ESDP directly, while the programming priorities for e.g. Baltic Sea and Northern Periphery bear fewer similarities. The degree of coherence between the ESDP and these programmes is considered in the mid-term evaluations of all programmes except Archimed, CADSES, and North West Europe. Funding is provided in particular for projects concerning sustainable development and management of natural and cultural heritage, while less funding has been disbursed to projects concerning polycentric urban systems or urban-rural relationships.

Overall, INTERREG is essential concerning spreading and application of ESDP principles. The application of the ESDP through INTERREG is varied as some INTERREG programmes have made ESDP conformity an eligibility and selection criterion while others did not. However, because of the many steps in between the ESDP and individual INTERREG IIIB projects as well as the strong bottom-up character of the IIIB programme as such, the cause-effect relation varies from case to case and is therefore difficult to assess in more general terms.

1.6 ESDP application at the national and regional levels

In the ESDP drafting process (1993-1999), stakeholders from France, the Netherlands, and Germany were the major driving forces. They received support from Belgium, Italy, Denmark, Finland, Luxembourg, and the United Kingdom. Also Greece, Portugal and Spain contributed by organising ministerial meetings that dealt with the ESDP. The remaining countries were more or less passive, which of course is not a surprise, especially in the case of the 14 ESPON countries not then members of the EU (see Map 1 below).

The degree to which the 29 studied countries have used the ESDP has been assessed by looking at planning traditions, application at different spatial levels and different policy sectors, the timing and importance of the different ways of application and differences over time and between regions.

Map 1 Countries' role in the ESDP drafting process

Countries' role in the ESDP drafting process



Role in the ESDP drafting process 2005

- Driving force
- Active contributor
- Formal contributor
- Passive
- No data

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 Regional level: NUTS 0
 Origin of data: ESPON 2.3.1 National Reports
 Cyprus: Data for government controlled areas only.
 Source: ESPON Database

1.6.1 Application mainly within spatial planning at the national level

One major assumption of the project is that ESDP application is largely framed and dominated by the national policy systems i.e. policies and their focus and institutional settings relating to the vertical and horizontal division of labour and responsibilities.

As a reflection of the participation in the drafting process, the ESDP is used in most countries within *spatial planning* only, at all geographical levels. Only a few examples exist of other policy sectors with importance for ESDP application.

The use of the three ESDP policy guidelines and 13 policy recommendations shows that national policies to a large extent are in conformity with ESDP principles and that only small variations exist between the studied countries (Map 2). Approximately half of the ESPON countries report partial compliance between national policies and ESDP policy aims, but without any significant impact from the ESDP on national policies while the other group, particularly countries where new systems were under discussion at the time of ESDP publication, experienced an evident impact on their national policy-making. However, the level of conformity is larger for the EU15 countries than for the other countries (Figure 1). This properly reflects the origin of the ESDP and the participation in the ESDP process.

Map 2 Assessment of the conformance of ESDP policy aims "Natural and cultural development as development asset"

Assessment of the conformance of ESDP policy aim 'Natural and cultural development as development asset'



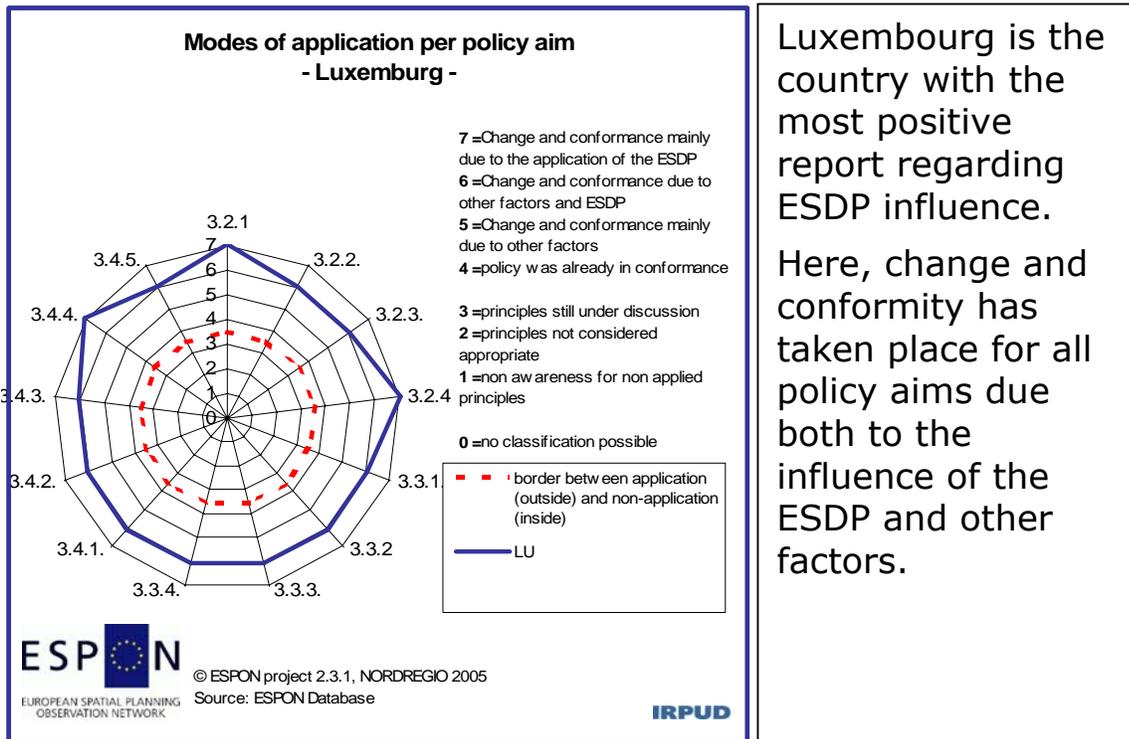
Assessment of the conformance (3.4.1) 2005

- 7: Change and conformance mainly due to the application of the ESDP.
- 6: Change and conformance due to ESDP and other factors.
- 5: Change and conformance due to other factors.
- 4: No change as policy was already in conformity with ESDP.
- 3: No change and/or conformance as issue/policy is still under discussion.
- 2: No change and/or conformance as issue/policy is not considered appropriate.
- 1: No change and/or conformance due to lack of awareness of the ESDP.
- No classification possible.
- No data

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Regional level: NUTS 0
Origin of data: ESPON 2.3.1 National Reports
Cyprus: Data for government controlled areas only.
Source: ESPON Database

- Perspective**
- British Perspective
 - Mediterranean Perspective
 - North-Western Perspective
 - Nordic Perspective

Figure 1 Modes of application per policy aim - Luxembourg



Luxembourg is the country with the most positive report regarding ESDP influence.

Here, change and conformity has taken place for all policy aims due both to the influence of the ESDP and other factors.

The degree of ESDP inspiration within national processes leading to institutional changes generally depends upon coincidences in timing. Changes principally appeared in those contexts when arguments emanating from the ESDP debate provided suitable support for the particular form of reorganisation in question. However, the direct impact of the ESDP is very limited in most countries.

Clear tracks of ESDP influence are however to be found in countries where the national policies for spatial planning were reformed shortly after the ESDP was published. Some examples illustrate that. For instance Greece, where a new spatial planning system was agreed in year 2000, and in Portugal and Spain, where new national plans were produced around 2000. Even the examples of Hungary, Latvia, and Bulgaria show that ESDP strongly, though indirectly, influenced the remaking of institutional planning structure or the making of a new planning law.

Table 3 Most important effects of ESDP application according to national experts

Most important impacts/effects	Institutional changes	Changes in planning discourses	Changes in planning policies	Spatial development	Changes in planning practises	No importance
Country	Belgium (F) Finland Greece Hungary Latvia Netherlands Sweden	Austria Belgium (W, B) Germany Italy Malta Spain Switzerland	Bulgaria Denmark France Lithuania Portugal Romania	Czech Rep. Ireland Slovak Rep. UK	Luxembourg Slovenia	Cyprus Estonia Norway Poland
Total	7	7	6	4	2	4

Source: ESPON 2.3.1 National Reports, 2005.

As such then, the dominant mode of applying ESDP principles is indirect in nature. There is no country in which the ESDP alone has led to change, since ESDP policies are to some extent already coherent with those existing in most European planning systems. Indeed, in the new Member States, this level of conformity is still recognized as being mainly implicit.

1.6.2 Variations in timing, awareness and between regions

For most countries, the impact of the ESDP has been modest in terms of its direct presence in planning documents. In general, the references to the ESDP were more numerous at the time of the official deliveries in 1997 (draft version of ESDP) and 1999 (final document). Thereafter, interest seems to have dwindled in the old EU Member States, where planning documents produced after 2000 often lack direct ESDP references.

Map 3 Most important administrative level for the ESPD application

Most important administrative level for the ESPD application



Administrative level 2005

- National level
- Regional level
- Local level
- No application
- No data

© EuroGeographics Association for administrative boundaries
 Regional level: NUTS 0
 Origin of data: ESPON 2.3.1 National Reports

Cyprus: Data for government controlled areas only.

Source: ESPON Database

In contrast, the influence of the ESDP began to rise after its publication in many of the new Member States and in non-member countries. These countries did not take part in the drafting process, though they were subsequently influenced in respect of institutional reforms and changes in planning legislation.

The level of 'ESDP awareness' is rather good at the national level in most countries, even if, in many cases, it is limited to a few people, mostly from ministries active in the EDSP process. The level of awareness is intermediate at the regional level, while in most countries the local level witnesses almost total ignorance of the ESDP.

Nearly half of the countries report regional differences in terms of ESDP influence. The factors that influence the degree or intensity of regional application relate to the relative position in Europe, i.e. participation in INTERREG III programmes, but also to the attitudes of key institutions in the planning process and to the timing of plan production.

For five countries, the regional level has been the most important in terms of ESDP application: Austria, Belgium, Italy, Norway, and Spain. Austria and Belgium are federal countries with the regional level being the driver in terms of spatial policies. In only one country, Bulgaria¹¹, the local is seen as the most important application level while experts from 19 countries consider the national level as most relevant (compare Map 3 above).

In general, it is difficult to talk about the application of the ESDP at the regional level, as it is more a question of conformity and parallel processes. There are regional variations in the degree of conformity between domestic spatial policies and the ESDP in some countries. In Belgium for example, the use of ESDP ideas has been more substantial in the Walloon region than in Flanders or Brussels. In Italy, the northern regions are more engaged in policy development than the southern regions with Emilia-Romagna playing a leading role.

1.7 Case studies highlighting ESDP application

The 25 conducted case studies indicate that the key policy theme that seemed to have captured the imagination of policymakers was in many, although not all of the case studies, that of polycentricity. Other dominant

¹¹ The main reason for considering the local level as the most important for application in Bulgaria is that the most important spatial development plans, the general master plan and the detailed urban plans, are developed on the NUTS 4-level (municipalities) and the NUTS 5-level (settlement) level.

themes included parity of access to infrastructure and knowledge and the wise management of the natural and cultural heritage.

Although many of the case studies illustrate coherence between the policy approaches adopted and the key policy themes of the ESDP, it is difficult to establish a decisive cause and effect relationship. It is often difficult to see evidence of an explicit application of the ESDP.

The case studies also suggest a growing degree of collaborative working in the development of planning documents and initiatives. It seems then that horizontal integration and cooperation is becoming an increasingly important theme in the development of spatial policies, however, such evolutions in practice were not necessarily attributable to the ESDP, and in many cases reflected other influences and considerations.

The ESDP has been used by actors at the sub-state level as a source of inspiration and justification in the development of spatial policies. It indicates that many of the contents and procedural themes of the ESDP correspond with general current thinking about best practice in sustainable spatial development. It seems relatively easy for actors at the regional and local levels to develop plans and initiatives that generally conform to the ESDP 'way of thinking'.

The theme of a strong coincidence of approach rather than a clear causal relationship with the ESDP also emerged from the case studies of informal spatial planning instruments. All of which sought to develop multi-functional urban systems in a manner which was coherent with the ESDP's promotion of dynamic polycentric urban systems.

Considering again the 25 case studies, there is no evidence of the ESDP having contributed *directly* to the development of new institutional structures. That is not to say that there were no examples of institutional changes, which contributed to spatial planning approaches, and which were coherent with the underlying philosophy, policy guidelines, or aims of the ESDP. Rather, such developments were not *explicit* responses to the publication of the ESDP.

One case study, the *Egnatia* road observatory in Greece address themes that feature in the ESDP and also feature in the Greek spatial planning system, as it features an application of Territorial Impact Assessment (TIA) through the monitoring and sharing of information about the impacts of a new motorway. As such, the main organisational innovations of the *Egnatia* road observatory are indirectly linked to the ESDP, as they contribute to the response to the ESDP's call for the further development of the practice of TIA.

In terms of the awareness of the ESDP among spatial policy actors, the case studies revealed that in most cases understanding and use of the ESDP was confined to a relatively small number of actors. Despite this, it seems that more actors were actually aware of the existence of the ESDP, however, their familiarity with its contents and employment of it as a frame of reference was limited.

The relevance of the ESDP's ideas was generally acknowledged within the various cases, even if there might be some 'macro-regional' variation in Europe in terms of how these ideas were received and in their perceived relevance. There is some indication that in those countries where the planning system can be labelled 'mature' ESDP ideas were already inherent in the planning system and in planning policy, while the origins of such ideas and their coherence with the ESDP may no longer be so relevant.

Perhaps the most important thing revealed by the diverse case studies is that there are many implicit cases of policy initiatives, programmes, policy debates and projects across the EU territory which contribute to the application of approaches which are coherent, and in many cases highly so, with the central policy themes of the ESDP. Policy options and principles featuring in the ESDP are used in practice, even if in many such cases they are used without explicit reference to their *origins* in the ESDP.

1.8 Policy conclusions and recommendations

The ESDP was developed during a long process of intergovernmental cooperation, and does to a large extent mirror a number of prevailing aims and principles from the national and European planning discourse of the 1990s. The main benefits were to highlight issues that are not normally to be found in the forefront of national policies - issues such as the international position of countries and regions and the new challenges for physical planning and regional development that follow from the ongoing globalisation of the economy and increased transport flows.

After the winding up, in 2001, of the Committee on Spatial Development (CSD) the ESDP process faded from view. At the same time a new process was initiated by the Commission under the umbrella of a new concept, 'territorial cohesion', a term that figured in Article 16 of the EC Treaty, and was later introduced in the draft Constitution. Since 2003 there are two separate processes of European territorial policy-making, each of which is linked to the ESDP. An expert document on territorial development (since 2004 entitled 'Territorial State and Perspectives of the European Union') is worked out in an intergovernmental cooperation context - this process

shows many similarities with the former ESDP process. The other process, focusing on territorial cohesion/cooperation, is led by the Commission (*DG Regio*) and notably concerns the future implementation of the Community Strategic Guidelines for the Structural Funds of the period 2007-13.

With the enlarged EU and the ongoing polarisation between regions, the level of diversity between regions within the EU is considerably larger now than it was at the time of the ESDP's drafting. Since then, several new themes have emerged. One is the renewed focus on employment, innovation, and economic growth. Another is the fact that the new Member States in Central Europe and new neighbouring countries in Eastern Europe have given the EU a new spatial reality. A third factor is the consequences of energy use and climate change for spatial planning, while a fourth relates to the challenges of migration and demography. There are, therefore, a number of developments that may change the themes of a new European-wide territorial policy-making process.

The ESDP recommended an increased horizontal and vertical integration between policy areas as the best ways to apply its ideas. This has however, proved difficult. The tendency is still towards a prevailing importance of sectoral governance. As such, post-1999 changes in national planning systems have often resulted in increasing horizontal integration at the regional or local level while the vertical integration between national and regional levels is weakened at the same time. Thus there is a continued need for a search for alternative approaches to the application of European spatial planning perspectives aiming to balance horizontal and vertical integration.

There is much proof of the application of ESDP ideas, but in most cases application has been indirect, and generally without reference to the ESDP as a document. New ideas will tend, if they are attractive, to spread rapidly throughout professional networks. The main lesson for the future must then be that deliberate use should be made of existing networks as a means of disseminating ideas, while the ambition for the next round must be to disseminate these ideas within a broader set of networks than has hitherto been the case. Most importantly perhaps this should be attempted beyond the profession of spatial planning alone. The Structural Funds have been identified as the main economic means for ESDP application. Again the ambition must be to widen "spatial thinking" to a broader field of policies, e.g. to the CAP, Research Framework Programmes and Trans-European Networks.

It has been difficult to identify any significant or tangible effects generated by the ESDP on the ground. This is not surprising, as the ESDP is rather

general in nature and merely reflects the state of the professional debate at the time of its publication. Its effects are more visible in the new Member States, since they have recently undergone a period of institutional reform and thus have had a larger than normal window of opportunity over the last few years in which to test and implement these new approaches. For the future, one should strive for more practical advice, advice that is easier to understand and easier for planners to make use of in their daily work. Impacts on the ground would be easier to achieve through pilot projects or other kinds of practical advice that inspire planners at all spatial levels.

It also seems that the ESDP is 'a secret for the few'. It was developed by a limited number of actors, and the dissemination process that followed has seen limited success. The most successful dissemination has been via INTERREG (where funding for spatially-oriented projects is available) and via the concept of polycentricity. The ESDP then was born out of an ongoing professional work process and subsequently influenced the wider policy debate in a non-linear manner. This is probably how it will continue to work in future. The challenge for any future ESDP-style process must then be to enlarge the circles that find the topic of pan-European spatial development relevant for their work. The ESPON programme has been instrumental in the enhancement of the level of academic cooperation on these issues. The next step must be to involve other policy fields as well.

There is still a need for a spatial development perspective and for a framework of EU sectoral policies – perhaps even more so now after the most recent and the probable future enlargements of the EU. The situation is now more heterogeneous with deeper differences between European regions, from a socio-economic, governance and spatial point of view. The geography has changed and so have the challenges for Europe's territorial development.

Finally, based on the findings of the project a set of eleven policy recommendations is proposed. The recommendations concern the macro, meso and micro level.

Table 4 Set of policy recommendations

Recommendations on the macro-level

1. A renewed Europe-wide strategic spatial planning process is both necessary and desirable
2. Territorial cohesion would gain in importance by becoming an integrated EU competence with a crosscutting character
3. The professional discourse on the application of European territorial development principles should be stimulated
4. A new strategic document on territorial development should be simple, address existing and potential spatial conflicts, and find a balance between principles and best practice
5. A new territorial policy process should go beyond the EU Member States' borders

Recommendations on the meso-level

6. ESDP themes are still relevant but have to be reconsidered and re-interpreted according to the changed spatial reality of Europe. However, it is necessary to consider thematic adjustments of up-coming European territorial policy orientations as the ESDP does not fully reflect themes that became more important after 1999.
7. Cooperation across borders should be seen as the major driver for European and territorial integration
8. The inclusion of pan-European perspectives into national and regional spatial policies has to be promoted

Recommendations on the micro-level

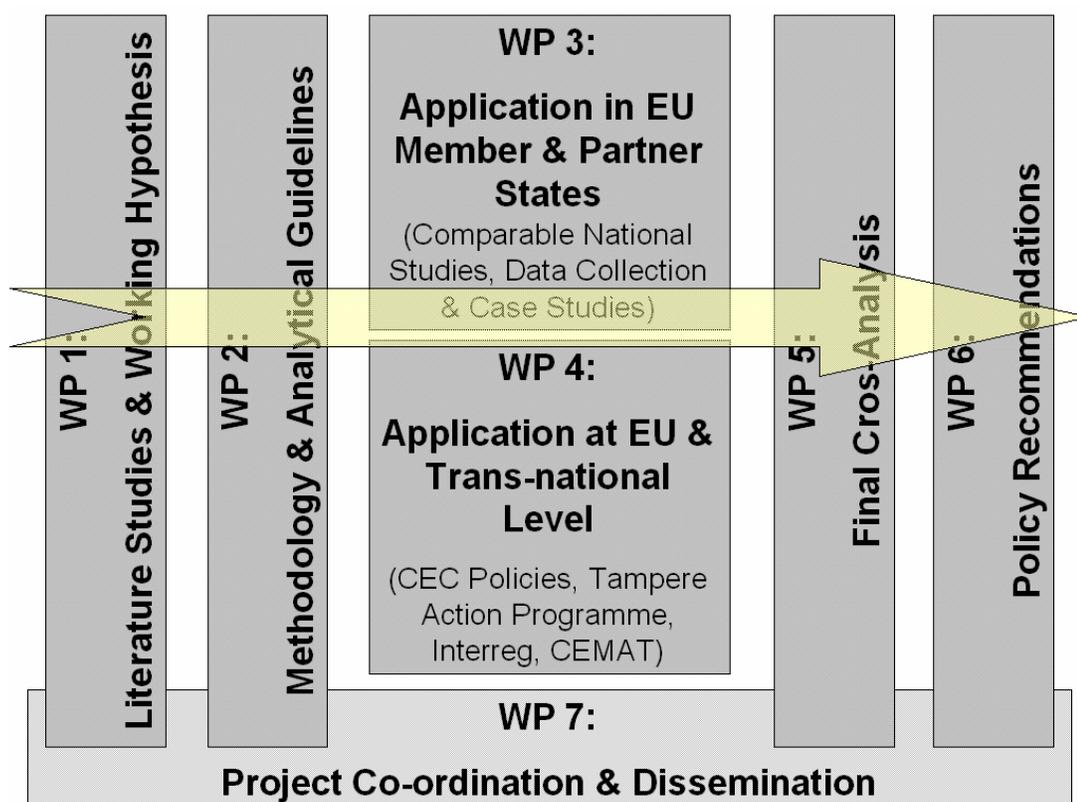
9. Practical examples of the integration of European concepts should be made available as an inspiration to regional spatial planning
10. Multi-level and multi-sector governance will constitute the strategic approach to action in the future
11. A greater 'sense of ownership' among actors at the micro levels should be upheld

2 Scientific summary - the main concepts and methodologies

This project began in the autumn of 2004 and will end in December 2006. A major step towards concluding the Final Report is the production of this draft version of the Final Report.

The project comprises seven work packages (WP) covering the various steps of the work process (see below). The work packages were performed sequentially. This draft Final Report summarizes all of the findings and conclusions of the previous work, delivers a cross-analysis, and highlights suggestions for further research, while also producing a set of policy recommendations.

Figure 2 Working structure of the project ESPON 2.3.1



2.1 Guiding key concepts and terms

At the beginning of the project, an assessment was made of the ESDP policy documents and of the scientific literature. The aim here was to clarify a

number of important concepts and methodological aspects such as the decisive factors relevant to the development of the European territory, the spatial effects of EU policies and the institutional settings required to improve vertical and horizontal integration in the field of spatial policies.

The review of the scientific literature on ESDP application concentrated on the four acknowledged European regional spatial planning families, namely the North-Western, British, Nordic and Mediterranean perspectives. This analysis was subsequently to be supplemented by an assessment of the Eastern European context.

The ESDP document was reviewed in-depth, with its key messages, its philosophy, its objectives, and the various suggestions for its application being assessed.

Based on the findings of the literature studies, the review of policy documents and the assessment of the ESDP document itself, a number of guiding hypotheses were prepared:

- Polycentricity is the ESDP theme that has had the most resonance, having best captured the attention of European planners.
- Some relation between the types of ESDP application experienced and the four different European regional spatial planning perspectives should be expected.
- The ESDP has helped to promote the vertical and horizontal integration of existing strategic planning instruments.
- Changes in spatial planning in some countries are consistent with the ESDP, but are not necessarily the result of it.
- INTERREG funding has contributed to the development of concrete examples of the application of the ESDP in practice.
- The ESDP has contributed to an emerging 'spatial' planning agenda particularly in states where there has traditionally been a strong sectoral orientation in respect of policy-making.
- The impact of the ESDP as a policy document may be diminishing over time.

The methodological analysis approach was based on a number of key terms/words: themes, ways, means, effects, levels/scales and actors. The key terms steered all analytical parts of the project.

Table 5 Key words/terms used in the analysis of the project

Key terms	Parameters
Themes	Polycentric spatial development (polycentrism) New urban-rural relationship Parity of access to infrastructure and knowledge Wise management of the natural and cultural heritage
Ways	Vertical integration Horizontal integration Spatial integration
Means	Cross-border cooperation (Interreg IIIA) Trans-national cooperation (Interreg IIIB) Urban governance Structural Funds
Effects	Institutional changes Changes in planning policies, practices or culture (discourses) Changes in spatial representation (images)
Levels/Scales	European/trans-national/cross-border National Regional Local
Actors	European Commission Other European institutions Member States/national authorities Regional and local authorities Other actors (academic sector, private sector, etc)

Source: ESPON 2.3.1 Scientific Literature Review

Moreover, seven categorised 'levels of effect' were applied in the analysis resulting in either the 'application' (implicit or explicit) or 'non-application' of ESDP principles. The term 'application', do not necessarily mean the

application of the ESDP as such. Rather, what is important is the degree of conformity or non-conformity with ESDP aims and policy options, promoted by the ESDP and/or other discourses in the sphere of spatial planning.

Table 6 Assessment categories regarding the application or non-application of the ESDP

Tendency	Categories
Non-application	No awareness or unapplied principle
Non-application	Principle not considered appropriate
Non-application	Principle still under discussion
Implicit application	Already in conformity with ESDP
Implicit application	Change and conformity mainly due to other factors
Explicit application	Change and conformity due to factors and the ESDP
Explicit application	Change and conformity mainly due to the application of the ESDP

The development of indicators to be applied in the analysis of ESDP application was attempted, however due to data gaps and the non-existence of quantifiable data, the final categories for measuring the extent of ESDP application remain limited.

2.2 ESDP application studies at different geographical levels

The project used mainly qualitative methods. In order to guarantee a structured approach however, sets of guidelines were produced. These guidelines are based on the key terms emerging from the Scientific Literature Review. The guidelines were then used in the production of 'application' studies at the EU and trans-national levels, in the 29 countries involved, as well as for the 25 case studies. A web-based data collection (web-questionnaire and survey on ESDP policy aims and options) supported the national study findings.

The level of reliability of the study, ensuring that the results can be replicated, was ensured by having a transparent description of the different steps in the research process and in respect of the different methods used. The use of different sources i.e. policy documents, interviews and the web-based questionnaire enabled a comprehensive picture of the ESDP application to be developed. The study's validity, namely, does the survey

measure what it was intended to, was ensured through the use of different tools i.e. through the development of the pilot studies and the guidelines.

EU and trans-national levels

The analysis conducted on the European and trans-national (i.e. INTERREG) levels seeks to explain the mechanisms through which the ESDP has been applied. The EU-level study focuses on four main areas of application:

- The Tampere ESDP Action Programme (TEAP): The material here is based on a review of the relevant documents, including the assessment carried out for the Belgian EU presidency in 2001, and on the results of a number of interviews with officials and experts from the Member States.
- Sectoral policies and programmes of the European Commission: The ESDP refers to a number of 'territorially significant' EU sectoral policies, which are assessed here in some detail. The analysis is largely build on interviews with officials from the Commission and on a review of European policy documents.
- CEMAT – The European Conference of Ministers responsible for Regional and Spatial Planning: CEMAT brings together representatives of the 46 members of the Council of Europe in order to pursue the common objective of the sustainable spatial development of the European continent. The material here draws upon a literature review and interviews with key actors in the CEMAT process.
- The Community INTERREG Initiative: The application of the ESDP in the INTERREG III Initiative (2000-2006) is examined. A review of programming documents both from the European Commission and from the different programming areas, focusing on the INTERREG IIIB Programme is the main source of information here. Additional document-based material was used as well as interviews with a number of people involved in drafting, approving and implementing the INTERREG programmes.

The four routes of ESDP application differ considerably. While application in EU policies forms part of an ongoing political process, application through the INTERREG and Tampere Action programmes is more programmatic and therefore presumably more straightforward. The CEMAT activities, which are being organised around CEMAT meetings, seem to carry elements of both, a political process and a programmatic approach. In other words, the four strands represent different contexts for application. Because of these different 'receiving contexts' different types of results have emerged out of

the assessments in terms of the 'explicit' and 'implicit' application of the ESDP.

National reports

The national studies try to identifying the differences regarding the application and effects of the ESDP throughout the 29 countries involved. The basic assertion here being that ESDP application is largely framed and dominated by the various national policy systems, in terms of both policies and their focus and their institutional settings relating to the vertical and horizontal division of labour and responsibilities.

The country studies mainly focused on investigating the:

- Institutional or receiving context
- Involvement in the ESDP process (until 1999) and general reception of ESDP (only applicable to EU Member States as of 1999)
- Convergence/coherence with the ESDP form the outset
- ESDP features applied and examples of application in the country
- Mechanisms of application
- Means of application
- Type of impact/effects caused by ESDP
- Impacts/effects over time
- Administrative level of ESDP application

The assessment of the ESDP's application could not contain quantitative analysis methods due to the lack of appropriate statistical and comparative data. Instead, the research work carried out in the context of this part of the project utilised national experts to write country studies based on the review of relevant spatial planning policy documents and interviews with key experts in the field, i.e. qualitative assessment methods.

The experts responsible for performing the national reviews are members of research institutions and national authorities. The key experts interviewed represent, in the main, national and regional authorities.

The chosen qualitative method may imply problems of generalisation and there is therefore a risk of subjective judgements. Another methodological problem could be seen in the incomplete number of involved experts, limited resources and in the ultimate realisation of the actual size of the task

needed in assessing ESDP application. This means that not all of the crucial information may have been assembled. The guidelines however guaranteed similar approaches and contents.

Case studies

The project as a whole made the assumption that the most interesting cases of ESDP application were likely to be found at the regional or local levels, or perhaps somewhere in the sphere of governance. As such, the case studies should be regarded as an important complement to the EU level, transnational and national studies.

The case studies address different aspects of ESDP application. The case studies act as *illustrative examples* of how the ESDP has been applied in practice through a variety of different mechanisms. The specific case studies were chosen to highlight and explore a variety of types of ESDP application. Some touch on *trans-national* (six case studies) issues of interest. Some deepen the *national* aspects (seven case studies) of application touched upon in the comparable national reports (i.e. by lifting out a case from a national report). Others delve more deeply into *regional or local* aspects (twelve case studies). The aspects covered vary from *territories*, to certain *policy instruments* or *plans* to more *procedural aspects* regarding policy formulation.

In all, 25 case studies were identified. The ambition was that each EU Member State should be addressed by at least one case study. The selection of the case studies was also connected to the key-word matrix developed out of the Scientific Literature Review. The list of potential case studies provided in the Terms of Reference served as a source of inspiration in the selection process. Table 7 presents the selected case studies including the level at which they were addressed. The selected case studies have their main focus on the meso and micro levels, i.e. the transnational, national, regional and local levels. The number of EU-level case studies undertaken - proposed by the ESPON Monitoring Committee - has been limited with the project choosing to prioritise other levels. In addition, it was felt that most of the EU-related themes were already assessed in the chapter on ESDP application at the European Level.

Table 7 List of case studies

Country (countries)	Case study title	Level addressed
Austria	<i>PlaNet CenSE (Planners</i>	transnational

	<i>network of Central and South East Europe, Interreg IIIB CADSES)</i>	
Austria–Slovenia	<i>Cross-border regional/city cooperation – Various ongoing projects: Graz (A) – Maribor (SI)</i>	transnational
Belgium–Netherlands–Luxembourg	<i>Saar-Lor-Lux+ Spatial Development Perspective (SLL+ SDP)</i>	transnational
Belgium	<i>Flanders (structure plan)</i>	national
Cyprus	<i>The urban planning system</i>	regional/local
Czech Republic	<i>Cross border management of the river landscapes” – analysed part: River landscape of the Morava and Dyje rivers</i>	transnational
Denmark	<i>The Triangle area</i>	regional/local
Denmark–Sweden	<i>The Öresund region</i>	regional/local
Estonia–Finland–Latvia	<i>The Via Baltica Project (Interreg)</i>	transnational
France	<i>Schémas régionaux d'aménagement du territoire (SRADT)</i>	regional/local
Germany	<i>Committee of Experts in Spatial Development</i>	national
Greece	<i>The Egnatia Odos Observatory</i>	regional/local
Hungary	<i>Application of ESDP in the field of natural land and cultural heritage</i>	national
Ireland	<i>Regional Planning Guidelines for the Midlands Region</i>	regional/local
Italy	<i>The North West Macroregion</i>	regional/local
Latvia	<i>Riga Planning Region Spatial Plan</i>	regional/local

Latvia–Lithuania	<i>ICZM plan for Latvia and Lithuania</i>	transnational
Malta	<i>The Structure Plan Review</i>	national
Netherlands	<i>The National Spatial Strategy of The Netherlands</i>	national
Poland	<i>Changing patterns of spatial accessibility in Poland with special reference to the accessibility to centres of higher education</i>	national
Portugal	<i>PROTAL – Algarve Portugal</i>	regional/local
Slovakia	<i>Slovak Spatial Development Strategy 2001</i>	national
Spain	<i>Navarre’s Spatial Vision</i>	regional/local
Sweden	<i>Stockholm and the region “Lake Mälaren”</i>	regional/local
United Kingdom	<i>North West England</i>	regional/local

Additional assessments - web surveys and TIA

The project collected numerical data through web-based surveys, namely a web-based questionnaire and ranked policy option analysis based on the 13 ESDP policy aims and 60 policy options. The surveys support the analysis proffered in the national reports and the case studies.

The policy option analysis discusses the degree and mode of ESDP application in terms of policy options and policy aims respectively in the ESPON countries by means of a survey of the national project partners. The results at the level of *policy aims* are included in Annex 6 (a set of 13 maps and an analysis for each single country). The analysis of the 60 ESDP *policy options* failed, however, due to the existence of significant data gaps.

Unfortunately, given the existence of a number of important data gaps (answer frequency of less than 50% and only 24 out of the 29 countries provided feedback) even the results of the web-questionnaire cannot be used in this study.

A '*Territorial Impact Analysis*' exercise was carried out using the methodological approach developed in connection with the ESPON Project 3.1. The analysis was applied at two levels. First, a TIA was applied to the whole of the ESPON space at the three spatial scales (European level, trans-national and national/regional levels). Secondly, the Greek *Egnatia Odos Observatory* case study was chosen to highlight how the TIA principles are being applied in practice to identify the impacts of a European project.

In applying a TIA to the application of the ESDP, the project faced a number of difficult conceptual and methodological problems.

The ESDP is an informal policy document that has been applied rather than implemented. As an informal policy document its role and purpose is to shape the ways in which policymakers think and interact at a variety of different scales. The application of the ESDP therefore includes suggestions as to how spatial policy should be developed, (i.e. it has a procedural dimension) but also suggests through 3 policy guidelines, 13 policy aims and 60 policy options what type of policy development might be appropriate at particular territorial scales across the EU (i.e. a substantive policy direction).

Research has indicated how the application of this document has varied considerably across space and time, and while there may be similarities between its substantive and/or procedural policy messages and its application, there are complicated cause and effect relationships at work here. This suggests either that conformity of application might be a consequence of the direct application of some aspect of the ESPD, or that the spectrum of coherence may indicate coincidence or conformity with the ideas of the ESDP rather than a direct application per se.

Cause and effect relationships between the ESDP and policy initiatives at a variety of spatial scales are then almost impossible to disentangle, the application practices are diverse, and it is still too early to evaluate what the outcomes of the process have been on the ground. This makes a quantitative TIA of the application of the ESDP impossible in all but the most general terms.

2.3 Synthesis and policy recommendations

The results of the various parts of the project were combined in a cross-analysis of the different stages leading to the formulation of a set of policy recommendations. The links between the empirical section – cross-analysis/conclusive analysis – policy recommendations were ensured by several rounds of discussions and text revisions.

The *EU level analysis* delivered significant insights on recent and future EU policy-making in respect of territorial issues and a number of conclusions concerning the mutual influence concerning policy-making between the EU level and the national and regional scales.

The *National studies* analysis led to the development various typologies in respect of ESDP application. They also provided a European-wide overview of the mechanisms, types, and means of application in the countries concerned. Issues such as 'implicit versus explicit', predominant policy sectors, leading administrative policy-levels of application, predominant forms of institutional settings, ESDP aspects applied and impacts/effects caused by the ESDP were discussed.

The assessment of the *Case studies* contributed to new knowledge upon the application of ESDP on the national, regional (single regions, cross-border regions, and trans-national regions), and even local scales. The analysis highlights a wide spectrum of varying project activities and ideas. It is however important to stress again, that the analysis of the case studies is used to illustrate the broad variety of possible ESDP applications and **not** to find generalised application patterns for the whole of Europe.

Finally, the three study levels were brought together into one synthesising assessment. The focus on the changes in institutional settings and on the comparison of different settings across countries provided insights into the relationship between policy-making and ESDP application. Conclusions were then drawn concerning the development of useful approaches for future applications of European policy orientations for territorial development. The *conclusions* led to the development of a *set of policy recommendations* based on the recommended ESPON structure (macro, meso, and micro level approach).

3 Networking

The project has tried to closely coordinate its work with the other research projects and trans-national project groups within the ESPON programme, in order to be able to cross-reference and share knowledge and data as it emerged.

In respect of networking functions, the partners now have a well-established level of expertise in the field of European spatial planning research and its associated research areas. There has been networking with AESOP, the Association of European Schools of Planning on cooperation aspects. Subsequent to participation in the current project, the project team now benefits even more from the extensive ESPON networks.

Networking has taken place with the following:

- Other ESPON Trans-national Project Groups, especially ESPON 2.3.2
- ESPON programme management, i.e. ESPON Coordination Unit,
- ESPON Monitoring Committee and ESPON Contact Points
- Planners and experts from the Accession countries (Bulgaria, Rumania) and from the neighbouring countries (Norway, Switzerland)
- Interviews carried out with European Commission officials as part of WP4 (September-November 2005)
- Other actors in the field of European spatial planning on the national and regional levels through case studies, national studies and web surveys

In particular, the project worked together with those involved in the ESPON 2.3.2 project, "Governance of territorial and urban policies from EU to local level" in the selection of case studies. Where common case studies were chosen, different aspects and issues were focussed on by the two projects, so that the studies would complement each other. In addition, collaborative efforts have also been entered into on the development of the guidelines for both the country studies and the case studies.

Furthermore, the national overviews and the synthesis of these overviews produced within ESPON 2.3.2 (i.e. the contextual setting on governance processes in the different countries) have been checked for use in this study. The overall approach to cooperation with ESPON 2.3.2 was facilitated by the fact that the trans-national project groups had, to some extent, the same partners and sub-contractors.

The current project has also taken into account the results of the thematic projects produced within the ESPON programme Strand I (i.e. 1.1.1 Polycentric development, 1.1.2 Rural-urban partnership, 1.2.1 Transportation etc). The results of project 2.4.2 "Zoom in" have also been used to verify the current project's own suggestions on new themes for future European territorial collaboration.

The project has undertaken its work in line with the common ESPON scientific platform. For instance, the lead partner participated in the lead partner meetings organised by the ESPON Coordination Unit. In addition, the project organised one workshop with leading external experts in order to both discuss its findings and, more generally, the future of spatial development, territorial cooperation, European institutional settings, and strategic planning.

An exchange was also entered into with project ESPON 3.1 in order to find an appropriate way to produce a Territorial Impact Assessment.

Since the beginning of the project, various meetings relevant to the project have taken place. The table below shows the relevant meetings in which the project team or a member thereof participated or was present.

The results of the ESPON project 3.2 'Spatial Scenarios and Orientations in relation to the ESDP and the Cohesion Policy' and the ESPON project 3.3 'Territorial dimension of the Lisbon-Gothenburg strategy' have been taken into consideration in order to be able to address current and future EU territorial trends and to develop policy recommendations on potential "thematic adjustments" of the European territorial policy orientation. In addition, *Nordregio* was a project partner in the ESPON project 3.2 while the ESPON 2.3.1 project partner OTB was a project partner in the ESPON 3.3 project.

Table 8 List of meetings and events with participation of a member(s) of the project team

Date	Location	Purpose/ Description
05.11.04	Brussels	ESPON kick-off meeting with new Lead Partners
22-23.11.04	Brussels	ESPON Lead partner meeting
17-18.02.05	Brussels	ESPON Lead partner meeting
18.05.05	Luxembourg	Participating in ESPON Seminar
19.05.04	Stockholm	Extra core team meeting
02.06.05	Leuven	PlanDag 2005 ' Het zichtbare Europa'
13-17.07.05	Vienna	Association of European Schools of Planning Annual Conference 'The Dream of a Greater Europe'
11.10.05	Brussels	Core team meeting
12-13.10.05	Luxembourg	ESPON Lead Partner Meeting
13-14.10.05	Luxembourg	ESPON Scientific Seminar
06-07.11.05	Manchester	ESPON seminar
13-14.03.06	Salzburg	ESPON seminar
31.03.06	Stockholm	Meeting with IRPUD and Nordregio colleagues of ESPON 2.3.2 upon common issues
11-12.04.06	Brussels	Workshop with invited external experts and core team meeting
18-19.06.06	Amsterdam	Workshop on Evidence-based planning
08-09.06.06	Leuven	Regional Studies Association Conference 'Shaping EU Regional Policy: Economic, Social and Political Pressures'
11-14.07.06	Mexico City	World Planning Schools Congress

4 Further Research Issues

The rationale behind the ESDP approach remains valid. As such, cooperation in the matter of European territorial development is still needed, perhaps even more so now than before. A new pan-European process should however be initiated with integrative territorial aspects as its focus. The related research issue, which integrates recent Europe-wide initiatives and goes beyond the current approach set out in "Territorial state and perspectives of the European Union", could then be to work on a "new" style of European territorial policy-making that includes an integrated and long-term approach to the process of using territorial potentials and takes into account territorial conflicts.

The basic ESDP concepts of polycentricity, urban-rural relationships, and accessibility will undoubtedly remain important in the foreseeable future. These concepts are however still very general. A new project would then be needed to deepen these concepts and create clearer guiding proposals for policy-makers at the national and regional/local levels.

The ESDP's policy aims and options were viewed to be of continuing relevance. However *new themes* have subsequently appeared since its publication reflecting the changing nature of the European territory. The ongoing trans-formation of both societies and spaces needs to be analysed with continuous feedback given to policy-makers and planning stakeholders on all levels. The subsequent issue for a new research project could then centre on an in-depth analysis of new meta developments with territorial significance such as energy, climate change, population ageing, migration, and integration/segregation on a regional basis, entailing then a project that goes beyond the already remarkably broad analysis of the ESPON project "Zooming in" (project 2.4.2) and other thematic ESPON projects, as well as the co-ordination cross thematic projects 3.2/Scenarios and 3.3/Lisbon strategy. Most of the meta development issues mentioned above were also highlighted during the expert workshop on the ESPON 2.3.1 project organised in Brussels in April 2006 in order to discuss a potential thematic adjustment in respect of Europe's territorial policy orientation.

A follow-up on European spatial planning i.e. the notion of territorial cohesion and collaboration as well as some of the European crosscutting concepts (e.g. the Lisbon and Gothenburg strategies) would be interesting: How are concepts disseminated from one place to another and from one level of government to another? Why are some successful and others not? What impact do such European policy documents have on national and regional policy-making?

In terms of practical dissemination, the ESDP showed many weaknesses. The ESDP had a modest direct influence on the countries' planning systems – was this due to insufficient dissemination? There are however many indirect, implicit changes in national planning systems that have been a result of the ESDP, this fact should not be underestimated. European generated, non-binding policies such as the ESDP need national discourses and targeted methods of dissemination. A further research question could therefore be based around the issue of what a flexible, but targeted dissemination process would look like, and how such an approach could give rise to tangible national, regional, and local application effects.

The 'receiving environment' as well as the maturity and scope of the various national planning and governance systems are important if not decisive factors for European policy-making in the areas of territorial cohesion and spatial planning. In respect of future research projects, it seems that the role, nature, and shape of spatial planning systems across Europe are changing and that a better understanding is needed of how these changes are occurring, both in terms of the scope of the system and the instruments of planning as well as how they are used in practice. It may therefore be a valuable exercise for ESPON to update the compendium on Spatial Planning Systems in Europe, albeit in a different format emphasising the dynamic character of such systems.

Linked to a new overview of spatial planning systems in Europe is the issue of the interplay of planning systems and development oriented policies (for e.g. growth and economic development, innovation and competitiveness). The guiding research question for a new project would then concern the tensions and conflicts that exist between the spatial planning systems (which in many countries are still very hierarchical, often oriented towards traditional land use planning) and the requirements of flexible development oriented planning. Other research questions related to the background for changes in national planning systems are: what kind of ideas/considerations are the most important when changes are made? Are pan-European perspectives considered and do that make any difference? When in the process are the opportunity windows for European influences open?

The creation of such a new baseline in respect of the understanding of spatial planning systems is important in monitoring the trends that emerge from the practical work of the EU structural funds and other European initiatives. The funds' and initiatives' impact on territorial development in the apparent absence of an explicit framework for spatial development should be investigated to make explicit the spatiality of EU programmes in the future.

The chance to design an explicitly European spatial development framework could be strengthened by the work already done on the influence of the ESDP on the 25 National Strategic Reference Frameworks (NSRF). As a short time action, this could be achieved via two paths, firstly through an updating of the 25 NSRF, implementing the analysis on specific issues (e.g. the role of governance and/or polycentrism), and secondly via the monitoring of the conditions favouring territorial cohesion, and thus the sustainable coordination of European spatial systems in an ESDP view.

A major conclusion of the project was that the required Territorial Impact Analysis (TIA) of policies is incompatible with the original idea of TIA. The ESPON-based methodology for a TIA (derived from ESPON 3.1) remains underdeveloped, and as such is currently unable to provide a sound basis for the assessment of policy driven projects:

- Such policy-oriented projects do not provide the analytical preconditions (data sets, monitoring results) for quantifiable spatial/physical impacts.
- The assessment of a non-binding policy document's soft impacts on e.g. decision-making for national policy, discourse and learning effects, governance and national/regional planning methods cannot accomplish basic TIA scoping and analysis requirements.

This project's qualitative results provide a fruitful basis for undertaking a policy analysis showing the "impact" upon programmes, policies, and plans. The findings should not however be used to make artificial territorial impact statements that are not measurable. The most pressing issue in terms of further research then is that of the further development of the TIA methodology, particularly for projects assessing different kinds of policies.

Part 2: Results of the project

5 Introduction

This study of European Spatial Development Policy (ESDP) application in the main assesses the impact that the ESDP has had on policies, plans and programmes within the European Commission, in the EU Member States +2 +2 (European Union of 25 *plus* Bulgaria, Romania, Switzerland, and Norway) as well as its impact on trans-national cooperation in the EU context (via INTERREG Community Initiative).

The assessment of the impacts of the ESDP on policies (i.e. its application), focuses on the degree to which the philosophy, policy guidelines, aims and options have affected, or been incorporated in, other policy documents, programmes and plans. Furthermore, changes in institutional settings or in a particular division of responsibilities can also be seen to constitute 'impacts' (of the ESDP).

When it comes to the national and regional level, policies, plans, programmes, institutional settings have been investigated both before and after the introduction of the ESDP. The work undertaken on the application of certain ESDP concepts through certain policies and processes allowed us to identify whether the adoption of individual ESDP issues in national and regional documents had been driven by discursive integration or whether it had come about through a process of progressive change and innovation in local planning practices.

This report is based on several different data sources: literature related to ESDP on all levels, interviews with civil servants in the European Commission, 29 national reports written by experts on the countries in question, a web based analysis (questionnaire, policy option tables) answered by national experts, and 25 case studies (see titles in annex 4).

5.1 ESDP – the main contents

The ESDP was the result of intensive discussions among the Member States themselves and the European Commission on the spatial development of the EU. It presents itself as "a policy framework for better cooperation between Community sectoral policies with significant impacts and between Member States, their regions, and their cities" (ESDP, p.11). Here then is the *leitmotif* of the whole document (cooperation) and the involved actors. Another fundamental feature of the ESDP is its non-binding character, which in turn implies a number of other "political principles" first agreed upon at Leipzig in 1994, such as:

- The central aim will be to achieve sustainable and balanced development.
- The existing competencies of the institutions responsible for Community policies remain unchanged, and the ESDP does not constrain these institutions in exercising their responsibilities.
- The ESDP respects the subsidiarity principle.
- Each country takes it forward according to the extent it wishes to take account of European spatial development aspects in its national policies.

The emphasis is also on attitudes. As the ESDP is non-binding, cooperation becomes the keyword. As such, the 'awareness' and the 'state of mind' of the actors expected to implement the ESDP is crucial.

Table 9 The different levels of ESDP objectives

Type of objective	Contents
Purpose	Better cooperation between Community sectoral policies with significant spatial impacts and between the MS, their regions, and cities Signal for broad public participation in the political debate on decisions at the European level and their impacts on cities and regions in the EU
Higher level objective of the document	Balanced and sustainable spatial development → "Triangle of objectives" (economic and social cohesion, conservation of natural resources and cultural heritage, more balanced competitiveness of the European territory)
3 Policy guidelines for spatial orientation of policies	1. Development of a balanced and polycentric urban system and a new urban-rural relationship. 2. Securing parity of access to infrastructure and knowledge. 3. Sustainable development, prudent management, and the protection of the natural and cultural heritage.
13 Policy aims for the territory of the EU ¹²	1. Polycentric and balanced spatial development in the EU 2. Dynamic, attractive, and competitive cities and urbanised regions 3. Indigenous development, diverse and productive rural areas 4. Urban-rural partnership 5. An integrated approach for improved transport links and access to knowledge 6. Polycentric development model: a basis for better accessibility 7. Efficient and sustainable use of the infrastructure 8. Diffusion of innovation and knowledge 9. Natural and cultural heritage as a development asset 10. Preservation and development of the natural heritage 11. Water resource management – a special challenge for spatial development 12. Creative management of cultural landscapes 13. Creative management of the cultural heritage

¹² Aims 6 and 9 are not really on the same footing as the 11 other aims. Notably, they are not transposed into policy options; they might rather be seen as a general presentation of guidelines 2 and 3 respectively.

