

ESPON Project 2.3.1., Application and effects of the ESDP in Member States. First Interim Report

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# ESPON Project 2.3.1

## Application and effects of the ESDP in the Member States



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

First Interim Report

This report represents the first results of a research project conducted within the framework of the ESPON 2000-2006 programme, partly financed through the INTERREG programme.

The partnership behind the ESPON programme consists of the EU Commission and the Member States of the EU25, plus Norway and Switzerland. Each partner is represented in the ESPON Monitoring Committee.

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

Information on the ESPON programme and projects can be found on [www.espon.lu](http://www.espon.lu)

The web side provides the possibility to download and examine the most recent documents produced in relation to the ongoing ESPON projects.

This basic report only exists in an electronic format.

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## Foreword

This first interim report (FIR) includes the initial results of the project "Application and Effects of the ESDP in the Member States" within the ESPON Programme 2000-2006. The focus of the study is the application of the European Spatial Development Perspective (ESDP), which was adopted at the Potsdam European Council meeting in May 1999. More information about the ESPON programme and the project as a whole can be found on the ESPON web page [www.espon.lu](http://www.espon.lu).

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The content of this report does not necessarily reflect the opinion of the Monitoring Committee.

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## Part 1: Summary

### 1 Executive Summary

The objective of ESPON 2.3.1 is to study the application of the European Spatial Development Perspective (ESDP), which was adopted at the Potsdam European Council meeting in May 1999. The project aims to investigate and assess the application and the potential effects of the ESDP at both the EU and the Member State levels. The objective is to identify the potential of the ESDP and to highlight examples of its application and implementation at the European, transnational, national and regional/local levels. The results of the study on ESDP application will be of specific interest to those involved in discussions over the development of strategic guidance for the Structural Funds.

The study covers the entire "ESPON-space", that is EU27+2 (that is to say, all EU-member states plus Romania, Bulgaria, Norway and Switzerland), as it is assumed that the ESDP has already had an impact both on the new Member States and the neighbouring countries. The application of the ESDP at both the EU- and Pan-European levels will also be scrutinised.

The main task of this first phase of the project has been to perform an initial *meta assessment* by reviewing policy documents related to ESDP and the scientific literature that has scrutinized ESDP application thus far. The main aim here has been to reveal the basic "trends" in respect of the application of ESDP. Thus far we have used a synthetic typology by dividing the EU-member states, excluding the member states that become members on 1 May 2005, into different "regional perspectives". This typology will be further developed after the national reports have been compiled.

A range of keywords/terms was developed in order to create a framework for the analysis of ESDP application (table 1). In the First Interim Report these key words have been used in the analysis of European policy documents as well as in the overview of the scientific literature investigating the application of the ESDP. A very brief summary of the review of the policy documents and scientific literature shows that the main "theme" is polycentricity. Referring to the table below, horizontal integration is of most importance as regards 'ways', while in respect of "means" the Structural Funds receive the most attention. Changes in planning policies, practices and culture within each country are the most often highlighted "effects,"

while the regional “level” has the most important role in the ESDP application process. In the next phase of the project, policy documents will be thoroughly investigated in the national reports and EU-level study. In addition, interviews with key persons will be undertaken.

<i>Themes</i>	a1. polycentric spatial development (polycentrism) a2. new urban-rural relationship a3. parity of access to infrastructure and knowledge a4. wise management of the natural and cultural heritage
<i>Ways</i>	b1. vertical integration b2. horizontal integration b3. spatial integration
<i>Means</i>	c1. cross-border co-operation (Interreg IIIA) c2. transnational co-operation (Interreg IIIB) c3. urban governance c4. Structural Funds
<i>Effects</i>	d1. institutional changes d2. changes in planning policies, practices or culture (discourses) d5. changes in spatial representation (images)
<i>Levels / Scales</i>	e0. European / transnational / cross-border e1. national e2. regional e3. local
<i>Actors</i>	f1. European Commission f2. other European institutions f3. Member States / national authorities f4. regional and local authorities f5. other actors (academic sector, private sector, etc)

**Table 1 Key words/terms used in the analysis**

The trends uncovered in the reviews of the policy documents and the scientific literature have been consolidated into a set of working hypotheses, mainly addressing the different key words displayed in table 1. The main hypothesis here then is that the application of the ESDP varies across different countries. The main task for the indicators is then to display these variations by, for instance, creating synthetic typologies. The first draft of indicators displaying the application of the ESDP is also based on the key words. No data or indicators directly addressing the questions posed in ESPON 2.3.1 are available in any previous or current ESPON projects. A way of solving this lack of data is however to set up a web based questionnaire. The appropriate NUTS level for displaying the ESDP application will be the national level, followed by the regional level.