The core message of the ESDP is contained in its 4 general and 13 specific policy aims (see Table 9). 11 of the latter are in turn subsequently developed into policy options. There are 60 policy options in total (see annex 2), of which many are general in character but still provide a certain direction for policy development at the European, national and regional levels.

5.2 How the ESDP itself conceives of its own application

Chapter four of the ESDP (A.4, *'The Application of the ESDP'*) provides a number of general recommendations and focuses on a set of three interrelated ideas, i.e. cooperation, integrated approach, and spatial differentiation. Cooperation on a voluntary basis and on different levels is highlighted. The emphasis was then set on the trans-national level: *"From the EU point of view, trans-national cooperation is of central importance"*.

Some recommendations in respect of application can also be found in other parts of the document. In particular, § 26 of chapter A.1, emphasises the time dimension and the gradual and interactive process of application: *"[...] it will be possible to carry out some measures and projects immediately after the ESDP has been agreed. Other options and proposals will require further discussion and fleshing out at the European level. This includes, in particular, the exchange of experience and the monitoring and evaluation of spatial developments."*

Three territorial levels are seen to be most relevant for ESDP's application:

- Community level
- Trans-national/national level
- Regional/local level

Proposals made in the ESDP document, entitled, *"selected ways of application"* aim at different levels and actors. All actors related to spatial development and planning are concerned, even those that did not play a major role in the ESDP drafting and adoption process. It also shows that levels and actors may not be assimilated in all cases:

- at each level, different governmental or administrative decision-makers may be involved. For example, different actors have a role to play with regard to *"ESDP application in the MS"*, and they *"must often coordinate with each other"* (ESDP, 1999).

- trans-national and cross-border cooperation rarely have their own governmental and/or administrative level, and thus rely on actions taken within the various involved Member States/regions

The importance of the ESDP process has been emphasised in the ESDP document. It has been said on numerous occasions that the mere adoption of the ESDP did not signal the end of this process.

5.3 Terminology

The project used a number of key terms that are important both for the analysis itself and for the understanding of the results. Most of the terms come from the ESDP document itself.

The level of conformity between the strategies and policy approaches adopted and the policy themes of the ESDP may reflect either an 'explicit application' or an 'implicit application' of the ESDP:

- Explicit application - the policy approaches adopted are coherent with the policy messages of the plan as a result of an explicit application of its messages or the elaboration of these, or an explicit attempt to demonstrate conformity with the ESDP. In the case of explicit application, it is possible to demonstrate causality, which contributes to the conformity of the approaches adopted with the policy themes of the ESDP
- Implicit application - the policy approaches are coherent with the policy themes of the ESDP and contribute to its application but this does not reflect a formal and/or conscious application of its policy messages or an attempt to demonstrate conformity with these. In the case of implicit application it is not possible to demonstrate an explicit causal link between the approaches adopted and the ESDP even if there is coherence with the concepts of the ESDP and the policy approaches adopted contribute in practice to ESDP application

These two distinctive forms of application are completed by other types of application, namely 'non-application', two types of 'implicit application' and two types of 'explicit application' as explained below (chapter 6.3).

Other important terms of this project that describe the cooperative approaches of the ESDP include:

- *Vertical integration/cooperation*: meaning the cooperation between actors at the Community level and the trans-national, national, regional, and local levels

- *Horizontal integration/cooperation*: is seen as the cooperation occurring between the authorities responsible for sector policies, and with those having responsibility for spatial development at each respective level
- *Trans-national cooperation* is, from the EU point of view, of central importance and includes working together over national borders (pan-European, multi-lateral, cross-border)

The term '*Spatial integration*' implies the increased awareness of the spatial effects of policies and the increased spatial orientation of policies.

The principle of the '*Integrated approach*' is introduced by the ESDP. It deals with two different aspects: the fact that the approach must associate a number of different actors and the need for an adequate combination of policy options for a given territory. The idea here is clearly to go beyond the traditional sectoral distribution of responsibilities and to focus on truly 'territorial' issues, which implies the cooperation requirement.

The specific policy aims and options, "[...] *do not apply to the same extent in all areas of the EU. They should be interpreted according to the economic, social, and environmental situation of an area, in order to create balanced and sustainable development*". (ESDP, p.20) '*Territorial differentiation*' is therefore important to keep in mind when evaluating the application of the ESDP at the national/regional/local levels: the territorial context plays a major role in the way in which application is conceived, with territorial differentiation being the rule rather than the exception.

6 Methodology

This project commenced in the autumn of 2004 and will conclude in December 2006. A major step towards concluding the final report is the production of this draft version of the Final Report (May 2006).

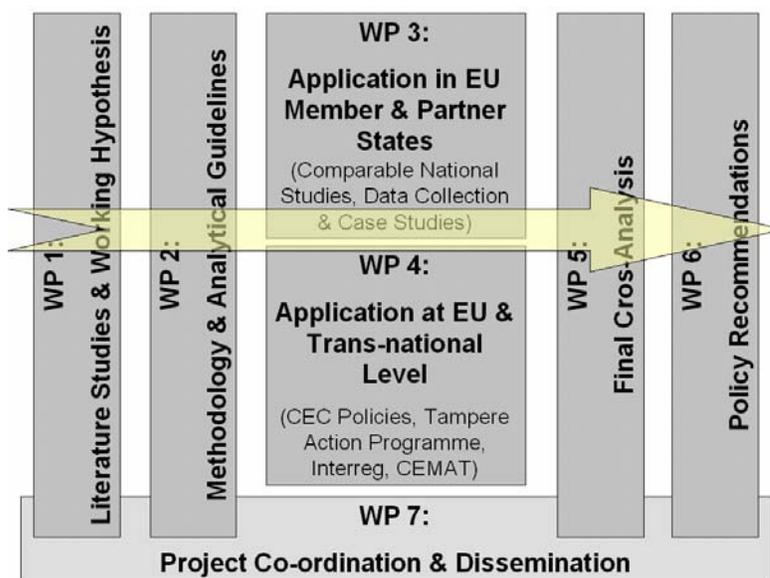
The first interim report (FIR) from March 2005 delivered the ESDP literature studies, set out the core hypothesis for the analysis, and delivered methodical guidelines for further work. The second interim report (SIR) was completed in December 2005. In it were the results of the work done on ESDP application on the EU, national/regional level, data sets and maps and a first set of policy recommendations.

This draft Final Report summarizes all of the findings and conclusions of the FIR and SIR and delivers a cross-analysis of these findings as well as a set of eleven policy recommendations on the macro, meso, and micro levels.

6.1 Structure of the project

The project has been organised into work packages (WP) covering different steps of the work process (see 3). The work packages have been performed in sequence. The results of the work performed within WP's 1 and 2 are to be found in the First Interim Report. The Second Interim Report includes the product of the work performed within WP's 3 and 4, and to some extent that of WP 5 and WP 6 also. This Final Report consists of the results of all work packages.

Figure 3 Working structure of the project ESPON 2.3.1



6.2 Introduction to methodological approach

The assessment of the ESDP's application could not contain quantitative analysis methods due to the lack of appropriate statistical and comparative data. Consequently the project has, in the main, used qualitative methods. In order to guarantee a structured approach, sets of guidelines were produced. They are based on the key terms that emerged from the Scientific Literature Review. The guidelines were used for the production of 'application' studies at the EU and trans-national levels, in the 29 countries involved, as well as for the 25 case studies. A web-based data collection (web-questionnaire and survey on ESDP policy aims and options) supported the national study findings. The use of different sources i.e. policy documents, interviews and the web-based questionnaire enabled a comprehensive picture of ESDP application to be developed. The reliability of the study, can the results be replicated, was ensured by having a transparent description of the different steps used in the research process and of the different methods used. The validity of the study, does the survey measure what it was intended to, was ensured by using different tools i.e. via the development of guidelines and the undertaking of pilot studies.

6.3 Literature studies and working hypotheses

At the beginning of the project, an assessment was made of ESDP policy documents and of the scientific literature on the ESDP in order to clarify a number of important concepts and methodological aspects, which relate in particular to an initial definition of the:

- Decisive factors relevant to a more polycentric European territory,
- Direct and indirect effects of EU policies, and
- Instruments and institutional settings required to improve vertical and horizontal coordination and integration in the field of spatial policies.

The review of the scientific literature on the ESDP's application by "regional perspectives" (with a starting point in the EU Compendium of spatial planning systems and policies, 1997) comprises the four European regional perspectives on European spatial planning, namely the North-Western, British, Nordic and Mediterranean perspectives (see chapter 7 of this study). It was later supplemented by an additional assessment of the Eastern European context. The literature review already followed the structured approach using the project specific key words/terms (see Table 10). An

exhaustive analysis of the literature can be found in the First Interim Report, while an ESDP reference database is available in the Second Interim Report. The ESDP document itself was given an in-depth analysis. In addition to the main question pertaining to ESDP “application”, other policy messages of the document were also studied in order to ensure a better all round understanding of its key messages:

- Philosophy and objectives (giving the broader perspective, which is less affected by particular situations);
- Core contents (policy aims and options);
- Recommendations for application

The following table shows these types of contents reaching from the philosophy behind ESDP to selected approaches to application. For a more detailed assessment, see the First Interim Report.

Table 10 Types of contents of the ESDP

Type of contents	Present in ESDP chapters (√√ = main topic, √ = side topic)					
	Ch. A.1	Ch. A.2	Ch. A.3	Ch. A.4	Ch. A.5	Part B
Philosophy	√√		√	√		
Spatial impact of policies	√	√√	√		√	√
Guidelines	√		√√			
Policy aims			√√			
Policy options			√√			
Other considerations about wished developments	√	√	√√	√	√	√
General considerations about application	√		√	√√	√	
Recommendations (selected ways of application)				√√	√	
Impact of enlargement	√				√√	
Description of existing situation and trends	√	√	√		√	√√

Based on the findings of the literature studies, the review of policy documents and the assessment of the ESDP itself, a number of working hypotheses were subsequently formulated:

- Polycentricity is the ESDP theme that has had the most resonance and has captured the most attention in respect of European planners.
- Some relation between the types of ESDP application experienced and the four different European regional spatial planning perspectives should be expected.
- The ESDP has helped to promote the vertical and horizontal integration of existing strategic planning instruments.
- Changes in spatial planning in some countries are consistent with the ESDP, but are not necessarily the result of it.
- INTERREG funding has contributed to the development of concrete examples of the application of the ESDP in practice.
- The ESDP has contributed to an emerging 'spatial' planning agenda particularly in states where there has traditionally been a strong sectoral orientation in respect of policy-making.
- The impact of the ESDP as a policy document may be diminishing over time.

6.4 Analysis approach: methodology and guidelines

The methodological analysis approach was based on a number of key terms/words, which steered the analytical work of the project (Table 11).

Table 11 Key words/terms used in the analysis

Key terms	Parameters
Themes	Polycentric spatial development (polycentrism) New urban-rural relationship Parity of access to infrastructure and knowledge Wise management of the natural and cultural heritage
Ways	Vertical integration Horizontal integration Spatial integration
Means	Cross-border cooperation (INTERREG IIIA) Trans-national cooperation (INTERREG IIIB) Urban governance Structural Funds
Effects	Institutional changes Changes in planning policies, practices or culture (discourses) Changes in spatial representation (images)
Levels/Scales	European/trans-national/cross-border National Regional Local
Actors	European Commission Other European institutions Member States/national authorities Regional and local authorities Other actors (academic sector, private sector, etc)

Reviewing the ESDP made it necessary to consider a number of parameters in respect of its application. The approach cannot be limited to the mere "thematic contents" (chapter A.3 of ESDP), but has to take into account

parameters such as the ways and means of applying the aims and options, the themes that are frequently highlighted in relation to ESDP, and the levels and actors in respect of implementation. The causes and effects generated by the ESDP in terms of changes in programmes, procedures, policies, planning discourses, institutional settings, and responsibilities also entailed an important area of the analysis. The work on all parts of the project kept to this basic design.

Seven categorised 'levels of effect' were used, particularly when it comes to changes in planning policies, practices or culture (Table 12). The resulting basic distinction which follows these categories is then either the 'application' (implicit or explicit) or 'non-application' of ESDP principles. However, application does not necessarily mean the application of the ESDP as such. Rather, what becomes obvious is a degree of conformity or non-conformity with ESDP aims and policy options, promoted by the ESDP and/or other discourses in the sphere of spatial planning.

Table 12 Assessment categories for application or non-application of ESDP

Tendency	Categories
Non-application	No awareness or unapplied principle
Non-application	Principle not considered appropriate
Non-application	Principle still under discussion
Implicit application	Already in conformity with ESDP
Implicit application	Change and conformity mainly due to other factors
Explicit application	Change and conformity due to factors other than the ESDP
Explicit application	Change and conformity mainly due to the application of the ESDP

Guidelines were then prepared for application studies in the EU Member and partner States, for the data collection (web-based questionnaire and policy option tables), and for the case studies and the question of 'application' at the EU and trans-national levels (CEC policies, Tampere Action Programme, INTERREG, CEMAT). These guidelines, their genesis, and their contents are exhaustively described in the First Interim Report.

The development of indicators to be applied in the analysis of ESDP application was attempted. Due to data gaps and the non-existence of quantifiable data, the final categories and indicators for measuring the extent of ESDP application at all levels is however rather limited.

6.5 ESDP application at the national and regional levels

In the interests of consistency (in terms of the research approaches used in the overall project), the guidelines for the national reports and case studies were based on the key terms presented above.

National reports

Due to the lack of appropriate statistical and comparative data the project utilised national experts to write country studies. The experts responsible for performing the national reviews are members of research institutions and national authorities.

The national studies aim to identify the main differences concerning the application and effects of the ESDP throughout the ESPON space. The assumption here being that ESDP application is largely framed and dominated by the national policy systems, in terms of both policies and their focus and institutional settings relating to the vertical and horizontal division of labour and responsibilities. The country studies mainly focused on investigating the:

- Institutional or receiving context
- Involvement in ESDP process (until 1999) and general reception of ESDP
- Convergence/coherence with the ESDP from the outset
- ESDP features applied and examples of application in the country
- Mechanisms of application
- Means of application
- Type of impact/effects caused by ESDP
- Impacts/effects over time
- Administrative level of ESDP application

In all, 29 country reports were undertaken. Each national report consists of a comparable national study and an indicator collection. The research methods in the main consisted of analyses of relevant spatial planning policy documents and interviews with key experts. The key experts interviewed in the main represented national and regional authorities.

The qualitative method actually chosen may imply problems of generalisation and there is also a risk of subjective judgements creeping into the analysis. Another methodological problem could be seen in the limited number of experts actually involved, in the limited level of resources allocated and in the realisation of the size of the task in actually assessing

ESDP application. This means that not all crucial information may have been assembled. The guidelines however guaranteed similar approaches and, ultimately, similar contents.

Case studies

The project as a whole made the assumption that the most interesting cases of ESDP application were likely to be found at the regional or local levels, or perhaps somewhere in the sphere of governance. As such, the case studies should be regarded as an important complement to the national and EU level studies.

Based on the Terms of reference, the literature review, the key word matrix and expert advice, a set of 25 case studies was identified to illustrate a series of “hands-on” ESDP applications.

The case studies addressed different aspects of ESDP application. Some handled *trans-national* issues of interest. Some deepen the *national* aspects of application touched upon in the comparable national reports (i.e. by lifting out a case from a national report). Others delved more deeply into *regional or local* aspects. The aspects covered vary from *territories*, to certain *policy instruments* or plans to more *procedural aspects* regarding policy formulation.

The case studies act as illustrative examples of how the ESDP has been applied in practice through a variety of different mechanisms. The specific case studies were chosen to highlight and explore a variety of types of ESDP application, and were approved by the national representatives in the ESPON programming committee.

It is important to emphasise that the case studies are *illustrative* rather than *representative* of application within the Member States, and indeed that they should not be seen as being the best or the only evidence of application within or between Member States.

An overview of the 25 case study themes and responsible partners can be found in Annex 4 of this report.

Data collection (web-questionnaire and policy option tables)

The project collected numeric data through a web-based questionnaire and ranked policy option tables (based on the 13 ESDP policy aims and 60 policy options) which aim to support the analysis undertaken in the national reports and the case studies. A total of 107 experts submitted their answers

to the web-based questionnaire. Unfortunately, given the existence of a number of important data gaps (e.g. only 24 out of 29 countries delivered a feedback) the results of the web-questionnaire were not used in this study.

The second numeric approach used was an ESDP policy aims/options' analysis. It aimed to discuss the degree and mode of ESDP application in terms of respective policy options and policy aims in the ESPON countries. The data source here was comprised of a survey among the national project partners. The results at the level of *policy aims* are included in Annex 7. The analysis of the 60 ESDP policy options failed, however, again due to the existence of significant data gaps.

As it was obvious from the beginning of the project that there was likely to be a 'data and indicator problem', we have taken the utmost care in utilising the interpretations of the results published here. In general, however, the numeric results do confirm observations based on other sources of information.

6.6 ESDP application on the European and trans-national levels

The policy documents analysis as well as the project's hypotheses served as a starting point for assessing the ESDP's application on the European level. The analysis seeks to explain the mechanisms through which the ESDP has been applied. Mechanisms may however vary depending on the 'receiving context'. The guidelines for this part of the project are structured in a similar manner to that of the national studies, following the general matrix of themes, ways, means, effects, actors, and levels. The guidelines for this part of the project work are described in more detailed in the FIR.

The EU-level study focuses on four main areas of application:

- *The Tampere ESDP Action Programme (TEAP)*: The material here is mainly based on a review of the relevant documents, including the assessment carried out for the Belgian EU presidency in 2001 and on the results of a number of interviews with officials and experts from the Member States.
- *The Community INTERREG Initiative*: The application of the ESDP in the INTERREG III Initiative (2000-2006) is examined. It draws in the main on a review of programming documents from the European Commission and from the different programming areas, focusing on the INTERREG IIIB Programme. Additional document-based material was used as well as interviews with a number of people who were involved in drafting, approving and implementing the Programmes.

- *Sectoral policies and programmes of the European Commission:* The ESDP refers to a number of 'territorially significant' EU sectoral policies. These are examined in some detail here. The material is mainly based on interviews with officials from the Commission and on a review of European policy documents.
- *CEMAT – The European Conference of Ministers responsible for Regional and Spatial Planning:* CEMAT brings together representatives of the 46 members of the Council of Europe in order to pursue the common objective of a sustainable spatial development of the European continent. The material here draws on a literature review and interviews with key actors in the CEMAT process.

The four routes of ESDP application differ considerably. While application in EU policies forms part of an ongoing political process, application through the INTERREG and Tampere Action programmes is more programmatic and therefore presumably more straightforward. The CEMAT activities, which are being organised around CEMAT meetings, seem to carry elements of both, a political process and a programmatic approach. In other words, the four strands represent different contexts for application. Because of these different 'receiving contexts' different types of results have emerged out of the assessments in terms of the 'explicit' and 'implicit' application of the ESDP.

6.7 TIA exercise

One of the most important features of the ESDP has been the growing realisation generated that many of the policy programmes and initiatives that form part of the process of European integration have spatial or territorial effects. This in turn has led to the development of the idea of Territorial Impact Assessment (TIA), which provides an evidence base for what the impacts of particular policies have been and therefore provides a more rational basis for shaping future policy developments.

Much of the ESPON programme has concerned itself with developing this evidence base in terms of what the territorial impacts of various European Union initiatives have in practice been. From this basis then future policy decisions can be better informed. Furthermore, many projects have been concerned with trying to evaluate the territorial impacts of particular sectoral policies and programmes and with developing an appropriate methodology to do so. Although many projects have dealt with specific sectors or particular policy interventions, they have often struggled to develop a coherent methodology that could be applied at a variety of spatial scales. In

addition, the evidence base is always going to be incomplete and likely to be interpreted through the lens of the political decision-making process.

In applying a TIA to the application of the ESDP, this project has faced a number of conceptual and methodological problems:

- The ESDP is an informal policy document that has been *applied* rather than *implemented*. As an informal policy document its role and purpose is to shape the way that policy-makers think and interact at a variety of different scales. The application of the ESDP therefore includes suggestions as to how spatial policy *should* be developed, (i.e. has a procedural dimension) but also suggests through 3 policy guidelines, 13 policy aims and 60 policy options what type of policy development might be appropriate at particular territorial scales across the EU (i.e. a substantive policy direction).
- Research has indicated how the application of this document has varied considerably across space and time, and while there may be similarities between its substantive and/or procedural policy messages and its application, there are complicated cause and effect relationships at work here. This suggests either that conformity of application might be a consequence of the direct application of some aspect of the ESPD, or that the spectrum of coherence may indicate coincidence or conformity with the ideas of the ESDP rather than a direct application *per se*.
- Cause and effect relationships between the ESDP and policy initiatives at a variety of spatial scales are then almost impossible to disentangle, the application practices are diverse, and it is still too early to evaluate what the outcomes of the process have been on the ground. This makes a quantitative TIA of the application of the ESDP impossible in all but the most general terms.

For this reason then the approach adopted here is to produce a TIA using a qualitative methodology approach developed as part of the ESPON Project 3.1. The analysis is then applied at two levels.

Firstly, a TIA is applied to the whole of the ESPON space at the three spatial scales that this particular project focuses on, namely the European scale, trans-national applications, and applications at the national/regional scale. This exercise proved to be a task of limited value because the extent of application was so diverse both within and between levels as well as the methodological problems mentioned above.

Secondly, drawing on the broad research methodology adopted as part of the empirical research effort associated with this project, namely illustrative

case studies, we have chosen one case study to highlight how TIA principles are being applied in practice to identify the impacts of a European project. This is done in particular through systematic monitoring of project effects and by monitoring how this information is used to both inform future policy development and evaluate policy outcomes. The detailed case study used is that of the *Egnatia Odos Observatory* in Greece (which is described in Annex 5).

As such then, the first analysis is an exercise in accordance with the general ESPON terms of reference, while the second analysis illustrates how the idea of TIA has been applied within the context of a real case.

6.7.1 TIA for the project as a whole

Following on from the methodology developed in Project 3.1 the TIA has three broad elements, first focusing on the scope of the TIA, second analysing the nature of the interventions and finally assessing the impacts. A qualitative synthesis of this is provided in Table 13, at the three spatial scales at which the application of the ESDP has been evaluated, although different actors at different scales have used the ESDP in different ways depending on their local circumstances, conditions, and contexts. Even where there might have been a direct application as evidenced by an INTERREG III project being coherent with the aims of the ESDP, it is still often too early to evaluate the outcome of the process. Moreover, even where this is not the case, comparing the outcomes in different places is problematic as the objectives of the projects are so diverse.

Table 13 Minimum Requirements of a TIA as applied to ESPON Project 2.3.1 using the criteria developed in Project 3.1

TIA - Minimum requirements	European Scale	Trans-national Scale	National/Regional Scale
Reference to causing policy interventions	Interreg III is the only direct application of ESDP, and within this programme ESPON is important TEAP also aspired to shape the application	Projects funded under Interreg III make explicit reference to many of the policy options, and to the ESDP itself in an implicit way TEAP actions with possible	Application varies from place to place depending on local circumstances and conditions, lots of conformity with, but not necessarily caused by the ESDP Broad scale of interventions by those participating

TIA - Minimum requirements	European Scale	Trans-national Scale	National/Regional Scale
	process although its impact has been limited	effects on national policy-making	in Interreg-projects
Hypothesis on cause-effect relationships	Application depends on institutional framework while the demise of the CSD led to a loss of momentum in terms of application at the EU scale	Direct links to funding means that projects funded show coherence to policy options of the ESDP, although it is still too early to judge the territorial outcomes of the process	Application not implementation means that the cause and effect relationships are often difficult to disentangle, although much evidence of substantive and procedural policy coherence exists
Regional Scale (min NUTS 2)	Evidence that many policy-makers at EU level (in other Directorates than DG Regio) have pursued policies that are coherent with ESDP, but there is little evidence of direct effect	Many applications of ESDP policy principles evident, although specific policy options vary and outcomes of policy development processes are not clear	Application applied at national /regional scale only although local conditions and contexts shape the degree of direct application compared with implicit conformity
Reference to past and future interventions	Recognition of the need for a coherent and integrated framework for shaping sectoral policy initiatives by considering territorial aspects is increasingly being recognised	Use of ESDP in trans-national policy-making depends on timing and receiving context Tying funding directly to the application of the ESDP focuses projects on expected project aspirations	Application of the ESDP was time dependant and the influence of strategic thinking at the trans-national level on policy-makers at the national and regional levels is waning and perhaps needs re-energizing Future use of ESDP in national arenas would need a re-launch, which however is not envisaged for the

TIA - Minimum requirements	European Scale	Trans-national Scale	National/Regional Scale
			time being
Interventions/Effects registered (Policy-making in focus)	Effects and influence declined substantially over time	Effects and consideration of ESDP contents declined substantially over time	Direct effects on policy declining with time, although coherence with key messages evident
Quantitative/ Qualitative Appraisal	Only crude qualitative appraisal of policy conformity between ESDP policy objectives and INTERREG III projects	Coherence of Interreg III with ESDP policy aims evident, but diversity of options applied with different weightings makes it difficult to compare outcomes of application	Diversity of applications and complexity of cause and effect relationships make it impossible to derive a quantitative evaluation of the impact of the ESDP
Concepts/goals referred to	Application wide ranging across all ESDP guidelines, policy options and aims	Application wide ranging across all ESDP guidelines, policy options and aims, although polycentricity is one idea that has captured the imagination of policy-makers	Use is wide ranging across all ESDP guidelines, policy options and aims, although polycentricity, management of cultural and natural assets are themes very often used by both policy-makers and projects
Techniques of analysis	ESPON seeking to improve the quantitative evidence base so that the policy trends and territorial impacts of existing policies are better understood	Study highlights the changing of the minds and ways of thinking among policy-makers	Changing the minds and ways of thinking of policy-makers

TIA - Minimum requirements	European Scale	Trans-national Scale	National/Regional Scale
Applied Understanding of the term 'territorial'	Growing understanding of the territorial impacts of EU policies and programmes	Growing appreciation of the interconnectedness between territories in Europe	Growing appreciation of the interconnectedness between territories and the European dimension in national and regional planning; Discursive way of forming concepts of territorial policy processes based on ESDP
Territorial reference to outcomes		Project proposals help to deliver some of the policy options of the ESDP, although the application varies from place to place and limited evidence of the outcomes	Focus to date in developing policies that might affect outcomes in due course, although too early to determine what the outcomes of public policy have been and whether the outcomes are a direct result of policy

Source: ESPON 2.3.1 2005

6.7.2 Conclusions TIA exercise

TIA has become an important idea in trying to evaluate, in an anticipatory manner, just what the implications of policies are likely to be on territorial development. Early applications of a TIA approach, as exemplified by the ESPON programme, have sought to develop a better understanding of what the territorial impacts of EU policies and programmes have been in practice and this in turn is intended to aid future policy development processes. As yet, its application as a policy tool has been largely retrospective, but it will provide the opportunity for more prospective application in terms of how policy might develop in the future. The TIA has indicated that there is a growing awareness that EU policies and programmes *do* have impacts on territorial development, but that establishing causal links and identifying the scale of the impacts is extremely problematic.

6.8 Final Cross-analysis and synthesis

The results of the various studies outlined above, i.e. the EU level studies, the 29 national comparable studies, the web -based surveys, and the 25 case studies, were combined in a cross-analysis of different stages leading to the formulation of a set of policy recommendations. The links between the empirical part – cross-analysis/conclusive analysis – policy recommendations were ensured by several rounds of discussions and text revisions.

EU level analysis

A combined analysis of the EU level studies i.e. the four main areas of application was undertaken, this included the Tampere ESDP Action Programme, the Community INTERREG Initiative, the sectoral policies and programmes of the European Commission and CEMAT documents, projects and meetings. This analysis contributed significant insights on future EU policy making regarding territorial issues, while a number of conclusions in respect of the mutual territorial influence regarding policy-making between the EU level and the national and regional scales were also made.

Cross-analysis of comparable national studies

Initially, the 29 national studies were cross-analysed along the key themes. Systematic insights and typologies were developed regarding the application of the ESDP.

The analysis provides a European-wide overview of the mechanisms, types, and means of application. Issues such as 'implicit versus explicit', predominant policy sectors, leading administrative policy-levels of application, predominant forms of institutional settings, ESDP aspects applied and impacts/effects caused by ESDP were discussed.

Cross-analysis of the case studies

In a similar fashion as with the comparable national studies, the case studies are cross-analysed in order to provide further insight into the application of ESDP on the national, regional (single regions, cross-border regions, and trans-national regions), and even local scales. The analysis highlights a series of varying project activities and ideas. It is however important to stress again, that the analysis of the case studies is used to *illustrate* the broad variety of possible ESDP applications and *not* to find generalised application patterns for the whole of Europe.

6.9 Comprehensive conclusions and recommendations

Finally, the two cross-analyses and the study of EU level activities were brought together into one synthesising assessment. Based on this assessment, conclusions were drawn regarding the development of useful tools for future applications of European policy orientations for territorial development covering the European Union.

A set of eleven policy recommendations was developed based on the empirical and cross-analytical findings of this study. The structure of the policy recommendations is based on the recommended ESPON structure, using the macro, meso, and micro level approach. In addition, a differential short-term, medium-term and long-term approach is applied.

The main focus of the policy recommendations is on the content and delivery mechanisms of ESDP. The assessment procedure aimed to see which ESDP issues in particular had been a 'success' in respect of their application. The focus on the changes in institutional settings, as well as that on the comparison of different settings across countries, provides insights into the relationship between national policy-making and ESDP application.

In relation to the insights discovered in respect of the ongoing research on the application of the ESDP in this and other ESPON projects, suggestions for further research needed and EU -wide data collection have also been made.

7 Scientific Literature Review

7.1 Introduction: a review by “macro-regional perspectives”

The existing scientific literature on the ESDP and, that on European spatial planning more generally, (see the Selected References in the Annexes of the present report), is vast. The ongoing international scientific debate has however been accompanied by the publication of a large number of national surveys and case study analyses, allowing for a better understanding of how this subject might be differently addressed, once it comes into contact with ordinary planning practices. However, since there were only 15 EU Member States when the ESDP was approved in May 1999, the literature sources are mainly derived (even if not exclusively) from those 15 countries. Eastern European sources upon scientific ESDP related literature are therefore rare. Against this backdrop, a literature review on the ESDP’s application requires a synthetic approach in order to produce helpful results. The approach adopted here is a reading by ‘macro-regional perspectives’ on European spatial planning, based on the assumption that some relations, although non-linear, do occur between the ESDP application experienced and the existing planning traditions, as they are outlined particularly in the *EU Compendium of spatial planning systems and policies* (CEC, 1997, pp. 36-37).

Of course, the proposed approach does not suppose that these perspectives emanate directly from the respective planning traditions, which would be a facile hypothesis. The complex and often controversial process through which European spatial planning becomes day by day a concrete field of action complicates the analytical framework indeed. Therefore, macro-regional perspectives on European spatial planning should rather be seen as distinct European macro-areas of the application of EU spatial planning concepts, which contribute, in the context of the overall framework, to the definition of EU territorial governance as an informal institution working both outwith but alongside established national planning channels (Janin Rivolin and Faludi, 2005).

This literature review is addressed in the following sections according to four main macro-regional perspectives on European spatial planning, concerning primarily those 15 EU Member States which took distinguishable roles in the elaboration and approval of this intergovernmental policy document. These are defined as the North-Western (Belgium, France, Germany, Luxembourg and the Netherlands,), British/Irish (Great Britain, Ireland), Nordic (Denmark, Finland, Sweden) and Mediterranean perspectives (Greece, Italy,

Portugal, Spain). The scientific literature concerning the ESDP in the South-East and Eastern European States is also reviewed (Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovenia, Slovakia).

The macro-regional perspectives are used here for analytical purposes only as they do not always denote strict differences across borders. As such they should rather be viewed as denoting historical differences in the reference maps associated with the various European 'planning families' outlined above.

The 14 countries that did not belong to the European Union at the end of the 1990s are not all from Eastern Europe. Geographically speaking, Cyprus and Malta are Mediterranean countries, though for historical reasons they have more in common with the British system characterised by centralised policy guidance and local planning discretion rather than with the codified regulatory Mediterranean perspective, while Norway can easily be placed in the Nordic planning perspective. Austria (an EU 15 member in 1999 but not active in the ESDP process) and Switzerland are exceptions here as they do not join any of these four perspectives. The reason is that the scientific assessment base used in the four perspectives did not include Switzerland and Austria. Consequently, they are not assessed in this Scientific Literature Review. They are however assessed in the analysis of the ESDP application at the national and regional levels.

7.2 Northwest European perspective: European spatial planning takes shape

The foundations of the ESDP were laid at Nantes, where in 1989 the first meeting of the European Ministers responsible for spatial planning was held (Faludi and Waterhout, 2002, pp. 34-38). Subsequently, the first official draft was approved at Noordwijk and its final version launched at Potsdam. This is no coincidence. France, The Netherlands and Germany are the Member States that, more than any others, and even if often in competition with each other, have sustained, promoted and shaped the whole ESDP process to the point where the ESDP is usually said to represent a distinctly Northwest European perspective on spatial planning.

Indeed, French *aménagement du territoire* – a non-statutory approach to 'regional economic planning' rooted in the intervention of the central state in territorial development (CEC, 1997, p. 36) – is considered to be the main inspiration for the model of planning embraced by the ESDP (Faludi and Peyrony, 2001). Inspired by their federal constitution and regulatory

planning system described in the EU Compendium by way of contrast as the 'comprehensive integrated approach' (CEC, 1997, pp. 36-37), the Germans succeeded in imposing an intergovernmental rather than a Community method on the whole ESDP process (Faludi, 2000a, 2001b). Last but not least, interested above all as they were in the development of a European dimension to planning, the Dutch acted mainly as pro-active mediators between the two bigger Member States' perspectives (Martin, 2001).

Moreover, one should remember that under the Dutch Presidency, at The Hague in 1991, the Committee on Spatial Development (CSD) was set up to manage the technical process of the elaboration of the ESDP (Faludi and Waterhout, 2002, pp. 49-50).

Notwithstanding its singular institutional system, and the resulting absence of national planning (so much so that, in European planning matters, the regions represent the state; van der Lecq, 2001), Belgium for instance was a force to reckon with to the point where the very decision to produce the ESDP was taken at a ministerial meeting held in Liège in 1993 (Faludi and Waterhout, 2002, pp. 63-68).

Subsequently, in 1994 the Germans thought under their Presidency that they were already embarking on the end game. This supposition proved however to be wrong, but they at least obtained approval for the Leipzig "Principles for a European Spatial Development Policy" (*ibid.*, pp. 72-79). In their turn, the French were the first to introduce diagrammatic 'scenarios' into the ESDP process at Strasbourg in 1995; an effort that was, however, only sustained until the Noordwijk first official draft (*ibid.*, pp. 81-83 and 104-109). More recently, during their last six-month Presidency in 2000, the French successfully drew attention to the topic of 'polycentrism' constituting, especially in the French view, a key to interpreting and managing the concept of 'territorial cohesion'.

The Germans, the French, and the Dutch have been instrumental in putting the "polycentric system of cities in Europe" on the ESDP agenda (Faludi, 2004c, p. 399). Polycentricity is intimately bound up with attempts to re-conceptualise, and ultimately reshape, the spatial structure of urban hierarchies in Europe (Peters, 2003). The concept moves from the analytic towards the normative level (blue banana versus bunch of grapes). The image of the 'Bunch of Grapes' as a mental vision (an aspirational framework: Copus, 2001, p. 539) for spatial equity in Europe (Kunzmann, 1998) is in line with this shift towards a more normative dimension.

However, around this French-German-Dutch axis, which may well recall the often evoked French-German axis in European integration (reinforced in this case by the valuable Dutch role in promoting European planning), other

Northwest European countries, too, played significant roles in the ESDP process. The decision to draft the ESDP was taken at a ministerial meeting held in Liège in 1993 (Faludi and Waterhout, 2002, pp. 63-68). Similarly, the territorially small Grand Duchy of Luxembourg then took the initiative to manage the administrative tasks concerning the ESPON (European Spatial Planning Observation Network), which currently represents the most significant follow up to the ESDP (ESPON, 2002; Bengs, ed., 2002; Gestel and Faludi, 2005).

In brief, the Northwest European perspective spearheaded the collaborative process up to and including the approval of the basic political document of European spatial planning: the ESDP. This perspective has therefore provided the context within which substantive spatial development policy goals have been formulated and associated questions such as the institutional future of European spatial planning have been debated (in particular the vexed question of whether there is, or should be, a formal planning competency at the EU level). Thanks to this perspective then it became clear that European spatial planning may have an institutional future, based on progressive cooperation among the EU Member States and between them and the European Commission.

Even if however the key principles of the ESDP are historically rooted in the mature and progressive planning traditions of France, Germany and the Netherlands, apart from the rather routine mentioning of the ESDP there is actually little to suggest that it has had a proven influence in these countries. In terms of the ESDP follow-up process, the document itself describes the process of delivering its goals as one of the *application* of its core principles rather than their *implementation* (Mastop, 1997; Faludi, 2000c, 2003a). The ESDP is therefore viewed in a similar way to a *strategic plan* (Albrechts, 2003) which needs to appeal to influence and become part of the frame of reference of policymakers at other spatial scales and across different sectors if it is to be successfully applied. In accepting that the follow-up of the ESDP will involve such an *application* process, a strategic approach is needed that integrates different policy domains and levels of government, one that places subsidiarity and proportionality at its heart and which gives a central role to sub-national government and citizens in the policy process (Atkinson, 2002). This places a considerable emphasis on the role of partnerships between all stakeholders affected by a policy issue.

Therefore, in North Western Europe, INTERREG trans-national programmes have been and are important for the *de facto* field of application of the ESDP (Jensen and Richardson, 2001; Faludi, 2001c; Doucet, 2002; Böhme et al., 2004). Indeed, Saar-Lor-Lux, MHAL, and the Eurbanet Spatial Vision are seen by their participants (Faludi, 2001c) as arenas for the application of

ESDP. As an example of this, it is clear that the ESDP has taken shape in a very precise manner in the Northwestern Metropolitan Area Spatial Vision. This vision should thus be seen as an interface between the theory and practice of ESDP and the operations carried out in the framework of long-term trans-national cooperation.

7.3 British/Irish perspective: EU territorial governance is multi-level

The ESDP was a framework document produced at a particular moment in time, which coincided with a strong devolution/regionalisation agenda within the UK. Indeed, as soon as it had changed its attitude to the European Union under the incoming 'New Labour' government in 1997 (Williams, 1997; Zetter, 2001), the UK suddenly moved to centre stage in ESDP terms, organising the Glasgow meeting where the "complete draft" of the document was presented in 1998 (Faludi and Waterhout, 2002, pp. 121-128). As far as British/Irish perspectives on European spatial planning are concerned, however, this requires some deeper consideration.

Despite the relatively recent active involvement of the UK in the ESDP process, British planners had in fact already begun a careful review of the impact of EU membership on land use planning rather earlier in the process (Davis et al., 1994). Going beyond the 'Euro-sceptic' attitude of their government up to 1997, British planners have noticed, even more so than, and even some time before, their colleagues elsewhere in Europe that, the absence of a Community planning competency notwithstanding, "[t]he future for planning in Europe [...] lies in the growth of mutual learning and cooperation at the regional and local levels of governments out of which will come a gradual convergence of planning policies and practices. Evidence for this is already beginning to be apparent" (Davies, 1994, p. 69). It increasingly became clear then that "a large number of EU spatial planning initiatives have had a significant indirect impact on the operation of the British planning process" at the local level (Tewdwr-Jones et al., 2000, p. 652; see also: Bishop et al., 2000; Tewdwr-Jones and Williams, 2001, Cullingworth and Nadin 2002, pp. 76-85; Dühr 2002). In so doing, the authors referred not only to the INTERREG, Urban, or other Community Initiatives, but also to the implementation of the environmental directives, the mainstream Structural Funds, the Common Agricultural Policy, and the Trans-European Networks (TENs).

One interesting observation here was that for a long time the local impact of EU planning intervention had not been reflected in statutory planning policy

at the national and regional levels. The reason was the separation, in the view of government officials, between 'land use planning' (statutory planning practice) and 'spatial planning' (non-statutory planning strategies) (Tewdwr-Jones et al., 2000, p. 658). The importance of that conceptual distinction, which to some extent seems but a reflection of a major point of disagreement between the two models (the German and the French one) in the construction of the ESDP (Faludi, 2000b, pp. 251-252), can be appreciated much better if one considers the valuable tradition of British town and country planning, defined as a separate 'land use management' approach in the EU Compendium of planning systems (CEC, 1997, p. 37).

However, as the post-1997 UK government seems to have been quick to acknowledge (Shaw and Sykes, 2003), that conceptual distinction needs to be seriously reconsidered in the light of the 'multi-level governance'-oriented European spatial planning system, in which "[t]he importance of the national level of planning policy-making is fundamental to the trajectory of the whole planning process, even if planning in the UK is a predominantly local activity" (Tewdwr-Jones et al., 2000, p. 653). Therefore, the British perspective has cast light on the crucial but complex link between spatial planning and land use planning, paving the way for a conception of European spatial planning as embedded in a multi-level governance system that could reach from the supranational to the local level (Williams, 1999, p. 64; Tewdwr-Jones and Williams, 2001, pp. 164-167).

In such processes, the ESDP did not result in new institutional structures or new instruments of spatial planning, but rather it was used as a reference point which either fuelled the imagination of a range of policy makers and other key stakeholders who used elements of the ESDP to provide greater articulation for their arguments or was simply used as a re-badging exercise.

As such then, it did provide a frame of reference that helped to shape policy thinking and thus could be said to have had influence, albeit in different ways, in different places, and among different actors. It does appear however that in England at least the plan making process at the regional scale enabled some institutional learning to occur, as the different policy principles and options of the ESDP were applied and tested (Shaw and Sykes, 2001). It is also worth acknowledging that as a framing document, its influence seems to be diminishing over time. For example, the new national planning policy on regional planning (Planning Policy Statement 11) makes less explicit reference to the need for the Regional Spatial Strategies (RSS, the statutory documents replacing RPGs) to relate to the concerns of the ESDP. This may however be so because the substantive ideas and policy principles have already become more embedded in the culture and vocabulary of planners at the regional scale.

The trends in Ireland are rather similar to the UK. It seems with 'spatial planning' according to ESDP being seen as offering an approach which can complement and go beyond the 'traditional' land use planning approach. The most prominent example of an ESDP inspired 'spatial plan' is the Irish example of the 'National Spatial Strategy' (2002). It places emphasis on balanced development using transport corridors and gateways as a mechanism to achieve this goal, mindful of the problems associated with hyper-concentration in Ireland around Dublin (Albrechts et al 2001, McMaster 2002, Healey 2004).

In sum, the ESDP has contributed to a shift in the discourse of planning with widespread dissemination of the term "spatial planning" which is presented in the new UK Government's Policy Statements as having a broader remit than traditional land use planning and thus requiring a shift in the culture of planning in the UK. Also in Ireland, the ESDP has motivated a shift from land use planning to spatial planning.

7.4 Nordic perspective: discursive European integration

During the period that the ESDP was in preparation, none of the Nordic countries hosted a meeting of planning ministers. The Danish Presidency lost its one and only opportunity in 1993, while Finland and Sweden only joined the EU in 1995. The first Finnish EU Presidency came in the second half of 1999, just after the final approval of the ESDP document. However, the Finns organised the Tampere meeting, commonly regarded as a milestone in the application of the ESDP after Potsdam (Faludi and Waterhout, 2002, pp. 159-165). In addition, it is worth remembering that Denmark was the first country to apply the principles of the ESDP to its own national policy as early as 1997 (MEE, 1997).

The Swedish Presidency came too late to have an impact. In addition, all Nordic countries have planning systems rooted at the municipal level and generally lack, with the exception of Denmark, comprehensive national planning. So they have adapted to European spatial planning with a certain degree of difficulty. Moreover, a common (and proud) feeling of 'eccentricity' in relation to the core of the Union is also evident in a home-made form of trans-national cooperation launched, parallel to the ESDP process, through the VASAB initiative (Vision and Strategies Around the Baltic Sea) (Faludi and Böhme, eds., 2000; Böhme, 2001, 2002). This vision has been a source of inspiration to the makers of the ESDP.

Between them, these aspects seem to have contributed to shaping a specific Nordic perspective on European spatial planning, in which mutual learning

and exchange play a prominent role. On the one hand, the Nordic countries are commonly seen as having been the first to introduce and to strengthen environmental concerns in the ESDP (Rusca, 1998; Bengs, 2000), as well as representing, more than is the case with any other group of Member States, explicit concerns for welfare and democracy. On the other hand, the ESDP has been said to have been "an eye-opener for Nordic planners" in helping them to overcome a strict division between physical planning and regional economic policy and in broadening the spatial context of planning policies (Böhme, 2001, pp. 302-303).

A thorough analysis from such perspectives has led at long last to the discovery of European spatial planning as an enlightening "*example of European integration by networking and policy discourses*" and to the conclusion that "*discursive European integration can be successful when there are strong policy communities active at European and national levels and direct links between them*" (Böhme, 2002, p. III; see also: Böhme, 2003). In brief, the Nordic perspective has shown the discursive nature of European spatial planning. This may explain how a multi-level governance system acts in practice and, in so doing, why much more attention should be paid to the day-to-day work done in the pursuit of European integration.

In particular, Böhme (2002, p. 215) suggests that there is a trend towards an increasing cross-sectoral perspective in Nordic planning systems and that there are "initial signs of Nordic approaches to integrated spatial planning". It seems that in many cases, the adaptation of institutions, systems, and policy approaches has been primarily in response to the structural funds rather than to the ESDP contents. The clearest institutional changes related to European spatial development policies in the Nordic countries are related to the strengthening of the regional level.

In terms of the general relevance of the ESDP themes and topics to planning in the Nordic countries, Böhme (2003) and others (Eskelinen et. al., 2001) have noted how it is possible to perceive a 'misfit' between European and Nordic development interests. Thus, the Nordic countries may be viewed as being peripheral and as suffering from poor accessibility and low population densities, which may hinder their development potential. At the same time, the Nordic countries do not exhibit many of the problems that are often attributed to 'peripheral' regions.

In terms of the ESDP's policy guideline of promoting the more balanced and polycentric development of the European territory as a whole, as there are no global economic integration zones in the Nordic countries, apart from the Öresund Region, this might be taken to imply that development should be focussed on the larger urban areas and regions i.e. the capital city regions.

Regions within the Nordic countries are involved in a large range of cross-border cooperation initiatives funded as part of the INTERREG IIIA programme. Jensen and Richardson (2004) point out that INTERREG III is considered to be a test bed for the application of the ESDP and present the Sweden/Denmark Öresund region as one of their case studies of the Europeanization of spatial planning practice.

Böhme (2002) has argued that the 'gap' between the concentration of planning competences at the local level in most Nordic countries and the level of planning for Europe meant that with the exception of Denmark, the Nordic countries did not have planning systems which were well equipped to engage in trans-national planning. Despite this, the emerging agenda of European spatial development policy and the ESDP document itself have had an influence both on the ways of thinking and on certain institutional adaptations and practices in the Nordic countries.

7.5 Mediterranean perspective: innovation by planning practices

Going by the number of ministerial meetings organised under their respective EU Presidencies over the entire period – Turin (1990), Lisbon (1992), Corfu (1994), Madrid (1995) and Venice (1996) – the commitment of the Mediterranean Member States seems to have been no less than that of the other partners. However, these meetings were generally characterised by their focus on emergent planning discussions on specific topics often of particular significance to the respective host country, sometimes even coming perilously close to counteracting the idea of an ESDP as such (Faludi and Waterhout, 2002).

According to one eyewitness, herself an ESDP protagonist, the 'Mediterranean group' included countries that were "*sponsors of the dialogue, but enemies of the crude rationality of the Scheme and very cautious about the risk of changing the methods for the allocation of Structural Funds of which they were major beneficiaries*" (Rusca, 1998, p. 37). Such an explanation usefully reminds us that, independently of the limited power of intervention attributed in the end to the ESDP, European spatial planning is nevertheless rooted in the deepest reasons and mechanisms of European integration.

In this light, European spatial planning may well be viewed as an arena for 'regulative competition' between planning systems, in which "*[h]igh regulation countries are at an advantage*" (Faludi, 2001a, p. 250). Consequently, a geo-economically-based explanation of the Southern European attitude towards the ESDP is strengthened by one based on

divergent styles of policy-making. Because of their relatively low-regulation systems, in the ESDP process, "*Southern Europeans have [...] sat on the fence*" (*ibid.*). Such an explanation, of course, leads one once again to refer to the existence of national planning traditions. Perhaps it is not by chance that the EU Compendium lists the Mediterranean states under the 'urbanism' approach, the fourth and last approach mentioned in addition to the ones described above. This "*has a strong architectural flavour and concern with urban design, townscape, and building control*", also reflected in regulation "*undertaken through rigid zoning and codes*" (CEC, 1997, p. 37).

Here the point is to wonder aloud whether it would be profitable to add an explanation based on what is happening in planning practice. In other words, one further interesting aspect of European spatial planning concerns the overall results – whether expected or unexpected – of its implementation. Some recurring features are visible in the Mediterranean countries in this respect:

- A starting position of general weakness in respect of the central level of planning (exceptions in Greece and Portugal);
- An emerging diarchy or even rivalry between Ministries of Economy and of Spatial planning (or their equivalent) for leadership on EU policies in this area;
- The observation, in the meantime, of a consistent process of the decentralisation of planning powers from central to regional and sometimes local authorities;
- An ongoing improvement in the institutional capacities of the regional level (especially Spain and Italy);
- A prevalence for legalistic and rigid planning regulations at the local level, typical of the "urbanism" tradition, also defined as the "Mediterranean syndrome" of the prescriptive regulation of planning provisions (Giannokourou, 2005);
- The impression of a widespread process of the "Europeanization" of planning cultures, even if not yet completely and not everywhere applied in planning practices;

In brief, the 'urbanism' tradition explains much of the abovementioned difficulties arising in the Southern European countries, particularly in respect of their need to attune themselves to the ESDP approach, as well as those encountered in implementing their own land use policies. However, the impact of EU territorial interventions (since the Integrated Mediterranean Programmes, applied only in France, Greece, and Italy in the 1980s, as the forerunners of the Structural Funds) has been of great significance in the

whole area, even if responses vary from country to country. Arguably, the main common effects are the strengthening of the role of the central governments in the planning process (sometimes with explicit references to the ESDP in legislation) and the diffusion of new procedures of policy making at the regional and local levels (with a perceptible shift from regulatory to strategic urban planning, both from an institutional and cultural point of view).

In conclusion, EU urban and territorial policies have been developed, in the framework of the ESDP application, through complex and progressive innovations in practice and in developing local, regional, and national institutions for territorial governance (Janin Rivolin, ed., 2002; 2003; Janin Rivolin and Faludi, eds. 2005). In this light, the Mediterranean perspective ultimately suggests that, European spatial planning takes shape by passing through the prism of progressive and complex changes in planning practices. Even if EU-led, this is an eminently local and diversified process and therefore less visible at the continental scale.

7.6 Eastern Europe: ESDP as a vehicle for accession

Since the EU Compendium (CEC, 1997) was addressed to the EU 15 only and these countries contributed to the ESDP making process (Faludi and Waterhout, 2002), of course, the four planning families on European spatial planning outlined above could not include Eastern Europe. The literature review for these countries is based on a limited number of source materials, as very little literature on the relevance or application of the ESDP for Eastern Europe is available in English.

The influence of the ESDP on CEMAT (compare to chapter 8.) is apparent i.e. there is a close thematic relationship. The guiding principles from CEMAT were taken up by countries outside EU as of 1999/2000. It can thus be concluded that CEMAT was a good way of introducing various concepts from the ESDP to the accession countries at this time.

Bengs and Schmidt-Thomé (1999) argue that, when studying the Baltic Countries in the context of ESDP, it "*can be seen that spatial planning and development in the Baltic States do not contradict the ESDP goals, even though the main priorities are different, a situation which results mainly from the transitional nature of the countries*" (p.66). At this time, being observers of the ESDP process, all three countries prepared their first 'new' national planning programmes or plans, which were decidedly influenced by ESDP and CEMAT as the Baltic countries' planners closely followed international developments and considered the needs due to the accession

process. Since then the Baltic States' planning systems have been adapted to European needs while Baltic Sea Region cooperation (INTERREG III IIC and III B) allowed these countries to use the ESDP's contents and practices in a flexible manner.

Poland did not participate in discussions and other preparatory work that led to the formulation of the ESDP. Nevertheless, typical ESDP concepts such as polycentricity and urban-rural partnership have for some time, indeed even before the ESDP was discussed, played an important role in spatial planning in Poland (Korcelli, 2004, 2005).

The planning system in Poland has undergone a period of fundamental transformation over the last 15 years. After the administrative and territorial reform of 1999, mainstream Polish planning documents were rooted in the process of spatial planning and regional development on both the national and often the regional levels. Such documents also took into account EU and Baltic Sea Region policy options (VASAB). The ESDP aims and options were similar to many of the headings of such documents, though the explicit application of ESDP aims and option has taken place only recently, and particularly in relation to the work on the updated version of Poland's Spatial Development Concept (Poland's Spatial Development Perspective, 2005).

The dissemination of the ESDP document (3,000 translated copies) led to criticism among Polish planners that the document was too general and too abstract. Most reservations referred to the simplified presentation of the spatial development problems of the Central and Eastern European countries and the implications in terms of accession and the enlargement of EU territory (Szydarowski, 2001). In the EU accession negotiations, spatial development and spatial planning were not given a prominent place in Poland. The attitude of most of the sectoral authorities towards spatial planning/ESDP at that time was rather indifferent (Korzen, 2000). Since then, things have changed with spatial planning being recognised as an increasingly important field for the country's development. This was particularly so in relation to the National Spatial Policy Concept (2001) whose objectives and goals are generally consistent with the ESDP, as the "Spatial Planning and Spatial Management Act" of 2003 proves. In the process of the elaboration of the National Development Plan (2007 – 2013) a conscious effort was made to integrate the objectives and guiding principles expressed in a number of EU strategic documents, including the ESDP (Szlachta and Zaleski, 2005).

The countries of the Baltic Sea Region (BSR) are covered by a second trans-national perspective, the VASAB perspective (Visions and Strategies around the Baltic Sea; 1992: VASAB 2010; 2001: VASAB 2010+, 2006: updating

the previous vision), which in many ways can be regarded as more important than the ESDP to the BSR. Due to VASAB, spatial planning is increasingly acknowledged as an interactive, interdisciplinary, and democratic instrument to promote sustainable and balanced spatial development and spatial cohesion. It uses INTERREG as a means to implement its ideas. The first VASAB work of the early 1990s provided a solid illustration of what spatial planning on an international level could mean. Its ideas inspired the planners of the three Baltic States and Poland to begin national planning and planning at the regional level. The VASAB work also provided a useful forum enabling these countries, and in particular their planning professionals, to quickly make contact with planners and planning institutions in neighbouring countries. However, VASAB did not provide reproducible solutions in respect of national planning issues or models.

A similar, regional approach was chosen for the spatial development of the Central European, Adriatic, Danubian, and South-Eastern European Space (CADSES) where a common vision (VISION Planet) was formulated including spatial strategies and policies. The variety of, in total, twelve participating countries, and the economic and social transformation in these countries gave rise to many spatial impacts and challenges. All of the involved countries were/are eligible for PHARE, SAPARD and ISPA support from the European Union and after accession; most of their regions are now eligible for Objective 1 support from the Structural Funds. Their regional policy instruments and spatial planning institutions were adapted to comply with the principles of Structural Funds allocation (concentration, additionality, programming and participation), but this cannot be said to be due to the principles set out in the ESDP. As a common effort on the part of the countries involved, VISION documents were presented to the European Conference of Ministers responsible for Regional Planning (CEMAT) with the aim of influencing spatial development in Europe (Vision Planet Compendium, 1999).

Hungary is one example where the launch of the ESDP document in 1999 coincides with the resetting of national and regional planning institutions due to an administrative reform. The ESDP influenced the contents and scope of the new regional development policies. ESDP is explicitly mentioned in the national level policy statements. In Hungary, a continuous series of articles in a leading Hungarian planning journal described the ESDP with a final comprehensive survey of ESDP appearing in 2003 (Ongjerth, 2006, personal communication).

From the evaluation of the project's own material (web-questionnaire and policy option tables, IRPUD, 2006) it becomes evident that all Eastern European countries have applied the ESDP in one way or another. Explicit

application of ESDP policy aims is observed in the Czech Republic, Latvia, Rumania, and Slovenia.

In conclusion, it can be said, that the ESDP has left its apparent traces in the planning systems and institutions of the Eastern European countries – either directly by applying ESDP principles or via the Guiding Principles of CEMAT or the VASAB document. ESDP should however be seen as providing a ‘helping hand’ within the context of the overall process of EU accession rather than a clear guidance document. A major criticism of the ESDP is that it abridged the spatial development problems of Central and Eastern European countries, the implications of the accession process for these countries and the enlargement of the EU territory.

7.7 Conclusion: Various contexts for as many application patterns

The need to adopt a synthetic approach for such a fleeting subject, like ESDP application, has led us to address the present literature review by means of focussing on the various “macro-regional perspectives” on European spatial planning defined previously. Based on the assumption that some relations, although non-linear, do occur between the ESDP application experiences and the existing planning traditions, they can best be viewed as macro-areas of application of the EU spatial planning concepts, contributing, in the overall framework, to the definition of EU territorial governance as an informal institution working out with but alongside the established national planning channels.

In brief, the five macro-regional ‘perspectives’ on European spatial planning highlighted by the present review portray a framework in which:

- The *North-Western perspective* spearheaded the collaborative process up until the approval of the basic political document of European spatial planning: the ESDP. Thanks to this perspective, we learn that European spatial planning may have an institutional future, based on progressive cooperation among the EU Member States and between them and the European Commission.
- The *British/Irish perspective* has cast light on the crucial and complex link between spatial planning and land use planning. Consequently, it has paved the way for a conception of European spatial planning as embedded in a multi-level governance system that could reach from the supra-national to the local level.
- The *Nordic perspective* highlights the discursive nature of European spatial planning. This may explain how such a multi-level governance

system acts in practice, showing that the performing capacities of European spatial planning depend in a crucial way on the quality of interactions established between decision-makers and territorial policies, operating at the Community and at the national levels.

- The *Mediterranean perspective* suggest that, ultimately, European spatial planning takes shape by passing through the prism of progressive and complex changes in planning practices. Even if EU-led, this is an eminently local and diversified process and therefore less visible at the continental scale.
- Many of the Eastern European countries have encountered the ESDP discussion and contents. The ESDP did have an influence on the creation of new planning systems and institutions around the turn of the century. It should be seen however as providing more of a 'helping hand' within the context of the process of EU accession rather than a clear guidance document. CEMAT and VASAB facilitated the transferring of the ESDP to the Eastern European context.

The following steps of the current research project, outlined below, will provide the opportunity both to verify whether the ESDP application practices show themselves to be in line with the abovementioned suggestions and to enlarge this view to encompass a more systematic framework, extended to 29 ESPON states.

8 ESDP application at the European Level

The document entitled, "European Spatial Development Perspective – towards balanced and sustainable development of the Territory of the European Union" was agreed at the Informal Council of Ministers responsible for Spatial Planning in Potsdam on the 10-11 May 1999. By adopting the ESDP, the Commission and the Member States reached agreement on a number of common objectives and concepts for the future development of the territory of the European Union. Through ESDP, 'territory' is seen as a new dimension of European policy. The aim of the ESDP, as a legally non-binding document, is to serve as a policy framework for the Member States, their regions and local authorities and the European Commission within their own respective spheres of responsibility.

8.1 Long, interactive preparation phase

The ESDP is in many respects an innovative document. The combination of scope, scale and the actors involved, and the type of process that makes it possible are all unprecedented. Understandably therefore, much has already been written on this topic. The idea here then is not simply to compile, reproduce or summarise such interventions as have already occurred, but rather to consider the ESDP from a particular perspective, i.e. an assessment of its application and effects.

Viewing the application and effects as processes, it is natural to situate these processes in the continuation of the process of making the document itself. Table 14 summarises the main stages of the ESDP process. We can point to three conclusions that may be derived from this table:

- The length of the process gives a 'time scale' and helps us to situate the message in relation to the issues;
- The working mode of the ESDP process was a wide debate and has involved many actors from the Community and national levels;
- The general level of involvement of the concerned countries - almost all have played a leading role at one time or another, in addition to their "everyday" collaboration within the CSD.

Table 14 The major pre-adoption 'milestones' in the ESDP process

Time	Milestone	Action(s)/Product(s)	Actors	Presidency (Troika)
23-24/11/1989	Informal meeting Nantes	Decision regular meetings + work structure (future CSD)	Ministers + EC President + Commissioner	FR
1991		Europe 2000	European Commission	
16/09/1992		Resolution A3-0253/92	European Parliament	PO
13/11/1993	Inf. Council Liège	Proposal of making the ESDP	Ministers + Commissioner	BE
03-04/06/1994	Inf. Council Corfu	Framework and initial policy options	Ministers + Commissioner	GR
21-22/09/1994	Inf. Council Leipzig	Spatial development principles	Ministers + Commissioner	DE
1994		Europe 2000+	EC	
01/01/1995	Accession of Austria, Finland and Sweden			
30-31/03/1995	Inf. Council Strasbourg	Discussion trends scenarios	Ministers	FR
30/11-01/12/95	Inf. Council Madrid	Discussion of "step document" + criteria	Ministers + Commissioner	ES
03-04/05/1996	Inf. Council Venice	Discussion on spatial differentiation + maps	Ministers	IT
		Writing official draft ESDP	CSD	IE, NL (IT, LU, EC)
09-10/06/1997	Inf. Council Noordwijk	Adoption first official draft ESDP	Ministers + Commissioner	NL

Time	Milestone	Action(s)/Product(s)	Actors	Presidency (Troika)
1997/2-1998/1		Redrafting ESDP part (existing situation, trends)	CSD + nat. experts group	LU,UK (NL, AT, EC)
04-05/1998		ESDP launch seminar - Trans-national seminars	All actors invited	UK
08/06/1998	Inf. Council Glasgow	Adoption complete draft ESDP	Ministers + Commissioner	UK
06-11/1998		Trans-national seminars	All actors invited	AT
1998/2		Working on "final" ESDP	CSD	AT (UK, FI, EC)
02/07/1998		Resolution A4-0206/98	European Parliament	
09/09/1998		Opinion	European Social Council	
1999/1		Working on "final" ESDP	CSD	DE (AT, FI, EC)
02-03/02/1999		ESDP forum	All actors invited	DE
10-11/05/1999	Inf. Council Potsdam	ESDP adoption + Decision to make TEAP	Ministers + Commissioner	DE

The ESDP is the first European level policy document on spatial planning. When the decision to proceed with such an exercise was taken in Liège in 1993, it was presented as the policy counterpart of Europe 2000+. For such a pioneering approach this represented an ambitious objective, as everything had to be created almost from scratch, particularly the method and process. The philosophy and objectives of the ESDP refer to the general objectives of the European Union, and as such, one should interpret them in the context of this approach. There is however no single objective or set of objectives here. We are presented instead with a cascade of objectives (under different names), depending on the considered level/type of issues, from the more general, to the more specific or concrete.

The core of the ESDP is its three guidelines and 13 aims (compare with Table 9 in chapter 5, dealing with the principles and aims of the ESDP).

Of the 13 aims, 11 have been developed into policy options. There are 60 policy options in total, many of which are general in character but still provide a certain direction for policy development at the European, national and regional levels.

8.2 ESDP followed by new forms of territorial cooperation

In order to understand the application of the ESDP it is important to know what has happened with the ESDP process as such, i.e. the Committee of Spatial Development (CSD) and informal ministerial meetings.

In the process of ESDP drafting, the CSD cooperated with DG Regio under the 'open method' approach, led by the Member State in charge of the EU Presidency as spatial planning did not fall under the European treaties. As has been reported in detail by Faludi and Waterhout (2002) it was, among others, the competence issue that led to confusion about the role of DG Regio. Under normal conditions it would have been in the driver's seat, but this was an intergovernmental process. Even more confusing perhaps was the fact that DG Regio paid for the travel expenses of the CSD members that always met in the Centre Borschette in Brussels where all comitology committees meet and could make use of the interpreter's facilities of the Commission. Whereas some Member States held the extreme opinion that DG Regio should not be involved at all, DG Regio itself leaned towards the Community method and wanted to take control. It took some time before all of the players became accustomed to the institutional setting in which the ESDP was being drafted.

The role of DG Regio continued in some quarters however to remain a concern. Together with France, Germany and the Netherlands (see also

section 10.2.1) it was one of the most active participants in the process, which nevertheless had to remain member-state led. The years that followed can be characterised as a period of 'going back and forth' with each Presidency trying to put its own stamp on the ESDP process. In 1996 a significantly greater level of continuity was brought into the process with the establishing of the 'troika'. The troika consisted of the current, previous and next presidency. As a fourth and permanent member DG Regio also took part in the troika. From then on the troika set the agenda and formed a small editorial team to actually write ESDP texts, which were subsequently brought to the CSD for approval. In so doing, a healthy working climate was created in which maximum advantage could be taken of DG Regio's expertise, while the process ultimately remained member-state led.

The policy aims and options of the ESDP are to be pursued by the Member States and the Commission on a voluntary basis and without prejudice to their respective competences. Shortly after the publication of the ESDP, the CSD as well as the ministerial meetings were interrupted. The reason for this was that, now that the ESDP was 'on the books', DG Regio no longer had a case to shield it from the legal services of the Commission, which considered the CSD as an anomaly since it did not 'fit' with the standard comitology rules.

However, strand B of the INTERREG III Community Initiative intended to render ESDP principles more concrete continues, as did the process towards the establishment of ESPON. Work on the 2nd and 3rd Cohesion Reports progressed and ESDP topics were to some extent addressed (Table 15).

Meanwhile, experts involved in the ESDP process met in a working group of the Committee on the Development and Convergence of Regions, entitled the Working group of Spatial and Urban Development (SUD). As it was rather ambivalent about the whole process however, the Commission put SUD on a back burner. A turning point was reached with the 'Mermaid Group' (so called after the first venue where they met in 2002, under the Danish Presidency) and an informal ministerial meeting was again organised under the Dutch Presidency in 2004 (Faludi, A. and Waterhout, B. 2005).

Table 15 Main milestones in the ESDP process after its adoption

Time	Milestone	Action(s)/Product(s)	Actors	EU Presidency
01/07/1999		Structural Funds Guidelines for 2000-06 ¹³	Commission	FI
04-05/10/1999	Inf. Council Tampere	Adoption of the ESDP Action programme	Ministers + Commissioner	FI
2 nd half 2000		Report on polycentrism (Ingerop)	French Presidency + CSD	FR
07-08/09/2000	CEMAT meeting Hanover	Adoption of the CEMAT guidelines	CEMAT	FR
02-03/11/2000	Lille conference	Theme: "Spatial and urban development"	Ministers + Comm. +others	FR
2000 - 2001	Suppression of the CSD/Institution of the SUD WG of the CDCR		Commission/CDCR	FR/SE
01/2001	Presentation of Second Report on Economic and Social Cohesion		Commission	SE
20-21/06/2001	Meeting CSD+	Cooperation with neighbouring countries	CSD+ (enlarged CSD)	SE
13-14/07/2001	Inf. Council Namur	Presentation Tampere programme progress report	Ministers + Commissioner	BE
25/07/2001		White Paper on European governance	Commission	BE
03/06/2002		Approbation of the ESPON CIP	Commission	ES
2002	Mermaid Group Copenhagen	Mermaid Group agreement on developing policy document	Member State officials	DK
02/2004	Presentation of Third Report on Economic and Social Cohesion		Commission	IE
01/05/2004	Accession of 10 new Member States			IE
05/05/2004	DG meeting Paris	Discussion European cooperation on spatial planning	Directors Spatial Planning	IE
25-27/05/2004	Galway Conference	Discussion territorial cohesion	Various actors	IE
18/06/2004	Rome Council	Adoption of the Constitution (including TC)	European Council	IE
30-31/10/2004	DG meeting Haarlem	Preparation Rotterdam Council (territorial cohesion)	Directors Spatial Planning	NL
29-30/11/2004	Inf. Council Rotterdam	Discussion of territorial cohesion + agenda	Ministers + Commissioner	NL
14-15/03/2005	DG meeting Luxembourg	Discussion of territorial cohesion + ESPON 2	Directors Spatial Planning	LU
19-21/05/2005	Inf. Council Mondorf	Territorial cohesion + Community Strategic Guidelines	Ministers + Commissioner	LU
30/05 1/06/2005	Non/nee to Treaty establishing a Constitution		French + Dutch voters	LU
05/07/2005	Cohesion policy in support of Growth and Jobs. Community Strategic Guidelines 2007-2013		DG Regio + Enterprise	UK
11/2005	Working level meeting	Discussion Territorial cohesion	Officials member states	UK
6-7/12/2005	Bristol Accord	Skills for Sustainable Communities	Ministers + Commissioner	UK
16/12/2005	Brussels European Council	Financial Perspectives 2007-2013 (reduction of ETC budget)	European Council	UK
06/2006		National Strategic Reference Frameworks	Member States	AU
08-09/06/2006	High Level Seminar in Baden/Vienna	Territorial Governance of Cohesion Strategies	Member States	AU
28/06/2006	Stakeholders day Amsterdam	Organising support for Territorial State and Perspectives of the European Union (TSPEU)	Netherlands + Member States	AU
10/2006		Operational Programmes Regional Policy	Member States	FI
11/2006	DG Meeting	Discussion draft TSPEU	Directors Spatial Planning	FI
02/2007	DG Meeting	Discussion draft TSPEU	Directors Spatial Planning	DE
05/2007	Inf. Council Leipzig	Adoption TSPEU	Ministers + Commissioner	DE

¹³ Refer to the ESDP

It is now seven years since the ESDP was presented. What has happened since then in terms of the ESDP's ideas at the European level? Has the follow-up process met with the original expectations? The following sub-chapters will attempt to answer these two questions by considering four main areas of application:

- The Tampere ESDP Action Programme (TEAP)
- The INTERREG Community Initiative
- Sectoral policies and programmes of the European Commission
- CEMAT – The European Conference of Ministers responsible for Regional and Spatial Planning

8.3 The Tampere ESDP Action Programme

8.3.1 A continuation of the ESDP cooperation process

At the same informal ministerial Council in Potsdam in May 1999 where the ESDP was adopted, its application was also discussed. In October 1999, in Tampere, an ESDP Action Programme designed to carry out 12 actions was agreed (Table 16). This subsequently became known as the Tampere ESDP Action Programme (TEAP). The aim was to *“translate the policy aims for European spatial development into examples of good practice at trans-national and European level as well as at national, regional and local level”. The objective was to ‘demonstrate concrete and visible ways of applying and supporting the policy orientations laid down for the European territory’.*¹⁴

The idea was thus to show how to apply the ESDP, while at the same time giving a consistent multi-annual work programme for cooperation inside the CSD after its main task of preparing the ESDP had been completed. The ESDP Action Programme built on a series of initiatives proposed and selected by the Member States together with the Commission.

What is common to all actions in the TEAP is the accent on the process dimension, which is expected to strengthen cooperation. The TEAP document states: *“Each of the proposed initiatives needs the close cooperation and the support of authorities responsible at different levels for the territories concerned. In dealing with the Action Programme, Member States and the Commission have to involve regional and local authorities in order to obtain practical results in a number of joint projects.”*

¹⁴ ESDP Action Programme, Final version 22 September 1999, p2.

“In the spirit of European cooperation, Member States interested shall be involved as project partners. Following the integrated approach behind the ESDP, each Member State is obliged to involve relevant national sector policies and relevant regional and local authorities. Interested partners from the academic world, NGOs and the private sector can participate where relevant.”

“The responsibility to coordinate and monitor the ESDP Action Programme will be taken jointly by Member States and the Commission. In practice, the CSD would be the proper body for this task. Member States will in common provide the resources necessary for the coordination and monitoring.”

The Committee on Spatial Development (CSD) was given a significant role in coordinating and monitoring the implementation of the TEAP: lead partners of each action were required to present a progress report on each project to the CSD twice a year. The programme relied on the ‘lead partner’ principle in which the lead partner for each action has the responsibility for the management of the project and provides the resources needed for managing the project in collaboration with the other participants. For some important and extensive actions, all Member States were expected to act, with one country taking responsibility for a particular aspect or managing it. In the absence of any top-down coordination, the programme relied upon the goodwill of the actors involved.

A valuable source of information for the review of the progress made in each action is the report made in mid-2001 for the Belgian Presidency. The information in this progress report was largely based on the minutes of the CSD meetings. The focus is on the outcomes of the TEAP in the period following this mid-term review (i.e. after mid-2001). As the CSD, which was in charge of monitoring the TEAP, was *de facto* abolished in 2001 and its tasks mainly transferred to the ‘Working group of Spatial and Urban Development’ (SUD), the findings in this report are not based on minutes of meetings but on other sources of information, notably provided by the people responsible for implementing the actions.

Table 16 Implementation of the TEAP

	Action	Implemented?	As foreseen ¹⁵ ?	By?
Promoting a spatial dimension in Community and national policies				
1.1	ESDP policy orientations in SF mainstream programmes	Yes ¹⁶	No (partners)	Commission (study)
1.2	INTERREG III and ESDP demonstration projects	Partly ¹⁷	Yes	Commission MS (OPs)
1.3	ESDP policy orientations in national spatial planning	Yes	No (delay)	Belgium (report) MS (answers)
1.4	Spatial impacts of Community Policies	Partly ¹⁸	Yes	Commission (study)
1.5	Territorial impact assessment	Yes	Yes	United Kingdom
1.6	Urban policy application and cooperation	Yes	Yes	France + other Presidencies
Improving knowledge, research and information on territorial development				
2.1	Establishing the ESPON cooperation	Yes	Yes	Luxembourg (LP) All MS
2.2	Geography manuals for secondary schools	Yes	Yes	France
2.3	'Future regions of Europe' award	Partly ¹⁹	No (delay, other form)	Germany
2.4	Guide on integrated strategies for coastal regions	Partly ²⁰	No (delay, other form)	Greece Spain
Preparing for an enlarged territory of the European Union				
3.1	Pan-European framework for spatial development	Partly ²¹	Yes	Germany Sweden (NC)
3.2	Spatial impacts of enlargement on EU MS and non MS	Partly ²²	No (other form)	Commission

¹⁵ Concerns the implemented part if partial implementation – Refers to the initial description of the TEAP actions

¹⁶ But varying degree of integration of the ESDP in national/regional OPs

¹⁷ No early evaluation of I2C, no demonstration projects applying the ESDP

¹⁸ No reflection/process/event on link between transport and ESDP/spatial planning

¹⁹ No competition for secondary schools

²⁰ No European guide on ICZM implementation

²¹ No follow-up on involvement of neighbouring countries (NC)

²² No examination of the consequences of enlargement for ESDP policy orientations

8.3.2 The 12 TEAP actions experienced various outcomes

The implementation of the twelve TEAP actions can briefly be described as follows:

- *TEAP Action 1.1 - ESDP policy orientations in Structural Funds mainstream programmes.* This first TEAP action is focused on the ways in which the Member States take the ESDP into account while building Structural Funds Programmes. All Member States were lead partners for this action. Portugal took on a coordinating and synthesising role. The 2001 mid-term assessment by the Belgian Presidency shows that the Portuguese had drawn up an outline for the action though implementation had been halted awaiting the results of a similar study for the European Commission²³. The Commission study examined whether the Policy Guidelines and Aims of the ESDP had been integrated into the 2000-06 Structural Funds programmes for Objective 1 and 2 Regions and how this had taken place. Explicit reference was made to the ESDP Action Programme in the terms of reference for this European Commission study. Obviously, this implied a strong overlap with the envisaged action 1.1. Moreover, the Portuguese Delegation thought it was also a very ambitious action given the short time for executing it and the complexity of setting it up. In addition, the ESPON idea was already in development, and attention shifted more towards ESPON. In the end, this action was not carried out. The EC's guidelines did not result in an explicit reference to the ESDP orientations into Structural Fund programmes, though the programmes are nevertheless often in line with the ESDP's contents.
- *TEAP Action 1.2 – INTERREG III and ESDP demonstration projects.* Denmark had a coordinating and synthesising role in respect of this action. By the time of the mid-term assessment by the Belgian Presidency (2001) it was already clear that the time schedule for the evaluation of INTERREG IIIB projects, as well as demonstration projects, could not be achieved as intended given the delayed schedule for the approval of the guidelines for the INTERREG IIIB programmes. Instead, the Danish delegation proposed to analyse the integration between transport, environment, and the Structural Funds in the INTERREG IIC transport projects and in the INTERREG IIIB programmes. It was then decided to change the action in such a way that it would fit with the agenda for the coming Danish presidency, and action 1.2 turned into a predominantly Danish endeavour. Although the initially foreseen high

²³ The European Commission study was carried out in the first half of 2001 by the University of Strathclyde and Nordregio, resulted in two reports: one on 'The Spatial and Urban Dimensions in the 2000-06 Objective 1 Overview' (Polverari et al., 2001) and one on 'The Spatial and Urban Dimensions in the 2000-06 Objective 2 Programmes' (Rooney et al., 2001).

level seminar did not take place, a large conference was organised in 2002 instead. The theme of the conference was 'European Cities in a Global Era – Urban identities and Regional Development'.

- *TEAP Action 1.3 - ESDP policy orientations in national spatial planning.* In charge of the synthesis report, Belgium launched its part of the action early in 2001 by circulating a questionnaire and an accompanying note within the CSD. The questions related to the issues of the Member States' awareness and application of the ESDP at different levels and by different actors, and took the form of a self-assessment rather than of an evaluation from the outside. Participants were asked to underline encountered problems and to provide examples of successful or less successful experiences. A draft report compiling the answers was prepared by a university research centre, in the hope that it would serve as a basis for further analysis and discussion in the CSD. The modification of the role of the CSD on the eve of the Belgian presidency cut the process short. Three years later, as many issues discussed in the report still seemed relevant, notably with the new challenges faced by the Union and its Member States, the report was reviewed by the Walloon spatial planning administration and made available for the SUD Working Group in June 2004. The synthesis report was presented and briefly discussed in the SUD Working Group meeting of September 2004.
- *TEAP Action 1.4 - Spatial impacts of Community Policies.* A report on the spatial impacts of sectoral policies at the Community level was written in 2001. The '*Robert report*' does not explicitly refer to the TEAP, although it does contain interesting information about the relationship between three major Community policies (Common Agricultural Policy, Common Transport Policy, Common Environmental Policy) and the objectives and options of the ESDP. The case studies included in the report can be viewed in terms of a contribution on the Member States' experiences. On the other hand, the part of the action concerning transport policy and the ESDP was not carried out. The TEN orientations do not refer explicitly to the ESDP and the high-level event was not organised during the Portuguese Presidency as foreseen. The Portuguese national report for this project indicates that, "the problem was related to a lack of consensus concerning the authorities responsible for transport in the Member-States/Commission - authorities that, as far as the Portuguese understood, were not willing to fully cooperate in working towards the objectives of the project. Having failed to reach a participatory consensus the project ended up not being taken forward".
- *TEAP Action 1.5 - Territorial impact assessment.* The UK took the lead on this action. Various meetings and workshops were held between 1999

and 2000 and a report was produced in 2000. A 'Territorial impact assessment' workshop was organised in Louvain-la-Neuve in October 2001 under the umbrella of the Belgian Presidency. The ESPON programme was subsequently to focus on the territorial impact assessment of policies in the policy impact projects (Strand 2 projects).

- *TEAP Action 1.6 - Urban policy application and cooperation.* At the political level, the Conference of ministers in charge of urban policy decided to implement the multi-annual programme adopted by the CSD in Lille in November 2000. Later presidencies were also active in the area. Sweden held a seminar in Norrköping in May 2001, Belgium hosted an informal meeting of European urban policy ministers in Brussels in October 2001. Denmark held its Conference in Copenhagen in November 2002, while the Netherlands hosted the informal Council of Ministers in charge of urban policy (Rotterdam, November 2004), which decided to strengthen the implementation of the Lille programme. The Rotterdam council was also the occasion to launch the European Urban Knowledge Network (EUKN). Cooperation at the administrative level first took place inside the Urban Development Group (UDG)²⁴. In late 2000, the Commission estimated that urban issues should be discussed inside the CDCR, and decided to end its participation and financial aid to the UDG. This can be seen as a first step in the process of integrating spatial and urban issues within the framework of regional policy. The UDG nevertheless decided to continue its work. Since mid-2001, urban issues have also been discussed in the SUD WG of the CDCR, with some dedicated meetings.
- *TEAP Action 2.1 - Establishing the ESPON cooperation.* The joint application of all EU 15 Member States' to INTERREG co-financing for the ESPON 2006 programme, with Luxembourg as lead partner, was submitted to the Commission in July 2001 and approved in June 2002. The ESPON 2006 Community Initiative Programme was subsequently revised in order to take into account new Member States and a new version was approved in December 2004. The political and administrative authorities of Luxembourg have assumed the role of Management Authority and Payment Authority for the Programme. The Coordination Unit is based in Esch-sur-Alzette and partially financed by the government of Luxembourg. Some 30 projects have been carried out within the ESPON framework, with more than 280 partners. An ESPON 2 programme will be implemented for the years 2007-2013, and will hence

²⁴ The Urban Development Group (UDG) started off as a sub-group of the Committee for Spatial Development (CSD), initiated at the Tampere Council in 1999.

provide a good basis for continued European cooperation on spatial development.

- *TEAP Action 2.2 - Geography manuals for secondary schools.* France, the lead partner for this action, published a geography textbook for secondary schools in 2000 under the title, *'L'Europe et ses Etats: Une géographie'* ('Europe and its states: a geography'). Ten professors from different parts of Europe authored the book. It was launched on the occasion of the Conference of Lille, organised by the French Presidency in early November 2000. English and German translations were published in 2001.
- *TEAP Action 2.3 - 'Future regions of Europe' award.* The competition has been organised but not in the framework originally agreed. Germany initiated a *Regionen der Zukunft* competition in 1997 that emphasised the ideas of the Local Agenda 21 and the first round successors (26 regions) formed a network of regions. The general idea of the future regions competition, which stood behind the TEAP 2.3 project was finally realised in the form of the European Awards for Regional Innovation, organised in the framework of the Innovative Actions co-financed by FEDER.
- *TEAP Action 2.4 - Guide on integrated strategies for coastal regions.* The integrated management of coastal zones has given rise to initiatives that preceded by several years the adoption of the TEAP, such as the 'demonstration programme on integrated management of coastal zones' (ICZM) of the European Commission (DGs Environment, Fishery and Regional policy) launched in 1996, which oversaw 35 demonstration projects. In its contribution to the TEAP progress report presented in Namur in July 2001, the Spanish delegation indicated that the completion of a guide on integrated strategies for coastal regions was forecast for late 2001. After consultation inside the CSD and the holding of a seminar, the definitive elaboration of the European Recommendation Guide would then be carried out. The Spanish national report for Project 2.3.1 states that: "The only information we have is that a meeting was held bringing together representatives from the Mediterranean Spanish autonomous regions (held in Valencia) in 2002 and published in a book entitled: *'Modelos territoriales sostenibles en espacios litorales mediterráneos'* ('Sustainable territorial patterns in Mediterranean coastal spaces')." During the Spanish Presidency in 2002, a European High Level Forum on ICZM was organised in Alicante. In 2002, the EU Parliament and Council adopted a recommendation concerning the implementation of ICZM in Europe. The Greek national report for Project 2.3.1 indicates that Greece "*had a decisive role together with Spain in action 2.4 (...). When Spain stepped back, Greece took the initiative to elaborate further the directive*

that was presented during the Greek presidency (2003).” In June 2003, the ICZM workgroup endorsed a guidance report for ICZM national stock takes.

- *TEAP Action 3.1 - Pan-European framework for spatial development.* Germany committed itself to lead this action concerned with developing an agenda for strengthening political and technical cooperation with the accession countries and neighbouring non-Member States. CEMAT, the European Council of Ministers responsible for Regional and Spatial Planning, was the main platform for this action. CEMAT’s pan-European spatial development vision, entitled ‘Guiding Principles for Sustainable Spatial Development of the European Continent’, was adopted as a basis for future cooperation in the field of spatial planning between EU Member States and accession countries as well as neighbouring countries, under the German chairmanship. The policy guidelines of the ESDP were incorporated into the CEMAT Guiding Principles (see below for more discussion of this process). Thus, the German effort to apply the CEMAT Guiding Principles could be considered as instrumental in fulfilling their commitment to action 3.1 of the ESDP Action Programme. Although little reference has been made to the Tampere ESDP Action Programme since 2001, Germany has been quite strongly involved in actions to develop further political and technical cooperation with the accession countries and neighbouring non-member states under the umbrella of CEMAT.
- *TEAP Action 3.2 - Spatial impacts of enlargement on EU Member States and non-Member States.* Little is known about this action, except what has been indicated by the Commission in its contribution to the progress report presented at the ministerial Council of 2001 in Namur. Namely, that the Second report on economic and social cohesion contains the results of studies conducted by, and on behalf of, the Commission on the impact of enlargement on the Member States and on neighbouring countries.

8.3.3 A new political agenda pushed the TEAP into the background

Summing up the TEAP experiences it can quickly be seen that the implementation of the TEAP does not quite stand up to initial expectations.

According to the national reports, a variety of Member State opinions exist concerning the TEAP process. Opinions differ among the Member States, and sometimes also *within* Member States. It is therefore quite difficult to identify the precise reasons for this diversity of opinion. Even among the lead partners, no unanimity exists. The TEAP has however remained rather

inconspicuous in many Member States and did not involve many people. Moreover, as indeed was underlined by the national report for the United Kingdom, once these people are no longer in charge, the process loses its dynamism and continuity.

In general, two key issues appear to be conducive to effective implementation of TEAP actions. Firstly, tasks that are well-defined (in terms of content and outputs) and which do not require a lot of cooperation between different actors have been implemented to a greater extent than other tasks; this applies notably to evaluations made by the Commission and to actions such as 1.5 (Territorial Impact Assessment) or 2.2 (the geography handbook).

Secondly, actions already begun before agreement was reached over the TEAP and where the complex cooperation process has had time to become established have been implemented to a greater extent than other tasks: the most prominent example here is the establishment of the ESPON Programme, though this also applies to cooperation in matters of urban policy.

The difference between the individual outputs and the implementation process of the TEAP must be distinguished. Most outputs were delivered though, in a number of cases, not in the expected manner. This may concern schedule (e.g. action 1.3), actors, (e.g. 2.4) or the form of the output (e.g. 1.1 or 2.3). Differences may occur for various reasons. In some cases, there was no agreement over how to proceed, or conditions had changed (e.g. other priorities or new initiatives taken by the Commission). In other cases, there was also an unexpected problem in terms of a lack of resources, legal constraints (e.g. financing the 'Future regions of Europe' award) or of externally caused delays in essential decisions (e.g. 1.2).

In terms of the cooperation process, the assessment is mitigated. At the outset, it was clearly implied that all partners were willing to work in line with the ESDP philosophy. This continued over time for some actions while in other cases, such as those where only one partner carried out the action, or where an output was not followed by further initiatives (e.g. 1.2 and 3.1), the cooperation dimension was not clearly enhanced. From 2001 onwards, most actions went on without an explicit link with the TEAP or even without the partners being aware that this was so. This explains the difficulty in collecting information on the achievements reached, as well as the poor visibility of the TEAP.

The varying degrees of success in relation to the actions were already apparent from the Belgian Presidency's progress report of 2001. Although the progress report only covers half of the period concerned by the mid-term

agenda, it already emphasises some of the difficulties encountered in relation to a number of the actions, notably actions that would have required particular coordination and partnership between Member States themselves and between them and the Commission. Looking back, we can say that most problems encountered in relation to implementation had already appeared in the preceding period.

Part of the explanation for the difficulties encountered in implementing the TEAP can be found in process-aspects and in significant modifications of context. Both are related to the character of the process (informal, innovative, relying on voluntary commitment) making it quite sensitive to the political and organisational context. Within the space of less than two years, the institutional context of the TEAP was however transformed, with a variety of significant changes having taken place, such as:

- Nomination of a new Commission in 1999
- Intergovernmental Conference (IGC) and the treaty of Nice in 2000
- Emergence of the Lisbon and Gothenburg agendas addressing innovation, competitiveness and sustainability
- Increasing focus on the challenge of enlargement and its potential effects in the matter of Structural Funds, raising expectations about the Second cohesion report to be presented by the Commission
- Apparent weakening of intergovernmental political cooperation in the matter of spatial planning, with no informal ministerial Council being organised between Tampere (October 1999) and Namur (July 2001)

This evolving context has had very significant consequences for the TEAP, most notably the loss of its monitoring and coordinating organ, the CSD, in 2001. Its role was shared among the new SUD workgroup of the CDCR, the ESPON Monitoring Committee and the short-lived CSD+ (Committee on Spatial Development expanded with delegations from the then-accession countries). In particular the emergence of a new political agenda and new concepts pushed the TEAP into the background.

8.4 The ESDP in EU guidelines and regulations

This section reviews EU programming documents and assesses their consistency with the policy guidelines and aims of the ESDP. The documents analysed comprise the 1999 Communication concerning guidelines for

Structural Funds and their coordination with the Cohesion Fund,²⁵ the 2003 supplement to this document (containing revised indicative guidelines),²⁶ the 2000 Communication on INTERREG III,²⁷ the updated version of this Communication from 2004²⁸ and the recent 2005 Communication on Cohesion Policy 2007-2013.²⁹

8.4.1 Explicit reference to the ESDP in the Structural Funds 2000-06 guidelines

The Guidelines for Structural Funds and their coordination with the Cohesion Fund were published in July 1999, just a few months after the publication of the ESDP, with the aim of helping “*national and regional authorities to prepare their programming strategies for Objectives 1, 2 and 3 of the Structural Funds and their links with the Cohesion Fund*” (European Commission, 1999:1). The guidelines are structured around three strategic priorities: (i) regional competitiveness; (ii) social cohesion and employment; and (iii) the development of urban and rural areas. The document is divided into three parts:

1. Conditions for growth and employment
2. The European Employment strategy
3. Urban and rural development and the contribution to balanced territorial development

The document makes explicit mention of the European Spatial Development Perspective (ESDP), stating (on page 29): “*The Member States have prepared a draft informal document containing indicative guidelines on the long-term development of the European territory (European Spatial*

²⁵ European Commission (1999). Communication from the Commission. The Structural Funds and their Coordination with the Cohesion Fund. Guidelines for Programmes in the Period 2000-06. COM (1999) 344 final. Office for Official Publications of the European Communities, Luxembourg.

²⁶ European Commission (2003). Communication from the Commission. The Structural Funds and their Coordination with the Cohesion Fund. Revised Indicative Guidelines. COM (2003) 499 final. Office for Official Publications of the European Communities, Luxembourg.

²⁷ European Commission (2000). Communication from the Commission to the Member States of 28 April 2000 laying down guidelines for a Community initiative concerning trans-European cooperation intended to encourage harmonious and balanced development of the European territory. INTERREG III. COM (2000) 1101 final. Office for Official Publications of the European Communities, Luxembourg.

²⁸ European Commission (2004). Communication from the Commission to the Member States of 2 September 2004 laying down guidelines for a Community initiative concerning trans-European cooperation intended to encourage harmonious and balanced development of the European territory. INTERREG III. (2004/C 226/02). Office for Official Publications of the European Communities, Luxembourg.

²⁹ European Commission (2005). Communication from the Commission. Cohesion Policy in Support of Growth and Jobs: Community Strategic Guidelines, 2007-2013. COM (2005) 0299. Office for Official Publications of the European Communities, Luxembourg.

Development Perspective). In this context, assistance from the Structural Funds to reduce disparities between the core and peripheral regions must be continued in view of the increased concentration of activity in part of the Union as well as in certain metropolitan areas. The development strategy of each region must also take account of the indicative guidelines in order to include them in a broader overall view, not just of the country in question but the Union as a whole."

Revised indicative guidelines were published in 2003 whose objective was to offer Member States a "complementary set of guidelines which will facilitate the identification of coherent and balanced priorities for the development of measure". In general, the 1999 guidelines remained valid after the publication of the revised indicative guidelines in 2003: the revised guidelines were intended to be complementary and reflect some of the major changes to have occurred in EU policies with potential impacts on the programming of the Structural Funds. The concept of regional cohesion is explicitly mentioned in the 2003 revised guidelines.

The 1999 document contains some reference to all three of the ESDP's policy guidelines (polycentric development and a new rural-urban partnership, parity of access to infrastructure and knowledge, and wise management of the natural and cultural heritage). The 2003 revised guidelines, on the other hand, contain no explicit reference to any of these themes.

While the concept of polycentric development is not explicitly contained in the 1999 document, the need for multi-centred (i.e. polycentric) and more balanced territorial development is mentioned (European Commission, 1999:32). The issue of urban-rural relationships feature in the document as a section in Part 3 of the document and states that it is necessary to "encourage an integrated process aimed at favouring a synergy of urban and rural development in order to make progress towards a more balanced territorial development" (European Commission, 1999:29). The guidelines go on to state that (on page 32): "If the Union is to enjoy the best possible conditions for development, towns and rural areas must complement each other. The synergies to be encouraged in each region assisted by the Structural Funds must be those that favour the multi-centred and hence more balanced territorial development of the European Union. Rural areas must have access to the specialist services that only urban centres can offer. City dwellers need to be provided with the food supplies and natural, tourism and recreational facilities which rural areas can offer."

On access to infrastructure and knowledge, part 1 of the 1999 guidelines (Conditions for growth and employment) identifies accessibility as one of the main goals of improvements in the transport system, stating that transport

programmes should “*reflect the need to improve regional accessibility*” (European Commission, 1999:5). Access to information (and the information society) is recognised as being dependent on an efficient basic telecommunications infrastructure.

The importance of cultural and natural heritage is mentioned in relation to urban and, more specifically, to rural areas. The document states that “*environmental protection must be a major rural policy priority including the preservation of the countryside and natural resources, traditional rural areas, the promotion of agricultural tourism and the renovation of villages*” (European Commission, 1999:31)

Issues of vertical, horizontal, and spatial integration are not explicitly mentioned in either the 1999 guidelines or the 2003 revision.

8.4.2 Direct references in the guidelines for INTERREG III

Guidelines for the INTERREG III Programme (2000-2006) were published in 2000, a year after the publication of the ESDP.

These make direct reference to the ESDP in the text, stating for example that Strand B proposals (involving trans-national cooperation) should take account of Community policy priorities such as the TENs and the recommendations for territorial development of the European Spatial Development Perspective (ESDP).

Indirect reference to the ESDP can also be found in the title of the guidelines, which refers to the ‘*balanced development of the European territory*’. The guidelines were updated in 2004, primarily in order to take the accession countries into account. Apart from the changes in eligible areas, the content of the guidelines remained the same as those issued in 2000. Thus, references to the ESDP and associated concepts are the same in the 2000 and the 2004 documents.

The issues of polycentric development and urban-rural relationships are mentioned in the guidelines. The priority topics identified for trans-national cooperation (Strand B) projects include the elaboration of “*operational spatial development strategies on a trans-national scale, including cooperation among cities and between urban and rural areas, with a view to promoting polycentric and sustainable development*”. Urban-rural relationships and polycentric development are clearly central here. The indicative list of priority topics and eligible measures for Strand A (cross-border cooperation) projects also includes the issue of cooperation between urban and rural areas to promote sustainable development.

In terms of access to infrastructure and knowledge, the priority topics identified for trans-national cooperation (Strand B) projects include the promotion of efficient and sustainable transport systems and improved access to the information society.

The guidelines also contain reference to the management of the natural and cultural heritage. One of the priority topics identified for trans-national cooperation (Strand B) projects includes the management of cultural heritage and natural resources. The indicative list of priority topics and eligible measures for Strand A (cross-border cooperation) projects also mentions the issue of the preservation of rural heritage.

Issues of *vertical, horizontal and spatial integration* can be found in the guidelines. For example, the guidelines highlight the need for a more integrated approach to the implementation of the Community Initiatives and coordination between INTERREG III and external Community policy instruments. The guidelines contend that such an integrated approach requires "*truly joint structures to prepare the programmes, involve the parties concerned, select the operations, manage the whole and coordinate and monitor the implementation of programming and, if appropriate, the joint mechanisms for the management of measures and operations*" (European Commission, 2000:5)

8.4.3 The ESDP is not visible in the Guidelines for Cohesion Policy 2007-2013

As a first step in launching the discussion of the priorities for the new generation of cohesion policy, the European Commission published draft Community Strategic Guidelines in July 2005 entitled, "*Cohesion Policy in Support of Growth and Jobs: Community Strategic Guidelines, 2007-2013*".

The financial instruments of cohesion policy are the Structural Funds (the European Regional Development Funds, ERDF, and the European Social Fund, ESF) and the Cohesion Fund. The Guidelines set out a framework for these financial instruments. These instruments aim to promote "*balanced, harmonious and sustainable development throughout the EU and improve the quality of life of Europe's citizen*". The new European territorial cooperation objective aims to "*promote stronger integration of the territory of the Union in all its dimensions*" (p10). In so doing, cohesion policy "*supports the balanced and sustainable development of the territory of the Union at the level of its macro-regions and reduces the 'barrier effects' through cross-border cooperation and the exchange of best practices*" (p10). The key test for programmes in the future, according to the Commission, will

be that of their contribution to growth and jobs in line with the renewed Lisbon agenda.

The document contains no explicit mention of polycentricity, polycentric urban development, or urban-rural relationships. It does, however, refer to the need for more balanced development and recognises the important role of urban areas for issues such as growth and jobs, implying that competitiveness can be improved by the clustering and networking of cities.

The document indicates that accessibility is one of a limited number of key priorities of cohesion policy. It identifies three priorities for programmes co-financed through cohesion policy: the first of these is the *"improvement of the attractiveness of Member States, regions and cities by improving accessibility, ensuring adequate quality and level of services, and preserving their environmental potential"* (p12).

Issues concerning the natural and cultural heritage are briefly mentioned in relation to urban and rural areas within the section entitled *"Taking account of the territorial dimension of cohesion policy"* (pp29-32).