## **1.1 Compliance with the *Addendum***

Due to the delay in appointing the project, this First Interim Report includes content from the originally planned First and Second Interim Reports. In Part II of the First Interim Report we will try to meet the formal requirements stated in the Terms of Reference and *Addendum*.

Information on the development of the theoretical base and methodological framework for the project are to be found in chapters 2-9. Chapter 2 shortly presents the concepts and categories used in the analysis. In chapter 3 an analysis of the relevant European level policy documents is undertaken. The references used here constitute the basis for the construction of a bibliography of ESDP application. Chapter 4 includes an analysis of ESDP application in the EU countries based on a review of the scientific literature. The division of the countries is based on "regional perspectives". Additionally, the first tentative ESDP bibliography, including relevant scientific literature, is constructed. In addition, Interreg II C and III B projects of relevance to the question of ESDP application are also mentioned here.

The reviews of the policy documents and the scientific literature are analysed in chapter 5. This analysis provides the basis for the further development of the working hypothesis found in chapter 6.

A detailed and comprehensive list of the data and information needed for further analysis, requested from the administrative units of the Commission and from transnational, national and regional/local levels is presented in chapters 7-9. Indicators and envisaged typologies showing and analysing the application and implementation of the ESDP at the Community, transnational, national and regional/local levels is presented in chapter 7, while the question of the most appropriate geographical level for mapping the results of the project is also discussed here.

The guidelines informing both the EU-level study and the national reports are included in chapter 8. The basic considerations informing the selection of the 20 - 30 case studies covering the various administrative levels and territorial contexts in the "ESPON-space" are developed in chapter 9. In the same chapter a list of the selected case studies, including the selection criteria, is also presented. The selected case studies try to cover as many



aspects of ESDP application and as many countries as possible. In addition, a brief presentation of the methodological framework for the assessment of the case studies is also included.

## **1.2 Networking undertaken in respect of other ESPON projects and application of the ESPON scientific platform**

The core team is involved in the overall implementation of the project. These core team members have been responsible for developing the theoretical and methodological frameworks for the national reports and case studies.

The project has tried to closely co-ordinate its work with the other research projects and transnational project groups (TPGs) within the ESPON programme in order to be able to cross-reference and share knowledge and data as it emerges. In particular, we have closely coordinated our work with the ESPON 2.3.2 project "Governance of territorial and urban policies from EU to local level". In this respect for instance, we have tried to coordinate the selection of case studies. If the same case study is chosen, different aspects and issues will be covered by the two projects, in the hope that the studies will complement each other. In addition, there has also been collaboration 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 may be used to provide the contextual setting on governance processes in the different countries. The overall cooperation with ESPON 2.3.2 is facilitated by the fact that the transnational project groups to some extent have the same partners and subcontractors.

The project will also use 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, while the results from Strand II are also likely to prove useful in this respect.

The project has undertaken its work in line with the common ESPON scientific platform. For instance, the lead partner participates in the lead partner meetings organised by the ESPON Coordination Unit. In addition, the

project seeks to actively use the different ESPON Guidance papers in its work.

### **1.3 Further research issues and data gaps to overcome**

As noted previously, this report includes only the initial results of the project. Thus, only the results of the review of the policy documents and scientific studies on ESDP application are presented here. The next step in the project is to compile the 29 country studies and the EU-level study in order to discover how ESDP has been applied in different national contexts and at the European level. These studies will be complemented by a number of case studies. The case studies will provide an opportunity to look at the application of the ESDP at the local and regional levels. Transnational cases may also be highlighted here. In addition, ESDP application at the EU-level will be further scrutinized. The challenge here then is to develop a set of relevant indicators and typologies able to deal with the qualitative aspects required in a study of ESDP application.

## **Part 2: The results of the project**

### **2 Introduction**

#### **2.1 Presentation of the main concepts, methodologies and typologies used**

This study of ESDP application will mainly assess the effects and impacts that the ESDP has had on policy documents in the Member States (at the national and regional levels) as well as in trans-national co-operation and in the EU policy context. These types of effects and impacts are labelled "application". Application is understood here as "making a rule take effect" or "policy aims and concepts put into practical use or operation".

The assessment of the effects and 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) in this sense.

The national and regional situation (policies, plans, programmes, institutional settings) both before and after the introduction of the ESDP will be investigated. The work undertaken on the application of certain ESDP features through certain policies and processes will allow us to identify whether the journey of single ESDP issues into national and regional documents has been through a form of *direct* or *indirect* application (e.g. through discursive integration or through a process of the progressive change and innovation of local planning practices). In certain countries, the ESDP document is literally taken as a "Terms of Reference", thus clearly influencing policy-making, while in others, the ESDP influences policy debates and discourses without actually being mentioned in the policy documents. In both cases however we can attest that the ESDP has been 'applied'.

The general aim of the first interim report is to formulate the working hypothesis and to develop guidelines for the national reports and the case studies. A review of the policy documents and of the scientific literature will help us to clarify a number of concepts and methodological aspects, which relate in particular to an initial definition of

- (a) the decisive factors relevant to a more polycentric European territory,
- (b) the direct and indirect effects of EU policies, including elaborations on 'soft' and 'hard'-law, and
- (c) the instruments and institutional settings required to improve vertical and horizontal co-ordination and integration in the field of spatial policies.

The methodological analysis approach is based on a number of key terms/words. The key terms are summarised in the table 1 (the European / transnational / cross-border level e.0 and the "Actors" category are used only for the policy documents review).

### **3 Review of Policy documents**

#### **3.1 Introduction**

This first chapter begins with a review of the ESDP, the reference policy document for the ESPON 2.3.1 project. The following parts contain a textual analysis of recent key policy documents relevant to European spatial development. These comprise the Tampere ESDP Action Programme (TEAP, 1999), the CEMAT Guiding Principles for Sustainable Spatial Development of the European Continent (CEMAT, 2000), the OECD Territorial Outlook report (OECD, 2001) and the European Commission's second and third reports on economic and social cohesion (European Commission, 2001 and 2004). The review of policy documents provides some initial insights as to the question of ESDP application, both as it was intended and as it has subsequently taken place, as well as useful insights with regard to the development of the working hypothesis and the methodological framework.

#### **3.2 The ESDP as a reference**

##### **3.2.1 The ESDP and its process**

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, from a number of standpoints. As such, 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 2 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 (e.g. turning responsibility, work in task-force or Troika, wide debate) has involved many actors from the Community and national levels;
- The general level of involvement of the concerned countries - almost all of them have played a leading role at one time or another, besides their "everyday" collaboration within the CSD.



**Table 2 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	EC	
16/09/1992		Resolution A3-0253/92	EP	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	<i>Accession of Austria, Finland and Sweden</i>			
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
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 - Transnational seminars	All actors invited	UK
08/06/1998	Inf. Council Glasgow	Adoption complete draft ESDP	Ministers+Commissioner	UK
06-11/1998		Transnational seminars	All actors invited	AT
1998/2		Working on "final" ESDP	CSD	AT (UK, FI, EC)
02/07/1998		Resolution A4-0206/98	EP	
09/09/1998		Opinion	ESC	
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

### **3.2.2 Level of ESDP content**

Chapter A.3 of the ESDP document (policy aims and options) is generally considered to be its "core" section, containing the essence of its policy message. It would however be misleading, particularly when analysing application and effects, to focus exclusively on that part of the document alone. There are at least two reasons for taking into account the whole document:

- Other parts help to put into perspective the scope as well as the way in which the application of the policy aims and options is undertaken; in particular chapter A.4 contains a lot of information on how the ESDP is supposed to be applied;
- The ESDP's actual contents are not as rigorously structured as its table of contents might suggest: except for "official" aims and options for the territory of the EU, each type of contents can be found in several parts of the document, as shown in Table 3.

The question over application then is: what reading level(s) do we consider? Three such levels are developed under the following headings:

- philosophy and objectives (giving the broader perspective, which is less affected by particular situations);
- core contents (policy aims and options);
- recommendations for application.



**Table 3 Levels of contents of the ESDP**

Type of contents	Present in (√√ = main 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	√	√	√		√	√√

### 3.2.3 Philosophy and objectives of the ESDP

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 general objectives of the European Union, and as such, one should interpret them in the context of this approach. Moreover, there is no single objective or set of objectives here, rather a cascade of objectives (under different names), depending on the considered level / type of issues, from the more general ones to the more specific or concrete ones<sup>2</sup>

<sup>2</sup> This may sometimes be confusing, as the wording "ESDP objectives" may refer to a number of different contents.

The ESDP presents itself as "*a policy framework for better co-operation between Community sectoral policies with significant impacts and between Member States, their regions and their cities*" (§ 22). Here then is the leitmotif of the whole document (co-operation) 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 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 will respect the subsidiarity principle;
- Each country will take it forward according to the extent it wishes to take account of European spatial development aspects in its national policies.

The emphasis is thus set on attitudes: as the ESDP is *non-binding*, co-operation becomes the keyword. Hence, the 'awareness' and the 'state of mind' of the actors expected to implement the ESDP becomes crucial.