The issues of vertical, horizontal and spatial integration are touched upon in a number of places in the guidelines. One of the stated aims of the document is to *"ensure that Community priorities are better integrated into national and regional development programmes"* (p4). The document also refers to the need for an *"integrated approach to territorial cohesion"* and *"integrated strategies for renewal, regeneration, and development in both urban and rural areas"* (p7). On territorial cohesion, the guidelines assert that the objective is to *"help achieve a more balanced development, to build sustainable communities in urban and rural areas and to seek greater consistency with other sectoral policies which have a spatial impact"* (p29). According to the document, this involves improving territorial integration and encouraging cooperation between and within regions.

8.5 Sectoral policies and programmes of the European Commission

In this chapter, the most relevant Directorate Generals of the European Commission are considered, assessing the degree to which ESDP is known, and the degree to which the mechanisms for internal coordination favour the implementation of territorial policies.

Table 17 ESDP application and spatial orientation per Directorate General

Directorate general	Most important cross-cutting concepts	Changes in delivery systems	Attention to spatial issues	Most important internal relationships	Awareness and influence of the ESDP
DG Regio	Economic cohesion Competitiveness	More areas eligible for regional assistance, not only the weakest European Territorial Cooperation	Territorial cohesion Competitive regions Territorial dimension of cohesion policy Urban development Urban-Rural relationships	DG Agri DG TREN DG Env DG Employment DG Education DG Enterprise	High awareness, substantial internal influence
DG Environment	Sustainable development Competitiveness Social cohesion Innovation Territorial cohesion	Wider range of instruments available: framework legislation thematic strategies benchmarking best practice guides	River basin management and soil policy have a spatial component	DG Agri DG TREN DG Regio DG Fish DG Semco	Moderate awareness, some influence on some areas of policy but no 'everyday relevance', keenness to do more with the ESDP
DG Energy and Transport	Competitiveness Sustainable development Social Cohesion	Agency set-up to deal with co-financing TENS Improved co-ordination between the EU and member states	Impact Assessment (some spatial issues covered and ESPON maps referenced)	DG Regio DG Env	Little awareness, low level of influence
DG Employment	Competitiveness Social cohesion Equal opportunities Innovation	Policies and activities heavily influenced by the relaunched Lisbon Strategy	Spatial disparities are becoming an increasing part of employment policy discourse Structural Funds have a spatial dimension	DG Economic and financial affairs DG Enterprise and industry	Little awareness, little influence

Directorate general	Most important cross-cutting concepts	Changes in delivery systems	Attention to spatial issues	Most important internal relationships	Awareness and influence of the ESDP
DG Agriculture and Rural Development	Competitiveness Innovation Sustainable Development	Rural development programmes	Impact Assessment (no spatial issues were encountered) Territorial balance is element of rural development policy	DG Regio DG Env	Some awareness, little influence
DG Enterprise and Industry	Competitiveness Innovation Social cohesion	Relay centres, networks, innovation regions	<i>Ex-ante</i> impact assessment of policy proposals (to a limited extent)	DG ECFIN DG Regio DG Employment	Low level of awareness, little influence
Secretariat General	Competitiveness Innovation Sustainable Development Social cohesion Equal opportunities	More focus on policy coordination as a result of EU enlargement, more focus on governance and attention to the role of regions	Impact Assessment	All DGs	Some awareness, limited influence

8.5.1 Uneven spatial impacts of EU sectoral policies

One of the ways in which ESDP was legitimised is that the spatial impacts of EU-policies are often seen as uneven and problematic. This generates extra costs, particularly at lower administrative levels, where spatial conflicts caused by EU policies have to be solved on the ground (e.g. Robert et al, 2001; van Ravesteyn and Evers, 2004³⁰). According to the ESDP, such costs can be avoided if the territorial dimension is taken into account during the development of policies and coordination takes place between them.

According to the ESDP, successive European Treaties have led to a stronger EU influence in the elaboration and implementation of national and regional policies and thus on European spatial development. This influence has mainly been via a number of 'territorially significant' EU sectoral policies³¹ (Table 18).

Table 18 EU sectoral policies with spatial impacts

Since the Treaty of Rome in 1957 (Treaty was signed in 1957, but came into force on 1/1/58) EU *transport policies* have concentrated on removing barriers at the borders between Member States and promoting the free movement of goods and persons. The emergence of a European *energy policy* came later: the oil crises during the 1970s being one of the main stimuli for the development of the policy.

The need for *regional development policies* was also recognised from the very beginning, as the necessity to promote balanced development by reducing the gap between the different regions and providing assistance for regions to catch up was recognised in the preamble to the Treaty of Rome. The Treaty provided for both the European Investment Bank (EIB) and the European Social Fund (ESF) to promote employment and improve the mobility of workers within the Community. Other instruments were introduced as the European Community developed and new Member States joined. Instruments of *cohesion policy*, such as the Structural Funds and the Cohesion Fund, seek to strengthen the economic, social and territorial cohesion of the Union by for example helping lagging regions to catch up, declining industrial regions to restructure, declining rural economies to diversify and deprived urban neighbourhoods to redevelop.

Environmental action by the Community began in 1972 with four successive action programmes, based on a vertical and sectoral approach to ecological problems. During this period, the Community adopted some 200 pieces of legislation, chiefly concerned with limiting pollution by introducing minimum standards, notably for waste management, water pollution and air pollution. The Treaty of Amsterdam, which entered into force in 1999, enshrines the principle of sustainable development as one of the European Community's aims and makes a high degree of environmental protection one of its absolute priorities.

Agriculture was an issue of significant importance for European policy-makers when the Treaty of Rome was negotiated. The memory of post-war food shortages was still vivid, and agriculture constituted a key element from the outset of the European Community. The Treaty of Rome defined the general objectives of a common agricultural policy. In 1960, the six founding Member States of the European Community adopted the principles of the Common Agricultural Policy (CAP). Two years later, in 1962, the CAP came into force. The CAP still remains high on the European political agenda, particularly given the size of the CAP budget.

³⁰ Robert, Jacques, Thomas Stumm, Jan Maarten de Vet, G.J. Reincke, M. Hollanders, and M.A. Figueiredo. 2001. Spatial Impacts of Community Policies and the costs of non-coordination, Brussels: European Commission, DG Regio.

Ravesteyn, Nico van, and David Evers. 2004. Unseen Europe. A survey of EU politics and its impact on spatial development in The Netherlands. Den Haag/Rotterdam: Ruimtelijk Planbureau/NAI Uitgevers.

³¹ 'Territorially significant' in this context means that EU policies affect the spatial pattern of the economy, society or the environment and thereby alter land use patterns or landscapes.

The ESDP identifies seven key areas where the European Commission's policies and activities have 'territorially significant' implications for spatial development in the EU³²:

- Trans-European Networks (TENs)
- Structural Funds
- Environmental Policy
- Common Agricultural Policy (CAP)
- Community Competition Policy
- Research, Technology and Development (RTD)
- Loans from the European Investment Bank

The Structural Funds, Trans-European Networks, and environmental policies are particularly important, according to the ESDP, since they have the most direct effect on development activities in Europe. From a financial perspective, the Common Agricultural Policy (CAP) and the Structural and Cohesion Funds are the most important policy measures of the EU. Agricultural subsidies and rural development projects currently account for 43% of the total 2005 EU budget of €117 billion. Regional aid ('structural operations') is the second biggest item with 36%. Internal policies (including a substantial amount of funding for research) and external action (foreign aid and foreign policy) currently account for 8% and 5% of the EU's budget respectively.

In most cases, the objectives of EU policies, as defined in the European Treaties, do not have an explicit spatial character but nevertheless have a significant impact on the territory of Europe. According to the ESDP, spatial impacts depend on the specific method of intervention: whether for example the intervention is *financial* (e.g. income support, regional and horizontal structural measures, and sectoral measures such as research programme financing), *legislative* (e.g. competition rules, market liberalisation, environmental legislation, market-based instruments) or *planning* (e.g. trans-European transport and energy networks) in nature. Some directives also directly affect the use of land (e.g. the Birds Directive or the Habitats Directive). In addition, a number of policies directly influence the behaviour of economic actors, which in turn affect patterns of spatial development.

³² An overview of spatially relevant EU policies can be found in the third interim report of ESPON project 2.1.1 (Territorial Impact of EU Transport and TEN Policies). A more detailed assessment of the territorial impacts of European agricultural policy, transport policy, and environmental policy can be found in the EU study entitled, 'Spatial impacts of community policies and costs of non-coordination' (Robert et al, 2001). A more recent study entitled 'Unseen Europe' focuses on the spatial impact of EU policies in The Netherlands (Ravensteyn and Evers, 2004).

The ESDP identifies a number of specific ways in which policies can have a spatial dimension, including the following:

- Designated areas for assistance or protection, such as those defined under the Structural Funds, the Habitats Directive and the Natura 2000 network, which means these areas qualify for special treatment (e.g. funding for development, permissible types of development).
- Areas/corridors for the improvement or provision of infrastructure, such as the Trans-European Networks (particularly for transport and energy) and related infrastructure (e.g. freight distribution centres or power stations), which exert a direct impact on territorial development.
- Regionally differentiated policies, such as innovation policy that take account of regional industries/specialisation or energy policies that take account of regional energy resources, which can lead to different policy responses in different regions.
- Integrated multi-sectoral initiatives that try to develop approaches with a strong spatial dimension such as the INTERREG Initiative on trans-national and cross-border cooperation and the LEADER+ Initiative on rural development.

8.5.2 Other cross-cutting concepts are more important than territorial aspects

A variety of crosscutting concepts can be found in current policy documents. Concepts such as sustainable development, social cohesion and equal opportunities for example feature in many European policy documents across a range of policy sectors. Sustainable development is enshrined as an overarching goal of European Union policy in the Amsterdam Treaty, economic and social cohesion are set as objectives of the Union in the Maastricht Treaty (the Treaty of the European Union) and equal opportunities for women and men is contained in the Treaty of Rome.

Certain crosscutting concepts have a specific spatial dimension. Examples here include territorial cohesion, polycentric urban development, urban-rural linkages, and parity of access to infrastructure and/or knowledge and management of the natural and/or cultural heritage. These are all identified in the ESDP (although not necessarily created by the ESDP). Only one of these concepts, territorial cohesion, is enshrined in a European Treaty (the Amsterdam Treaty refers to social and territorial cohesion³³); the others have a less official status.

³³ The draft European constitution also contains a reference to economic, social, and territorial cohesion under Art 3.

The importance and origins of these crosscutting concepts, both spatial and non-spatial, were explored during interviews with officials from the European Commission. A number of general observations can be made concerning the importance and origin of these concepts:

- *Competitiveness* is considered an important crosscutting issue across many policy sectors in the European Commission. Emphasis has increased in recent years primarily as a consequence of the greater initial focus on the Lisbon Strategy. In DG-Agriculture and Rural Development, for example, the issue of competitiveness is reflected in the first axis of the new rural development strategy ('improving competitiveness for farming and forestry').
- *Innovation* and *sustainable development* are considered very important crosscutting issues in some policy sectors within the European Commission. Interviewees in DG-Agriculture and Rural Development, DG-Employment, Social Affairs and Equal Opportunities and DG-Enterprise and Industry consider innovation and sustainable development to be important for their area of policy. They also consider that innovation has become more important in recent years, primarily as a consequence of the Lisbon Strategy. Some interviewees, on the other hand, consider these issues to be less relevant, like the one in DG-Employment, Social Affairs and Equal Opportunities considers the issue of sustainable development peripheral to policy within this DG as it 'has more to do with environment policy'.
- *Economic cohesion* is considered very important. Officials from DG *Regio*, which is responsible for cohesion policy, consider the pursuit of balanced development across the EU to be a fundament of European integration. Its legitimisation is to compensate for excessive differences in development between regions as a result of the single market from which some regions profit more than others.
- *Social cohesion* and *equal opportunities* are also considered important crosscutting issues by interviewees in some policy sectors. Naturally, these issues are considered important in DG-Employment, Social Affairs, and Equal Opportunities, which has more ownership and responsibility for them.
- Most of the crosscutting concepts with a specific spatial dimension (territorial cohesion, polycentric urban development, urban-rural linkages, parity of access to infrastructure, knowledge, and management of the natural and/or cultural heritage) are not considered very important by many interviewees. In fact some interviewees seemed uncertain as to the meaning of some of them, particularly the concepts of polycentric urban development and urban-rural linkages.

In general, the crosscutting concepts that are enshrined in European Treaties are considered to be more important for policy than the concepts that do not feature in the European Treaties. As few crosscutting issues with a specific spatial dimension are enshrined in European Treaties, territorial crosscutting issues are generally considered less important for policy than other crosscutting concepts such as sustainable development, social cohesion and equal opportunities. This may hamper the use and application of the ESDP in EU policies. A summary of the importance of cross-cutting issues within different DGs of the European Commission is presented in Table 17.

8.5.3 Attention to spatial issues through impact assessments

When questioned about the assessment of the spatial or territorial implications of policy, a number of European Commission interviewees referred to the EU's impact assessment procedure for major legislative and policy-defining initiatives. The procedure, which was announced in 2002, was put in place to improve the quality and coherence of the policy development process, to contribute to an effective and efficient regulatory environment and to help implement the European strategy for Sustainable Development in a more coherent manner (European Commission, 2002).

Internal guidelines and a manual for impact assessment ('Impact Assessment in the Commission – Guidelines' and 'A Handbook for Impact Assessment in the Commission') were developed to assist the assessment procedure. Since 2003, all major legislative and policy-defining proposals contained in the Commission's annual Work Programme have been subject to impact assessment under the proposal while around 90 impact assessments have been carried out to date³⁴.

In 2005, the Commission's internal guidelines were updated following a stocktaking exercise in 2004. In terms of territorial or spatial analysis, the new guidelines specify that assessment should consider 'the geographical distribution of effects' using various qualitative and quantitative techniques (European Commission, 2005b). The guidelines do not however contain specific details about how the territorial impacts can be assessed using these techniques and some interviewees within the European Commission referred to this point.

In DG-Agriculture and Rural Development, the 2004 Regulation on Rural Development was subject to an impact assessment, including mapping of problems to be addressed by rural development policies (e.g. nitrate vulnerable zones, areas of soil erosion). An impact assessment was also

³⁴ See Annex 12 for a list of all impact assessments of major legislative and policy-defining initiatives carried out to date.

carried out for the 2005 EU Rural Development Strategy. The spatial implications of the decisions did not however feature in either of the two impact assessment reports.

In DG-Energy and Transport, various policy options for the revision of the TEN-T Guidelines were subject to an impact assessment in 2003. The assessment contained some consideration of spatial implications and interestingly made use of information from two ESPON projects³⁵.

As well as the EU's impact assessment procedure for major legislative and policy-defining initiatives, the interviewees provided a few other examples to illustrate how the spatial or territorial implications of policy have been considered. The 2002 'Implementation Package' of the European Employment Strategy for example refers to "*considerable regional disparities [in Ireland]... in employment and unemployment rates but also educational levels and earnings [which] risk impeding sustained and balanced development*". According to one interviewee from DG-Employment, Social Affairs and Equal Opportunities, spatial disparities are becoming "*an increasing part of employment policy discourse*".

In DG-Environment, the 2000 Water Framework Directive requires water resources to be managed by river basin, implying a coordinated and often cross-border approach. According to one interviewee this is an example of an area of policy that has become more spatially oriented.

In DG-Agriculture and Rural Development, one of the key actions under axis 2 of the LEADER+ Initiative is entitled 'promoting territorial balance': another possible indication that EU policy may be becoming *more* spatial.

There is moreover increasing attention on spatial issues within regional policy, largely due to the concept of territorial cohesion, which was a personal interest of former Commissioner Michel Barnier, and was included in the Constitution (Article 3) together with economic and social cohesion. The Second as well as Third Cohesion Reports elaborated on the concept. The recent document 'Cohesion Policy in Support of Growth and Jobs: Community Strategic Guidelines 2007-2013' (CEC 2005) raises attention on the 'territorial dimension of cohesion policy'. Interestingly, although the Constitution has been put on hold, there is nevertheless an increasing focus on the territorial logic behind structural funds investments in regions, according to some officials of DG-Regional Policy.

³⁵ ESPON Project 1.2.1 – Transport services and networks: territorial trends and basic supply of infrastructure for territorial cohesion and ESPON Project 2.1.1 – Territorial impact of EU transport and TEN policies.

8.5.4 Inter-sectoral cooperation is often *ad-hoc*

A number of interviewees expressed the view that there are strong links between various Directorates within the European Commission. Some interviewees felt that these links are stronger now than in the past. For some, the reason for this is practical. In the case of DG-Employment, Social Affairs, and Equal Opportunities, links with DG-Economic and Financial Affairs and with DG-Enterprise and Industry have increased mainly as a result of the need to cooperate on various actions connected with the Lisbon Strategy. In the case of DG-Agriculture and Rural Development, links with DG-Regional Policy have increased as a result of the LEADER+ Initiative, which is financed by the Structural Funds, and links with DG-Environment have increased as a result of the Soil Strategy and the forthcoming Soil Thematic Strategy.

Strong links do not however exist between all Directorates. It seems that links are usually only made for practical substantive reasons. In addition, the interviewees give the impression that the drafting of policy is still very sectoral. Policy is often 'filled in' by other Directorates during consultation rounds but the drafting process is primarily based on a sectoral (departmental) approach and supplemented with a smattering of cross-sectoral input via consultation. Even the Secretariat General, a fairly small DG, does not really coordinate policies.

The two coordination instruments that the Commission has, the Inter-Service Groups and Task Forces, are *ad hoc* or temporary bodies that often deal with very specific issues³⁶. Obviously, this is not a very receptive environment for the ESDP to find easy ways to be applied. In terms of its own goals at this point, the ESDP still has 'a world to win'.

8.5.5 Limited familiarity with the ESDP

Most interviewees report awareness of the existence of the ESDP but many admit to unfamiliarity with its content. For some interviewees, the reason given is that they did not work at the Commission at the time that the ESDP was produced. For others, the reason is that they feel that the ESDP has little impact on their work. Most interviewees report that their unfamiliarity with the ESDP is probably typical for their Directorate-General. Some interviewees hold the view that newer colleagues are less likely to have come across the ESDP than colleagues who have worked in the Commission for a period of longer time.

³⁶ As part of the ESDP consultation process, an inter-service group discussed the spatial impact of EU policies in 1998 (Commission Services, 1999; Faludi and Waterhout, 2002).

All interviewees report that they have not heard much mention of the ESDP recently. A number of interviewees however reported that the ESDP might still be used where it lends support to a specific policy or piece of legislation (e.g. the 2001 European Sustainable Development Strategy and the 2001 White Paper on European Governance). In most other cases, the ESDP is not likely to feature in policy documents or in the development of policy.

A few interviewees shared the opinion that the advisory, non-binding status of the ESDP is an important reason for the limited influence and awareness of the document. One interviewee mentioned the fact that the ESDP, although in line with the policy under his responsibility, falls short on substance and is thus not very helpful in solving specific policy issues.

One interviewee reported that the EU Maritime Policy³⁷, currently being prepared in the Commission, has some similarities with the ESDP: the Maritime Policy attempts to identify the potential for beneficial synergies between sea-related sectoral policies as well as examining how these could help improve competitiveness, encourage growth and boost employment in an economic, social, and environmental sense. It covers a number of policy sectors and has a clear trans-national dimension. The interviewee was intrigued as to whether issues such as institutional complexity (i.e. many actors from different sectors and different levels) and competence would also be as problematic for Maritime Policy as it is, in the view of the interviewee, for the ESDP.

8.5.6 The ESDP is used when it lends support to a policy

The conclusion is that application of the ESDP at the EU level, just as at other levels of government, is institutionally complex. In the European Commission, policy coordination is undoubtedly a goal but arguably not the reality. As such, different directorates have different interests and priorities. The European Commission is heterogeneous and, although attempts have been made to assess policy impacts and provide some horizontal coordination of policy, the actual drafting of policy still remains very sectoral. Some cross-sectoral input is provided via consultation but this is mainly done in a reactive rather than in a proactive manner.

The ESDP is mainly used where it lends support to a specific policy or piece of legislation. In most other cases, the ESDP is not likely to feature in policy documents or the in the development of policy. It is perhaps no coincidence that two of the main EU policy documents to refer to the ESDP, namely, the EU sustainable development strategy and the White Paper on EU Governance, were both published in the same year (2001), and at a time

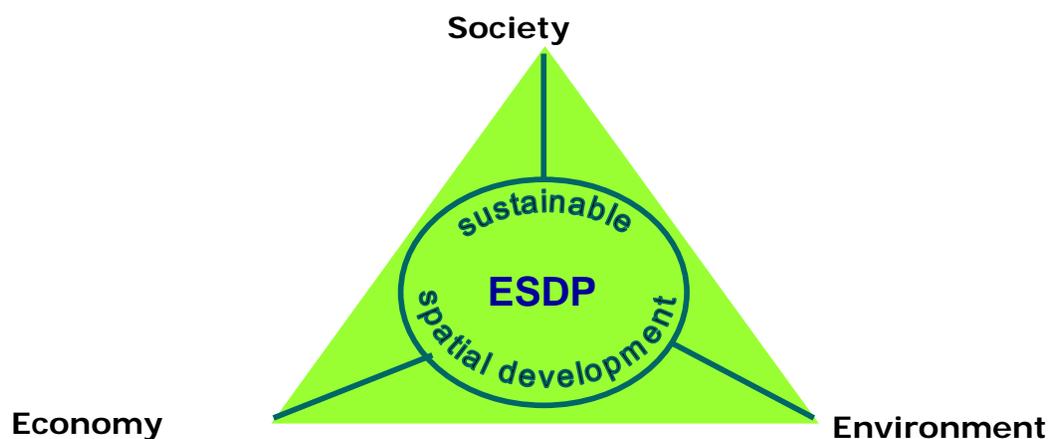
³⁷ Policy proposals for the EU Maritime Policy are expected to appear in a green paper in 2006.

when the ESDP was still quite new. More recently, there have been few European policy documents that refer so directly to the ESDP.

Crosscutting concepts that are enshrined in European Treaties are considered more important for policy than the concepts that do not feature in the European Treaties. Most concepts with a specific spatial dimension, such as polycentric urban development, urban-rural linkages, parity of access to infrastructure and/or knowledge and management of the natural and/or cultural heritage, do not feature in any of the European Treaties and are not generally considered very important for policy by many officials in the Commission.

Crosscutting concepts that have an economic dimension such as competitiveness or innovation, have more resonance with policy-makers and are more often found in policy documents. The three dimensions of sustainable development, the social, the economic and the environmental, which appear in the ESDP as the key objectives for balanced and sustainable spatial development (Figure 4), would seem to be somewhat out of balance according to the interviewees: with economic considerations weighing more heavily than social or environmental considerations. This is undoubtedly linked to the Lisbon Process, but has been the case since before agreement was reached on the Lisbon Agenda goals.

Figure 4 ESDP objectives for balanced and sustainable spatial development.



Source: ESDP, p10.

Although the ESDP is not that familiar to most of the DGs of the European Commission, there is evidence of a growing policy discourse on the spatial dimension of policy in the European Commission, one of the underlying

issues in the ESDP. There is therefore a potential for conformity, but as yet, little actual application.

Within DGs, there is awareness of the ESDP but unfamiliarity with its content. For some this is due to the age of the document – it is now seen as rather 'old hat'. For others it is because the ESDP is felt to have too little connection or relevance. The ESDP is a document that lays down principles and concepts but is very difficult to apply directly. It attempts to address various levels of government but in so doing it is, by necessity, very general lacking specificity for any of the levels.

8.5.7 DG Regio and the ESDP

Unsurprisingly, the ESDP is most familiar in DG-Regional Policy, which, as has been described above (section 8.2), was deeply involved in its inception. Within DG Regio itself this involvement was contested by those officials who were not convinced of the added value of a spatial approach for regional policy. The sceptics have long been in the majority and so the ESDP's application by DG Regio is not something that should be taken for granted. Intense internal debates have been held over the Second and Third cohesion reports and to what extent these documents should be inspired by the ESDP. The Second Report on Economic and Social Cohesion contained a small chapter which had the term, territorial cohesion, in its title. This was heavily inspired by the ESDP as were the Third Cohesion report and the Community Strategic Guidelines. In particular the concept of polycentric development and more generally the ESDP's spatial approach have influenced these documents. The application of these concepts has however changed over time and adapted to the changing political context around cohesion policy.

The Second cohesion report, which refers widely to the ESDP, has in particular been inspired by the concept of polycentric development. However, while this concept has been related to both cohesion and competitiveness in the ESDP context, it is here interpreted primarily in terms of cohesion. In fact, throughout the ESDP process, DG Regio never showed much interest in notions of 'competitiveness' and as such, the Second cohesion report focuses in the main on reducing disparities between regions. In it, Europe is viewed as a "very centralised territory," a situation that polycentrism should rectify (CEC 2001, 29).

With the Third cohesion report, published in 2004, the perspective changed, and in this document cohesion is framed in terms of development and competitiveness. This paradigmatic change does not only apply to the territorial cohesion chapter, but can be found throughout the document and should be interpreted as an answer to the strong critique on cohesion policy by among others the authors of the *Sapir Report* (2004). While the ESDP,

talks about making use of endogenous potential, the third cohesion report identifies "urban systems [as] the engines of regional development," and it is because of "their geographical distribution across the EU that an imbalance between the core and periphery is most evident." In so doing explicit reference is made to the 'pentagon' and also to the spatial approach: "To combat territorial disparities and achieve a more spatially balanced pattern of economic development requires some coordination of development policies if they are to be coherent and consistent with each other. It was for this reason that the European Council in Potsdam in 1999 defined the European Spatial Development Perspective." (CEC 2004, 20) Here the term 'competitiveness' is omnipresent, in contrast to its almost total absence in the Second cohesion report.

Unmistakably, in putting forward a territorial cohesion agenda, DG Regio is increasingly adopting the competitiveness storyline, which can be explained by the strong emphasis that both the former president of the Commission, Romano Prodi, and the current president, Manuel Barroso, put on the Lisbon Agenda. Over the last few years, this agenda has, together with the constitutional treaty, become the dominant discourse in EU politics. Policy is increasingly being framed in terms of growth and jobs, the key themes of the revised Lisbon Agenda (CEC 2005). And thus the report, Cohesion Policy in Support of Growth and Jobs - Community Strategic Guidelines 2007-2013 by DG Regio and DG Employment (2006) includes a short chapter on territorial cohesion and cooperation. Unlike the third cohesion report, it does not present new perspectives on competitiveness. Interestingly, though, it explains "the contribution of cities to growth and jobs" (DG Regio and DG Environment 2006, 29). Although the ESDP itself is no longer mentioned it has clearly inspired DG Regio to raise, via a succession of documents, attention on territorial issues.

8.6 The European Conference of Ministers responsible for Regional/Spatial Planning - CEMAT

8.6.1 CEMAT was the first European platform for the discussion of spatial planning issues

The European Council of Ministers responsible for Regional/Spatial Planning (*Conférence européenne des Ministres responsables de l'Aménagement du territoire* or CEMAT) is part of the Council of Europe. The CEMAT began its activities in 1970 when it first met in Bonn, and it brings together representatives of the 46 members of the Council of Europe in order to pursue the common objective of a sustainable spatial development of the European continent. Since the Council of Europe is not a supranational

organisation, its resolutions and proposals are non-binding in nature. Their application depends on the Member States themselves.

CEMAT is relevant for ESDP application for several reasons, one of them being the general assumption that the Council of Europe paves the way for future EU enlargement. In the field of spatial planning it thus makes sense to let non-EU member states become accustomed to planning principles used by EU countries and regions. Another reason is that many spatial planning issues are trans-national, crossing the border of the EU and neighbouring countries (which, except Belarus, are all part of the Council of Europe).

Since 1970 the CEMAT has adopted a number of resolutions. In fact, prior to ESDP cooperation, CEMAT was the prime platform for discussing spatial planning issues at the European level. Fundamental documents, which have guided spatial planning policies, have from time to time been adopted during the activities carried out over the years:

- European Regional/Spatial Planning Charter, adopted in 1983 at the 6th Session of the CEMAT in Torremolinos, was incorporated into Recommendation (84) 2 of the Committee of Ministers to Member States on the European Regional/Spatial Planning Charter
- European Regional Planning Strategy presented at the 8th Session of the CEMAT in Lausanne in 1988
- The Guiding Principles for the Sustainable Spatial Development of the European Continent, adopted at the 12th Session of the CEMAT held in Hanover 2000 and incorporated into Recommendation (2002) 1 by the Committee of Ministers to the Member States on the Guiding Principles for the Sustainable Spatial Development of the European Continent

The mechanisms used for the development of these activities consist of a Ministerial Conference every 3 years, two seminars or conferences per year and two meetings of the Committee of Senior Officials per year.

Given the overlap between the Council of Europe and the EU, members tend to have a different appreciation and interest in CEMAT activities, with EU members prioritising EU activities. In the run-up to the EU enlargement in 2004 CEMAT profited from increased levels of interest in both existing and future EU members. After the enlargement process was completed, the new EU members in general became less interested as they had increasingly to focus on EU matters. As such, the focus of CEMAT is now moving further eastwards towards Russia and former Soviet republics that are now in a process of transformation, and where existing planning systems and principles are increasingly found to be less appropriate.

8.6.2 Close relations between CEMAT and the ESDP process

In 1988, during its eighth meeting in Lausanne, the CEMAT adopted its 'European Regional Planning Strategy'. Interestingly, because they disliked the generally poor application of CEMAT agreements, it was at this meeting that the French Minister Chérèque and his Dutch counterpart Nijpels decided to organise an informal ministerial meeting under the umbrella of the European Communities in order to start up a spatial planning process with more potential impact. This resulted in a meeting in 1989 under the French presidency of EU Ministers responsible for spatial planning in Nantes, which as is known, saw the birth of a process that finally resulted in the adoption, in 1999, of the ESDP (Faludi and Waterhout, 2002).

The ESDP in turn has been a major source of inspiration for the CEMAT to develop and adopt the 'Guiding Principles for the Sustainable Spatial Development of the European Continent', or in short: the 'Guiding Principles'. At the CEMAT conference of 1994 in Oslo resolutions passed on strategies for sustainable regional/spatial development in Europe beyond the year 2000. Three years later in Limassol a resolution passed which asked, while referring to the ESDP 'in the making', for the elaboration of a the guiding principles for sustainable and comprehensive spatial development in Europe in the next century. This resulted in the Guiding Principles document that was subsequently adopted at Hanover in 2000.

Table 19 CEMAT's principles for a sustainable planning policy for Europe

Reflecting on spatial development policies in Europe and their new continent-wide challenges and prospects, ten principles for a sustainable planning policy for Europe were developed:

Promoting territorial cohesion through a more balanced social and economic development of regions and improved competitiveness

Encouraging development generated by urban functions and improving the relationship between towns and countryside

Promoting more balanced accessibility

Developing access to information and knowledge

Reducing environmental damage

Enhancing and protecting natural resources and the natural heritage

Enhancing the cultural heritage as a factor for development

Developing energy resources while maintaining safety

Encouraging high quality, sustainable tourism

Limitation of the impacts of natural disasters

These principles are reflected in the light of development measures for the individual regions of Europe, defined as cultural landscapes, urban areas, rural areas, mountains, coastal and island regions, Euro-corridors, flood plains and water meadows, redundant military sites and border regions (CEMAT 2000, p.9-17).

8.6.3 Role of ESDP in drafting the Guiding Principles

The decision to develop the Guiding Principles was inspired by the ESDP. The 15 EU-members required the contents of the Guiding Principles for obvious reasons to be in line, or at least compatible, with the ESDP. Furthermore the Guiding Principles had to be more flexible than the ESDP in order to be able to apply to the even more diverse territory covered by the Council of Europe.

During the drafting process the EU15 members (with some exceptions), were not particularly active, as they were generally more concerned with the ESDP. Some EU members did not even send representatives to CSO meetings, though most Central and Eastern European countries were represented. Germany held the Presidency of both the European Union and CEMAT, which placed it in a perfect position to guarantee coherence between the ESDP and the Guiding Principles (Selke and Müller, 2003). EU members showed more interest after the ESDP had been published as they recognised the importance of this exercise. No specific reference was however made to the ESDP during the CSO meetings. The ESDP was however used as the

major source of inspiration, and most ESDP principles were translated into the CEMAT document as well as much of the ESDP's terminology.

The writing of the Guiding Principles only took two years, which is significantly less than the time needed to draft the ESDP. The explanation is twofold. First, the institutional context of the CEMAT is far less complex than that of the European Communities, since its policies cannot be binding nor influence other policies (the ESDP for instance could potentially have an influence on the Structural Funds). In addition, there was no dispute over competence, as there had been during the ESDP process between the European Commission and the EU-Member States. A second reason for this was of course, that the Guiding Principles could be based on an existing policy text, the ESDP, on which there was consensus.

The Guiding Principles and the ESDP differ from each other on a number of points. In order to make a more concise and coherent document only 10 guiding principles have been developed, as opposed to the ESDP's 60 policy options. Another difference is the attempt within the Guiding Principles to differentiate between specific territorial categories such as coastal regions, mountain regions and border regions, and to translate the guiding principles for each of these categories. CEMAT's Guiding Principles also include the continental dimension of Europe as a specific challenge for spatial development policies. In short, the Guiding Principles are in complete conformity with the ESDP as they can be regarded as a translation and elaboration of the ESDP in order to meet the requirements and needs of the larger and geographically more diverse area covered by the Council of Europe.

8.6.4 Indirect application of ESDP principles through the CEMAT Guidelines

Since its adoption, the CEMAT Guiding Principles have been the point of reference for all CEMAT activities. If the ESDP is being applied in Eastern European countries then this has to be interpreted as an indirect application via the CEMAT guiding principles. Some of the interviewees speak of the 'hidden application of the ESDP', i.e. application by processes of secondary decision-making.

After the 12th CEMAT conference in 2000 in Hanover, several seminars have been organised each addressing a specific theme of the Guiding Principles (Table 20). Clearly then, the topics are in line with the ESDP. The seminars have been used to elaborate them further and can thus be regarded as follow up activities of the Guiding Principles and thus of the ESDP. Note, however, that with time the planning context changes, resulting in new issues appearing on the agenda and the amending of old ones.

Although there is no evidence of the direct application of the ESDP, CEMAT remains relevant as a field where ESDP principles are being taken into account.

The CEMAT Guiding Principles plugged a gap in Central and Eastern European countries, which were at the time in transition. The new conditions presented by the re-emergence of the market economy and democracy combined with the initial attempts towards decentralisation created a completely new context for spatial planning, while a new generation of post-Soviet era professionals assumed the lead role in driving the process forward in Central and Eastern Europe. In this context, the CEMAT guiding principles, which have been translated into most languages, offered badly needed support.

The ESDP was not considered to be a 'European' spatial development perspective since it only addressed the needs of the EU15, whereas the other members of the Council of Europe had quite different spatial planning problems and needs. Hence CEMAT meetings and activities never refer to the ESDP. The CEMAT Guiding Principles have thus plugged this gap, and act as the reference point for CEMAT activities. In conclusion, the ESDP is applied in CEMAT activities through the Guiding Principles in an indirect and thus often 'hidden' way. Interestingly, whereas the CEMAT Guiding Principles document forwards a message that is broadly consistent with the ESDP and its concepts, the CEMAT document has, as far as CEMAT activities are concerned, at the same time displaced attention to the ESDP.

Table 20 CEMAT Seminars

Location date	Topic
Thessalonica, Greece, 25-26 June 2001	Integration of the greater European spaces
Lisbon, Portugal, 26-27 November 2001	Landscape heritage, spatial planning and sustainable development
Dresden, Germany, 15-16 May 2002	The role of local and regional authorities in trans-national cooperation in the field of regional/spatial development
Sofia, Bulgaria, 23-24 October 2002	Spatial planning for the sustainable development of particular types of European areas: mountains, coastal zones, rural zones, flood-plains and alluvial valleys
Budapest, Hungary, 26-27 March 2003	Sustainable spatial development: strengthening inter-sectoral relations
Wroclaw, Poland, 30 June 2003	Natural disasters and sustainable spatial development: prevention of floods
Yerevan, Armenia, 28-29 October 2004	Spatial development governance: institutional cooperation networks
Strasbourg, France, 15 March 2005	The role of training in the implementation of the policy of sustainable spatial development in Europe
Moscow, Russian Federation, 26 September 2005	Networking for Sustainable Spatial Development of the European Continent
Bled, Slovenia, 17-18 November 2005	Urban management in networking Europe
Bratislava, Slovak Rep., 22-23 May 2006	Sharing responsibility for our region: the public interest for territorial development

8.7 DG Regio is the main user at the European level

In conclusion, the fate of the ESDP at the European level has been rather mixed.

The formal follow-up did not quite fit with initial expectations. The Tampere Action Programme, the TEAP, was only partially carried through as originally envisaged. Tasks that were well-defined and did not require a lot of cooperation between different actors have been implemented to a greater extent than other tasks. From 2001 onwards, most actions went on without an explicit link with the TEAP or even without the partners being aware that this was so. The loss of its monitoring and coordinating organ, the CSD, in 2001, is an important explanation. The emergence of a new political agenda and new concepts pushed the TEAP into the background.

On the other hand, several elements of the ESDP were carried through. The most prominent example is the ESPON programme 2002-2006, which will be

followed by the ESPON 2 programme 2007-2013. The ESDP also helped to give rise to INTERREG IIC, which was followed up by Strand B (trans-national cooperation) of the INTERREG IIIB Initiative, which is consequently the most closely related strand to the aims of the ESDP. The European Commission guidelines for INTERREG III specify that Strand B proposals should take account of the ESDP. The second and third reports on economic and social cohesion do also make reference to the ESDP.

Outside DG *Regio*, the ESDP is not very well known. The European Commission is heterogeneous and drafting of policy remains very sectoral. The ESDP is sometimes used where it lends support to a specific policy or piece of legislation. In most other cases, the ESDP is not likely to feature in policy documents or the in the development of policy. Two of the main EU policy documents to refer to the ESDP, the EU sustainable development strategy and the White Paper on EU Governance, were both published in the same year (2001), at a time when the ESDP was still quite new. More recently, there have been few European policy documents that refer so directly to the ESDP. Crosscutting concepts that are enshrined in European Treaties are considered more important for policy than the concepts that are not. Concepts with a specific spatial dimension do not feature in any of the European Treaties and are not generally considered very important for policy by many officials in the Commission.

The CEMAT cooperation process under the Council of Europe has been the main pan-European forum for discussing spatial development. The application of ESDP principles in Eastern European countries can be interpreted as an indirect application via the *CEMAT guiding principles* (from 2000), i.e. a form of 'hidden application of the ESDP'. The CEMAT Guiding Principles plugged a gap in Central and Eastern European countries, which were at that time in transition. The guiding principles were translated into most languages and offered support in a new context for spatial planning. Whereas the CEMAT Guiding Principles document forwards a message that is broadly consistent with the ESDP and its concepts, the CEMAT document has, as far as CEMAT activities are concerned, at the same time displaced attention to the ESDP.

9 ESDP application at the trans-national and cross-border level: evidence from INTERREG

9.1 The INTERREG programme as a way of implementing ESDP

At the trans-national level, the INTERREG III programme provides financial support for projects that attempt to apply several ESDP topics. It should of course be noted that INTERREG has other goals however, and that in most cases they are more important for the projects concerned than the ESDP concepts.

It is also necessary to point out that, cross-border cooperation in many regions is a much older phenomenon than INTERREG, as for example with Benelux cooperation, the Nordic Council of Minister's cross-border programmes or more recently, VASAB cooperation in the Baltic Sea Region.

The increased volume of trans-national cooperation in particular can nevertheless be explained primarily by INTERREG. The relationship between Strand B and the ESDP is therefore examined in greater detail in this chapter, since Strand B is most closely related to the ESDP concepts. Evidence is drawn from the programming documents (e.g. the Programme Complement) for all 13 INTERREG IIIB programming areas and from the mid-term evaluations of all INTERREG IIIB Programmes, many of which consider the extent to which the programme is coherent with the ESDP³⁸.

9.2 EU cross-border programmes from 1990

The European Union launched the INTERREG Community Initiative in 1990 in order to support the regions on the inner and outer borders of the Union and to help them cope with the difficulties arising from their territorial situation. The first INTERREG Community Initiative, INTERREG I (1990 to 1993), was devised as the European Community's response to the implications of the Single Market. It recognized the relatively disadvantaged situation of border regions throughout the European Community and proposed a two-pronged mechanism of support for such areas. INTERREG provided support for economic development in less developed border regions and, given the

³⁸ Although not explicitly required by EC regulation 1260/1999 laying down general provisions on the Structural Funds, most of the mid-term evaluations of INTERREG IIIB Programmes consider, to a greater or lesser extent, the coherence of the Programme and the ESDP. Article 42 of Council Regulation (EC) No 1260/1999 requires that the mid-term evaluation of INTERREG Programmes examine the initial results of the Programme, its relevance and the extent to which the targets have been attained. It also requires the assessment of the use of financial resources and the operation of monitoring and implementation.

limiting factors to such development engendered by borders, set such development within a cross-border focus.

The main objective of INTERREG I was the promotion of cross-border cooperation: between regions directly neighbouring each other. It had a budget of €1 billion and its priorities included tourism, human resource development, environmental protection, agriculture, fisheries and forestry, and regional development. The REGEN Initiative, also launched in 1990, aimed to fill in some of the missing links in the trans-European networks for transport and energy distribution in the Objective 1 regions.

The INTERREG Initiative was continued from 1994 to 1999 as INTERREG II, and combined the functions of the INTERREG I and REGEN Initiatives. INTERREG II had a total budget allocation of €3.5 billion (1996 prices) and comprised three strands: (i) cross-border cooperation (Strand A, €2.6 billion); (ii) trans-national energy networks (Strand B, €0.5 billion); and, post-1997, (iii) trans-national cooperation in the sphere of area development to tackle flooding and drought problems and to develop spatial planning for large groupings of geographical areas (Strand C, €0.4 billion).

The objectives of INTERREG II contained increased emphasis on cross-border cooperation. The introduction of the IIC strand was primarily a reaction to flooding problems in 1995 along the Rhine and Meuse rivers in Belgium, Germany, and The Netherlands, and was contained in a package deal that also included financial support for dealing with drought in the Iberian Peninsula. The IIC strand focussing on trans-national cooperation was very much in line with the agreements of the informal meetings of EU-ministers responsible for spatial planning in Liège (1993) and Leipzig (1994) that both proved to be crucial in the making of the ESDP (Faludi and Waterhout, 2002).

The third and current INTERREG Initiative (INTERREG III) covers the period between 2000 and 2006 and has a budget of more than €5 billion (2002 prices). The objective of INTERREG III is to strengthen economic and social cohesion in the Community by promoting cross-border, trans-national and inter-regional cooperation and the balanced development of the Community territory. Special emphasis is placed on integrating remote regions and those that share borders with the new Member States. INTERREG III has three strands: IIIA, IIIB and IIIC:

- Strand IIIA is concerned with cross-border cooperation between adjacent regions. This strand aims to develop cross-border social and economic centres through common development strategies. According to the European Commission, this strand is the most important part of the INTERREG Initiative because of its 'essential integrating role for the Union and the future Member States' (CEC, 2002:p8). It is administered through 64 programming areas lying along the Union's internal and

external borders, including a number along the borders of the new EU Member States.

- Strand IIIB is the follow-up of IIC in the previous programming period and is concerned with trans-national cooperation, and aims to promote better integration within the Union through the formation of large groups of European regions and supports actions involving national, regional, and local authorities. Special attention is given to the outermost parts of the EU and island regions. There are 13 programming areas for Strand IIIB.
- Strand IIIC, administered through four programming areas, focuses on inter-regional cooperation, and aims to improve the effectiveness of regional development policies and instruments through large-scale information exchange and the sharing of experience mainly by means of networks.

Of the three strands of INTERREG III, Strand B (trans-national cooperation) is most closely related to the aims of the ESDP. According to the 2000 Communication from the European Commission laying down the guidelines for INTERREG III, trans-national cooperation (Strand B) proposals should *"build on the experience of INTERREG II C and take account of Community policy priorities such as TENs and of the recommendations for territorial development of the European Spatial Development Perspective (ESDP)"* (European Commission, 2000).

9.3 Close relationship between INTERREG IIIB and the ESDP

Cooperation in terms of cross-border or trans-national dimensions is seen as a very important driver in the application of the ESDP. The INTERREG programme is considered the main instrument for the application of the ESDP.

Sector specific aspects dominate the discussion in the majority of INTERREG IIIA programmes, pushing the ESDP debate into the background. Programmes covering parts of Austria, Finland, France, Italy, Lithuania, Luxembourg, Portugal, and Norway however make reference to the ESDP influence in INTERREG IIIA programmes. On the other hand, the assessment in some countries is that local cross-border cooperation and arrangements concerning spatial development for cities and regions have *not* been affected by the ESDP. These include Hungary, the Netherlands, and the UK.

9.3.1 INTERREG IIIB - Most coherent with the ESDP

The main priorities of most Strand IIIB Programmes are quite coherent with the ESDP's three guiding policy guidelines³⁹. This is unsurprising since the 2000 Communication from the European Commission laying down the guidelines for INTERREG III specifies that Strand B proposals should take account of the ESDP.

In some areas, programming priorities directly reflect the ESDP policy guidelines (e.g. Atlantic Area, CADSES and the North Sea Region), whereas in other areas, the programming priorities bear much fewer similarities with the ESDP policy guidelines (e.g. Baltic Sea, Indian Ocean Area and Northern Periphery). Programme priorities do not always reflect all three ESDP policy guidelines very closely. In some programmes it difficult to identify priorities that are relevant to polycentric urban development or urban-rural relationships.

An examination of the allocation of financial resources according to the priorities of each of the 13 INTERREG IIIB Programmes reveals that, in general terms, funding is skewed towards priorities concerning sustainable development, prudent management and protection of nature and cultural heritage (Table 21). This is particularly the case in programming areas that cover parts of southern Europe (i.e. Mediterranean). For programming areas that cover parts of Northern Europe (both North West Europe and the Baltic), funding is often skewed towards priorities concerning the parity of access to infrastructure and knowledge. In all programming areas, funding is relatively more limited for priorities concerning the development of a balanced and polycentric urban system and a new urban-rural relationship.

All mid-term evaluations of the INTERREG IIIB Programmes, with the exceptions of the mid-term evaluations of the ARCHIMED, Central and Danubian Space (CADSES) and North West Europe (NWE)⁴⁰ programming areas, consider the extent to which the programme is coherent with the ESDP. Some of the mid-term evaluations contain brief mention of coherence with the ESDP while others contain a more detailed examination of this issue. The mid-term evaluation of the Western Mediterranean (MEDOCC) Programme, for example, contains a whole annex that considers the coherence between the programme and the ESDP.

³⁹ The ESDP's three policy guidelines are:

1. Development of a balanced and polycentric urban system and a new urban-rural relationship
2. Securing parity of access to infrastructure and knowledge
3. Sustainable development, prudent management and protection of nature and cultural heritage

⁴⁰ Although the mid-term evaluation of the NWE Programme did not consider coherence with the ESDP, the update of the mid-term evaluation of the NWE Programme did.

Table 21 ERDF Funding according to ESDP priorities

	ERDF contribution 2000-2006 (in M€)	Polycentric Spatial Development	New urban-rural relationship	Parity of access to infrastructure and knowledge	Wise management of cultural and natural heritage	Spatial integration	Other (incl. prog. adm.)
Alpine Space	60,6	7,6%	7,6%	32,1%	35,6%	11,3%	5,9%
Archimed	79,5	3,3%	6,4%	19,7%	44,8%	9,3%	16,5%
Atlantic Area	118,7	17,8%	5,9%	28,2%	30,1%		18,0%
Azores, Madeira, Canaries (MAC)	136,0	3,9%	7,4%	34,3%	18,0%	8,2%	28,2%
Baltic Sea	100,2	28,2%	8,7%	19,5	15,6%	22,7%	5,4%
Caribbean Space	12,0	<5,4%	<5,4%	>35,8%	31,7%		>21,7%
Central and Danubian Space (CADSES)	153,7	12,8%	5,5%	18,3%	40,2%	13,9%	9,4%
Indian Ocean/Réunion	5,0	26%	13%		24%		37%
Northern Periphery	21,2		8,9%	22,5%	24,1%		43,9%
North Sea	129,3	9,0%	8,7%	16,7%	42,1%	14,1%	9,5%
North West Europe	328,6	19,1%	4,8%	26,1%	29,7%	9,4%	10,9%
South West Europe (SUDOE)	66,0	7,0%	10%	28,9%	27,0%		27,1%
Western Mediterranean	103,6	15,2%	4,8%	21,6%	39,5%	11,9%	7,0%
Total	1314,4	>13,5%	6,5%	>24,4%	31,6%	10,8%	>13,2%

Source. Inforegio website, INTERREG IIIB programme websites, The operational programmes, mid-term evaluations and programme complements of the INTERREG IIIB programmes.

The mid-term evaluation of the North Sea Programme highlights the fact that the coherence between the ESDP and projects funded under the programme is part of the process of project evaluation. Projects are scored

according to the degree to which they assist in implementing the ESDP, the Spatial Perspective for the North Sea Region and/or the EU Trans-European Networks. Of the 20 project applications that had been approved at the time of preparing the mid-term evaluation of the North Sea Programme, 20% scored highly, 70% moderately and 10% low with regard to assisting in implementing the ESDP, the Spatial Perspective for the North Sea Region (NORVISION) and/or the EU Trans-European Networks.

Other programming areas have similar requirements although these are not always part of the formal evaluation process for project proposals. In the Alpine Space and CADSES programming areas, for example, conformity with the ESDP is considered during project selection.

9.3.2 Influence of the ESDP on INTERREG IIIB in practice: the example of North West Europe

The drafting, in 2001, of the Community Initiative Programme (CIP) for the NWE area, which replaced the North West Metropolitan Area (NWMA) Operational Programme, was subject to fierce debate about its content. These debates took place within the International Working Party (IWP) that provided the temporary structure that carried out the work and which later became the Monitoring committee. The IWP contains all seven NWE countries plus Switzerland, which has a different status (Swiss cantons are not eligible for ERDF money, so the participation of Swiss partners has to be exclusively financed out of Swiss means, including possible subsidies from the Swiss Confederation).

At the core of the CIP are five priorities, three of which directly reflect the thematic priorities of the ESDP and the NWMA Spatial Vision:

- A more attractive and coherent system of cities, towns and regions (NWE Priority 1)
- Accessibility to transport, communications infrastructure and knowledge (NWE Priority 2)
- Stronger ecological infrastructure and protection of cultural heritage (NWE Priority 4)

In addition, two other priorities (Priority 3 – Water resources and the prevention of flood damage and Priority 5 – Enhancing maritime functions and promoting territorial integration across seas) originated from the intensive lobbying of actors who had previously cooperated under IRMA, a strand of INTERREG IIC. According to one interviewee (see Annex 10 for a list of interviewees), both of these priorities form legitimate policy areas (perhaps more than those inspired by the ESDP) where the added value of trans-national cooperation can easily be demonstrated.

Any formal project application to the NWE has to be sent to the Joint Technical Secretariat (JTS). The JTS first checks against eligibility criteria, including criterion 4, which requests 'a positive contribution to sustainable development and to the implementation of at least one policy option of the ESDP' (NWE, 2003, p52), before looking into the content of the actual application.

In summary, the ESDP has certainly played a role in the NWE INTERREG IIIB area. It has also influenced selection and approval of projects, since contribution to the application of the ESDP is one of the selection criteria used for project assessment. Nevertheless, the use and application of the ESDP in INTERREG IIIB areas also seems rather dependent on the institutional context. Thus, the use and application of the ESDP in other INTERREG IIIB projects may not necessarily follow the same pattern.

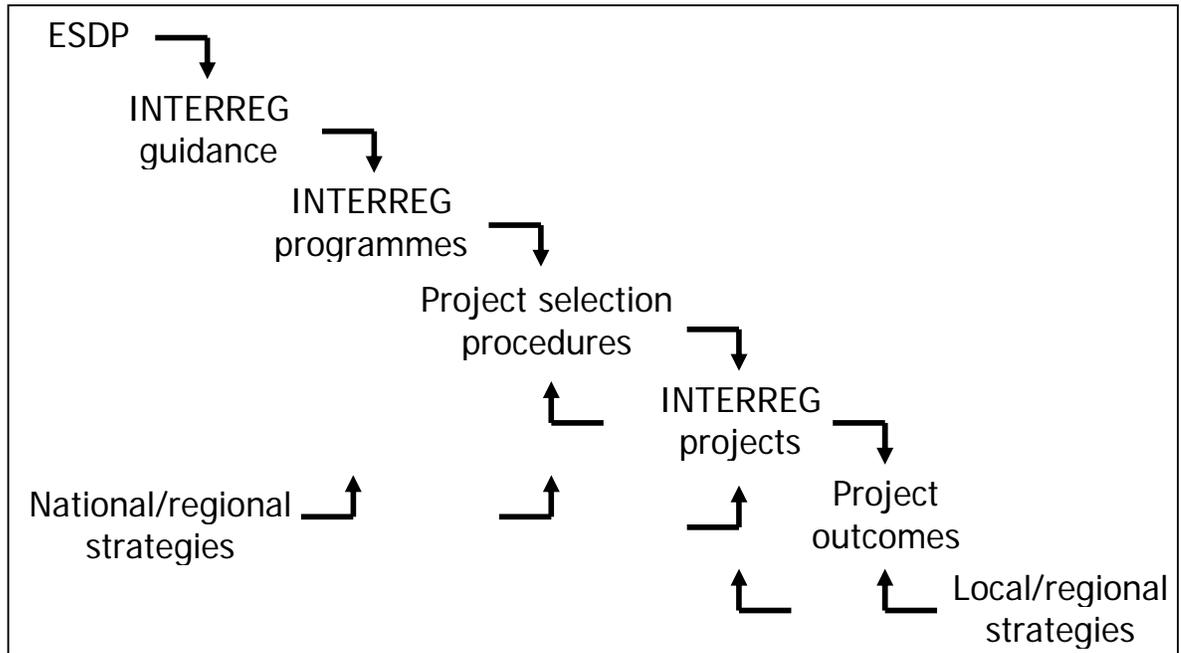
9.4 INTERREG, more important for the ESDP than vice versa?

The conclusion is that INTERREG is important in the dissemination of ESDP principles, but that moving from a statement about overall principles to the fine detail of project application is complicated and therefore difficult to describe as a cause-effect relation.

There are various intermediate steps (and programming documents) between the ESDP and the implementation of INTERREG projects (Figure 5). There are for example the Community INTERREG guidelines, the Community Initiative Programmes, and the Operational Programmes. In addition there are the procedures for funding allocation and project selection. All of these stages mean that the translation of the ESDP and the key concepts within the document into practical projects may be very indirect and that certain messages or concepts from the ESDP can often get lost along the way.

Some programming areas have made ESDP conformity an eligibility and selection criterion, thus establishing a direct link between the ESDP and the contents of projects. The application of the ESDP through INTERREG is therefore somewhat mixed. Whereas on the one hand the causal link between the ESDP and INTERREG measures and projects is very indirect with several steps in between, the link between the ESDP and some INTERREG measures and projects is sometimes virtually direct as when ESDP concepts have been directly used to define measures and projects.

Figure 5 The link between ESDP goals and INTERREG project



Source: Waterhout and Stead, 2006

10 ESDP application at the national and regional levels

10.1 What influence has the ESDP had in the ESPON countries?

The ESDP was developed cooperatively between the EU Member States and the European Commission. The national level is therefore no less important than the European level.

Since the main impact of the ESDP can be expected to be through its influence on the international professional discourse, the impacts are not restricted to those countries that were EU Member States when the ESDP was drafted or to those that have since become members – as illustrated in the section on CEMAT above. In this chapter then we will look closer at the ESDP's reception across the whole ESPON space.

National reports were performed for all 29 countries. The research methods consisted of analyses of spatial planning policy documents and interviews with key experts. The aim was to identify the main similarities and differences concerning the application and effects of the ESDP throughout the ESPON space. The assumption here was that ESDP application is largely framed and dominated by the national policy systems, both in terms of policies and their focus and institutional settings relating to the vertical and horizontal division of labour and responsibilities.

The 29 country studies focused on investigating:

- The degree of conformity between national policy principles and the ESDP themes
- The degree of ESDP influence on national policies
- How a European policy discourse can have effects on national policy development
- At which administrative levels ESDP principles are known

10.2 Conformity between national spatial planning and the ESDP

10.2.1 Spatial planning is the main sector

The main participants in the ESDP process in most countries were situated in the national ministries/agencies with responsibility for the policy sector of spatial planning. In countries where this policy field is less established, participants would typically represent physical planning or in some cases even regional policy.

The history of the ESDP and the events that led up to the Perspective are described elsewhere in this report. Countries in the North-Western part of EU 15 were, according to the literature (Chapter 7), the leading drivers in this process.

This is confirmed by the national experts. Map 4 illustrates the most active countries in the ESDP drafting process, based on national perceptions of their participation. Three countries – France, the Netherlands and Germany – see themselves as the main process drivers, with particular support from Belgium, Italy, Denmark, Finland, the United Kingdom, and Luxembourg. Spain, Portugal and Greece have indeed been critical throughout the drafting process, primarily because they were not familiar with the spatial planning approach and because they were afraid that the ESDP would impact the allocation of structural funds. They all have organised ministerial meetings i.e. their level of activity was limited to formal contributions. The remaining countries were more or less passive, which of course is not a surprise, especially in the case of the 14 ESPON countries not then members of the EU.

Map 4 Countries' role in the ESDP drafting process

Countries' role in the ESDP drafting process



Role in the ESDP drafting process 2005

- Driving force
- Active contributor
- Formal contributor
- Passive
- No data

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 Regional level: NUTS 0
 Origin of data: ESPON 2.3.1 National Reports
 Cyprus: Data for government controlled areas only.
 Source: ESPON Database

As a reflection of the participation in the drafting process, the ESDP is used in most countries within *spatial planning* only, at all geographical levels – national, regional, and local. Few examples exist of other policy sectors that are regarded as important for ESDP application.

It may be somewhat surprising that only two countries, the Czech Republic and Hungary, identify the *regional development policy* sector as the most important for ESDP application at the national level – even if this sector has both the means and the measures for policy implementation. This is probably a reflection of the fact that spatial planning and regional development are kept apart, the first dealing with physical planning, and the second with economic planning/development.

For the regions of Wallonia and Brussels in Belgium and for Sweden, the *transport sector* is regarded as most important for the realisation of ESDP policy options at the national level. In both cases, there is no spatial planning at the national level. The transport sector does then become important for spatial planning, in Belgium because the federal level does have competencies regarding Trans-European Networks (high-speed-trains), and in Sweden because policies for polycentricity are implemented as part of the transport sector.

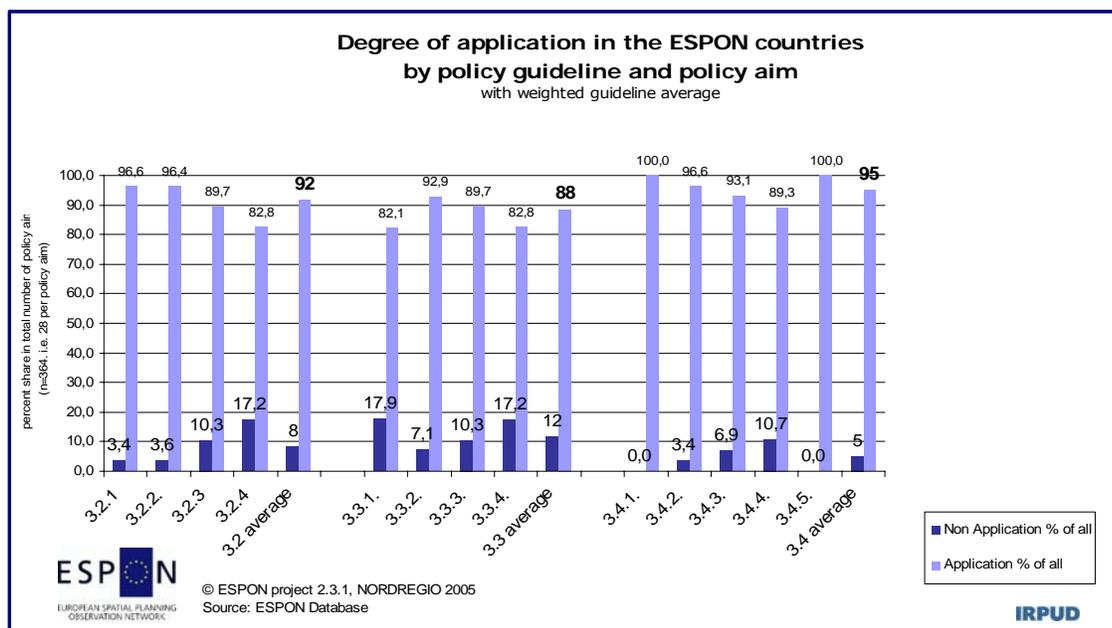
10.2.2 ESDP policy principles are recognised

The national reports analysed the differences between the ESDP policy aims regarding the perceived level of conformity with national spatial planning policies. The national experts were asked to assess the degree to which national goals bear similarities to ESDP goals, independent of any possible causal effects of dissemination one way or the other.

The results are presented in Figure 6 where the figures are based upon assessments of each of the 60 policy options. The data is however not comprehensive enough to present detailed results at that level. We will therefore stay at the more aggregated level of the three policy guidelines and 13 policy aims.

Overall, there are only minor variations between the various ESDP policy guidelines and policy aims. For all 29 countries as a total, the degree of conformity between the ESDP and national policies are for each of the three policy guidelines between 88% and 95%. At the level of policy aims, the variation is between 82% and 100%. The main conclusion is therefore that policy aims similar to those found in the ESDP are discernable in the national policies of almost all the EU25+2+2 countries.

Figure 6 Degree of conformity between ESDP policies and national practice



3.2 Development of a balanced and polycentric urban system and a new urban-rural relationship

- 3.2.1. Polycentric and balanced spatial development in the EU
- 3.2.2. Dynamic, attractive and competitive cities and urbanised regions
- 3.2.3. Indigenous development, diverse and productive Rural Areas
- 3.2.4. Urban-rural partnership

3.3 Securing parity of access to infrastructure and knowledge

- 3.3.1. Polycentric development model: a basis for better accessibility
- 3.3.2. An integrated approach for improved transport links and access to knowledge
- 3.3.4. Efficient and sustainable use of the infrastructure
- 3.3.5. Diffusion of innovation and knowledge

3.4 Sustainable development, prudent management and protection of nature and cultural heritage.

- 3.4.1. Natural and cultural heritage as a development asset
- 3.4.2. Preservation and development of the natural heritage
- 3.4.3. Water resource management – a special challenge for spatial development
- 3.4.4. Creative management of cultural landscapes
- 3.4.5. Creative management of the cultural heritage

It was also checked how important the “planning families” described in the literature (see Chapter 7) are for the level of conformity between national policies and ESDP policy aims (Figure 7).

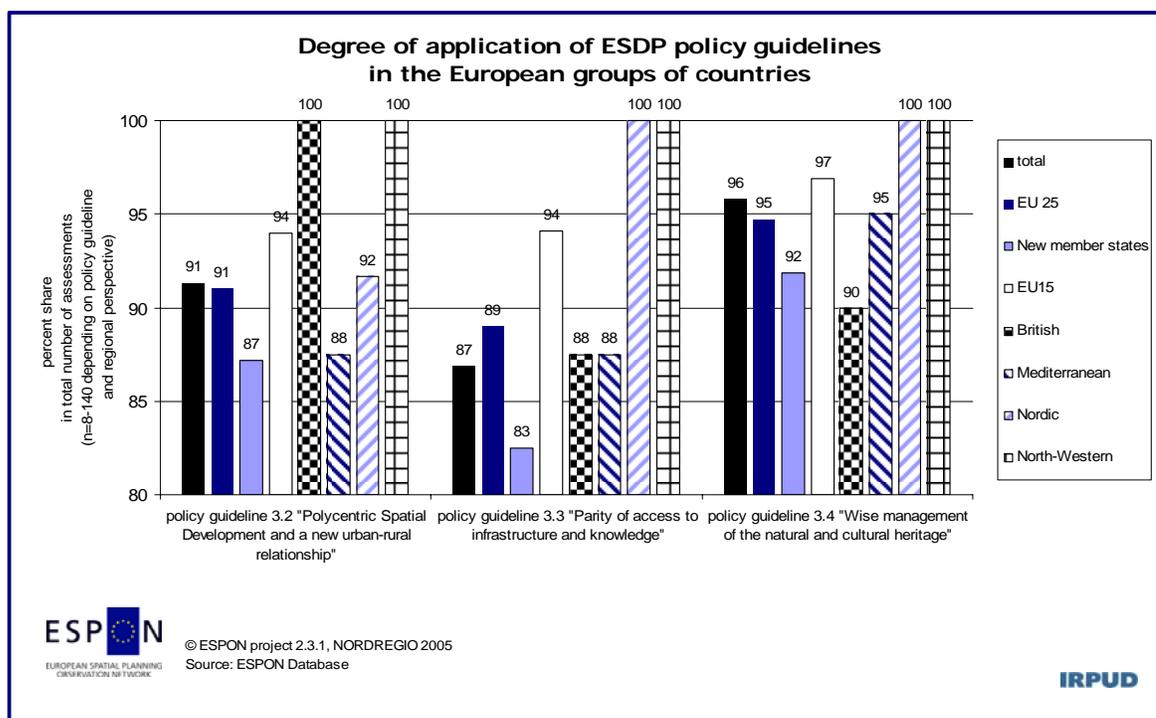
For all three policy guidelines, the level of conformity is larger for the EU15 countries than for the EU10 countries. This probably does reflect the origin of the ESDP guidelines and the participation in the ESDP process of those countries that were EU members at that time.

Within the group of EU15, there are also some variations. The conformity between national policies and the ESDP is more clearly pronounced for the

North-Western, Nordic, and British planning families, while the Mediterranean countries to a lesser degree recognise similar policy principles. This result is to have been expected, on the basis of the academic literature.

The general picture does however remain. Only limited variations exist between countries – and they are more limited than the scientific literature tends to suggest. The spatial planning policies of the Mediterranean countries and in particular those of the New Member States are to a lesser degree in line with ESDP principles, but even here the overall level of conformity is quite high.

Figure 7 Degree of conformity between ESDP policy guidelines and national practice in groups of ESPON countries.



10.2.3 Conformity not only due to the ESDP

We have seen that national policies to a large extent are in conformity with ESDP principles. Has there however been any discernable influence from the one to the other, or are policy developments at both administrative levels evolving on the basis of a common pan-European discourse, where the origin of ideas is difficult to identify?

The national reports all include an assessment of the degree to which the ESDP has had an influence on national policies. For each of the 13 policy aims, national experts have indicated on a 7-grade scale:

- Change and conformity mainly is due to the application of the ESDP – i.e. explicit use of the ESDP as an argument (grade 7)
- Change and conformity is due to other factors *and* the ESDP (grade 6)
- Change and conformity is mainly due to factors other than the ESDP (grade 5)
- National policies were already in conformity with the ESDP before the ESDP was published (grade 4)
- The policy aim is not in conformity with the ESDP, but is under discussion (grade 3)
- The policy aim is not in conformity with the ESDP and is not considered appropriate (grade 2)
- There is no awareness of the policy aim (grade 1)

An ESDP policy aim has had an impact on the national policy if it is given a grade 7 or 6 score. There is conformity between the two if the grade is 5 or 4, but the ESDP has not had any impact on national policies. Policy aims with grade scores of 3, 2 or 1 were not in conformity with national policies at the time of the research.

Approximately half of the ESPON countries report partial compliance between national policies and ESDP policy aims, but without any significant impact from the ESDP on national policies. This group of countries includes Denmark, Norway, Sweden, the UK, Germany, Austria, Belgium, Italy, the Netherlands, Estonia, Cyprus and Switzerland.

On the other hand, there is an equal number of countries where a clear impact is reported: Finland, Ireland, France, Luxembourg, Spain, Greece, the Czech Republic, Slovakia, Lithuania, Hungary and Slovenia.

For some countries, the assessment is more or less the same for all policy aims, as for Denmark, Finland, Germany, Austria, France, Greece, Belgium, the Netherlands, Estonia and Lithuania. Other countries do however see significant variation between the different policy aims.

The assessment of the policy aim “Natural and cultural development as development asset” is one example where the policy aim is applied or used throughout all the 29 countries. In eleven countries this policy aim was already considered before the ESDP suggested this theme. In 15 countries ESDP influenced the national consideration of this planning factor. Only in one country, namely Hungary, ESDP contributed to an explicit change in policy-making. Map 5 below shows the various planning families as referred in chapter 7. Maps showing the application of ESDP policy aims in the 29 countries are attached in Annex 6.

Map 5 Assessment of the conformance of ESDP policy aim 'Natural and cultural development as development asset' in national policy-making

Assessment of the conformance of ESDP policy aim 'Natural and cultural development as development asset'



Assessment of the conformance (3.4.1) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
- 1: No change and/or conformance due to lack of awareness of the ESDP.**
- No classification possible.**
- No data**

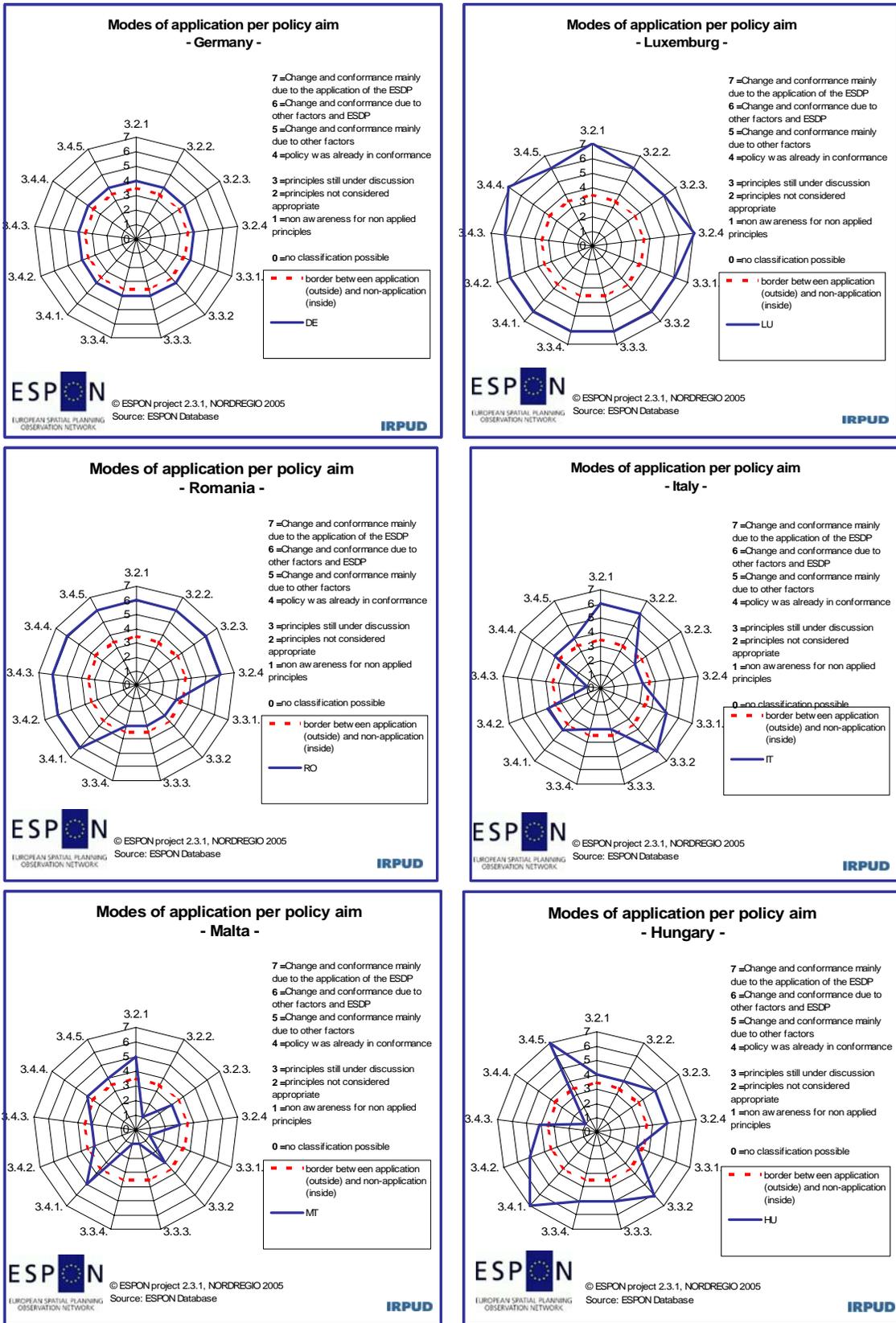
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- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

The assessment can also be illustrated in spider diagrams, as shown in Figure 8. Six countries have been selected (with a distinctively different pattern of usage in terms of ESDP principles) to illustrate the variations (all 29 spider graphs are available in Annex 7):

- Germany, where all policy aims were already valid for national policies before the emergence of the ESDP is in full conformity, but this has occurred without any inspiration from the ESDP.
- Luxembourg, the country with the most positive report regarding ESDP influence. Here, change and conformity has taken place for all policy aims due both to the influence of the ESDP and other factors.
- Romania, where ESDP influence is reported for the policy principles 3.2 (balanced and polycentric urban system and a new urban-rural relationship) and 3.4 (sustainable development, prudent management and protection of nature and cultural heritage), while the policy aims under principle 3.3 (parity of access to infrastructure and knowledge) is under discussion.
- Italy, which was one of the active countries in the ESDP process, but which still has not attained full conformity between ESDP aims and national policies. At the same time, Italy has been inspired by the ESDP, among other factors, for three of the policy aims.
- Malta, which has the highest level in terms of the non-application of policy aims. There was 'no awareness' of three of the ESDP policy aims (3.2.2 Dynamic, attractive and competitive cities and urbanised regions, 3.3.1 Polycentric development model: a basis for better accessibility and 3.3.4 Efficient and sustainable use of the infrastructure) – which of course is understandable given Malta's geography.
- Hungary, where explicit ESDP influence is reported for policy aims 3.4.1 (Natural and cultural heritage as a development asset) and 3.4.5 (Creative management of the cultural heritage), while there is no awareness of aim 3.4.4 (Creative management of cultural landscapes).

Figure 8 ESDP influence on national policies of six selected countries



10.3 ESDP effects on national policies

10.3.1 Changes in planning discourses came first

The national experts were asked to assess in what ways the ideas of the European spatial planning discourse and the ESDP were *first* used in the ESPON countries (Table 22).

Table 22 Fields where the ideas of the ESDP application were *first* used.

First field of application	Changes in planning discourses	Institutional changes	Changes in planning policies	Changes in planning practises	No change
Country	Austria Belgium Czech rep. Denmark France Greece Ireland Lithuania Luxembourg Malta Slovenia Spain Sweden	Finland ⁴¹ Germany Hungary Italy Latvia Netherlands Portugal	Bulgaria UK	Romania	Cyprus Estonia Norway Poland Slovak rep. Switzerland
Total	13	7	2	1	6

Source: ESPON 2.3.1 National Reports 2005. Change in discourses corresponds to attitude changes among policy makers and practitioners i.e. due to an awareness of a European agenda. Institutional changes imply that new institutions, i.e. agencies, and legislation have been established. Change in planning policies refers to a concrete amendment of the planning policy. Change in planning practices means that new aspects have been introduced in the planning procedure, i.e. Guidance papers.

⁴¹ Institutional change, Changes in planning policies and spatial development are all ranked as "first field of application".

Logically, one would expect the planning discourse to be affected first, since the ESDP was a 10-year plus process. The ideas and perspectives matured over time, and thereafter the legislation and institutional system could be adjusted (if necessary) and the planning practices amended or changed.

This line of development seems to be confirmed in several countries. In Austria, Belgium (Wallonia and Brussels), Denmark, and Slovenia the planning discourse was first affected and as a part of that there were changes in spatial representation, i.e. images and maps showing the country's place in a wider Europe.

Development would then depend upon the enthusiasm of leading people and on the degree of matching between national policy development and European policy development: it could therefore be expected to see an explicit use of ESDP if that served the purposes of the main national interests within spatial development; otherwise this would be less likely. Belgium (Flanders), the Czech Republic, France, Ireland, Lithuania, Luxembourg, and Spain all report that the planning discourse was influenced first, and thereafter the planning policies followed.

The degree of ESDP inspiration within such national processes leading to institutional changes generally depends upon coincidences in timing – if a change was going to take place anyway, arguments emanating from within the European professional debate could then be used, as long as they provided support for the particular form of reorganisation in question. In some countries however, institutional changes seem to have emerged before the ESDP had time to influence the situation. These changes however appeared in different ways. In Hungary and Latvia, a new set of planning institutions was set up as a precondition for institutional reforms. In Italy the reformation of the constitution led to the strengthening of the regional level through the inclusion of European ideas as a backdrop to it - even if the ESDP as such cannot claim to have had a major influence in this process. In the Netherlands, an International Affairs Unit was set up within the Directorate-General of Spatial Policy in response to developments in the increasingly international discussion of this field.

The ESDP is not a binding document. Nevertheless it may have had a role in the reorganisation of national institutional systems in the process of adapting to EU rules and regulations, particularly in cases where new legal or administrative structures have been established. The situation in respect of Romania for example points in this direction.

10.3.2 Changes in institutions and policies would potentially have most impact

In general, the impact of the ESDP is very limited in most countries. When asked to rank the importance of different categories of impacts, institutional changes, changes in planning discourses and changes in planning policies are mentioned as important fields of action (Map 6).

The most influential impact would of course be if planning practices were changed due to influence of the ESDP. In only one country however, namely, Luxembourg, was a significant change in practices reported. This was when the new law on spatial planning led to wider participation from various sectors and levels and more dialogue processes.

Map 6 Most important impacts/effects of ESDP application according to national experts

Most important impacts/effects of ESDP application



Impacts/Effects 2005

- Institutional changes
- Changes in planning discourses
- Changes in planning policies
- Spatial development
- Changes in planning practises
- No importance
- No data

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 Regional level: NUTS 0
 Origin of data: ESPON 2.3.1 National Reports
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 Source: ESPON Database

The impacts of institutional changes and changes in policies/practices can of course be very important in countries where such changes have taken place, since they entail changes in long-term influence. One example here is that of Hungary, where the new institutions are now 'up and running' and over time will gradually renew the whole planning system. In Latvia, a new institutional structure was established on both the national and the regional levels, demonstrating an indirect application of some of the ESDPs policy aims and options. A third example here is that of Romania, where the new law on territorial development has the same goals as the ESDP.

A general observation here is that none of the countries that led the ESDP process have reported experiencing any particular influence from the document on their own planning systems or practices.

10.3.3 More references to the ESDP at the time of publishing

In most countries, the impact of the ESDP has been modest in terms of its direct presence in planning documents. In general, references to the ESDP are more numerous around the date of its official delivery between 1997 and 1999. The interest in, and application of, the ESDP is mostly dependent on the work of the various countries' own regional plans and in particular relates to whether these plans were both 'timely' and in line with the ESDP process.

After the appearance of a number of general ESDP-related references throughout their planning documents during the period 1997-99, several countries such as Belgium, Denmark, Finland, Germany, Greece, Luxembourg, The Netherlands, Romania, and Switzerland, thereafter witnessed a declining level of interest in the application of ESDP ideas. Planning documents processed at that time highlight this general lack of interest by no longer referring to the ESDP documents. In Denmark, interest in, and reference to the ESDP grew substantially during the 1990s. The references to the ESDP on national planning remained in the first national planning report of the new millennium, issued in 2000, even though the previous report from 1997 had a stronger European perspective. The National Planning Report from 2003 however contains no reference to the ESDP at all. The focus of this document is on internal conditions with the European perspective being very modest.

In contrast, for several new Member States the ESDP started to influence spatial planning immediately after its publication in 1999. The Czech Republic, Hungary, and Slovenia are examples of countries that did not

participate in the drafting process, but were nevertheless influenced at a later stage.

Some countries point out that the ESDP perspective may however become more prominent in a number of forthcoming national planning reports and that the aim is to take a more active role in the discussion and reformulation of ESDP guidelines, i.e. Germany and Sweden.

Another way of perceiving the future influence of the ESDP is to see it as a more integrated part of the planning system. In Luxembourg for example, it has become more difficult to detect direct ESDP influence. This does not necessarily mean that the ESDP is no longer considered relevant. Rather, it suggests that its principles have been appropriated and integrated into the relevant national-level policies.

Some countries, such as Estonia and Malta, point out that 'ESDP ideas' did not have any impact at all on their planning systems. In Cyprus, the approach to spatial planning comes nearer to the principles of the ESDP but this is mainly the result of the ongoing general process of harmonisation with European institutions. In addition, a number of other Member States, such as Austria and Belgium (referring in particular to the Flemish region), point out that the ESDP did not have any effect on their spatial planning systems.

10.3.4 Regional variations regarding European orientation

Nearly half of the countries report regional differences in terms of ESDP influence. The factors that influence the degree or intensity of application relate to the relative position of the region in Europe, i.e. participation in cross-border programmes such as INTERREG IIIA, but also to the attitudes of key individuals in the planning process and to the timing of plan production.

In Belgium, the ESDP influence is more substantial in the Walloon Region than in either Flanders or Brussels. The level of interest shown in the Walloon Region may be explained by its higher dependency level in the European context, including support from the Structural Funds.

The same discussion has taken place in Germany where the West German *Länder* have a longer experience of EU cooperation and territorial policy processes more generally and might therefore be more advanced in respect to the ESDP. Meanwhile, the East German *Länder*, though starting from a much lower basis, have since enlargement become increasingly involved in cooperation. Italy also sees significant regional differences in this respect,

and highlights the north-central regions as being more engaged in the process of renewing policy tools, while the southern ones continue to suffer from a technical and cultural lag in planning activities. With respect to the question of polycentricism some sparse references can be found in various regional planning documents: e.g. Lombardy, Veneto, Emilia-Romagna and Tuscany. Among the group of up-to-date regions, Emilia-Romagna plays a leading role.

In Slovenia, the strongest impact of the ESDP is to be found in urban areas of large and medium-sized cities where interest in international activities has had the most significant effects at the national level. Similarly, some border regions have also witnessed an increasing level of interest in ESDP issues.

Other countries have *not* generally experienced any significant regional differences, i.e., Austria, Cyprus, Estonia, Denmark, Finland, Greece, Ireland, Lithuania, Luxembourg, Malta, Poland, Portugal, Romania, and Slovakia. Several (but not all) of these countries are relatively small and have a less developed regional level than larger or federally organised countries. In Lithuania there is no variation within the country but at the same time it is assumed that there is a more significant ESDP impact in the fast growing municipalities, which have to deal with issues relating to land use pressure.

10.4 Best knowledge of the ESDP at national level

10.4.1 Main ESDP recipients at the national level

Within the ESPON countries, at which geographical level have the ESDP ideas predominantly been discussed? The national experts were asked to rank the level of awareness of the ESDP's contents among professionals (3=good knowledge of the whole document, 1=totally unaware) (Table 23).

On the national level there is generally a good level of knowledge of the whole project even though it is mostly limited to a few persons. The level of knowledge of the ESDP decreases at the regional and even more so at the local level.

Table 23 The awareness of the ESDP contents among professionals at the different levels of administration in each country

Score	National level
Good knowledge	Austria, Bulgaria, Czech Republic, Estonia, Finland, Germany, Greece, Lithuania, Luxembourg, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Sweden, Switzerland
Intermediate	Cyprus, Denmark, France, Hungary, Ireland, Italy, Malta, the Netherlands, Spain, UK
Total unawareness	Belgium, Latvia
Score	Regional level
Good knowledge	Italy, Latvia, Poland
Intermediate	Austria, Belgium, Bulgaria, Czech Republic, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Lithuania, Luxembourg, the Netherlands, Norway, Portugal, Romania, Slovakia, Spain, Sweden, Switzerland, UK
Total unawareness	Denmark, Slovenia, Malta
Score	Local level
Good knowledge	-
Intermediate	Czech Republic, France, Ireland, Lithuania, Poland, Romania, Slovakia, Slovenia, Spain
Total unawareness	Austria, Belgium, Bulgaria, Cyprus, Denmark, Estonia, Finland, Germany, Greece, Hungary, Italy, Latvia, Luxembourg, Malta, the Netherlands, Norway, Portugal, Sweden, Switzerland, UK

Source. ESPON 2.3.1 National Reports, 2005. This table is based on qualitative assessments performed in each national report. Briefly, good knowledge corresponds to a very good general awareness of the ESDP document, i.e. the level has actively followed the drafting process, and its implications. Intermediate knowledge corresponds to an awareness of the existence of the document and its content; however, the document itself has not had any practical implications.

This is not surprising, as the individual participants in the original ESDP process came from within the various national ministries. Moreover, it is also at this level where the issue of international positioning is most often dealt with. A majority of countries do have a national spatial planning policy with legislative or other regulatory support, and these issues are among the responsibilities reserved to the national level.

One interesting example here is that of Denmark, where national spatial planning reports are regularly published. The focus of these reports changes over time, and as such, the ESDP may not actually be mentioned.

Nevertheless, similar concepts paralleling the main topics of the ESDP have been raised in this context.

Germany has a strong European orientation and does have direct references to the ESDP in its national planning documents.

Greece adopted a new law on spatial development in 1999 with many of the same general aims as the ESDP, and in both the UK and the Netherlands, the planning systems had a similar orientation from the outset.

In all of these cases one may argue that the coincidence of topics in national planning and in the ESDP reflected a European-wide policy debate, and thus that both the ESDP and the national documents are products of the same debate rather than the expression of a unidirectional process of influence from one level to another.

Other countries were in the middle of changing their planning systems during the period when the ESDP was undergoing development or shortly thereafter, and they thus had the opportunity to directly seek inspiration in it. One example here is that of Lithuania, where a new national plan was published in 2002.

The ESDP is explicitly mentioned in national level policy statements in Denmark, Finland, France, Germany, Greece, Hungary, Latvia, Lithuania, Netherlands, Slovenia and the UK, while four other countries also report that there now is a legal basis for ESDP-style planning: Romania, Latvia, Lithuania, and Slovakia.

For five countries, *the regional level* has been the most important in terms of ESDP application: Austria, Belgium, Italy, Norway, and Spain. Austria and Belgium are federal countries with the regional level being the driver in terms of spatial policies.

In Austria, there is no evidence of ESDP application at the national level, while there is a clear coincidence of policy development in the *Länder* even if direct references to the ESDP are lacking.

Similarly, in Belgium, spatial planning responsibilities are located at the regional level. While Belgium and Italy both have strong regions, there are however significant differences between them regarding ESDP uptake.

Italy was active in the ESDP process, but its participation was not well anchored within those agencies responsible for spatial planning and as a

result, the national level has been less important in terms of ESDP application.

In Norway, as a non-member state, the relevant Ministries were not party to the development of ESDP. The dissemination of the notion of polycentricity instead came through the academic world and a consultancy report commissioned by an individual region.

Spatial development is a competence held at the level of the autonomous regions in Spain, and there are several examples of explicit ESDP references in recent regional legislation regarding spatial planning.

Bulgaria⁴² reports that the *local level* is the most important, as physical planning is the responsibility of the municipalities and settlements, while spatial planning at the regional level is only now under development. There is however no evidence available of direct ESDP application at the local level.

The regional level is the *second* most important level for ESDP application. Regions, (*Länder*, counties or provinces etc), can however be of vastly differing sizes and there is therefore a significant variation regarding their responsibilities in terms of spatial planning. Spatial planning is a regional responsibility in most large countries and federal states. Regional policies are however enacted even in the smaller countries, and for many there is a link between spatial planning and regional policy, which makes the regional level interesting when it comes to the actual means developed for implementing spatial plans.

Table 24 Most important administrative levels for ESDP application

Level	Most important level	Second most important level
National level	19	2
Regional level	5	18
Local level	1	5
No application	4	4
Total	29	29

⁴² The main reason for considering the local level as the most important application level in Bulgaria is that the most important spatial development plans, the general master plan and the detailed urban plans, are developed on the NUTS 4-level (municipalities) and the NUTS 5-level (settlement) level.

The most important administrative level for ESDP application is shown in Table 24 and Map 7.

Map 7 Most important administrative level for the EDSP application
Most important administrative level for the ESDP application



Administrative level 2005

- National level
- Regional level
- Local level
- No application
- No data

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 Regional level: NUTS 0
 Origin of data: ESPON 2.3.1 National Reports
 Cyprus: Data for government controlled areas only.
 Source: ESPON Database

10.4.2 Ministries as “agents” for ESDP application and promotion

For most countries, e.g. the Czech Republic, Denmark, Finland, France, Germany, Greece, Luxembourg, the Slovak Republic, Slovenia, Romania, and Ireland, the main responsibility for ESDP application is located at the national level, usually at the ministry responsible for spatial planning. For example, in Denmark the Spatial Planning Department of the Ministry of Environment was the only organisation responsible for the application of the ESDP, while in Austria, the Federal Chancellery has been active in the process of elaborating and promoting the ESDP document.

In some countries, the degree of ESDP knowledge is better at the regional level than at the national. In Belgium, spatial planning is a regional responsibility. The ESDP issue was however addressed rather differently in each region. In the Flemish region the debate was restricted to the relevant sector departments, the Association of Flemish Provinces, the Association of Flemish cities, municipalities, and the Association of Flemish Planners. In the Walloon region, the main actors in the application process were the regional spatial planning authorities and the regional administration. In the Brussels-Capital region, ESDP application was undertaken in a similar way to that of the Walloon region, except that application was even more limited to a small number of spatial planning actors. In Spain, application is stronger at the regional level due to the limited amount of people working in the SDU, the only department at the ministerial level following the ESDP and CEMAT processes.

The role of the CSD/SUD in the application process is also mentioned as being important in countries such as Greece and Ireland.

10.4.3 Dissemination of the ESDP to a limited number of key actors

Even though the ESDP document has been disseminated to key actors through a variety of different formal and informal mechanisms, the ESDP ideas generally remained tied within a small circle of key actors. In Italy for example, ESDP ideas are referred to as “toys for the few”. A similar remark was made in the Netherlands where, in spite of all of the activities and mechanisms created to disseminate the ESDP, even now, only a limited number of people know of it. This is not necessarily the fault of those seeking to undertake the task of dissemination, but rather relates to the fact that those who knew about the ESDP did not consider it interesting or important enough to legitimise policy changes and impact on budget allocations.

The state is most commonly the actor through which the document has been disseminated in most countries. In France, the main method of dissemination has been through the central state apparatus. In Norway the officials at the Ministry of Local Government and Regional Development, as well as those of the Ministry of Environment have plans to initiate a national programme to disseminate the results of ESPON, meaning that the information on the ESDP would be actively disseminated in a focused manner.

In several countries, key actors came to know about the document through their first-hand involvement in its construction.

In Finland, the Ministry of the Environment and the Ministry of the Interior prepared and held meetings in the process of making the document. Also in Belgium, Germany, the Netherlands and the UK ministries engaged themselves in active ESDP dissemination.

Another approach to the dissemination of the ESDP document is through the CSD/SUD. In the Netherlands, the Dutch CSD delegates and their close colleagues are the key actors in promoting the ESDP. Switzerland and Norway also mention the role of the CSD/SUD in the context of dissemination.

Additional approaches mentioned in several countries include the use of seminars, conferences, and dissemination to different actors such as regional councils. The documents have been discussed and distributed at seminars, while numerous meetings have been organised. In Portugal, the Portuguese National Administration organised seminars of which each of the five administrative regions, as well as the Azores and Madeira, attended. These regional events were also attended by members of each Regional coordination Commission and by a selection of regional, economic, academic, and political actors.

Participation in INTERREG programmes is also a source of dissemination for the ESDP document. For example in Belgium where awareness remains low for most key actors, except for the regional spatial planning administration and for a number of other actors (sectoral administrations, NGO's, consultative organs, scientific organs) that have heard about the ESDP through participation in European programmes such as INTERREG.

10.5 National policies and the ESDP point in the same direction

The conclusion is that the dominant mode of applying ESDP principles is indirect in nature. There is no country in which the ESDP alone has led to changes, since ESDP policies are to some degree already coherent with those existing in most of the planning systems in Europe. Not least in the new Member States, this level of conformity is still recognized as mainly implicit.

The countries that played a leading role in the development of the ESDP e.g. Germany and The Netherlands claim that the ESDP was worked out in-line with core German or Dutch planning principles. These countries (plus France) have frequently – even before the ESDP-process began – worked out national overviews and reports addressing the spatial situation and trends. As such, the objectives and goals of these national systems are generally in-line with ESDP goals.

It is worth taking a closer look at the Dutch case as the application of the ESDP has been defined as being in “conformity without performance”. In the Netherlands there is, except for two issues, conformity with the ESDP but without the ESDP having performed as a framework for decision-making. The Dutch expert pointed out that another explanation for the limited role of the ESDP in decision-making in the Netherlands is its vague and inconsistent contents and political tensions at the national level between the spatial planning agency and the sector ministries.

In Germany, the ESDP has been considered as almost not promoting changes in spatial planning policies despite the fact that it has been partly used to insert a number of spatial planning ideas into the wider national debate.

The same situation can be found in United Kingdom, where it is pointed out that the ESDP did have some influence on the UK debate after the document was launched in 1999, as regional planning was given greater prominence in the planning-hierarchy.

In the Nordic Countries, many elements in the national planning systems were in-line with what later became ESDP recommendations, even though only Denmark and Finland practice spatial planning at the national level. In fact, as early as 1992 Denmark published a national planning report that saw the early ESDP-principles transformed and interpreted in a domestic context.

In the Mediterranean Countries, both Spain and Portugal had by 2000 worked out national plans where ESDP-principles were visible. In Greece, the

ESDP-principles have had a catalytic function in the development of a new spatial planning system during the period 1994 – 2000.

In New Member States such as Latvia, the Czech Republic, and Poland, the ESDP-principles have directly influenced the formation of new planning laws. In others, the ESDP-principles have coloured national planning e.g. the Spatial Development Strategy for Slovenia.

In Estonia, changes in planning policies occurred as much in spite of as because of the ESDP. The similarities between the ideas in the National Spatial Plan (2001) and those in the ESDP are addressed to the implementation of the VASAB. The ESDP and the VASAB documents are interrelated, while also having quite coherent objectives. Many of these ideas have also been indirectly imported into the Estonian planning system from Nordic countries such as Finland.

In the context of the explicit application of the ESDP, it is interesting that in the case of Luxembourg, the ESDP is taken into account not only in the matter of content, objectives, and options, but also in terms of process. The ESDP is not necessarily, however the main cause of change and coherence in spatial planning policies more generally. In fact, the ESDP is simply one factor among many that has promoted change in spatial planning policy. This case also demonstrates that explicit reference to the ESDP is not dependent on the Structural Funds alone, although the Structural Funds are a useful means of supporting the spatial distribution of spatial policy.

11 Examples of the application of ESDP policy principles

11.1 ESDP application highlighted by case studies

In order to complement the other elements of the research, case studies have been performed to provide examples of how the ESDP has been applied in practice at the national and regional levels.

A tentative list of cases was suggested in the original Terms of Reference for this project. This was subsequently modified and supplemented with additional cases with the final list being agreed with the ESPON CU following input from the Member States. Reflecting this, the case studies are intended to be indicative and illustrative and do not claim to be comprehensive. This follows the well-established methodological convention that case studies generate data which is appropriate for *analytical* rather than *statistical* generalisation, i.e. appropriate for generalisation to theory and concepts but not to statistical populations (Yin 2003).

The case studies are intended to pick out themes and processes such as causal relationships, therefore complementing the other components of the research. It is therefore important to emphasise that the cases are illustrative rather than representative of application within the Member States, and indeed should not necessarily be regarded as being the best or indeed the only evidence of application within or indeed between Member States.

Each case study was constructed according to a common format thus enabling the research team to draw out the similarities and differences between the various case studies. In this chapter, we explore these common and sometimes divergent themes of application according to the *means* of application.

While each case study is unique and tells an interesting story in its' own right, the purpose of this chapter is to provide a synthesis of the findings. In so doing, the case studies themselves will not be described in detail.

11.2 Case Studies of Trans-national/Cross-border Spatial Planning

Among the case studies, seven can be considered as examples of the application of ESDP principles through trans-national and/or cross border spatial planning initiatives. An overview of the examples is provided in Table 25.

Table 25 Case studies of trans-national/cross-border spatial planning

<p>PlaNet CenSE (Planners Network of Central and South East Europe)</p> <p>An INTERREG IIIB CADSES (Central European, Adriatic, Danubian, South-Eastern European Space) aiming to foster spatial integration and cross -sectoral dialogue around several strands in Central and South East Europe. Two strands are particularly important in relation to ESDP application. Firstly, the 'European Spatial Planning Gateway' project, which supports the application of the ESDP by promoting the transfer of knowledge and dialogue in the CADSES countries and the elaboration of a common strategic document for the CADSES area. Secondly, the 'Forum for Territorial Impact Assessment (TIA)', which seeks to develop TIA as a planning instrument and test it through two pilot projects.</p>
<p>Cross-border regional/city cooperation Graz (A) and Maribor (SI)</p> <p>A case study of cooperation in the cross-border region of north-eastern Slovenia (Podravje) and the southern part of Austrian Styria (Suedsteiermark) along the axis between the two cities of Maribor (SI) and Graz (A). The institutional context is provided by the regional development agencies on the Slovenian side of the border, and by the EU regional funding management authority on the Austrian side. Cooperation has been supported by INTERREG II and III funding which will continue to be complemented until 2006 by the EU's PHARE CBC programme.</p>
<p>Öresund Region</p> <p>A cooperation project initiated by the Swedish and Danish Governments to jointly develop the Skåne and Zealand areas and which is supported by the INTERREG programme. The institutional context for cooperation is provided by the Öresund Committee established in 1992, which brings together representatives of regional and local authorities in Skåne and Greater Copenhagen and administers the INTERREG funds for the Öresund Region.</p>
<p>Integrated Coastal Zone Management (ICZM) Plan for Lithuania and Latvia</p> <p>An ICZM project for the Baltic coast of Lithuania and Latvia initiated by the World Bank, and executed and funded by the EU PHARE Programme. Consultants from universities, institutes, and Government Ministries drew on a systemisation and synthesis of existing research results and land management expertise to prepare an ICZM Management Plan.</p>
<p>Cross border management of the river landscapes</p> <p>An international project involving five institutions from four Central European countries, looking at planned and coordinated development in the valley of the lower Morava and Dyje rivers in southern Moravia (CZ). The project was designed by the Akademie für die Raumordnung und Landesplanung (ARL) in Hannover, and is coordinated by the Leibnitz Institute for Ecological Spatial Development in Dresden. The project aims to design and test a new spatial planning model and instrument suitable for application in complicated areas such as river landscapes in cross-border regions. It also aims to identify the most significant cross-border problems and find cross-border solutions, which can be supported by the use of INTERREG funds.</p>

Via Baltica

Via Baltica is the name applied to the shortest route connecting Finland with central Europe through the three Baltic states of Estonia, Latvia, and Lithuania. It is an international transport corridor, which is of strategic importance for land transport in the Eastern part of the Baltic Sea Region. The process of developing the corridor dates back to the early 1990s and cooperation was later coordinated through the establishment of a multinational monitoring committee and supported by funds from the INTERREG IIC (Via Baltica Nordica Spatial Development Zone) and IIIB programmes. The INTRREG cooperation has drawn on the earlier VASAB work and the Strategy for the Baltic Sea Region.

The Saar-Lor-Lux+ Spatial Development Perspective (SLL+ SDP)

The Saar-Lor-Lux+ Spatial Development Perspective fits into the larger context of cooperation between the Lorraine region of France, the German Länder of Saar and the Rheinland-Pfalz, the Grand Duchy of Luxembourg and the Walloon region of Belgium. The area concerned is referred to as the 'Greater Region'. The development of the SLL+ SDP has evolved within the context of pre-existing inter-regional cooperation and has coincided with the period of the drafting of the ESDP. The area concerned is often presented as having the potential to act as a counterweight to the dominance of the main metropolitan regions of the European core, or 'Pentagon', area. The case study considers how the policy guidelines of the SDP, which are the same as those of the ESDP, were taken into account in the relevant spatial development instruments of Luxembourg and the Walloon region.

Cross-border cooperation funded by INTERREG IIIA played a role in a number of the cases. In the *Via Baltica* case study, cooperation in the cross-border *Euroregion Neman* between Poland and Lithuania has addressed the issue of bio-diversity along the route of the proposed *Via Baltica* highway. This can be seen as contributing to the application of the ESDP's wise management of the natural heritage theme. In the case of Graz-Maribor, INTERREG IIA and the PHARE programme helped stimulate and support cross-border cooperation while INTRREG IIIA currently supports a number of projects in the fields of economic cooperation and sustainable spatial development, including one which considers the 'Upgrading of Strategies for Urban Development and Environmental Protection of the Regional Capitals, Maribor and Graz'.

The INTERREG IIIA Öresund programme is managed by the Greater Copenhagen Authority and has funded a number of projects including 'Öresund Logistics' which seeks to promote the region's development as one of the most important hubs in Europe, and 'The Öresund Project – FRIngo' which seeks to promote cooperation and integration between NGOs and non-profit organisations in the Öresund area.

In the case of the cross-border management of the river landscapes of the Morava and Dyje rivers (Czech Republic), one of the aims of the project is to

identify the most significant cross-border problems and find cross-border solutions that can be supported by the use of INTERREG funds.

In a number of the cases, INTERREG IIIB has however played a significant role. For example, in relation to the *Via Baltica* cooperation zone, which is supported the Baltic Sea Region (BSR) INTERREG IIIB programme (2002-2005). In this case, the application of the ESDP has been implicit or secondary, and trans-national cooperation within the INTERREG IIIB BSR region is the route through which the influence of the ESDP has been exerted. Earlier trans-national cooperation through the VASAB initiative is also seen as being closely interlinked with the ESDP process and as a result, it is difficult to distinguish between the effects of the ESDP and VASAB 2010.

The PlaNet CenSE (Planners network of Central and South Eastern Europe) project is an INTRREG IIIB CADSES project that aims to foster spatial integration and cross-sectoral dialogue around several strands of issues.

Other programmes have also played an important role, notably the PHARE Cross Border Cooperation programme in the accession states. This is mentioned in the cases of *Via Baltica*, the Integrated Coastal Zone Management (ICZM) plan and in the case of cooperation in the Graz-Maribor region.

11.2.1 Variety of themes

In the *Via Baltica Nordica* INTERREG IIIB project, the development of railway infrastructure is seen as contributing to polycentric spatial development. By enhancing connectivity between the proximate metropolises within the zone this is seen as contributing to living in polycentric 'human' units. Initiatives to promote tourism are also seen as being based on the development of a number of different but interconnected centres and thus as also contributing to polycentric and balanced spatial development and dynamic, attractive and competitive cities and urbanised regions. The Development of the Accessibility to the Railway Traffic initiative (DART) seeks to promote integrated approaches to land use planning and rail provision.

In the Öresund region, a cross-border project supported by INTERREG has sought to address the situation of those living outside the most populated areas of the region. Another regional project, which seeks to promote parity of access, is the Skåne-MaTs project where the ESDP is used as a point of departure and the aim is to develop a balanced and polycentric system, improved infrastructure and education as well as sustainable management and the protection of nature and cultural heritage. It is also noted in the case study that the Öresund region is 'intimately linked to the EU's regional

development policies through the INTERREG programmes and the structural funds and the ideas behind the integration are intimately linked to the ideological basis for the ESDP'.

Elsewhere, the three guidelines of the SLL+ SDP are the same as those of the ESDP, and as a result the coherence in this matter is total and explicit. The SLL+ SDP applies the ESDP to the features of the territory it covers, and overall all of the ESDP policy aims are covered in some way by the SDP with a generally very good level of convergence. This is not necessarily due solely to the influence of the ESDP however, as other factors, such as the specific situation of the SLL+ space and the pre-existence of a number of cooperation initiatives have also had an impact. The clearest influence of the ESDP appears to be in relation to the first spatial development guideline of polycentric spatial development and a new urban-rural relationship, where the SLL+ SDP refers to the ESDP in relation to this thematic issue. Attention is also focussed on cross-border urban agglomerations and cross-border rural spaces, and it is noted that in this domain, the degree of conformity with the ESDP also reflects the requirements of specific local conditions.

In the case of the 'Cross border management of the Morava and Dyje river landscapes' it is noted that, although the ESDP is not well known at the local and regional levels in the Czech Republic, most of its principles can be seen to be applied in the relevant Czech legislation. There are a number of initiatives that are coherent with ESDP policy guidelines, including initiatives designed to improve access to European transport infrastructure and to secure the wise management of the natural and cultural heritage.

In the PlaNet CenSE network, attention has focussed on investigating possible future polycentric development areas (from a morphological and cooperation perspective) as well as the potential for the development of a new Global Economic Integration Zone or other polycentric structures in the CADSES area, all of which was based on the results of the ESPON 1.1.1 project.

The Graz-Maribor cross-border project coincides with the ESDP's polycentric spatial development theme, with less attention being focussed on urban-rural development and partnership within the region. Attention is also focussed on the diffusion of innovation and knowledge in the cross-border region, with this being seen as an important factor in cross-border spatial development policy. The wise management of the natural heritage is also reflected in aspects of the cooperation.

All of the ESDP's spatial development guidelines have also been reflected in the Lithuanian and Latvian ICZM project, which addresses issues such as infrastructure development, developing rural tourism and measures to

address the impacts of the use and development of the coastal zone. Lithuanian documents issued recently are seen as corresponding to ESDP policy and legislation such as the 2002 Law on the Coastal Zone, which also addresses the relevant themes.

11.2.2 Vertical and horizontal integration as ways of working

In the Öresund region the work of the Öresund Committee is seen as an example of cooperation between the municipalities, regional authorities, and national representatives from both sides of the sound – i.e. *vertical integration*. The links to the INTERREG IIIA, IIIB, and the previous IIC programmes also reflect vertical links, with the region being characterised as having a flagship programme within INTERREG.

In the *Via Baltica* project, cooperation occurs at every level with actors being involved from the local, regional, and national levels. This is seen as being part of the INTERREG IIIB approach, while also producing good results.

The ICZM plan for Lithuania and Latvia aims to integrate and combine local municipal, regional, national, and international interests in the areas of general land use and in coastal protection in particular. At the national level, the Government of Lithuania is preparing a draft Coastal Zone Law, while at the county level a master plan for Klaipeda County is currently in preparation. In addition, coastal municipalities have their own master plans. ICZM is seen as requiring a multi-sectoral, and participatory approach, which is designed to eliminate overlaps and the duplication of effort, as well as helping to resolve conflicts, and provide opportunities for the actors involved to recognise mutual advantage in joint action.

Horizontal integration and cooperation has been recognised as a necessary feature of the *Via Baltica* corridor since the initial VASAB work undertaken in the early 1990s. The need to look at the corridor as a wider area rather than solely from an infrastructural perspective meant that other issues such as the environment, economic development, and various cultural aspects had to be recognised.

In the Öresund region, the 'Environmental Programme' launched to accompany the development of the 'Öresund Bridge' had the goal of ensuring that the region should develop as one of the cleanest metropolitan regions in Europe. The programme focussed on enhancing horizontal cooperation on the environment and planning between the two sides of the sound, and resulted in physical planning guidelines based around the topics of land-use, transportation, and recreation/biological diversity.

11.2.3 Effects are recognised in the planning discourses

Institutional changes feature in a number of the cases however; the extent to which these can be linked to the application of the ESDP is limited.

The *Via Baltica* Monitoring Committee was in existence between 1996 and 2002 and was based principally around cooperation between the BSR countries – and as such is not a direct impact of the ESDP. Similarly in the Öresund region: the effect of the ESDP on the institutional set-up has been minimal as the institutional changes occurred prior to the preparation of the ESDP. In relation to the ICZM plan for Lithuania and Latvia, no institutions or agencies with responsibility for implementing and evaluating ICZM have as yet been created.

In the context of the cross-border/city cooperation between Graz and Maribor, the institutional framework for cooperation is based on the activities of the agencies for regional development on the Slovenian side of the border, and on those of the administering authority for EU regional funds on the Austrian side. There is also institutional cooperation between municipalities on both sides of the border and other institutions such as universities and planning institutions. The emergence of cross-border institutional cooperation has however been supported by the INTERREG IIA and PHARE programmes.

In the PlaNET CenSE case study it is noted that the ESDP has caused no changes in institutional settings, but that the INTERREG programme as such has promoted many cooperation initiatives and networks.

Changes in planning policies, practices or culture (discourses) are easier to find. In Finland it is suggested that the ESDP was a 'big issue' and often referred to in discussions on planning at the end of the 1990s. In the *Via Baltica* case, the ESDP is described as having been a topical issue at the end of the 1990s but it is suggested that since then, 'the enthusiasm has calmed down'.

In the case study of the Öresund region, interviewees from both Denmark and Sweden suggested that the ESDP has led to a change in planning discourse. Examples of this included the more open discussion of different development scenarios for the region (i.e. polycentric development versus central concentration) and the increased international orientation of planning. Interviews conducted with planners in the Skåne region and the Greater Copenhagen authority also noted that the ideas of the ESDP and trans-national planning perspectives have now become an unavoidable part of planning work.

In the SLL+ SDP case it is noted that the elaboration of such a perspective and its translation into national and regional documents represents a change in planning practices and policies, as prior to this there was no spatial development concept for this trans-national territory, however, the overall effectiveness of the exercise remains uncertain.

In the case of the management of the Morava and Dyje river landscapes, the Czech Government announced its intention to support the ESDP in the preparation of new building and similar laws, while it is suggested that the principles of the ESDP are slowly becoming discernable in decisions of local administrations and in the content of local notices. In general however, the ESDP principles are more often discussed at higher levels of administration, and in research institutes, universities, and ministries.

In the PlaNet CenSE case, the translation of the ESDP principles into Guidelines and Policy Proposals for the CADSES area is noted. These guidelines act as a reference resource for several national strategic planning documents. The ESDP and the earlier VISION PLANET network influenced the discourse around the issue of European spatial planning; however, it is acknowledged that planning practice was hardly influenced because only a very small group of actors was directly involved in dealing with this topic.

In the Graz-Maribor cooperation the two primary national spatial-development documents on either side of the border (the Österreichisches Raumentwicklungskonzept 2001 and the Strategija prostorskega razvoja Slovenije, 2004) deal with issues of cross-border development and cooperation and use the ESDP as an important orientation point. Changes in planning practices are seen as being primarily at the level of cross-border municipalities such as the cooperation between Sentilj and Spielfeld, whereas planning 'discourse' (in the sense of a conversation) across the border has been developed through bilateral seminars, symposia and meetings of actors engaged in spatial and economic development with a focus on traffic planning and infrastructure.

In the Öresund region it was noted that the inter-regional focus in planning work has been reflected in the increased use of spatial representations that illustrate regional perspectives and cross-border linkages and the wider EU spatial context. In the Graz-Maribor case the absence of common planning maps for the cross-border area was noted, however, a project has focussed on the digitalisation of cross-border maps.

The PlaNet CenSE project refers to European visualisations from the CADSES perspective and tries to elaborate its own trans-national maps for the CADSES area.

11.2.4 A wide range of actors participate in trans-national and cross-border projects

Via Baltica has involved a wide range of actors since its inception in the early 1990s. Initially a number of Finnish companies recognised a need for improved road links, with the Finnish Ministry of Transport subsequently supporting the development of the corridor. The corridor was then recognised at the European level in the mid-1990s.

In the case of the ICZM plan for Lithuania and Latvia, the initial actors involved were the World Bank and national Government ministries. The EU PHARE programme then organised and funded the a project which involved the appointment of consultants who systemised and synthesised the results of existing research previously undertaken by universities, professional and research institutes, and Government ministries. The aspiration of the ICZM plan is to involve the national, county and municipality levels in the management process. This reflects the fact that each of these levels has competences relating to planning and that the overall aim of the ICZM approach was to develop a multi-sectoral, participatory approach that eliminates overlaps and duplication of effort while providing opportunities to recognise the mutual advantages of joint action.

In the Öresund region a number of different actors are involved in the process of inter-regional cross-border cooperation while the recognition exists that the planning framework must be adapted to the idiosyncrasies of a cross-border region. The Öresund committee brings together Swedish and Danish Counties and Municipalities. The Swedish and Danish Governments play a role as observers.

11.2.5 Coherence between the ESDP and trans-national initiatives

The issue of causality between the ESDP and the approaches and initiatives adopted is quite ambiguous. In the case of the *Via Baltica*, for example, it is suggested that the ESDP exerted an influence on the development of trans-national cooperation through the work on VASAB, but that VASAB also had an influence on ESDP principles. In this case the similarity of the VASAB and ESDP ideas is noted with a feeling that the former document has had more effect on *Via Baltica* than the ESDP.

In the case of cooperation in the Graz-Maribor cross-border region, it is suggested that overall, ESDP application could be characterised as being implicit and that most policy approaches are coherent with the policy themes of the ESDP. It was not however possible to demonstrate explicit causality between these approaches and the ESDP. Implicit application is also

suggested in the case of the Lithuanian and Latvian ICZM plan where it is suggested that although the policy approaches adopted in the ICZM Project are coherent with the policy themes of the ESDP, this did not reflect a formal or conscious attempt to apply or demonstrate conformity with them.

In terms of the changing influence of the ESDP over time, it is noted in the Öresund region that interest in the ESDP has recently been on the decline, particularly among politicians who were very interested in the document 4-5 years ago. The ESDP's ideas and concepts are still seen as valid, for example, polycentricity and nature management and infrastructure, however, not the ESDP as such. The ESDP has however played a role in putting such ideas and concepts on the agenda and on keeping them there.

The cases of trans-national/cross-border spatial planning addressed here thus present a rather mixed picture in terms of the implicit or explicit application of the ESDP. On one level it can be argued that all of the cases contribute to the application of the ESDP as they are concrete examples of actors and institutions heeding the ESDP's call to, 'overcome any insular way of looking at their territory' taking into account 'European aspects and inter-dependencies right from the outset'. The cases therefore suggest a strong degree of *implicit* application even if in a number of the cases this might be characterised as 'conformity without performance'.

It should also be recognised that a number of the initiatives above predate the publication of the final version of the ESDP and thus the cases can also be seen to illustrate the importance of local contexts and issues as well as pre-existing links and cooperation arrangements in stimulating cross-border and trans-national cooperation.

11.3 Case Studies of Formal Planning Instruments

Nine of the case studies reported on the application of the ESDP through formal planning instruments (Table 26).

Table 26 Embedding the ESDP into formal spatial planning instruments within nation states

Country	Spatial planning instruments examined
Belgium	Structure Plan for Flanders. This case study explores the extent to which the ESDP shaped the development of the Structure Plan for Flanders. It is a case under review that runs in parallel with the evolution of the ESDP and was effectively completed before the ESDP was adopted.
France	Evaluation of the Schémas Régionaux d'Aménagement du Territoire. This case study explores the way that these regional schemes across France have been shaped by ESDP thinking
Ireland	Regional Planning Guidance for the Midlands. This case study explores the way at a regional scale the new planning agencies are seeking to develop new planning instruments
Latvia	Riga Planning Region Spatial Plan. This is a new planning instrument that has developed at the scale of the metropolitan region and which has been heavily influenced by ESDP thinking
Malta	Maltese Structure Plan Review. This explores the extent to which ESDP thinking is beginning to inform the ongoing process of reviewing the Maltese Structure Plan that was initially prepared in 1991.
Portugal	Plano Regional de Ordenamneto do Territrio do Algarve (PROTAL). This case study examines the ways in which ESDP thinking has shaped the regional plan for the Algarve that is currently under preparation.
Slovakia	Slovak Spatial Development Plan. This case study explores the influence of the ESDP in the development of a national spatial planning framework for the whole of Slovakia.
Spain	Navarre's Spatial Vision. This is a new spatial planning instrument that is being developed for one of Spain's autonomous regions.
United Kingdom	Regional Planning Guidance for the North West of England. This case study explores the way that the ESDP has been used by a variety of policy actors in the development of regional planning policy in part of England.

'Formal planning instruments' is in this context defined as plans that are expected or required by agencies with formal jurisdiction for spatial planning within a particular territory. In many cases this will relate to national laws, although in some countries such as Belgium and Spain where a federal or quasi-federal structure of government exists, the formal plans are requirements of the sub-national tiers of government. Almost all of these examples of application were related to spatial plans at the sub-national or regional scale, although the Maltese and Slovakian case studies look at strategies that covered the whole of these national territories. With the exception of the Belgian case study, all refer to the experiences gained

following the formal adoption of the ESDP. In some cases, a formal plan or strategy is not yet evident while the focus remains on the process of plan making.

While the means of implementation was through formal planning systems and processes the acknowledgement that other European funding programmes were also impacting to a greater or lesser extent was made, although it was not always clear whether such programmes (e.g. structural funds) or projects (associated with cross-border and trans-national cooperation) were having any significant impact on policy development.

In those countries where significant structural fund monies were available, e.g. Ireland, Spain, and Portugal, the importance of this resource for implementing policies was recognised, although the actual impact was less evident.

11.3.1 Favourite application themes

The key policy theme that seems to have captured the imagination of policy makers in many, though not all, of the case studies is the application of the idea of polycentricity, which can and has been applied at a variety of spatial scales.

In Ireland, three small towns of Mullingar, Athlone and Tullamore worked together advocating that they should be considered as a national spatial strategic gateway within the National Spatial Plan for Ireland, acting as one of the counterbalancing points to Dublin, thereby promoting more balanced territorial development. The Regional Plan is concerned with elaborating and implementing this idea, based on notions of functional interdependence and the development of complementary specialist functions.

In two cases, the polycentric idea was rejected in favour of the classic city region model, which better represented the nature of the territory. This was the case in both Navarre in Spain and in the Riga Spatial Plan. In the case of Riga, however, consideration was still given to the city's position and role as one of a number of centers situated within a wider trans-national territory, particularly in relation to Russia and the Baltic states. Given this emphasis on connectivity and reaching out, much is then made of infrastructural developments.

Finally, the protection of the natural and cultural heritage is seen as a priority, because it is an asset that facilitates development. One of the interesting aspects of the Latvian case study is that they have borrowed too many policy options from the ESDP making application more difficult.

Although many of these case studies reported coherence between the policy options within the ESDP and the policy themes that were being developed in national and regional policy it was often difficult to see whether there was a direct cause and effect relationship, as often the links were seen as being implicit rather than explicit. In France for example, a number of regions made explicit reference to the ESDP and in particular to policy themes. The SRADT for Champagne-Ardenne and Auvergne refers explicitly to the ESDP in relation to European cooperation, while that for Burgundy refers to European Transport Networks, and Picardie to the three main orientations of the ESDP fitting perfectly with the strategic needs of the region). Elsewhere there is a strong coincidence between ESDP policy aims and regional objectives although the links are never made explicit.

11.3.2 More collaborative working

One of the common themes to emerge from these cases studies was evidence of greater collaborative working, particularly within the territory for which the plan was being produced.

Hence, in Portugal, the process of producing the new PROTAL for the Algarve has seen the local mayors working together in ways that had not previously been evident. In Ireland, there was a coming together of local authorities and partners seeking to work together for their mutual benefit. In Riga, the Spatial Plan was very different to previous highly centralised traditions and sought also to be more inclusive, following the best principles of spatial planning. In the UK, the development of new spatial policy is predicated on ideas of greater stakeholder engagement and dialogue with the hope of developing consensus.

As such, the case studies illustrate the way in which horizontal integration is being achieved. While such ideas are however embedded in the ESDP, it is not necessarily the case that such practices resulted from the ESDP. In Flanders for example the structure plan was produced using a 'cooperative model' whereby different governmental sectors and other governmental and non-governmental advisors were engaged in a collaborative process.

In terms of horizontal integration the picture seemed much more mixed and reflected the characteristics of individual nations. In some countries there did appear to be good vertical integration with national policy shaping regional agendas, which in turn, in theory at least will shape local agendas. This in part reflects the more cooperative and collaborative approach to planning highlighted previously. This was particularly evident in Portugal and Ireland for example.

Elsewhere the extent to which vertical integration was evident was much more difficult to discern and in some cases considerable tensions were evident between the national and sub-national levels. In some of the new Member States this gap could be to some extent explained by the newness of the systems and in the case of Riga a gap in national spatial planning and other similar agencies and instruments in other parts of the country. In Slovakia, it was acknowledged that having created a national framework the next phase was to cascade the approach down to other regional and local actors and instruments. Hence the lack of integration was a function of an absence of instruments as new systems are developed.

In countries that have a more federal structure the relationship between the sub-national case study and the nation state was much more evident. This is because in both Belgium and Spain the regions have considerable autonomy and often a strained relationship with the nation state. As such, Navarre's Spatial Vision was an initiative developed by the region itself, using its own legislative powers, while making no reference to national policy. Furthermore, in Navarre's case, it was also reported that there were some difficulties in coordinating actions below the level of the autonomous communities, unless there were financial incentives to encourage greater coordination.

11.3.3 Increased attention to the European context

In terms of the effects of the ESDP as evidenced through these case studies, there was little evidence of the ESDP creating new structures or instruments.

In Latvia and Slovakia, some of the new ways of thinking and working were however evident in the new agencies and in the ways in which they worked, although the ESDP was only one of the sources of inspiration and influence. In the development of the Riga Spatial Plan, other informal policy documents such as Habitat II, Baltic Palette, VASAB, and Agenda Baltic 21 were considered to have exerted a similar influence.

The effects of the ESDP and other European funding regimes, particularly on cross border and trans-national cooperation initiatives, has been to heighten awareness of the European context within which the region operates. The North West of England has witnessed over time a growing appreciation of the fact that the region's well-being is dependant on its external connections, both immediate cross-border, but also wider trans-national, with the so-called NETA corridor being given greater prominence in the strategy.

In the Netherlands, one of the traditional underlying philosophies of Dutch policy has been to maximise the opportunities afforded by operating within a European context. Following the election of a new right of centre government in 2002 however, there has been a marked step back in the extent to which the ESDP and the wider European spatial context for the Netherlands' development is emphasised within the new National Spatial Strategy. This illustrates how the domestic settings in which policies are developed can exert a powerful influence on the degree to which the ESDP and the European context for spatial development are viewed as important issues in the formulation of policy.

In Portugal, while the plan has still to be produced it is clear that the Algarve's spatial position within Europe as a peripheral region with a significant level of dependency on tourism is sub-optimal. In France, depending on the location of the region the emphasis placed on cross border and trans-national cooperation varied. In the west, the Atlantic fringe regions made much of their peripheral European status, while in the north the links to the Benelux countries and the wider North West Metropolitan Areas were highlighted.

As such, one of the key features to emerge from these case studies is that many of the new strategies are being presented in a wider spatial context and thus can be said to represent a spatial repositioning of policy. Again it is hard to determine cause and effect, although the ESDP and other European influences have had an effect.

11.3.4 Knowledge of the ESDP confined to a small number of actors

Knowledge and use of the ESDP was confined to a small number of key influential actors and many players in the making of the plans either knew or cared little about the ESDP. This was certainly the message from the Belgian case study, where there appeared to be little or no formal dissemination of ESDP thinking from the national perspective. In Portugal, the development of the PROTAL for the Algarve appeared to be being driven by the influence of a key individual, while elsewhere knowledge about the document seemed limited and had not penetrated below the national or regional levels.

One exception to this was the UK where though knowledge of the document remains limited, the process of plan making which enabled all interested stakeholders to have a say in the process, saw many use the ESDP as a support and justification for their positions and thus it had a slightly wider circulation.

In those countries where the planning system is mature some of the ideas may be now becoming embedded in practice although their origins in, and the influence of, the ESDP may no longer be so relevant. Elsewhere, in some of the new Member States and those countries in southern Europe seeking to reform their spatial planning systems, it is still seen as a source of inspiration.

Where the ESDP seemed to have the most significant impact was in those systems that were undergoing significant change at the time of ESDP adoption.

In some of the new Member States the ideas of the ESDP in particular have been a source of inspiration. This was particularly evident from the Latvian case study. In some countries where there were or are perceived flaws in the system of planning the ideas of spatial planning embodied in the ESDP have again been influential in helping to shape new or strengthen existing policy instruments. This was the case in Spain, Portugal, Ireland, and to some extent in the UK also.

One recurrent theme that was evident across several case studies was the tension that existed between the framers of the ESDP, which was often perceived as being a national responsibility, and the remoteness of regional actors to this process. This was particularly evident in terms of the Belgian, French, and Spanish case studies. Despite this, the ESDP was used as one, but only one, of several sources of inspiration in the development of policy.

Many of the substantive and procedural themes within the ESDP were considered to be part of the current thinking about best practice and therefore it was relatively easy to see how plans at this stage could conform to this way of thinking, but it was not always easy to determine full cause and effect. As such, there was implicit application and coherence with the ideas. The ESDP was a document that came along at the right moment in time and had thus had some influence.

11.4 Case studies of informal spatial planning instruments

There are three nationally orientated case studies which look at what might be described as innovative applications of the ESDP through the creation of voluntary informal partnership arrangements and strategies that do not form part of the formal spatial planning system in that particular country (Table 27).

In two of the three cases (Denmark and Sweden), the collaborative ventures existed prior to the ESDP being developed and indeed, they are examples of

application insofar as there is considerable conformity between the case studies and the substantive and procedural aspects of the ESDP. In the Italian case, which is more recent in origin, some of the thinking and justification can be linked to the emerging idea of polycentricity and its relevance as an idea for northern Italy. The other two case studies report that polycentricity, or functional interdependence between local urban centres, has been one of the main drivers for cooperation. There is then strong coincidence rather than causality evident here.

Knowledge of the ESDP among the key actors is almost non-existent. All three are characterised by bottom up approaches, perhaps facilitated by higher- level support, designed to create emergent new levels of functional governance at a regional or sub-regional scale.

Table 27 National Case Studies involving informal partnership arrangements.

Country	Characterisation of the case study
Denmark	The Triangle Area, a case study of voluntary cooperation between eight municipalities trying to create a complementary (polycentric) urban network.
Italy	The North West Macro-Region, a voluntary working arrangement to help create an integrated, polycentric functional urban region
Sweden	The Stockholm-Mälars region, a longstanding voluntary arrangement designed to promote the well-being of the central functional region.

The main theme characterising all three case studies is the idea of creating or further exploiting a local multifunctional urban system. The idea of polycentricity is thus the ESDP theme that has greatest resonance within these case studies, although within the Italian case study the role of transport networks and corridors is given equal prominence in the drive to enhance regional competitiveness.

11.4.1 Horizontal cooperation at the local and regional level

The main way in which these case studies operated is through horizontal cooperation between local municipalities and counties to create or indeed strengthen new institutions and agencies at a higher spatial scale. Where policy instruments have been created, they exist in the main beyond what could be described as formal planning arrangements.

The collaborative arrangements in Denmark and Sweden predate the adoption of the ESDP and largely run in parallel to its production, although for the sub-national partnerships there is almost no cognisance of the ESDP as a policy toolkit. In Denmark, the 'Triangle Area' is one of the designated national centres, identified in the 1997 National Planning Report. It could be conceived as a Danish attempt to apply the polycentric principles of the ESDP. This conclusion would however be erroneous because the project to promote voluntary cooperation was funded as a demonstration project to create an urban network in 1992. At this stage it was known as the String City Cooperation.

In Sweden, an informal special interest organisation, the Council for the Mälars Region was founded in 1992. Today it has the active membership of a majority of counties and municipalities in the region.

In Italy, collaboration is much more recent in origin dating from the formal collaboration between Turin and Milan which began in 2003, but now including other municipalities in the region.

The key idea in all three case studies is to create a more integrated, functional region that can promote economic development for the benefit of all.

11.4.2 Promoting closer relationships

The effects of these collaborations have been to promote closer working relationships between functional regions within a context where there is an institutional vacuum.

In response, in both Sweden and Denmark bodies representing the functional regions have emerged. This in turn has led to the development of a number of strategic documents that attempt to articulate the benefits of collaboration and develop a spatial framework for the development of the area concerned. In 2004, the municipalities of the Triangle Area produced a joint master plan for the region for the period 2003-2014, which, within the Danish context is considered novel. In the Mälars region, a joint report published in 1996 outlined a vision for the physical development of the region up to 2020/30. This report highlighted the need to develop international competitiveness, the need for long-term sustainable and economic cooperation, and the need for greater cooperation in the Baltic Sea region and in Europe more generally. Such effects are not in any way conditional on the ESDP, but while they are coherent with the broad philosophy of the ESDP, they can only be described as coincidental. Indeed

within Sweden and Denmark at least, there was no real evidence that the ESDP was even known to the key actors.

In the Italian case the effects of European activities in general might be considered to have been more influential in helping to facilitate the emerging collaboration. Work carried out by the CPRM suggested that the Northern Italian Macro-region might be an emergent growth zone that could help to counterbalance the dominant Pentagon. This has helped to foster a more collaborative approach. At the same time, European Structural Funds are currently being used to improve connectivity between the key cities. Emphasis is currently being placed on collaboration in respect of networking and building trust, while there are no formal structures or instruments to fully articulate this idea. The Italian case is thus one of 'step by step' application influenced in part by wider 'EU lessons' about collaboration, multi-level working, the new 'macro-regional' scale of territorial competition, and the TEN related TO-MI 2010 infrastructure project. The case is not one of direct application but rather of implicit application based on 'bottom-up' cooperation encouraged by a variety of EU initiatives.

11.4.3 Bottom-up initiatives

All of the actors in these case studies have recognised the benefits of mutual collaboration in order to further their own agendas and that by working together they can collectively have stronger lobbying powers. Most of the participants have worked together from the bottom up, although such activities might have been facilitated by top down resources. There is however little if any knowledge or understanding of the ESDP among the key actors.

These three case studies are interesting insofar as they demonstrate that a bottom up process of collaboration is evident in some places, however given the nature of the case studies it is impossible to suggest whether this is a pattern which has wider applicability across Europe.

They also serve to illustrate very clearly how many of the ideas of the ESDP can be applied in practice without the key actors having any direct knowledge or understanding of this policy document.

11.5 Thematic case studies

Three national case studies chose to focus their particular study on a specific sector or policy focus. This makes it difficult to identify common themes and ideas, though some general synthesising comments can be made. Table 28 provides a brief summary of the three case studies falling within this categorisation. One of their defining characteristics is that they all come from the recent accession countries and to some extent, in at least two cases, the ESDP is either perceived as having little relevance or there has not been sufficient time to see evidence of application. This idea was also evident in the Maltese case study discussed above in section 11.3, which explored the process of structure plan modification that had just begun, while there were only some vague references to the ESDP in some topic papers. This seemed to be so because limited knowledge of the ESDP, as a document, existed.

These three case studies explore different themes within the ESDP. Within the context of the Cypriot case it is difficult to discern the specific theme being applied. In respect of Hungary, the theme of wise management of the cultural and natural heritage has been taken from the ESDP as the missing element in the Hungarian spatial planning system and as with other accession countries the ESDP has been used to help improve the spatial planning system. In Poland, the focus of the case study is linked predominantly to the theme of parity of access to infrastructure and knowledge, particularly in describing what the territorial impact on the Polish population has been of the reform of the higher education system.

Table 28 National case studies dealing with specific topics or themes

Country	Sectoral or thematic topics
Cyprus	This case study provides an evaluation of the ESDP for the urban planning system of Cyprus
Hungary	This case study examines the influence of the ESDP and other European influences in formally introducing explicit consideration of natural and cultural heritage into the spatial planning instruments of Hungary
Poland	This case study explores the changing levels of accessibility to centres of higher education in Poland

11.5.1 Increasing awareness

The case studies provide little evidence to suggest how the ESDP has affected the degree of integration within and between levels of governance. Nor is there any discussion as to whether, or how, the considered themes have led to greater or better spatial integration.

It is however worth noting that the trans-national and cross border cooperative initiatives have been particularly important for Hungary in terms of both making them aware of the need to consider natural and cultural heritage matters more fully, but also that such projects have demonstrated how collaboration can lead to better coordination, management and protection of natural resources.

The effects are most evident in the Hungarian case where much greater emphasis is now being given to protecting the cultural and natural heritage and to viewing it as an asset that can consequently be exploited. These elements are considered much more explicitly in the National Development Plan and the National Spatial Development Plan, the former being developed for the utilisation of European Structural Funds.

Elsewhere in both Poland and Cyprus the case studies do not demonstrate any real application of the ESDP. In Poland the case study shows how sectoral policy impacts, in this case in the field of higher education provision, have resulted in significant territorial or spatial impacts in terms of access too, and the take up of, higher education opportunities, although it is not clear how this is shaping spatial development policy. In Cyprus, the fact that it is a new accession country suggests it is still too early to see any impacts in processes or procedures although it is suggested that existing policies show signs of conformity with some of the ESDP ideas.

11.5.2 Limited use of ESDP ideas

It would seem from the case studies that very few actors have been involved in these processes. Indeed while the ESDP offers an opportunity for new styles of planning, the first step in Cyprus will be to make planners aware of the new spatial planning approach being advocated by this document, for which they currently have no knowledge.

It is difficult to draw out common themes from three very different case studies. Two of these studies, namely, Cyprus and Poland do however show limited application of the ESDP. Although in Cyprus the ESDP may have a greater role in the coming years it seems, for the present at least, that any conformity between planning documents such as Development Plans and the

policy principles of the ESDP does not reflect an explicit causal relationship. In Hungary by contrast the case study shows how the ESDP has been used to help identify and fill a perceived gap in national thinking towards the natural and cultural environment and thus it could be said to have had a direct impact.

11.6 Case Studies of innovative application or organisational change

There are two national case studies where there is an innovative application of the ESDP either through innovative institutional practices or via the development of a completely new institution.

In Germany a Committee of Experts in Spatial Development (CESD) was created to address a particular task, namely the way in which spatial planning or spatial development should, or could, be taken forward in the new EU Constitutional Treaty arrangements. The role and task of the CESD was time limited. In 2002, a group of technical experts, including international experts from other Member States, were contracted to provide expert advice to the Federal Minister for Transport, Construction and Housing, thus constituting the CESD, which reported in 2005. In Greece a new agency was created to monitor and evaluate the impact of a new motorway and disseminate the impacts to key planners at the national and sub-national level.

Table 29 Case studies of organisational changes

Country	Case Study Characteristics
Germany	Committee of Experts in Spatial Development (CESD) a body brought together in response to a consultancy project funded by the German Federal Government
Greece	The <i>Egnatia Odos Observatory</i> , a new institution designed to monitor and disseminate the territorial impacts of a new motorway (see also Annex XX where a TIA example describes the Observatory's outcome)

11.6.1 Provide information and advice

The themes of the ESDP were not really applicable to either case, although some of the reports produced by the Observatory were organised in such a way as to be consistent with the four policy principles of the ESDP. The role of the *Egnatia Odos Observatory* is tasked to provide information and advice, which other policy actors would then use in the justification and creation of

their strategies. The Observatory is relatively new; its current work began in 2003. Although suggestions have been made as to possible spatial development programmes (for Central and Western Macedonia), it is still too early to evaluate its impact.

In both cases the primary function is to provide advice and information to other actors. In the case of the CESD, their role was to advise the centre as to the division of tasks in the field of spatial planning between the nation state and the EU, which it hoped would be formalised through revisions to the EU constitution. It was therefore charged with providing technical advice as to how the ideas of the ESDP could be more formally embedded in EU policy activities, especially in terms of regulating the EU's competence in the field of spatial planning. The CESD claimed some of the credit for introducing the idea of 'territorial cohesion' as an objective of the EU alongside social and economic cohesion.

11.6.2 Small group of technical experts

It is too early to say whether either body has had any fundamental effects. While there were some additions in the EU Constitution coherent with the advice offered by the CESD, it remains to be seen whether it can be ratified in its current form. [With the Observatory, independent advice has been given, but whether or indeed exactly how this has had an impact on policy remains to be seen.

The actors involved in both case studies were a small group of technical experts. With the CESD there advice was narrowly channelled to the national minister. The Observatory's experts were however located in a private consultancy firm and were tasked with improving the knowledge base upon which decisions could be made.

These two cases detailing organisational changes within Member States are difficult to categorise in terms of the application of the ESDP. The CESD is clearly an initiative designed to respond to the issue of how the European dimensions of spatial planning and development can best be responded to by actions at the EU and Member State levels. In this sense it is an explicit response to, and reflection on, the issues left unresolved at the end of the ESDP process. It can thus be seen, indirectly, as a response to the call in the ESDP for Member States to 'examine the suggestions of the European institutions to formalise both the Ministerial meetings on spatial planning and the Committee on spatial development, while respecting the principle of subsidiarity' (CEC 1999, p. 37).

The *Egnatia* road Observatory can be seen as a response to the ESDP's call for the Member States to develop national regulations and instruments in relation to TIA (CEC 1999, 45). This is a case where the diffusion and application of ESDP ideas and principles reflects the adoption of such principles in the national planning system, and an explicit response to a particular context (i.e. the construction of the new motorway). Although the main goal was not the immediate application of the ESDP - as expressed through the Greek spatial planning system - but rather the monitoring of the spatial impacts of the new *Egnatia* TEN motorway in northern Greece, the organisation of the data and indicators is structured according to ESDP policy guidelines (i.e. polycentricity, parity of access to infrastructure and knowledge, and environmental protection). As such, the Observatory contributes to the application of such principles even if such an application is more clearly implicit than explicit.

11.7 Implicit application of ESDP principles

In conclusion, the key policy theme that seemed to have captured the imagination of policymakers was in many, although not all of the case studies, that of polycentricity. The other themes of parity of access to infrastructure and knowledge and the wise management of the natural and cultural heritage have also been picked up in a number of cases.

One issue revealed by the cases studied was that, although many of them illustrate coherence (sometimes a very strong coherence) between the policy approaches adopted and the key policy themes of the ESDP, it is often difficult to establish a decisive cause and effect relationship. As a result, in many of the cases while it was possible to gauge the implicit application of ESDP policy themes in the approaches being adopted, the lack of explicit links meant that causality remained difficult to establish.

This was the case in the three examples of informal spatial planning initiatives within the Member States, each of which seemed highly coherent with the ESDP's promotion of balanced and polycentric spatial development and dynamic, attractive and competitive cities and urbanised regions, but where there was no evidence of an explicit response to the ESDP.

Similarly, in the cases that examined specific issues or themes within the Member States, with the exception of the Hungarian case, it was difficult to see evidence of an explicit application of the ESDP. In Hungary it seems that the ESDP theme of wise management of the natural and cultural heritage has been taken directly from the ESDP to help identify and fill a perceived 'gap' in the existing planning system. This therefore does appear to be a

case of the ESDP having a direct impact and thus also of an explicit application.

The case studies also suggested a growing degree of collaborative working in the development of planning documents and initiatives. It seems then that horizontal integration and cooperation is becoming an increasingly important theme in the development of spatial policies, however, such evolutions in practice were not necessarily attributable to the ESDP, and in many cases reflected other influences and considerations.

The ESDP has been used by actors at the sub-state level as a source of inspiration and justification in the development of policy. This reflected the fact that many of the substantive and procedural themes of the ESDP correspond with more general current thinking about best practice in sustainable spatial development. As a result, it was relatively easy for actors at other levels to develop plans and initiatives that generally conformed to the ESDP 'way of thinking'. There was therefore often a good level of vertical integration of themes and approaches even if in most cases this reflected an implicit application of, and coherence with, ESDP policy themes. For example, in the case of the National Spatial Strategy for the Netherlands the coherence of approaches adopted was described as reflecting 'conformity' without 'performance'. The theme of a strong coincidence of approach rather than a clear causal relationship with the ESDP also emerged from the case studies of informal spatial planning instruments within the Member States, all of whom sought to develop multi-functional urban systems in a manner which was coherent with the ESDP's promotion of dynamic polycentric urban systems.

On the basis of the case studies then there was no evidence of the ESDP having contributed *directly* to the development of new institutional structures. That is not to say that there were no examples of institutional changes, which contributed to spatial planning approaches, and which were coherent with the underlying philosophy, policy guidelines, or aims of the ESDP. Rather, such developments were not explicit responses to the publication of the ESDP. The case studies of informal spatial planning initiatives in Denmark and Sweden both predated the final publication of the ESDP and it would therefore be difficult to argue that they were conditional on the ESDP.

In the case of the more recent (2003) Northern Italian Macro-region, it seems that the European spatial planning context has been more influential, for example, work carried out by the CPMR indicated that this area might be an emergent growth zone, which could help counterbalance the Pentagon. The case of the German Committee of Experts on Spatial Development

(CESD) can also be seen as an explicit response to the issues raised by European spatial planning and development.

The *Egnatia* road observatory in Greece addressed themes that feature in the ESDP and also feature in the Greek spatial planning system, and thus can be seen as an instance of the application of Territorial Impact Assessment (TIA) through the monitoring and sharing of information about the impacts of a new motorway. As such, these organisational innovations can be seen to be indirectly linked to the ESDP and to the European spatial planning agenda, and in the case of the *Egnatia* road observatory as contributing to the response to the ESDP's call for the further development of the practice of TIA. Both initiatives can however be characterised as instances of *implicit* rather than *explicit* application.

In terms of the awareness of the ESDP among spatial policy actors, the cases revealed that in most cases understanding and use of the ESDP was confined to a relatively small number of actors. Despite this, it seems that more actors were actually aware of the existence of the ESDP, however, their familiarity with its contents and employment of it as a frame of reference was limited. In the cases that examined informal spatial planning instruments and initiatives within three Member States, it also seemed that there was little if any knowledge or understanding of the ESDP even among key actors. These cases provided interesting illustrations of how the ideas and approaches, which are coherent with the ESDP and may contribute in practice to its application, can be applied in circumstances where key actors do not have explicit knowledge or understanding of the ESDP.

The relevance of the ESDP's ideas was generally acknowledged within the various cases, even if there might be some 'macro-regional' variation in Europe in terms of how these ideas were received and in their perceived relevance. There is some indication that in those countries where the planning system can be labelled 'mature' ESDP ideas were already inherent in the planning system and in planning policy, while the origins of such ideas and their coherence with the ESDP may no longer be so relevant.

Perhaps the most important thing revealed by the diverse case studies is that there are many implicit cases of policy initiatives programmes and projects across the EU territory which contribute to the application of approaches which are coherent, and in many cases highly so, with the central policy themes of the ESDP. Policy options and principles featuring in the ESDP are used in practice, even if in many such cases they are used without explicit reference to their *origins* in the ESDP. In many cases, this also reflects the fact that locally grounded factors and spatial development issues may result in an analysis of situations and proposed policy solutions

that are coherent with the ideas embodied in the ESDP. This should come as no surprise as the ESDP was developed in a collaborative process by the Member States and other territorial actors and thus reflects the issues and territorial challenges facing the territories of the EU in the period of the ESDPs elaboration during the 1990s. As many of these issues still resonate, subsequently undertaken analyses and policy developments often come to similar conclusions in terms of policy prescriptions.

It also appears that in some cases the ESDP may have influenced policy debates without perhaps the majority of actors involved making an explicit link back to the ESDP.

Overall, the case studies provide a rich level of insight into the variety of spatial planning activities and practices across Europe, which contribute either explicitly or implicitly to the application of the ESDPs policy themes. This tends to suggest that there is a degree of continued relevance embedded in the ESDPs policy ideas, in so far as, in the many cases of implicit application, if territorially grounded analyses are resulting in policy ideas which cohere with those of the ESDP then this suggests that there is still validity in many of them.

12 General conclusions and policy recommendations

This part summarises the findings of the previous chapters and concludes in a set of eleven policy recommendations.

12.1 A continued cooperation on territorial issues is necessary

In the case of "Policy impact studies" such as this, recommendations only make sense if they are couched in terms of the current policy context. As such then, it does not make sense to frame policy recommendations in terms of the ESDP as that process was formally brought to a conclusion in 2001 with the Tampere ESDP Action Programme. Moreover, major developments such as the 2004 EU enlargement have subsequently taken place, which changed the context of the ESDP.

Notwithstanding this however, despite the formal 'conclusion' of the ESDP process its application continues, as indeed this project affirms. One of the difficulties of viewing the ESDP as an ongoing process (a position that is recommended further below) is how then to characterise this process.

The need for a 'spatialised' perspective on Europe is even larger now than before, as the variation is larger in the enlarged EU and the potential impacts of economic integration are more significant within this enlarged geography. It is still important to highlight and visualize territorial impacts of EU policies, as well as the European spatial context that national policies are part of.

The necessary stimulation of a continued spatial development discourse can be seen as a strategic process, which the ESDP process in essence also is, consisting of two types of activities, namely, 'follow up actions' and 'supporting conditions'.

Follow up actions concern activities such as the drafting of reports, conducting research into specific spatial issues and themes, the implementation of spatial objectives through projects and so forth.

Supporting conditions are activities that focus on organisational and institutional change, for instance new regulations, the setting up of new organisations and initiatives (such as ESPON), the provision of budgets and the inclusion of territorial cohesion in the EU Treaty. Since the ESDP was published in 1999, several such follow up actions and supporting conditions have been carried out and/or implemented be it either as the result of *ad hoc* actions or one-actor initiatives or as the result of more strategic operation and targeted policy processes. Two distinct policy processes are

then relevant to the policy recommendations that can be distilled from this study.

12.2 Member States and the Commission go their own way

After the winding up, in 2001, of the Committee on Spatial Development (CSD) the ESDP process faded from view. At the same time a new process was initiated by the Commission under the name of 'territorial cohesion', a term that figured in Article 16 of the EC Treaty. To this end, the Spatial and Urban Development work group (SUD) was installed as part of the Committee for the Development and Conversion of the Regions (CDCR) where the Commission and Member States could meet. At that time, the Commission had already prepared the Second Cohesion Report (CEC 2001), which included a chapter on territorial cohesion. This could have kick-started the SUD. For a number of reasons however this did not happen.

After 2003 work in the SUD culminated in the commencement of two separate processes, each of which were linked to the ESDP. A few former CSD members, calling themselves the Mermaid Group, worked on an expert document on territorial cohesion (SUD 2003), as the Commission, or more precisely, *DG Regio*, worked on the Third Cohesion Report (CEC 2004), while Commissioner Michel Barnier was tasked with working on the inclusion of territorial cohesion in the Constitutional Treaty. Both processes developed independently, and, as such, were driven by their own dynamics.

Since the Rotterdam ministerial meeting in 2004, the Member States have worked together in what has been termed 'the Rotterdam process'. The plan here is ultimately to agree on a document entitled the 'Territorial State and Perspectives of the European Union'. A 'scoping document' (Luxembourg Presidency 2005) has already been discussed at the ministers' meeting in May 2005 in Luxembourg. This document on the 'Territorial State and Perspectives of the EU', focuses on six priorities:

- Promoting urban development networking in a polycentric pattern
- Strengthening urban-rural partnership
- Promoting trans-national competitive and innovative clusters of regions
- Strengthening Trans-European technological networks
- Promoting trans-European risk management
- Strengthening ecological structures and cultural resources

The 'territorial state and perspectives' document will cover the following aspects: the context for spatial development in the EU, a status quo analysis, challenges for spatial development, relevant EU policies, an elaboration of the six priorities, policy recommendations, EU policy aspects/governance, and good practice examples.

The 'Territorial State' is expected to be an evidence-based document, making good use of the results of ESPON and INTERREG (Gestel and Faludi 2005).

Notwithstanding the absence of the Commission, the Rotterdam process shows many similarities with the former ESDP process. EU presidencies prepare documents, a Coming Presidency Group (including other interested Member States such as Portugal, Slovenia and France) coordinate the work, while delegates meet in so-called DG meetings. All of this occurs in an intergovernmental cooperation context (Faludi and Waterhout 2005).

The other process falls under the Community Method and thus is run by the Commission. It concerns the implementation of a new delivery system for the structural funds (CEC 2004b), based on the Community Strategic Guidelines, drafted by the Commission (CEC 2005a), and the so-called National Strategic Reference Framework (NSRF) documents, which will be drafted by each Member State (Janin Rivolin 2005). At the current time of writing, these NSRF's are in the process of being drafted. This work is based on a document entitled, 'Cohesion Policy in Support of Growth and Jobs: Community Strategic Guidelines 2007-2013' (CEC 2005a), which in itself forms a response to the re-launched Lisbon Strategy, and is reframed as 'Growth and Jobs' (CEC 2005b). This 'Growth and Jobs' strategy is being pursued via the Open Method of Coordination (OMC), which has obliged each Member State to deliver a National Action Programme for the period 2006-2008, before November 2005. The NSRF's cohesion policy follows a more or less similar path with the Community Method being mixed with OMC, but one that, as has become clear, has a different timing.

As indicated previously, the NSRF's should correspond to the Community Strategic Guidelines (CEC 2005a), which include a brief chapter on the role of the territorial dimension in this process. Based on the Third Cohesion Report (CEC, 2004a), which also refers to territorial cohesion, this chapter was intended as a brief survey of what territorial cohesion policy could become. However, due to the negative outcomes of the French and Dutch referenda, the chapter was drastically edited and downsized before its publication in July 2005. In consequence, the territorial dimension has not been fully integrated into the document, where the emphasis remains on the more traditional economic and social dimensions of cohesion policy.

According to some officials of *DG Regio*, it is for this reason that little can be expected from the NSRF's in terms of territorial focus. Another reason highlighted in this context is that, despite what could have been expected, in most countries the NSRF's were not drafted by the officials involved in the Rotterdam process, but by representatives of sectoral, mostly economic interests who tend to overlook territorial issues. At the same time, the status of the NSRF's is something of a concern, as being strategic documents, they do not necessarily go to the core of cohesion policy.

This will be clear in the Operational Programmes that Member States must present to the Commission during the autumn of 2006, and will programme most of the investments for the years to come. Whether, and to what extent, they will pay attention to territorial issues however remains to be seen. Given the uncertainties over the issue of competence in respect of territorial cohesion, this is not obligatory, though *DG Regio* has intimated that the Commission will continue to monitor these issues.

Nevertheless, the present project clearly proves that European spatial planning fosters EU integration. As such then, if the abovementioned twofold policy process is viewed in the light of recent EU developments, it tends to weaken the valuable function of European spatial planning as a whole. As the following recommendations will express in detail, a strategic follow up to the ESDP process should then be used as a bridge between the intergovernmental and the European Commissions approaches.

12.3 Lessons learned

What are the lessons learned from the application of the ESDP that will be of value for the continued cooperation?

Outside *DG Regio*, the ESDP is not well known. The European Commission is in nature a heterogeneous body, where the drafting of policy remains very sectoral. A document such as the ESDP will always face difficulties in this respect; partly because cross-cutting concepts in general are often seen as alien to established policies, and partly because the ESDP's analyses as well as its recommendations were vague and difficult to concretise or to explain.

The formal follow-up to the ESDP did not quite fit with initial expectations. While the ESDP process faded away, a number of CEMAT activities under the Council of Europe took place and this became an important pan-European forum for discussing spatial development. A body without supra-national status but with the ability to provide the driving force for change (i.e. a body with a certain level of administrative capacity) it allowed the momentum of cooperation concerning European spatial planning to be maintained.

On the other hand, several ESDP themes have been carried through. The most prominent example being the ESPON programme (2002-2006), which will be followed by the ESPON 2 programme (2007-2013). The ESDP also helped give rise to INTERREG IIC, which was followed by Strand IIIB (trans-national cooperation) of the INTERREG III Initiative.

There are various intermediate steps between the ESDP and the implementation of INTERREG projects. All of these stages mean that the translation of the ESDP and the key concepts within the document into practical projects may however be rather indirect, and that certain messages or concepts can often be lost along the way. The link between the level of policy making and project practise is sometimes virtually direct, but more often it is not. This will always be the case as policy aims and perspectives "trickle down" towards realities on the ground. The value of programmes and specific projects cannot however be underestimated. To maintain links between policy cooperation and the more practical aspects of implementation will thus remain a paramount issue.

At the national level, the dominant mode of applying European policy principles will be indirect in nature. A European cooperation process on policies will most often conclude with recommendations that are coherent with policies already existing in many countries.

The direct impact of the ESDP was very limited even in those countries that had played a leading role in its development. On the other hand, there are a number of countries where a 'European influence' can be observed in national plans and policies and where it has had a catalytic function or in some cases where it has directly influenced the development of new spatial planning systems.

It is difficult to establish causality between processes at the European level and at the national level. The impact that pan-European discourses may have should not however be underestimated. Case studies of this project deliver several examples on how policy guidelines have been interpreted and used in national policies and in practical development projects. It also appears that in some cases the ESDP may have influenced policy debates without perhaps the majority of actors involved making an explicit link back to the European discourse.

The most powerful way to introduce new concerns and perspectives into a policy discussion is probably through utilising professional discourses. In most cases, understanding and use of the ESDP was confined to a relatively small number of actors. A significant challenge for the future then is to involve broader circles of professionals and to frame the discourse in such a

way that makes it more relevant for key policy areas outside the rather narrow sphere of spatial planning.

Were the initial hypotheses confirmed? Yes, to a large extent. As expected, polycentricity was the ESDP theme that has had attracted most attention in respect of European planners. In addition, INTERREG – the only example regarding funding that has been directly linked to the ESDP through explicit references - has contributed to the development of a wide range of concrete examples of the application of ESDP ideas in practice.

The ESDP has also contributed to a European-wide professional discourse and to an emerging 'spatial' planning agenda particularly in states where there has traditionally been a strong sectoral orientation in respect of policy-making.

It is however difficult to find any clear relation between the experienced types of ESDP application and the four different European regional spatial planning perspectives described in Chapter 7. The variation between countries regarding coherence with the ESDP policy aims is quite limited, and there are only small variations between countries belonging to the different planning families.

The timing of changes in national planning systems and the openness for external influence has proved to be the most important factors for ESDP application. It became clear that the 'vanguard' countries leading the ESDP process already had planning systems in conformity with the ESDP, and as such were less influenced by this process than other countries.

Another important aspect here was that of timing, where interest in the ESDP document as such – as expected – was highest at the time of publishing the first full drafts and the final report, while explicit references to the document became increasingly rare thereafter. It is necessary to keep the momentum of the process going through setting new targets, aiming at common reports and arranging events for dissemination and discussion, as this is paramount if one is to remain visible and have influence on the professional discourse. Influencing other sectors – at the European as well as at the national level – has proven to be challenging. This probably relates to the difficulties of working across sectors in general as well as the lack of a formal basis for spatial planning as a policy field in particular.

12.4 Policy recommendations

The following policy recommendations shall be seen as input to nourish the discussion among policy-makers. They shall be conceived as options for policy decisions.⁴³

12.4.1 Recommendations at the macro-level

1. A renewed Europe-wide strategic spatial planning process is both necessary and desirable

The rationale behind the ESDP approach remains valid. As such, cooperation in matter of European territorial development is still needed, perhaps even more now than before. Since the ESDP process is finalised, a new pan-European process should be initiated where the territorial aspects of integration processes are in focus. This will also contribute to fostering European integration and to work in a framework of multi-level and multi-sector governance.

The indirect application of the ESDP has played a crucial role in the application process in a number of countries, particularly in the new Member States (e.g. the application initiated by the CEMAT activities and INTERREG programmes).

Application through the Tampere ESDP Action programme has underlined the importance of the process dimension (and of its preconditions) for an efficient application of territorial objectives, aims, and options.

A new "Strategic Process" for defining EU territorial policy with greater and earlier involvement of stakeholders from all levels and sectors, bridging the two current processes ('Territorial State and Perspectives of the European Union' and the 'Community Strategic Guidelines') and including new forms of participation is seen as highly relevant:

- Such a process could be made possible through efficient funding mechanisms (linked e.g. to trans-national territorial cooperation programmes and/or to SF National Strategic Reference Frameworks).
- Linked processes of elaboration and dissemination are also of relevance here, and thus should both be carried out with the maximum commitment.

⁴³ The recommendations address the entirety of the EU territory (macro), the trans-national/national (meso) and the regional/local (micro) scales. In addition, a differential short-term (1-3 years), medium-term (4-7 years) and long-term (8-15 years) statement and a presumptive list of important stakeholders are attributed to each policy recommendation.

- New target groups could also include professional associations on the European level.

Time perspective: short and medium term

Crucial stakeholders: European Commission as driver (coordination by DG Regio), EU informal Council of Ministers for spatial planning as political supervisor, CoR as political advisor, ESPON as technical agency.

2. Territorial cohesion would gain importance by becoming an integrated EU competence with a crosscutting character.

In the European Commission, policy coordination is a goal but not always the reality. Different directorates have different interests and priorities. The European Commission is heterogeneous and, although attempts have been made to assess policy impacts and provide for some horizontal coordination of policy, policy drafting remains highly sectoral. Resources are principally used to coordinate with Member States (the prime stakeholders during the policy development stage), rather than coordinating across the different DGs. Other DGs are only consulted during the policy implementation period *if there is a practical need to do so*. Thinking beyond sectoral boundaries is thus not a key priority in the European Commission. Moreover, where activities in connection with crosscutting issues exist this is mainly limited to issues enshrined in EU Treaties (e.g. equal opportunities, sustainable development). For this reason, spatial concepts are less important in EU policy.

Possible options to introduce a greater territorial dimension to EU policy and to foster horizontal integration making it a crosscutting issue like sustainable development include the following:

- Confirming and developing territorial cohesion as an EU competence.
- Assessing the spatial impact of policy programmes and identifying ways of implementing them in a territorial manner.
- Using the potential of ESPON 1 and 2 as the technical basis/support for this objective.
- Identifying how territorial impacts can be included in policy impact assessment at the European level

Time perspective: Continuous task

Crucial stakeholders: European Commission (all relevant DGs i.e. with programmes affecting the European territory), ESPON, research community

3. Stimulation of the professional discourse on the application of European territorial development principles

EU territorial policies have to deal with the increasing variety of Europe. It is then not a universal European spatial planning approach that should be in focus, but rather a more general process of building a European spatial integration process in tune with the realities of European diversity. Such an approach could potentially empower European regions and municipalities by highlighting their place, their particular preconditions, their endogenous potentials, and the opportunities available to them in the European and global space.

The 'receiving environment' as well as the maturity and scope of the various national planning and governance systems are important if not decisive factors for European policy-making in the areas of territorial cohesion and spatial planning.

The ESPON space contains a diverse set of planning systems and planning preconditions. Policy documents relating to future territorial policy approaches will thus have to take into account the significant variety of planning systems, which in themselves are constantly changing in response to national policy agendas and perspectives:

- There should be a strong focus on stimulating the professional discourse on the application of territorial development principles.
- Priority should be given to the process dimension. Fostering this participatory and dynamic dimension entails that the process should not focus on the production of single (and thus unavoidably general) and static documents.
- Pan-European perspectives and more regionally specific perspectives should be integrated with each other. The next generation of territorial cohesion policies may work at several (interlinked) scales, with a global strategy ('Europe in the world') complemented by more concrete documents focussing on smaller scales.
- The dynamics of the process could be fostered by working out periodic updates of strategic guidelines, reflecting the "state of mind" of the stakeholders in the process.
- The application of potential future EU spatial policy documents should be based on:
 - The clear intention of discursive forms of applications i.e. implicit application via the national spatial planning systems

- An explicit consideration of the existing spatial systems (possibly involving an update of the EU Compendium, 1997)
- The consideration of timing
- A process approach with periodic evaluations
- An integrated and multi-sectoral approach
- The insight that the application give space, as suggested in the ESDP document, to the principle of subsidiarity and new ways of cooperation based on the precondition of the receiving territorial unit.

Time perspective: medium and long term

Crucial stakeholders: European Commission and Member States' variety of relevant "planning" actors

4. A new strategic document on territorial development should be simple, address existing and potential spatial conflicts, and find a balance between principles and best practice

General documents with several loosely connected objectives and options are difficult to read and to use. General and vague concepts are not always helpful when the goal is to develop clear and persuasive arguments or to take operational decisions on lower territorial scales. Future policy documents should be specific enough to be relevant and possible to apply in concrete situations and in concrete places.

The thematic relevance of the ESDP has been confirmed by national experts. There are however a number of themes that also should be considered in the creation and implementation of the future European territorial policy process. These include Europe in a global perspective; a continually enlarging European Community; increasing economic globalisation; climate change (as phenomenon); and a raft of "new" key themes such as water as a vital resource, rural development, creative cities, spatial quality, energy, mitigation of and adaptation to climate change, demographic changes (declining/ageing population) and the shrinking of cities and regions. Also topics as accessibility (e.g. integration of remote or peripheral areas), Lisbon performance (e.g. knowledge society and industrial restructuring) as well as labour market and social integration/diversity issues are important for future territorial cohesion.

The recommendations resulting from these observations are as follows:

- The changed European context makes it necessary to address a range of new issues in a multi-scale process of territorial cohesion

- The future process of developing territorial strategies should clearly address existing and potential spatial conflicts between different sector priorities (e.g. how can the goals wise management of Europe's natural heritage, and better accessibility to infrastructure networks be addressed in practice?)
- The policy-making process should maintain a good balance between principles on the one hand and examples of good practices on the other
- It should adopt an evidence-based approach by making an appropriate use of ESPON results. New themes of future European territorial policy-making could be derived from the ESPON results
- It should foster a convincing method for evaluating conflicts in planning (e.g. by using Territorial Impact Assessment as a tool)

Time perspective: medium and long term

Crucial stakeholders: European Commission and/or Member States, ESPON community

5. A new territorial policy process should go beyond the EU Member States' borders.

CEMAT has contributed to the wider attention now being given to the common challenges for territorial cohesion and spatial planning. As the EU gradually enlarges, its internal diversity increases.

The question of how to handle border effects will always remain, independent of where the EU borders are actually drawn. This has been recognised for many years by EU policy-makers, as neighbouring countries have had the opportunity to participate in a variety of EU programmes – both sectoral (culture, education, research), regional (cross-border and trans-national) and economic (Neighbourhood instrument).

New initiatives for territorial cohesion through the development and dissemination of spatial planning principles should also look beyond EU borders, as part of a common concern for territorial development in Europe and a way of contributing to the mitigation of border effects. Recommendation:

- A new spatial policy-making process should go beyond the EU Member States. One possibility is to invite neighbouring states to participate more fully in the process, and to work together with the Council of Europe.

Time perspective: short and medium term

Crucial stakeholder: Council of Europe, European Commission, EU institutions and European States

12.4.2 Recommendations at the meso-level

6. ESDP themes are still relevant but have to be reconsidered and re-interpreted according to the changed spatial reality of Europe. However, it is necessary to consider thematic adjustments of upcoming European territorial policy orientations as the ESDP does not fully reflect themes that became more important after 1999.

The ESPON 2.3.1 expert workshop held in April 2006 identified a number of potential themes to be added here. Such themes, with direct or indirect territorial consequences, are the effects of accelerating socio-economic globalisation, Europe's future competitiveness, energy demands and supply, and the mitigation of, as well as adaptation to climate change, demographic changes and population ageing and social themes such as migration, mobility, life-style and socio-cultural integration issues. The European approaches to tackling these themes have to be based on the MS' demands addressed in a Pan-European perspective. At the same time, attention must be paid to the enlargement of the EU territory and to new policy developments and objectives at the EU level. These themes correspond to those derived from the ESPON 3.2/Scenario project and the ESPON 3.4.1/Europe in the World project.

The extent to which general spatial development policy principles are taken forward in spatial planning policies and practices at the national and sub-national levels reflects the degree of 'substantive fit' between policy themes emerging at the European level and the spatial development aims at the national level. When there is a strategic fit, a policy discourse at the European level does have an impact nationally. Therefore, the thematic relevance of EU spatial policies should partly originate from the country level:

- Discussing new themes that reflect the enlarged area of the European Union and ongoing developments in the various states and regions of Europe
- Taking into account newly emerging EU policies (e.g. Lisbon-Gothenburg strategy, urban policy, energy policy, etc)
- Taking into account the agendas of the Member States
- Serve the Member States' needs, especially in the context of globalisation and in respect of the dramatic changes occurring in relation to population development and the environment
- Combining the emerging policy aims and options in accordance with a framework highlighting the most significant geopolitical areas contributing to overall EU competitiveness

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- Serve the Member States' needs, especially in the context of globalisation and in respect of the dramatic changes occurring in relation to population development and the environment
- Combining the emerging policy aims and options in accordance with a framework highlighting the most significant geopolitical areas contributing to overall EU competitiveness

7. Cooperation across borders should be seen as the major driver for European and territorial integration.

INTERREG programmes have proved to be important instruments for dissemination of European ideas and spatial planning principles. The programme regulations may stimulate the attention of certain issues, as well as how general policy orientations are translated into additional priorities and themes in order to address specific territorial characteristics. Hence it is possible to combine a top-down approach with a more place-specific bottom-up approach.

In addition, the case study findings also point to the value of continued funding being granted to support the trans-national territorial dimensions of cohesion policy. Initiatives such as INTERREG and PHARE and mainstream European structural fund programmes have played a significant role in highlighting wider European spatial development issues and contexts at other scales.

The recommendations deriving from these arguments are as follows:

- Trans-national, cross-border and inter-regional cooperation should be maintained and adequately funded
- Supporting territorial influence on INTERREG projects and *vice versa* (regarded as feedback) thus influencing the continuing territorial policy process:
 - Requirement for the territorial impact assessment of programmes and projects
 - More flexibility in future trans-national cooperation programmes to allow priorities and measures to be added during the programming period in response to feedback from the local and regional level and analysis from programme evaluations

Time perspective: short and medium term

Crucial stakeholders: European Commission DGs, EU Member and neighbour States, INTERREG programme secretariats and committees

8. Promote the inclusion of pan-European perspectives into national and regional spatial policies.

As European integration and economic globalisation continue apace, international perspectives will become increasingly important to all European countries. In many places however, regional and national planning documents still have a tendency to view regions in an “insular” fashion.

A tendency towards more spatially oriented planning at the regional level can however be observed across Europe. In this respect then a new territorial policy process could assist in the continuing evolution of the various European planning systems.

Another tendency, observable in many countries, is that of the decentralisation of power from the national to the local level resulting in weaker vertical integration. This demonstrates that European planning systems can develop in different directions while underlining that the need for both horizontal and vertical integration between policies and responsibilities remain as relevant as ever.

Proposals that could further support the inclusion of pan-European perspectives into national and regional spatial planning include:

- Continued and targeted dialogue and learning processes to promote the inclusion of international perspectives in the promotion of territorial

development and spatial planning policies at the national and regional levels.

- That the future EU spatial policy strategy should propose not only general principles (such as polycentricity, territorial cohesion, sustainable development etc.), but also policy aims specifically addressed to the main European geopolitical regions so as to strengthen their competitiveness in the wider interest of the EU as a whole.
- A follow-up by targeted dissemination actions, where best practice applications could be useful, together with indicators for benchmarking in terms of regional and local planning.
- A greater effort to disseminate European perspectives to professionals and planning students. The ESPON programme may here be utilised.
- A renewed European territorial policy making process must include the national level and should address regional and local stakeholders.

Time perspective: short and medium term

Crucial stakeholders: Member States through national authorities, regions and local communities

12.4.3 Recommendations on the micro-level

9. Make available practical examples of the integration of European concepts as an inspiration to regional spatial planning.

There will always be a challenge in bridging the gap between European systems/concepts and regional realities. This requires wider dissemination and educational efforts.

The general picture provided by this study is that European policy orientations are mainly *implicitly* applied in national and regional contexts, without necessarily reflecting where the catchwords and ideas came from. This will probably also be the case also in the future, as ideas are developed and disseminated through international discourses of policies and professional practises and the same policy orientations will come forward in different places more or less at the same time. We have also seen that general principles are called upon as a further source of justification for chosen policy approaches when possible.

To be useful in practice, examples and guidelines for spatial planning in the regional context should reflect on:

- Multi-level approach – regions as pro-active stakeholders in the territorial policy-making process: enhance the capability of the regions to translate European concepts into local/regional realities. (One link between the national and European level is now been provided by the forthcoming document on the 'Territorial State and Perspectives of the EU'.)
- Another possible way to establish this link could be to introduce the idea of "multi-scale" planning i.e. planning at different scales allowing the relevant stakeholders to adapt the general guidelines to the specific conditions of their territories. This could support motivation, positive competition and exchanges of experiences as well as fostering integration between European and national/regional/local agendas

Time perspective: Continuous task

Crucial stakeholders: Regions of Europe, EU Commission, Committee of the Regions, Member States, other regional and local stakeholders

10. Multi-level and multi-sector governance will constitute the strategic way of acting in the future.

The current study illustrates that coherence between European policies at the macro level and approaches adopted at other levels, often reflects the fact that locally grounded factors and spatial development issues can result in an analysis of situations and proposed policy solutions that are coherent across spatial levels. Subsequently undertaken analyses and policy developments often come to similar conclusions in terms of policy prescriptions. This should be seen as a strength of the collaborative European process and as an indicator of its success in articulating spatial development issues which have relevance 'on the ground' in different territories.

Multi-level and multi-sector governance will be the strategic way of acting in the future. Therefore the recommendation:

- Future territorial policy should build upon the success of the collaborative ESDP process and if possible enhance this quality by involving a greater range of actors from other territorial scales.

Time perspective: Continuous task

Crucial stakeholders: EU Commission, Member States, Regional, and local bodies

11. Uphold a greater 'sense of ownership' among actors at the micro levels.

The case studies revealed that in most cases the explicit understanding and use of the ESDP has been confined to a relatively small number of actors. Moreover, in the future there will be significant variations in the extent to which policy makers and planners will be familiar with the European professional discourse and employ it as a frame of reference.

Any major breakthrough of perspectives developed at the European level in regional spatial planning, will probably remain difficult in the future.

Integrating the macro and micro levels will also remain a challenge. To this end, it is recommended that a stronger emphasis be placed on the *micro* level, and in particular on:

- Promoting greater awareness of the European discourse in territorial cohesion and spatial development, including the dissemination of perspectives and ideas with their roots in challenges that primarily are visible at the macro and meso levels
- Building scenarios of the European territory that give visibility to "bottom-up" and "voluntary" projects (such as polycentric systems, urban proactive policies)
- Involving different local actors in the new process, e.g. urban networks
- Give more practical answers to territorial problems such as urban sprawl or coastal urbanizations, use of natural and cultural resources as assets for development, etc.
- Dissemination of best practice/ development of pilot projects
- Promoting new strategic planning processes as instruments for producing shared visions, the involvement of relevant stakeholders and action orientation

Time perspective: medium and long term task

Crucial stakeholders: EU Commission, Member States, Regional and local bodies

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ESPON project 2.3.1 Application and effects of the ESDP in the Member States

Annexes



ESPON project 2.3.1
Application and effects of
the ESDP in the Member
States

Annexes

This report represents the final results of a research project conducted within the framework of the ESPON 2000-2006 programme, partly financed through the INTERREG III ESPON 2006 programme.

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Annex 1 List of abbreviations and ESPON terminology

Application	Understood here as “making a rule take effect” or “policy aims and concepts put into practical use or operation”
CADSES	Central and Danubian Space
CAP	Common Agricultural Policy
CDCR	Committee for Development and Conversion of the Regions
CEC	Commission of the European Communities
CEMAT	The European Conference of Ministers responsible for Regional and Spatial Planning
CESD	Committee of Experts in Spatial Development
CIP	Community Initiative Programme
Conformity	The level of conformity between the strategies and policy approaches adopted and the policy themes of the ESDP may then reflect either an ‘explicit application’ or an ‘implicit application’ of the ESDP
CSD	Committee on Spatial Development
CSD+	Committee on Spatial Development extended with delegations from the then-accession countries
CSO	Committee of Senior Officials
DART	Development of the Accessibility to the Railway Traffic initiative
DG	Directorate General
EIB	European Investment Bank
ERDF	European Regional Development Fund
ESDP	European Spatial Development Perspective
ESF	European Social Fund

ESPON	European Spatial Planning Observatory Network
Explicit application (conformance)	The policy approaches adopted are coherent with the policy messages of the plan as a result of an explicit application of its messages or the elaboration of these, or an explicit attempt to demonstrate conformity with the ESDP. In the case of explicit application, it is possible to demonstrate causality, which contributes to the conformance of the approaches adopted with the policy themes of the ESDP.
EU	European Union
EUKN	European Urban Knowledge Network
FEDER	Fonds Européen de Développement Régional (cf. ERDF)
ICZM	Integrated Coastal Zone Management
IGC	Intergovernmental Conference
Implicit application (coherence)	The policy approaches are coherent with the policy themes of the ESDP and contribute to its application but this does not reflect a formal and/or conscious application of its policy messages or an attempt to demonstrate conformity with these. In the case of implicit application it is not possible to demonstrate an explicit causal link between the approaches adopted and the ESDP even if there is coherence with the concepts of the ESDP and the policy approaches adopted contribute in practice to ESDP application.
INTERREG	European initiative for cross-border and trans-national regional co-operation
INTERREG I	The first Community Initiative 1990-1993, devised as the European Community's response to the implications of the Single Market, and with the main aim to promote cross-border cooperation

INTERREG II	A Community Initiative 1994-1999, intended to prepare border areas for a Community without internal frontiers. The three strands included cross-border cooperation (A), completion of energy networks (B) and cooperation in the area of regional planning, in particular management of water resources (C)
INTERREG III	A Community initiative, which aims to stimulate interregional cooperation in the EU 2000-2006. It is financed under the European Regional Development Fund (ERDF). The three strands include cross-border (A); transnational; and interregional (C) cooperation
IRE Network	Innovating Regions in Europe Network
ISPA	Instrument for Structural Policies for Pre-Accession
JTS	Joint Technical Secretariat
LEADER+	An initiative 2000-2006 financed by EU structural funds, designed to help rural actors consider the long-term potential of their local region.
MEDOCC	Western Mediterranean Interreg-Programme
NORVISION	Spatial Perspective for the North Sea Region
NSRF	National Strategic Reference Framework
NUTS	Nomenclature of Units for Territorial Statistics
NWE	North West Europe
NWMA	North West Metropolitan Area
Objective 1	A Structural Funds programme and the main priority of the European Union's cohesion policy, aiming at supporting development in the less prosperous regions.
OMC	Open Method of Co-ordination
PHARE	The programme is one of the three pre-accession instruments financed by the European Union to assist the applicant countries of Central and Eastern Europe in their preparations for joining the European Union.

REGEN Initiative	Launched in 1990, aimed to fill in some of the missing links in the trans-European networks for transport and energy distribution in the Objective 1 regions.
RIS	Regional Innovation Strategies
RTD	Research, Technology and Development
SAPARD	Special Accession Programme for Agriculture & Rural Development
SLL+SDP	Saar-Lor-Lux+ Spatial Development Perspective
SEA	Strategic Environmental Assessment
SF	Structural Funds
SUD	Sub-Committee on Spatial and Urban Development
SUD WG	Spatial and Urban Development Working Group
SUDOE	South West Europe
TEAP	Tampere ESDP Action Programme
TENs	Trans-European Networks
TEN-T	Trans-European Network for Transport
TIA	Territorial impact assessment
TSPEU	Territorial State and Perspectives of the European Union
UDG	Urban Development Group
WQ	Web based questionnaire
VASAB	Visions and Strategies around the Baltic Sea
WFD	Water Framework Directive

Annex 2 List of ESDP policy options

3.2 Polycentric Spatial Development and a New Urban-Rural Relationship

3.2.1 Polycentric and balanced spatial development

1. Strengthening of several larger zones of global economic integration in the EU, equipped with high-quality, global functions and services, including the peripheral areas, through trans-national spatial development strategies.
2. Strengthening a polycentric and more balanced system of metropolitan regions, city clusters and city networks through closer co-operation between structural policy and the policy on the Trans-European Networks (TENs) and improvement of the links between international/national and regional/local transport networks.
3. Promoting integrated spatial development strategies for city clusters in individual Member States, within the framework of trans-national and cross-border co-operation, including corresponding rural areas and their small cities and towns.
4. Strengthening co-operation on particular topics in the field of spatial development through cross-border and trans-national networks.
5. Promoting co-operation at regional, cross-border and trans-national level; with towns and cities in the countries of Northern, Central and Eastern Europe and the Mediterranean region; strengthening North-South links in Central and Eastern Europe and West-East links in Northern Europe.

3.2.2 Dynamic, attractive and competitive cities and urbanised regions

6. Expansion of the strategic role of metropolitan regions and "gateway cities", giving particular attention to the development of peripheral regions of the EU.
7. Improvement of the economic basis, environment and service infrastructure of cities, particularly in economically less favoured regions, in order to increase their attractiveness for mobile investment.
8. Promotion of an economic diversification strategy in cities which are too dependent on a single branch of economic activity, and support for the economic development of towns and cities in less favoured regions.
9. Promotion of integrated urban development strategies sensitive to social and functional diversity. Particular attention should be given to fighting

social exclusion and the recycling and/or restructuring of underused or derelict urban sites and areas.

10. Promotion of a wise management of the urban ecosystem.

11. Promotion of better accessibility in cities and metropolitan regions through an appropriate location policy and land use planning that will stimulate mixing of urban functions and the use of public transport.

3.2.3 Indigenous development of diverse and productive rural areas

12. Support for effective methods of reducing uncontrolled urban expansion; reduction of excessive settlement pressure, particularly in coastal regions.

13. Promotion of diversified development strategies, sensitive to the indigenous potentials in the rural areas and which help to achieve an indigenous development (including the promotion of multi-functionality in agriculture). Support of rural areas in education, training and in the creation of non-agricultural jobs.

14. Strengthening small and medium-sized towns in rural areas as focal points for regional development and promotion of their networking.

15. Securing sustainable agriculture, application of environmental measures and diversification of agrarian land utilisation.

16. Promotion and support of co-operation and information exchange between rural areas.

17. Use of the potential for renewable energy in urban and rural areas, taking into account local and regional conditions, in particular the cultural and natural heritage.

18. Exploitation of the development potential of environmentally friendly tourism.

3.2.4 Urban-rural partnership

19. Maintenance of a basic supply of services and public transport in small and medium-sized towns in rural areas, particularly those in decline.

20. Promotion of co-operation between towns and countryside aiming at strengthening functional regions.

21. Integrating the countryside surrounding large cities in spatial development strategies for urban regions, aiming at more efficient land use planning, paying special attention to the quality of life in the urban surroundings.

22. Promotion and support of partnership-based cooperation between small and medium-sized towns at a national and transnational level through joint projects and the mutual exchange of experience.

23. Promotion of company networks between small and medium-sized enterprises in the towns and countryside.

3.3 Parity of Access to Infrastructure and Knowledge

3.3.1 An integrated approach to infrastructure and knowledge

(No policy option)

3.3.2 Polycentric development model: a basis for better accessibility

24. Strengthening secondary transport networks and their links with TENs, including development of efficient regional public transport systems.

25. Promotion of a spatially more balanced access to intercontinental transport of the EU by an adequate distribution of seaports and airports (global gateways), an increase of their service level and the improvement of links with their hinterland.

26. Improvement of transport links of peripheral and ultra-peripheral regions, both within the EU and with neighbouring third countries, taking into account air transport and the further development of corresponding infrastructure facilities.

27. Improvement of access to and use of telecommunication facilities and the design of tariffs in accordance with the provision of "universal services" in sparsely populated areas.

28. Improvement of co-operation between transport policies at EU, national and regional level.

29. Introduction of territorial impact assessment as an instrument for spatial assessment of large infrastructure projects (especially in the transport sector).

3.3.3 Efficient and sustainable use of the infrastructure

30. Better co-ordination of spatial development policy and land use planning with transport and telecommunications planning.

31. Improvement of public transport services and provision of a minimum level of service in small and medium-sized towns and cities.

32. Reduction of negative effects in areas subject to high traffic pressure by strengthening environmentally compatible means of transport, levying road tolls and internalising external costs.

33. Promoting the interconnection of inter-modal junctions for freight transport, in particular for transport on the European corridors, especially regarding shipping and inland navigation.

34. Co-ordinated and integrated infrastructure planning and management for avoiding inefficient investments (for example superfluous parallel development of transport infrastructure) and securing the most efficient use of existing transport infrastructure.

3.3.4 Diffusion of innovation and knowledge

35. Wide-ranging integration of knowledge-relevant policies, such as the promotion of innovation, education, vocational training and further training, research and technology development, into spatial development policies, especially in remote or densely populated areas.

36. Securing Europe-wide access to knowledge-relevant infrastructure taking account of the socio-economic potential of modern SMEs as motors of sustainable economic development.

37. Fostering networking among companies and the rapid diffusion of innovations, particularly through regional institutions that can promote innovations.

38. Supporting the establishment of innovation centres as well as co-operation between higher education and applied R&D bodies and the private sector, particularly in economically weak areas.

39. Development of packages of measures which stimulate supply and demand for improving regional access and the use of information and communication technologies.

3.4 Wise Management of the Natural and Cultural Heritage

3.4.1 Natural and cultural development as development asset

(No policy options)

3.4.2 Preservation and development of the natural heritage

40. Continued development of European ecological networks, as proposed by Natura 2000, including the necessary links between nature sites and protected areas of regional, national, trans-national and EU-wide importance.

41. Integration of biodiversity considerations into sectoral policies (agriculture, regional policies, transport, fisheries, etc) as included in the Community Biodiversity Strategy.

42. Preparation of integrated spatial development strategies for protected areas, environmentally sensitive areas and areas of high biodiversity such as coastal areas, mountain areas and wetlands balancing protection and development on the basis of territorial and environmental impact assessments and involving the partners concerned.

43. Greater use of economic instruments to recognise the ecological significance of protected and environmentally sensitive areas.

44. Promotion of energy-saving and traffic-reducing settlement structures, integrated resource planning and increased use of renewable energies in order to reduce CO₂ emissions.

45. Protection of the soil as the basis of life for human beings, fauna and flora, through the reduction of erosion, soil destruction and overuse of open spaces.

46. Development of strategies at regional and trans-national levels for risk management in disasterprone areas.

3.4.3 Water resource management – a special challenge for Spatial Development

47. Improvement of the balance between water supply and demand, particularly in areas which are prone to drought. Development and application of economic water management instruments, including promotion of water-saving agricultural methods and irrigation technology in areas of water shortage.

48. Promotion of transnational and interregional cooperation for the application of integrated strategies for the management of water resources, including larger ground water reserves in areas prone to drought and flooding, particularly in coastal regions.

49. Preservation and restoration of large wetlands which are endangered by excessive water extraction or by the diversion of inlets.

- 50. Concerted management of the seas, in particular preservation and restoration of threatened maritime ecosystems.
- 51. Strengthening of regional responsibility in water resource management.
- 52. Application of environmental and territorial impact assessments for all large-scale water management projects.

3.4.4 Creative management of cultural landscapes

- 53. Preservation and creative development of cultural landscapes with special historical, aesthetical and ecological importance.
- 54. Enhancement of the value of cultural landscapes within the framework of integrated spatial development strategies.
- 55. Improved co-ordination of development measures which have an impact on landscapes.
- 56. Creative restoration of landscapes which have suffered through human intervention, including recultivation measures.

3.4.5 Creative management of the cultural heritage

- 57. Development of integrated strategies for the protection of cultural heritage which is endangered or decaying, including the development of instruments for assessing risk factors and for managing critical situations.
- 58. Maintenance and creative redesign of urban ensembles worthy of protection.
- 59. Promotion of contemporary buildings with high architectural quality.
- 60. Increasing awareness of the contribution of urban and spatial development policy to the cultural heritage of future generations.

Annex 3 List of national reports

Country	Responsible institution
Austria	Austrian Institute for Regional Studies and Spatial Planning (ÖIR)
Belgium	Catholic University Leuven and PhDB Consultant
Bulgaria	Spatial Development and Research Unit (SDRU), Aristotle University of Thessaloniki
Cyprus	Spatial Development and Research Unit (SDRU), Aristotle University of Thessaloniki
Czech Republic	Institute of Spatial Planning, ÚÚR
Denmark	Nordregio
Estonia	Nordregio
Finland	Nordregio
France	Réseau Interdisciplinaire pour l'Aménagement du Territoire Européen (RIATE) – Unité Mixte de Service 2412
Germany	Institute for Spatial Planning (IRPUD)
Greece	Spatial Development and Research Unit (SDRU), Aristotle University of Thessaloniki
Hungary	RKK Centre for Regional Studies, Hungarian Academy of Sciences
Ireland	National Institute for Regional and Spatial Analysis (NIRSA)
Italy	EU POLIS, Politecnico di Torino
Latvia	Nordregio
Lithuania	Nordregio

Country	Responsible institution
Luxembourg	PhDB Consultant
Malta	EU POLIS, Politecnico di Torino
Netherlands	OTB Research Institute for Housing, Urban and Mobility Studies (OTB)
Norway	Nordregio
Poland	Stanislaw Leszczycki Institute of Geography and Spatial Organization (IGSO)
Portugal	Institute of Social Sciences (ICS)
Romania	Spatial Development and Research Unit (SDRU), Aristotle University of Thessaloniki
Slovakia	AUREX, spol. s r.o.
Slovenia	The Faculty of Civil Engineering, University of Maribor
Spain	Department of Geography, University of Valencia
Sweden	Nordregio
Switzerland	ETH Zurich
United Kingdom	Department of Civic Design, University of Liverpool

Annex 4 List of case studies

Country (countries)	Case study title	Responsible institution
Austria	<i>PlaNet CenSE (Planners network of Central and South East Europe, Interreg IIIB CADSES)</i>	Austrian Institute for Regional Studies and Spatial Planning (ÖIR)
Austria–Slovenia	<i>Cross-border regional/city cooperation – Various ongoing projects: Graz (A) – Maribor (SI)</i>	The Faculty of Civil Engineering, University of Maribor
Belgium–Netherlands–Luxembourg	<i>Saar-Lor-Lux+ Spatial Development Perspective (SLL+ SDP)</i>	PhDB Consultant
Belgium	<i>Flanders (structure plan)</i>	Catholic University Leuven
Cyprus	<i>The urban planning system</i>	Spatial Development and Research Unit (SDRU), Aristotle University of Thessaloniki
Czech Republic	<i>Cross border management of the river landscapes” – analysed part: River landscape of the Morava and Dyje rivers</i>	Institute of Spatial Planning, ÚÚR
Denmark	<i>The Triangle area</i>	Nordregio
Denmark–Sweden	<i>The Öresund region</i>	Nordregio
Estonia–Finland–Latvia	<i>The Via Baltica Project (Interreg)</i>	Nordregio
France	<i>Schémas régionaux d'aménagement du territoire (SRADT)</i>	Réseau Interdisciplinaire pour l'Aménagement du Territoire Européen (RIATE) – Unité Mixte de Service 2412
Germany	<i>Committee of Experts in Spatial Development</i>	Institute for Spatial Planning (IRPUD)

Country (countries)	Case study title	Responsible institution
Greece	<i>The Egnatia Odos Observatory</i>	Spatial Development and Research Unit (SDRU), Aristotle University of Thessaloniki
Hungary	<i>Application of ESDP in the field of natural land and cultural heritage</i>	RKK Centre for Regional Studies, Hungarian Academy of Sciences
Ireland	<i>Regional Planning Guidelines for the Midlands Region</i>	National Institute for Regional and Spatial Analysis (NIRSA)
Italy	<i>The North West Macroregion</i>	EU POLIS, Politecnico di Torino
Latvia	<i>Riga Planning Region Spatial Plan</i>	Nordregio
Latvia–Lithuania	<i>ICZM plan for Latvia and Lithuania</i>	Nordregio
Malta	<i>The Structure Plan Review</i>	EU POLIS, Politecnico di Torino
Netherlands	<i>The National Spatial Strategy of The Netherlands</i>	OTB Research Institute for Housing, Urban and Mobility Studies (OTB)
Poland	<i>Changing patterns of spatial accessibility in Poland with special reference to the accessibility to centres of higher education</i>	Stanislaw Leszczycki Institute of Geography and Spatial Organization (IGSO)
Portugal	<i>PROTAL – Algarve Portugal</i>	Institute of Social Sciences (ICS)
Slovakia	<i>Slovak Spatial Development Strategy 2001</i>	AUREX, spol. s r.o.
Spain	<i>Navarre's Spatial Vision</i>	Department of Geography, University of

Country (countries)	Case study title	Responsible institution
		Valencia
Sweden	<i>Stockholm and the region "Lake Mälaren"</i>	Nordregio
United Kingdom	<i>North West England</i>	Department of Civic Design, University of Liverpool

Annex 5 Territorial Impact Assessment for ESPON 2.3.1 - Application of the ESDP

Introduction

The ESPON project 2.3.1 has chosen one case study to highlight how TIA principles are being applied in practice to identify the impacts of a European project. This is done in particular through systematic monitoring of project effects and by monitoring how this information is used to both inform future policy development and evaluate policy outcomes. The detailed case study used is that of the *Egnatia Odos Observatory* in Greece.

A tentative TIA for Egnatia Odos Observatory, Greece

The *Egnatia Odos Observatory* is an institution owned by the Greek State, and was designed to monitor and report on the territorial impacts of the *Egnatia* TEN motorway that runs through Northern Greece. Its creation was inspired by the ESDP's philosophy that spatial plans were better founded if there was a more robust and comprehensive evidence base.

It remains too early to evaluate what the impacts of the Observatory have been on the development of specific plans and their outcomes. It is intended, however, to provide a robust information base that can be applied by policy actors working at a variety of spatial scales. Indeed the Observatory looks at the impact of the motorway at a number of different spatial scales (see Map 1 and Table 1)

Map 1 Zones of impacts of Egnatia Odos



(Source: http://observatory.egnatia.gr/images_en/maps_en/impact_zones_en.pdf (accessed 9/05/06))

Table 1 Egnatia Odos Impact Zones

Zone	Functional zones	Geographical extension
ZONE I	Axis Zone	500-1,000m on either side of the axis
ZONE II	Zone of transit of the axis	Prefectures crossed by the axis (11 prefectures)
ZONE III	Zone of transit of the vertical tributary axes	Prefectures crossed by the vertical axes (13 Prefectures)
ZONE IV	Zone constituted by the Regions	Combination of Zones II and III (5 Regions)
ZONE V	Wider zone of impact of the <i>Egnatia Odos</i> system	Wider region of the Greek and Balkans territory
ZONE V-A	Zone of impact on Greek territory	Central and Western Greece, Attica, Northern Aegean Region and Ionian Islands
ZONE V-B	Cross-border zones of impact	As far as the capital cities of the countries of South-Eastern Europe sharing cross-border zones
WIDER/GREATER REGIONAL ZONE	European zone of impact	Running of the <i>Egnatia Odos</i> system as a portion of the Trans-European Transport networks (TENs-T) and of the Pan-European Corridors.

Source: http://observatory.egnatia.gr/indicators_en.htm (accessed 9/5/06)

Scoping the TIA

Reference to causing the policy intervention

The aspiration to create a new institution to monitor the outcomes and impacts of a major European infrastructure project in Greece arose from a recognition emanating from the ESDP that such a project would have significant territorial impacts that needed to be examined and properly understood.

Hypothesis on cause and effect relationships

There was an expectation that the new *Egnatia* TEN across northern Greece would have significant territorial impacts. While these were predicted at the design stage, it was important to monitor and collect information in a consistent and coherent manner along the whole length of the TEN-project. This was done to identify whether the predictions have been accurate, whether any mitigation measures have been effective, and whether there were any unanticipated or unexpected outcomes.

Regional Scale

The work of the Observatory is focused on seven impact zones at varying distances away from the motorway (see table 1), with the fifth zone looking at the impact of the motorway on Greece as a whole and the wider Balkan regions. As such then, most of the activities of the observatory are focused at the sub-national scale although the area of activity is defined along the corridor, rather than by administrative regions *per se*.

Reference to past and future interventions

The Observatory was initiated in 2003 and was initially given a five -year remit. Its origins were inspired by the ESDP and the ESPON programme both of which advocated a much more robust scientific starting point upon which policy development could be based. Much of the early work concerned the need to provide baseline information as a basis for others to develop relevant spatial plans, although in the future, development of the technical capacity to develop monitoring systems and develop indicators to measure the impacts and outcomes of policy interventions or other factors that require policy interventions will be stressed.

Analysing

Interventions and Effects Measured

The effects measured relate to the indicators derived from the policy guidelines within the ESDP complemented by ideas drawn from the 3rd Cohesion Report. For each of the ESDP policy guidelines a different set of indicators were derived in a consistent and coherent manner for the whole of the corridor. Three major groups of spatial impact indicators were developed, namely economic, environmental road infrastructure and network operation indicators. There are also three levels reflecting their importance and priority:

- Key Indicators, considered critical for assessing the impact of the road. They are systematically updated, monitored, and analysed.
- Framework Indicators, that refers to more general phenomena. They allow the comprehension, interpretation, and assessment of the reported trends shown by the Key Indicators.
- Special Indicators are estimated when specific problems emerge that need to be assessed (e.g. impact on specific areas or settlements).

In total, there are approximately 50 indicators (see Table 2 below).

Table 2 Set of indicators developed by the Egnatia Odos monitoring system

Socio-Economic Indicators

Benefiting Population, Market Size, Gravity of Cities, Level of Development and Welfare, Level of Unemployment, Accessible transportation modes (ports/airports/railway stations), Accessible Industrial Areas, Accessible Areas of Tourist Interest, Change of Population within Impact Zones, Change of Population in Urban Centres, Hierarchy of Urban Centres, Population density, GDP Composition by Sector, Labour Force, Composition of Employment by Sector.

Environmental Indicators

Population exposed to noise, Quality of atmosphere in tunnels - Levels of Carbon Monoxide, Reduction of settlement cohesion and viability due to their isolation caused by the axis, Population not exposed to noise, Level of Landscape restoration, Fragmentation of forests and areas of natural beauty, Pressures for the changing land use.

Indicators Assessing Road Infrastructure and Network Operation

Traffic Volumes, Traffic Composition, Average Vehicle Occupancy Rate, Travel speed , Travel time, Number of travellers, Commercial transportation, Travel time between major origins and destination, Generalized cost of transport, Road safety, Traffic capacity, Level of Service, Induced traffic, Traffic at the border stations, Combined mode transport, Service Areas, Housing changes in the axis zone, Changes in the industrial development of the axis zone, Changes in the value of road-side plots in the axis zone, Trip generation rates due to special land uses, Changes in the selection of settlement location (home) and production location (work), Changes in the modal split.

Source: http://observatory.egnatia.gr/indicators_en.htm (accessed 11/5/06)

The *Egnatia Observatory* institution uses GIS embracing official statistics from the National Statistical Service of Greece, the Hellenic Ministry for the Environment, Physical Planning and Public Works, and EUROSTAT. It also deploys mapping information for the settlements, the Prefectures, and the Regions in the wider impact area of the *Egnatia* motorway and its vertical axes.

Quantitative/Qualitative Appraisal

Currently the approach adopted is to develop a series of indicators associated with each of the three ESDP policy guidelines creating a

quantitative database to act as a baseline linked to a GIS. This database has been used to create a consolidated report identifying the impacts of the TEN at a variety of distances from the motorway to see whether the anticipated effects have in practice been realised. This report has been well received although no independent evaluation has been reported in the case study.

Techniques of Analysis

The assessment techniques have to date been designed to create a baseline of information regarding the impacts of the motorway corridor of the core conditions (e.g. secondary transport system, protected areas, economy, city development) along it. The OBSERVATORY records traffic data, environmental effects, socio-economic, spatial and urban planning changes. Over time, there is a hope that more trend-based information will become available and this could be used by policy-makers of the five above-mentioned zones. The Observatory provides information to others. It does not make policy decisions itself, but assists policy-makers as empiric reference in their work to find political positions regarding the influence and potential of the motorway on its hinterland.

Assessing

Goals Referred to

The evaluation measures and monitoring of the *Egnatia Odos* motorway have been organised around the three policy guidelines of the ESDP. There is a very clear link between the aspirations of the ESDP with greater emphasis placed on evidence based policy-making and the rationale of the Observatory and the way it has organised its work. There is a clear recognition that major European projects can have significant territorial impacts that need to be recognised and understood. The Observatory to date has provided the baseline information that is now beginning to be used by policy-makers, although it is too early to determine the effects on policy and spatial development on the ground. There is a clear expectation that the technical capacity of the Observatory should prove to be a valuable resource to policy makers along or influenced by the corridor in terms of providing them with reliable evidence of the impacts of the corridor on spatial development. While policy makers can use the information provided by the Observatory that has been collated along the length of the corridor in a clear and consistent manner, the Observatory also expects to be consulted about the implications of the development of spatial policy at a variety of spatial scales, including relevant local, regional, national and transnational policy

makers. Having provided a baseline overview and created an integrated database the Observatory is also proactive in ensuring that local policy-makers understand the information that is available, but tends to be reactive to requests for specific information or advice on the potential implications of policy options.

Conclusions

The case study of the *Egnatia Odos Observatory* demonstrates the potential for TIA to be used in a prospective manner, not only to provide a justification and rationale for policy development, but also as a mechanism to monitor the extent to which policy outcomes are being realised through effective monitoring, although the policy implications of this are still to be explored. What is evident from this case study however is the importance of a robust, consistent, and coherent evidence base as the basis for making decisions.

Annex 6 Mapping conformity with ESDP policy aims

The maps of this annex categorise the ESPON countries according to the degree of conformity or non-conformity regarding the 13 ESDP policy aims. The survey results, underlying the maps, are provided by national experts.

The cartographic analysis can be seen as an attempt towards a correspondence analysis or typology of countries and the ESDP. However the results do not consider any cause and effect relations.

For a better understanding of the maps, the 13 policy aims as set out in the ESDP are listed up here. The numbers origin from chapter 3 of the ESDP document: "Policy Aims and Options for the Territory of the EU" and its sub-chapters 3.2, 3.3 and 3.4.

3.2 Polycentric Spatial Development and a New Urban-Rural Relationship

3.2.1 Polycentric and balanced spatial development

3.2.2 Dynamic, attractive and competitive cities and urbanised regions

3.2.3 Indigenous development of diverse and productive rural areas

3.2.4 Urban-rural partnership

3.3 Parity of Access to Infrastructure and Knowledge

3.3.1 An integrated approach to infrastructure and knowledge

3.3.2 Polycentric development model: a basis for better accessibility

3.3.3 Efficient and sustainable use of the infrastructure

3.3.4 Diffusion of innovation and knowledge

3.4 Wise Management of the Natural and Cultural Heritage

3.4.1 Natural and cultural development as development asset

3.4.2 Preservation and development of the natural heritage

3.4.3 Water resource management - a special challenge for spatial development

3.4.4 Creative management of cultural landscapes

3.4.5 Creative Management and Cultural Heritage

Table 1 provides the original results which have been used for mapping. The numbers in the table are nominal numbers and can thus not be internally compared using mathematical methods. They represent one of the motives, namely that of 'application' (7,6,5,4) or 'non-application' of ESDP policy aims (3,2,1). Data gaps are marked "0".

The table has been provided by the national partners of the ESPON 2.3.1 project. Basing on the option level assessments in the original policy option tables, IRPUD proposed an average value for the policy aim for the ESPON 2.3.1 Second Interim Report and verified the table for the Final Report. 8 countries accepted the IRPUD proposal: CH, CZ, DE, DK, ES, IE, LV, NL. 10 countries had handed in complete policy option tables from the beginning: CY, EE, FI, FR, IT, LT, MT, NO, SE, UK. 10 countries changed single assessments, which may lead to changes in the maps created from this table with respect to the ESPON 2.3.1 Second Interim Report: AT, BG, GR, HU, LU, PL, PT, RO, SI, SK.

Table 1 Policy aim assessment

Country	Policy aims													
	3.2.1	3.2.2	3.2.3	3.2.4	3.3.1	3.3.2	3.3.3	3.3.4	3.4.1	3.4.2	3.4.3	3.4.4	3.4.5	
AT	1	5	5	5	5	5	5	5	5	5	5	5	5	
BE	5	5	5	5	5	5	5	5	5	4	5	5	5	
BG	6	6	5	5	5	6	5	4	6	6	5	5	4	
CH	5	4	5	3	1	4	5	5	4	5	4	4	4	
CY	5	5	5	5	0	5	5	5	5	5	5	1	5	
CZ	6	6	4	5	5	6	5	3	6	6	6	6	6	
DE	4	4	4	4	4	4	4	4	4	4	4	4	4	
DK	4	4	5	4	4	4	4	4	4	4	4	4	4	
EE	5	5	5	5	5	5	5	5	5	5	5	5	5	
ES	7	6	6	7	5	5	6	5	7	6	5	6	6	
FI	6	6	6	6	6	5	6	6	6	6	6	6	6	
FR	6	6	6	5	6	6	6	5	5	6	6	5	5	
GR	6	6	6	6	6	6	6	6	6	6	6	6	6	
HU	4	4	5	5	3	6	5	5	7	5	4	1	7	
IE	6	6	4	5	6	6	4	4	4	4	4	3	4	
IT	6	6	3	3	5	6	3	3	4	4	1	4	4	
LT	6	6	6	6	6	6	6	6	6	6	6	6	6	
LU	7	6	6	7	6	6	6	6	6	6	6	7	6	
LV	6	5	5	3	5	6	5	2	5	5	5	5	5	
MT	5	1	3	3	1	3	1	1	5	3	3	4	4	
NL	4	4	4	4	4	0	4	4	4	4	4	4	4	
NO	6	6	5	4	4	6	4	4	4	4	4	4	4	
PL	6	4	4	3	5	5	4	5	4	5	5	5	5	
PT	6	6	6	6	6	5	6	6	4	4	6	4	4	
RO	6	6	6	6	3	3	3	3	6	6	6	6	6	
SE	5	5	3	4	6	5	5	5	4	4	4	4	4	
SI	6	7	6	7	6	6	6	5	6	6	6	6	6	
SK	4	0	5	6	4	7	4	6	4	4	6	0	5	
UK	6	6	5	5	3	5	5	5	5	5	5	5	5	

Assessment of the conformance of ESDP policy aim 'Polycentric and balanced spatial development'



Assessment of the conformance (3.2.1) 2005

- 7: Change and conformance mainly due to the application of the ESDP.
- 6: Change and conformance due to ESDP and other factors.
- 5: Change and conformance due to other factors.
- 4: No change as policy was already in conformity with ESDP.
- 3: No change and/or conformance as issue/policy is still under discussion.
- 2: No change and/or conformance as issue/policy is not considered appropriate.
- 1: No change and/or conformance due to lack of awareness of the ESDP.
- no data

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Cyprus: Data for government controlled areas only.

Source: ESPON Database

Perspective

- British Perspective
- Mediterranean Perspective
- North-Western Perspective
- Nordic Perspective

**Assessment of the conformance of ESDP policy aim
'Dynamic, attractive and competitive cities and urbanised regions'**



Assessment of the conformance (3.2.2) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
- 1: No change and/or conformance due to lack of awareness of the ESDP.**
- No classification possible.**
- No data**

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- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

Assessment of the conformance of ESDP policy aim 'Indigenous development of diverse and productive rural areas'



Assessment of the conformance (3.2.3) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
- 1: No change and/or conformance due to lack of awareness of the ESDP.**
- No classification possible.**
- No data**

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Source: ESPON Database

Perspective

- British Perspective**
- Mediterranean Perspective**
- North-Western Perspective**
- Nordic Perspective**

**Assessment of the conformance of ESDP policy aim
'Urban-rural partnership'**



Assessment of the conformance (3.2.4) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
- 1: No change and/or conformance due to lack of awareness of the ESDP.**
- No classification possible.**
- No data**

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Source: ESPON Database

- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

**Assessment of the conformance of ESDP policy aim
'An integrated approach to infrastructure and knowledge'**



Assessment of the conformance (3.3.1) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
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Source: ESPON Database

- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

**Assessment of the conformance of ESDP policy aim
'Polycentric development model: a basis for better accessibility'**



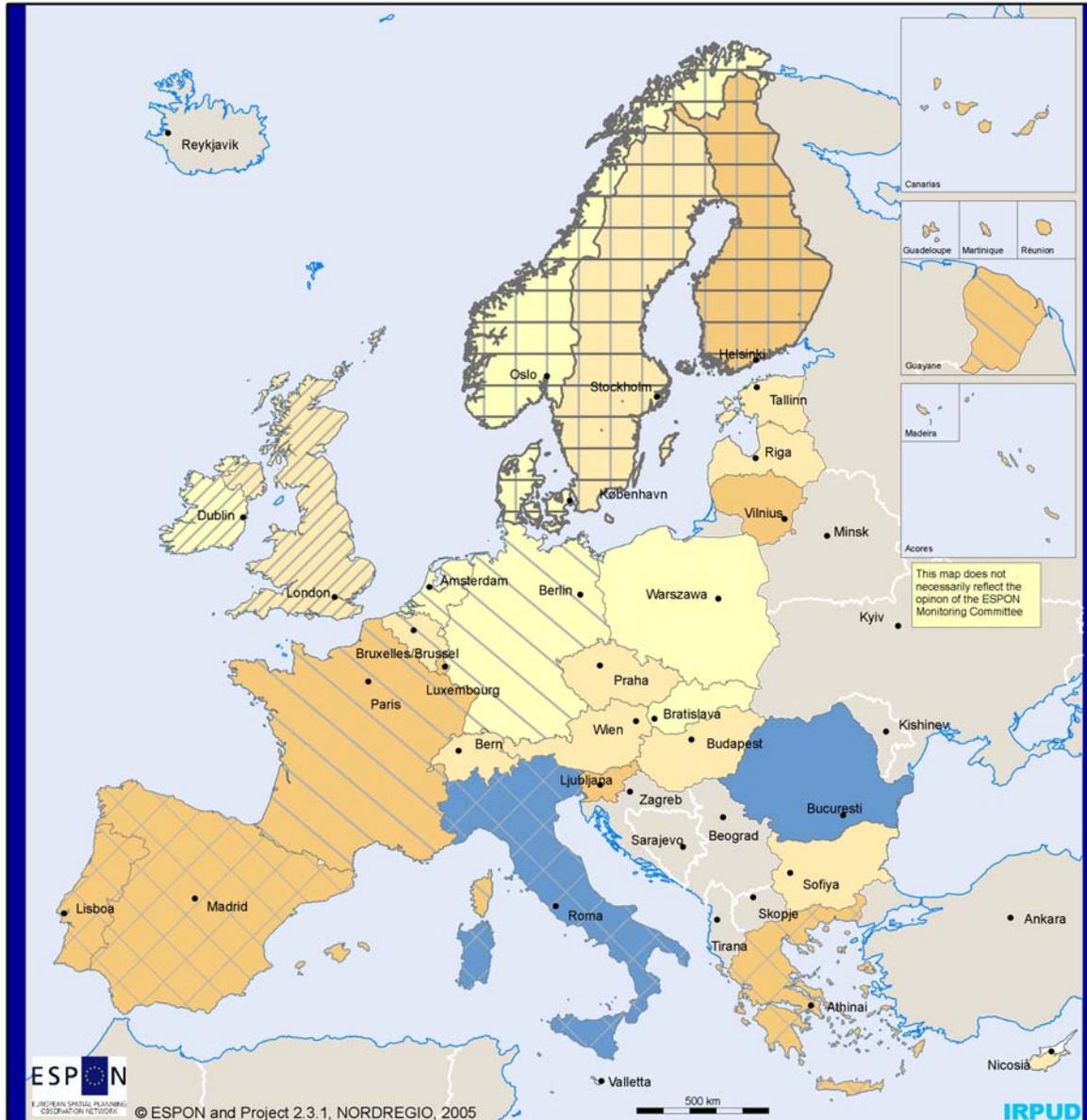
Assessment of the conformance (3.3.2) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
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- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

Assessment of the conformance of ESDP policy aim 'Efficient and sustainable use of the infrastructure'



Assessment of the conformance (3.3.3) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
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- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

**Assessment of the conformance of ESDP policy aim
'Diffusion of innovation and knowledge'**



Assessment of the conformance (3.3.4) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
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Perspective

- British Perspective**
- Mediterranean Perspective**
- North-Western Perspective**
- Nordic Perspective**

**Assessment of the conformance of ESDP policy aim
'Natural and cultural development as development asset'**



Assessment of the conformance (3.4.1) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
- 1: No change and/or conformance due to lack of awareness of the ESDP.**
- No classification possible.**
- No data**

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- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

Assessment of the conformance of ESDP policy aim 'Preservation and development of the natural heritage'



Assessment of the conformance (3.4.2) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
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- No classification possible.**
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Source: ESPON Database

Perspective

- British Perspective**
- Mediterranean Perspective**
- North-Western Perspective**
- Nordic Perspective**

**Assessment of the conformance of ESDP policy aim
'Water resource management - a special challenge for spatial development'**



Assessment of the conformance (3.4.3) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
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Source: ESPON Database

Perspective

- British Perspective**
- Mediterranean Perspective**
- North-Western Perspective**
- Nordic Perspective**

**Assessment of the conformance of ESDP policy aim
'Creative management of cultural landscapes'**



Assessment of the conformance (3.4.4) 2005

- 7: Change and conformance mainly due to the application of the ESDP.
- 6: Change and conformance due to ESDP and other factors.
- 5: Change and conformance due to other factors.
- 4: No change as policy was already in conformity with ESDP.
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 - Mediterranean Perspective
 - North-Western Perspective
 - Nordic Perspective

**Assessment of the conformance of ESDP policy aim
'Creative management and cultural heritage'**



Assessment of the conformance (3.4.5) 2005

- 7: Change and conformance mainly due to the application of the ESDP.**
- 6: Change and conformance due to ESDP and other factors.**
- 5: Change and conformance due to other factors.**
- 4: No change as policy was already in conformity with ESDP.**
- 3: No change and/or conformance as issue/policy is still under discussion.**
- 2: No change and/or conformance as issue/policy is not considered appropriate.**
- 1: No change and/or conformance due to lack of awareness of the ESDP.**
- No classification possible.**
- No data**

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Source: ESPON Database

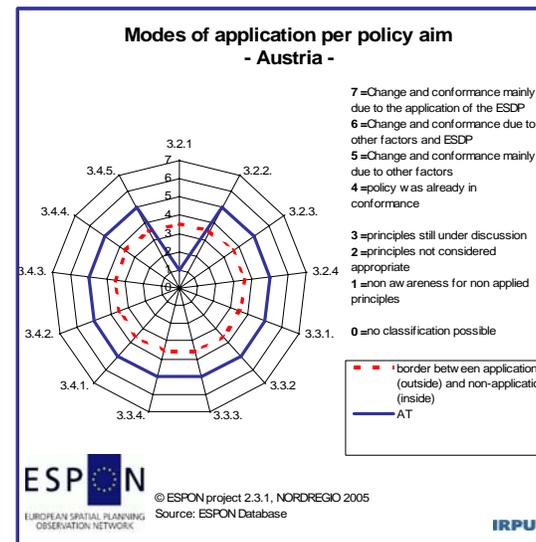
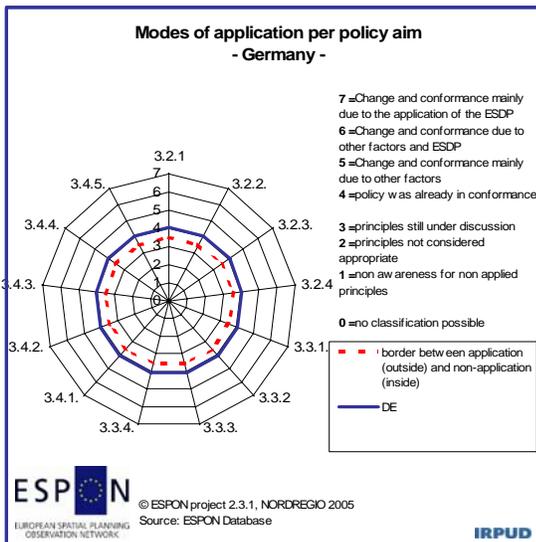
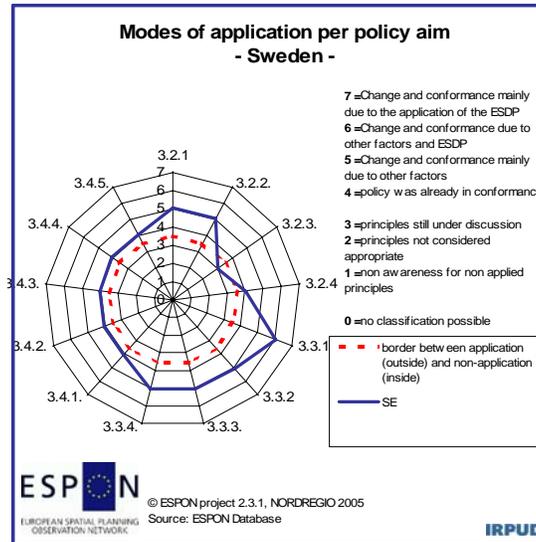
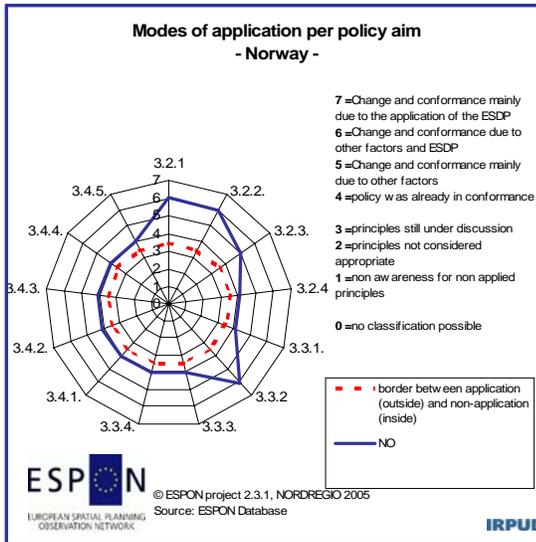
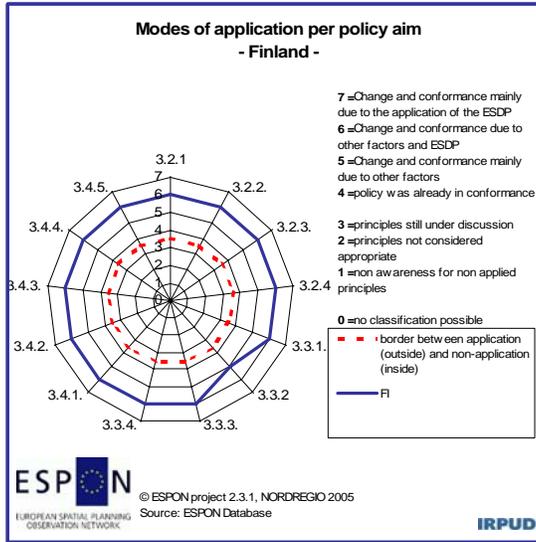
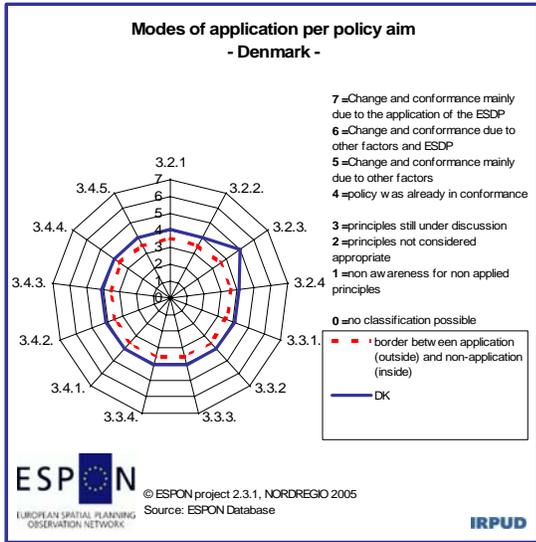
- Perspective**
- British Perspective**
 - Mediterranean Perspective**
 - North-Western Perspective**
 - Nordic Perspective**

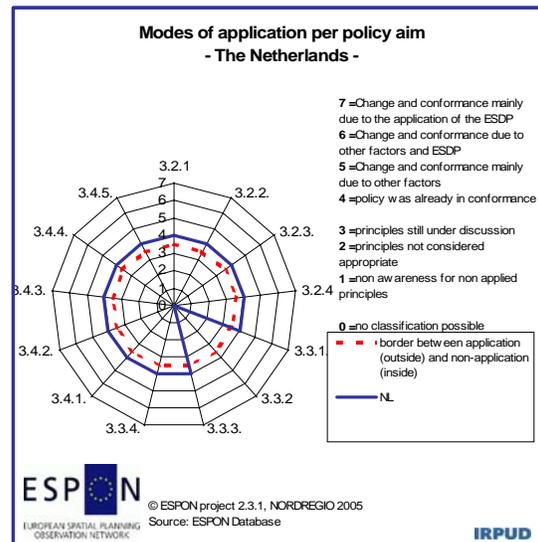
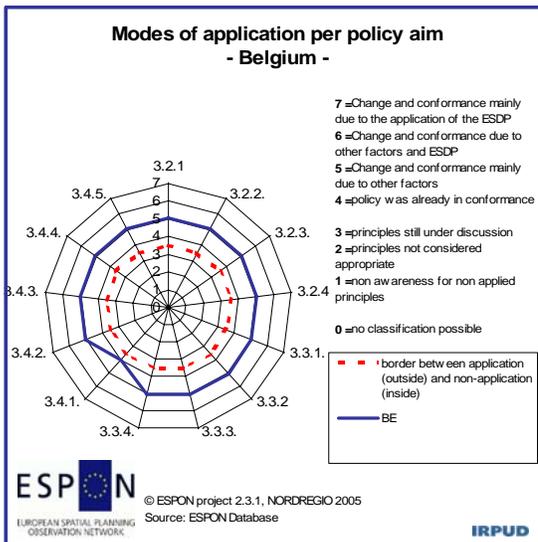
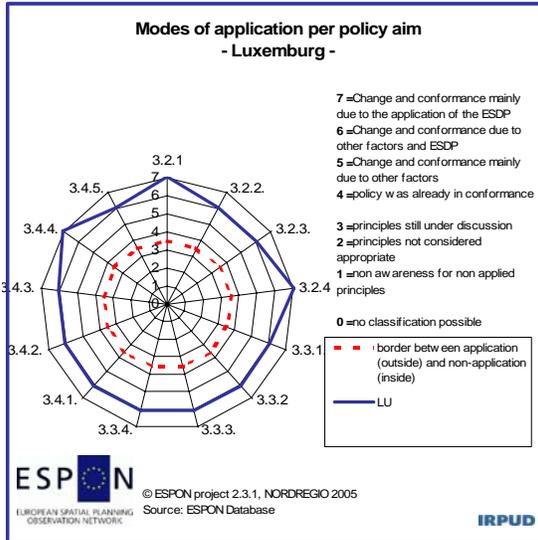
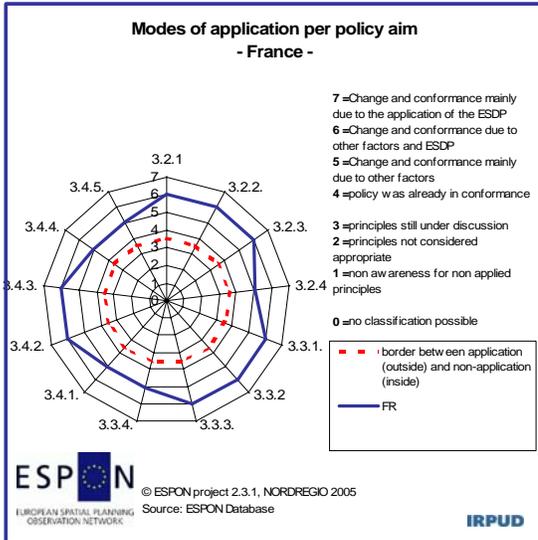
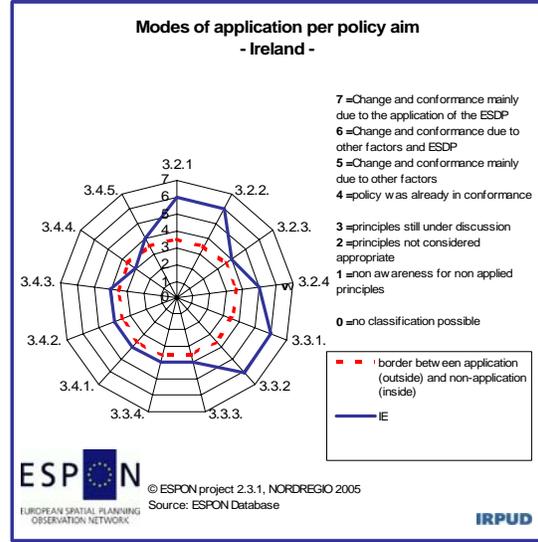
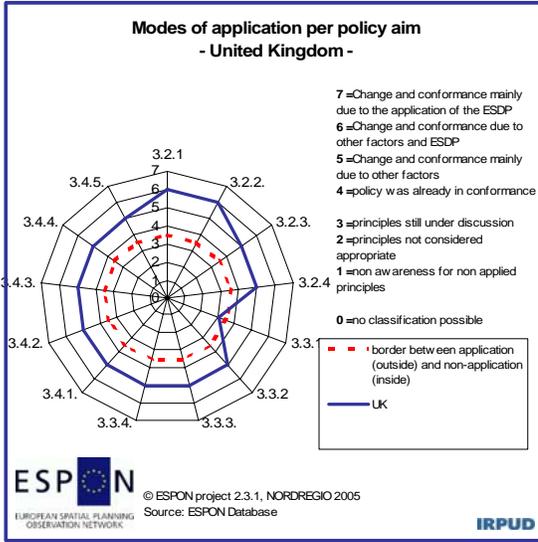
Annex 7 ESDP policy aims in the single countries

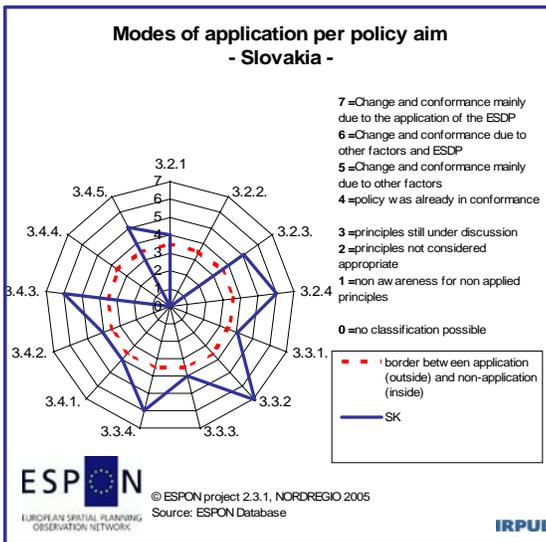
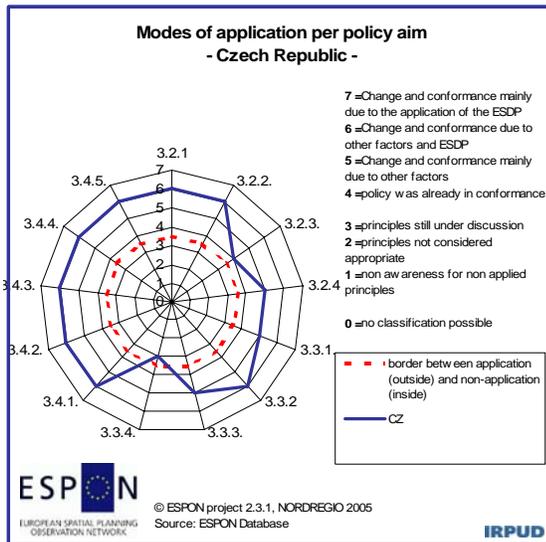
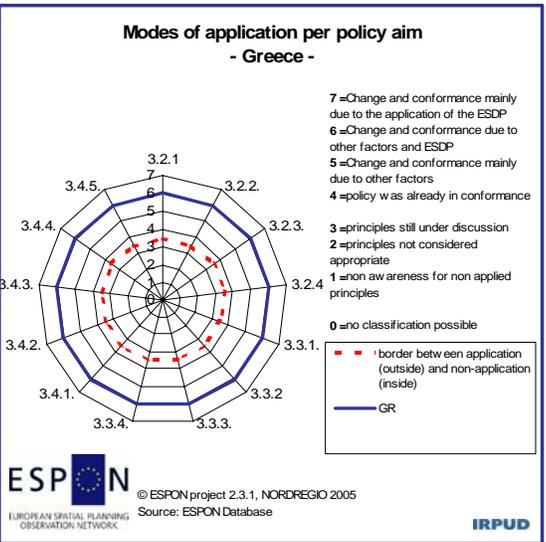
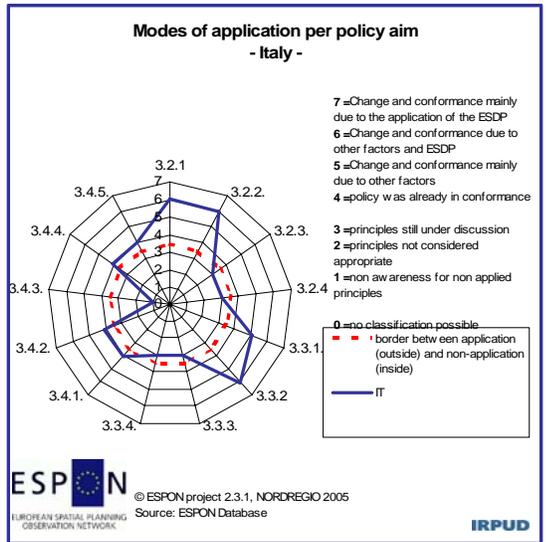
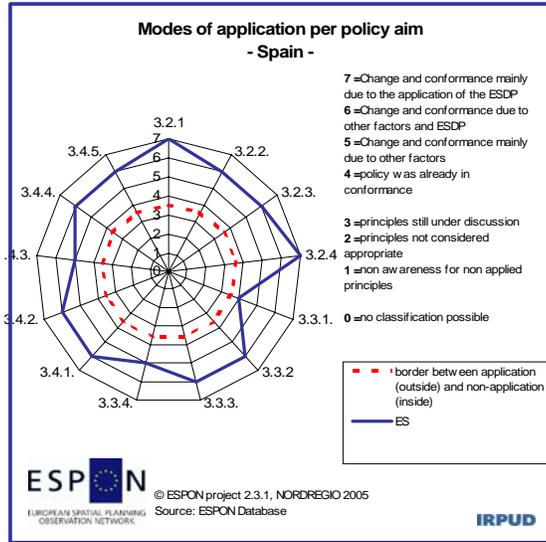
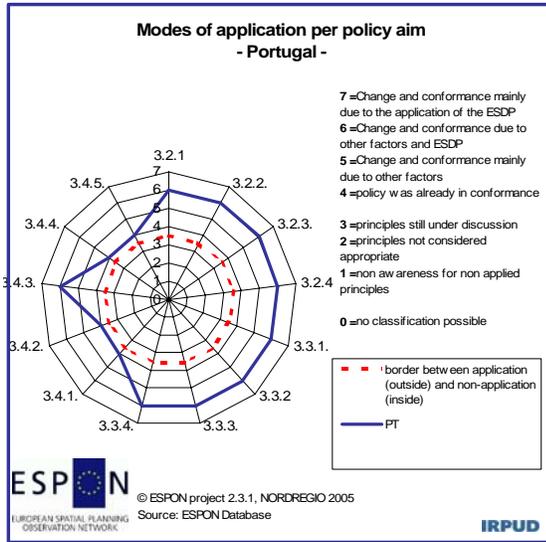
The policy aim survey allows to tell the mode of application of every single policy aim in the 29 reviewed countries. The results are displayed as spider diagrams for each individual country.

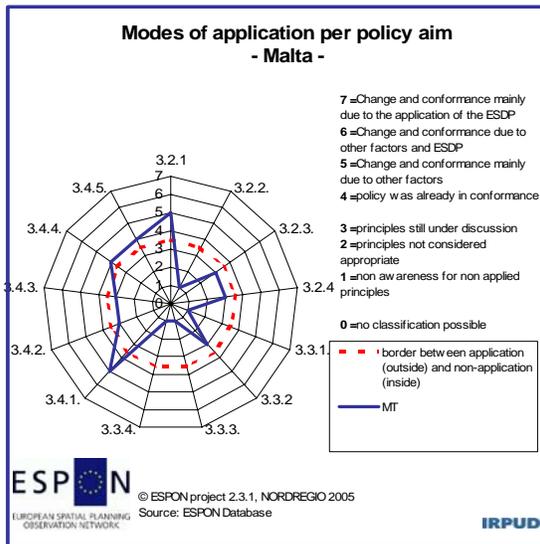
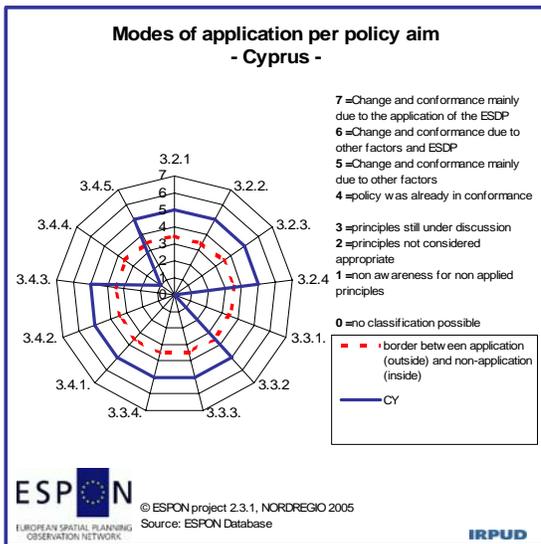
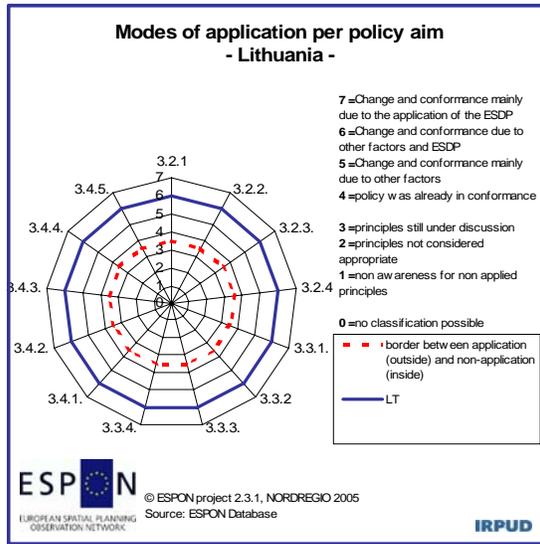
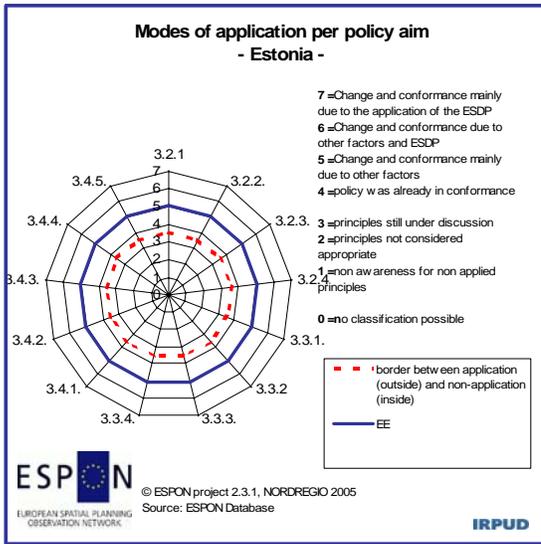
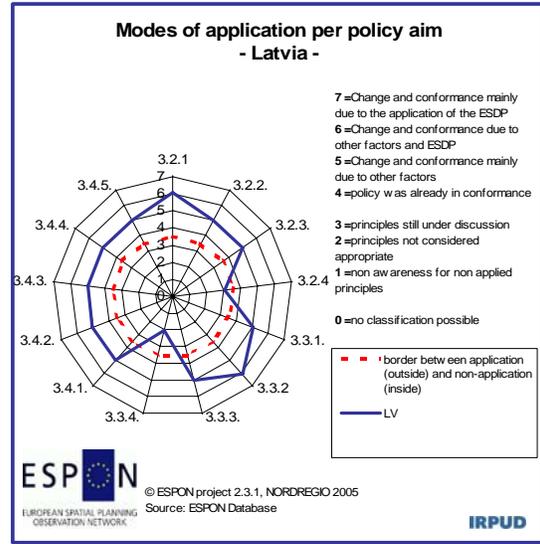
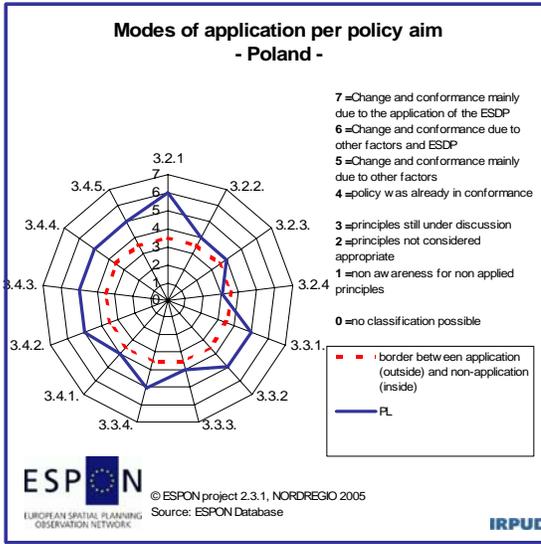
The dotted red line in the spider diagrams marks the border between 'non-application' and 'application' of the respective policy aim. The larger a circle is and the larger its distance from the centre of the spider web, the more "explicit" is the application of the policy aim in the country. The class signalling explicit application is "Application mainly due to the ESDP" while the three next classes increase the importance of *other* factors influencing ESDP application (implicit application). Inside the red dotted circle ESDP 'non-application' prevails, up the inner circle meaning "non awareness".

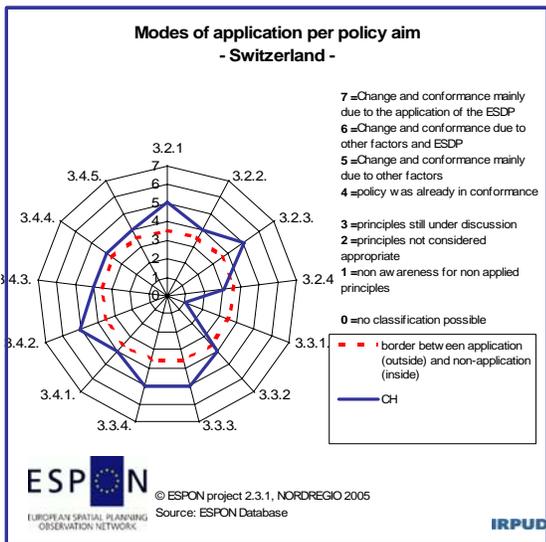
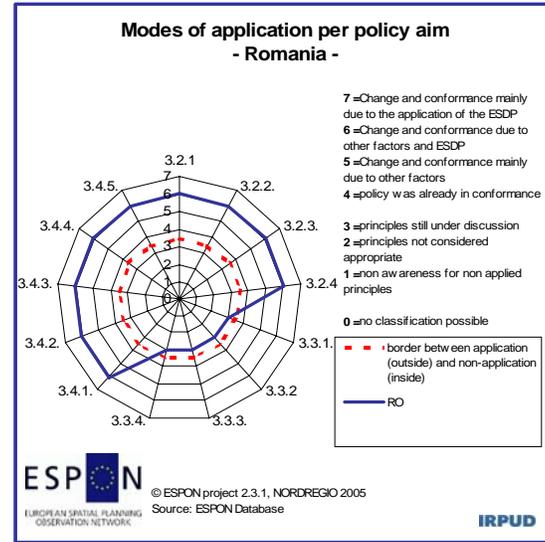
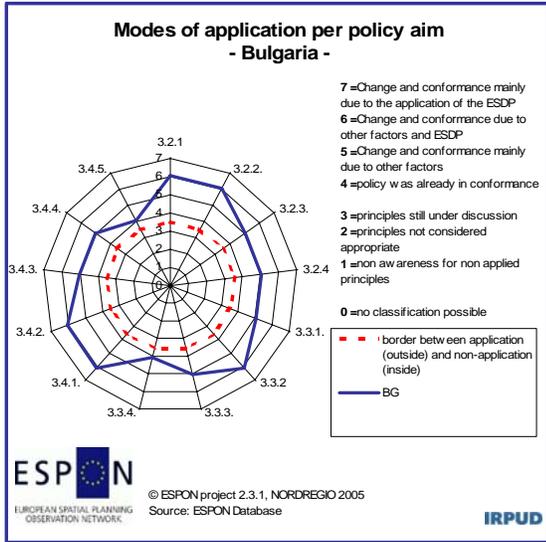
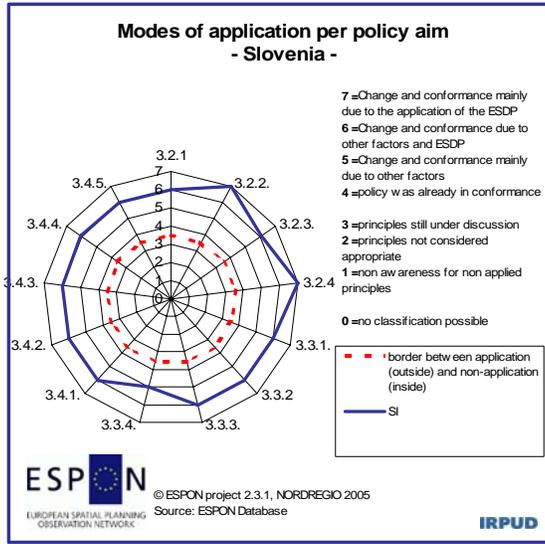
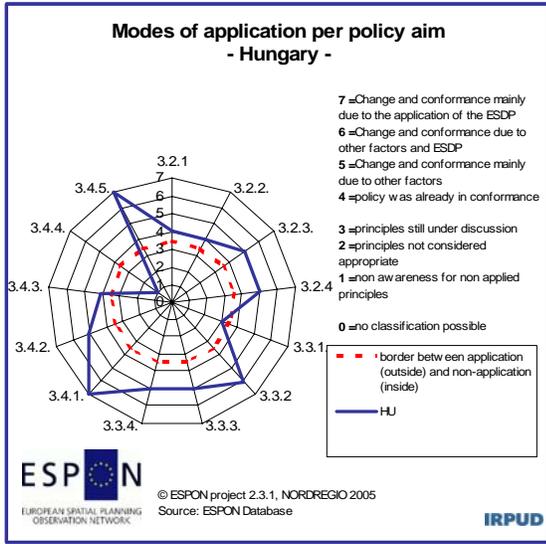
The following 29 spider diagrams show the modes of application per policy aim and country.











Annex 8 Number of performance indicators achieved

Indicators description	ESPON 2.3.1 project
Number of countries investigated in total, covering	29 countries: European Union of 25 plus Bulgaria, Romania, Switzerland and Norway
Number of charts on the institutional structure of spatial planning, both in urban and territorial policies	None
Number of policy aims mentioned in the ESDP addressed in the studies	All 13 ESDP policy aims were investigated upon their application or non-application in the mentioned countries
Number of cases studies (one per country)	25 case study (compare list of case studies in this FR annex)
Number of maps produced	Maps covering ESPON space i.e. countries mentioned above: 18

Annex 9 List of publications of the TPG members resulting from the ESPON research of this project

De Candia A., Rossignolo C., Toldo A., Saccomani S. (forthcoming), "European lesson to urban regeneration between "good practices" and integrated approach: Venaria, a small Italian town", paper presented at the International Conference, *Urban conditions and life chances*, Universiteit van Amsterdam, AMIDSt, Research and Training Network UrbEurope, Amsterdam 6-8 July 2006.

Dematteis G. (2005), "El desarrollo de sistemas territoriales y de redes", in R. Camagni and A. Tarroja (eds.), *La nueva cultura del territorio*, Diputació de Barcelona, Barcelona, pp. 237-250.

Dematteis G., Janin Rivolin U. (2004), "Per una prospettiva sud-europea e italiana nel «prossimo SSSE»", *Scienze Regionali / International Journal of Regional Science*, n. 2, pp. 135-149.

Dematteis G., Janin Rivolin U. (2005), "Per una prospettiva sud-europea e italiana nel «prossimo SSSE» / For a South-European and Italian perspective in the «next ESDP»", in Ministero delle Infrastrutture e dei Trasporti, Politecnico di Torino (ed.), *Presente e futuro dello Schema di Sviluppo dello Spazio Europeo. Conferenza Internazionale*, Alinea, Firenze, pp. 15-30

Dematteis G., Janin Rivolin U. (2006), "For a South-European and Italian perspective in the «next ESDP»", in L. Pedrazzini (ed.), *The process of territorial cohesion in Europe*, Franco Angeli / Diap, Milan, pp. 103-117.

Dematteis G., Rossignolo C. (2004), *Il Piemonte nello spazio europeo*, IREScenari 1, IRES, Torino.

Dematteis G., Rossignolo C. (2005a), "L'internazionalizzazione del sistema", in Associazione Torino internazionale, *Scenari per il sistema locale. Valutazioni sul Piano Strategico di Torino e sulle prospettive di sviluppo nell'area metropolitana*, Torino, pp. 37-59.

Dematteis G., Rossignolo C. (2005b), "Policentrismo, networking, competizione. Quali strategie per città e territori", paper presented at the IX Conferenza nazionale della Società Italiana degli Urbanisti, *Terre d'Europa e fronti mediterranei: il ruolo della pianificazione*, Palermo, 3-4 marzo 2005.

Dematteis G., Rossignolo C., Santangelo M., Toldo A. (2006a), "Il territorio italiano alla scala del policentrismo europeo e delle politiche comunitarie", in SIU-MIT, *L'armatura infrastrutturale e insediativa del territorio italiano al 2020. Principi, scenari, obiettivi*, Final Report, Rome.

Dematteis G., Rossignolo C., Santangelo M., Toldo A. (2006b), "Scenari per i grandi spazi dell'integrazione europea", in SIU-MIT, *L'armatura infrastrutturale e insediativa del territorio italiano al 2020. Principi, scenari, obiettivi*, Final Report, Rome.

Governa F., Salone C. (2005), "Italy and European spatial policies: polycentrism, urban networks and local innovation practices", *European Planning Studies*, vol. 13, n. 2, pp. 265-283.

Governa F., Salone C. (forthcoming), "Networking Italy. Polycentricism and Networks in Italian Regional Policies", in N. Cattán (ed.), *Cities and networks in Europe. A critical approach of polycentrism*, John Libbey Eurotext.

Janin Rivolin U. (2004a), *European spatial planning. La governance territoriale comunitaria e le innovazioni dell'urbanistica*, Franco Angeli, Milano.

Janin Rivolin U. (2004b), "Verso un sistema europeo di governo del territorio? / Towards a European territorial government system?", *Urbanistica*, n. 124, pp. 20-27.

Janin Rivolin U. (2004c), "European spatial planning: visioni e prospettive dal Sud Europa", in R. Mascarucci (ed.), *Vision*, Meltemi, Rome, pp. 123-145.

Janin Rivolin U. (2004d), "Progetto del territorio europeo. Considerazioni sulla "inattualità" dello SSSE in Italia", in A. Lanzani, V. Fedeli (eds.), *Il progetto di territorio e paesaggio. Cronache e appunti su paesaggi/territori in trasformazione. Atti della VII Conferenza Siu*, Franco Angeli, Milano, pp. 366-381.

Janin Rivolin U. (2005a), "Cohesion and subsidiarity: towards good territorial governance in Europe", *Town Planning Review*, vol. 76, n. 1, pp. 93-106.

Janin Rivolin U. (2005b), "The future of the ESDP in the framework of territorial cohesion", *DISP*, n. 161, pp. 19-27.

Janin Rivolin U., Faludi A. (eds.) (2005), "Southern Perspectives on European Spatial Planning", special issue, *European Planning Studies*, vol. 13, n. 2, pp. 195-331.

Janin Rivolin U. (2006), "Piattaforma Nord-occidentale", in SIU-MIT, *L'armatura infrastrutturale e insediativa del territorio italiano al 2020. Principi, scenari, obiettivi*, Final Report, Rome.

Rossignolo C., Procacci F. (2006), "New urban leaders and community involvement: the Italian case studies», in P. Getimis, H. Heinelt e D.

Sweeting (eds.), *Leadership and participation in cities: searching for innovation in western democracies*, Routledge, London.

Rossignolo C., Toldo A. (2006), "Towards the construction of a polycentric macroregion: cities and territories of the Italian North West", paper presented at the First Bi-Annual EURA Conference, *Cities in City Regions*, Warsaw, 11-14 May 2006.

Servillo L. (2006), "*Urban areas and EU territorial cohesion objective: present strategies and future challenges in Italian spatial policies*", paper presented at the First Bi-Annual EURA Conference, *Cities in City Regions*, Warsaw, 11-14 May 2006.

Servillo L. (forthcoming), "*Urban areas and EU territorial cohesion objective: actual strategies and future challenges*", paper presented at the ERSA Conference, Enlargement, Southern Europe and the Mediterranean, Volos, 30 Aug–3 Sep 2006.

Stead, D. and Waterhout, B. (2006). The influence of the ESDP on European inter-regional cooperation programmes and projects. Paper presented at the Regional Studies Association Conference 'Shaping EU Regional Policy: Economic, Social and Political Pressures', Leuven, Belgium, 8-9 June 2006.

Toldo A. (2006), "La macroregione policentrica del Nord Ovest italiano: cooperare per competere", paper presented at the X Conferenza della Società Italiana degli Urbanisti, *Urbanistica e azione pubblica: riformismo al plurale*, Politecnico di Milano, Milan, 18-19 May 2006.

Waterhout, B. (2005). De ruimtelijke impact van Europa in Nederland - Stimulator, belemmering, noodzaak en speelveld tegelijk. Paper presented at PlanDag 2005 'Het zichtbare Europa', Leuven, Belgium, 2 June 2005.

Waterhout, B. (2005). Europese samenwerking in de praktijk. BNsp nieuws 7(3) pp.17-17.

Waterhout, B. and Janssen-Jansen, L. (eds.) (2006). *Grenzeloze ruimte - Regionale gebiedsgerichte ontwikkelingsplanologie in Europees perspectief*. SDU Uitgevers, Den Haag.

Waterhout, B., Janssen-Jansen, L., & Weima, M (2004). *Grenzenloze ruimte? Regionale gebiedsgerichte ontwikkelingsplanologie in een Europees perspectief*. Paper presented at the meeting of Werkgroep Omgevingsplanning, Beroepsvereniging van Nederlandse Stedenbouwkundigen en Planologen (BNSP), Amsterdam 19 November 2004.

Annex 10 List of annexes in the ESPON 2.3.1 Second Interim Report (SIR)

Annex 1: Database of ESDP bibliography

Annex 2: Guidelines for ESDP application at the national level/national reports

Annex 3: General guidelines/checklist for case study

Annex 4: Web based Questionnaire

Annex 5: List of abbreviations and ESPON terminology

Annex 6: ESDP application at the EU level (Part 2, chapter 1)