### **3.2.4 The core of the ESDP**

Chapter A.3 contains the core contents of the ESDP in political terms, represented in the form of a tree-like structure:

3 guidelines => 13 (11) aims (see Table 4) => 60 options

In addition to these structured aims and options, there are in the text a number of considerations and recommendations about each policy aim, on occasion discussing and detailing the aims and options, while occasionally also adding some specific contents. As suggested in Table 4, considerations of this type are to be found not only in chapter 3; some also appear elsewhere in the document.

The ESDP "project" does not entail an all-encompassing approach. There is a gradual selection at each level: selected aims inside guidelines, selected options inside aims, selected recommendations to apply the options. While emphasising the issues considered as most relevant (at that moment), the

selection process tries to maintain a balance and to fit inside a global approach. This does not mean that the contents are always homogeneous. Aims, and particularly options, may address different scales / levels and / or different types of actors, and thus often vary from very general recommendations to quite detailed, sectoral or local ones, or even to the means or tools to apply the recommendations.

Another particular feature of chapter A.3 is that it contains neither precise geographical indications nor maps relative to the spatial project or desired situation, in other words it is weakly spatialised. As such, this leaves the project quite open to appropriation by national and regional actors, who can tailor it to their needs, but at the same time it renders it open to inconsistent application. Attempts have been made to spatialise it, through such initiatives as the Interreg spatial visions or the ESPON process. In a sense then, these approaches may be considered to have contributed to both the completion and the application of the ESDP project.

The political dimension of the ESDP (i.e. its involved actors, competences) probably explains why chapter A.3 does not refer to enlargement or to the candidate countries. In fact, these issues are dealt with in a separate chapter (A.5). No specific objectives or options are defined for the enlargement area; rather "*the special challenge will be to pursue the basic goals of the ESDP under the conditions of enlargement without jeopardizing their attainment within the Member States*" (§ 214). All guidelines are applicable to the candidate countries, paying attention to some aspects of their specific situation (transitional situation, unequally developed infrastructure, environmental problems and weaker public resources) that must be kept in mind for application (§ 224). The special challenge of the rural areas in those countries is also underlined, as is the need to take into account the weakness of the regional and local levels (§ 215), a situation emphasised as "*one of the most important issues*" in § 219.

**Table 4      The different levels of ESDP objectives**

Type of objective	Contents	Reference
Purpose	Better co-operation 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	Liège documents + ESDP A.1
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)	ESDP A.1
3 Policy guidelines for spatial development	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.	ESDP A.1/A.3
13 Policy aims for the territory of the EU <sup>3</sup>	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. Polycentric development model: a basis for better accessibility 6. An integrated approach for improved transport links and access to knowledge 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	ESDP A.3

<sup>3</sup> Aims 6 and 9 are not really on the same foot than 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.

### 3.3 How the ESDP conceives of its own application

#### 3.3.1 General recommendations

As indicated previously, recommendations in respect of application may be found in different parts of the ESDP document, but mainly in chapter A.4, whose title clearly states the object: "*The Application of the ESDP*". Chapter A.4 starts with a number of general recommendations. Setting a framework for applying the ESDP, whilst also providing useful elements for the methodological framework of the ESPON 2.3.1 project. The first §§ of the section (§§ 161 to 165) focuses on a set of three interrelated ideas, i.e. co-operation, integrated approach, spatial differentiation:

- Co-operation: § 161 establishes a logical link between the challenges faced (considering potential conflicts in advance and setting the right priorities) and the need for co-operation on a voluntary basis. Two main types of co-operation are distinguished:
  - horizontal co-operation: "*co-operation amongst the authorities responsible for sectoral policies; and with those responsible for spatial development at each respective level*";
  - vertical co-operation: "*between actors at the Community level and the transnational, regional and local levels*".

Together with the idea of the integrated approach, § 162 introduces a third type of co-operation: beyond national boundaries and "*other administrative hurdles*".

In § 163, the theme of spatial co-operation is more developed, and three levels are defined for it:

- Community level;
- transnational / national level;
- regional / local level.

The emphasis here is on the transnational level: "*From the EU point of view, transnational co-operation is of central importance.*"

- Integrated approach: the principle is introduced in § 161 and 162 and in more detailed again in § 164. Two different aspects are dealt with: 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:

- § 162 states that *"application is not the responsibility of one authority but of a wide range of spatial development (land use, regional planning, urban planning) and sectoral planning authorities"*; § 164 proposes a number of themes / areas for combinations of policy options, i.e. the promotion of networking for urban regions, better accessibility as a pre-condition for polycentric development, the development of Euro-corridors, the strengthening of cities and regions at the external border of the EU, the conservation and development of biodiversity and the development of a European ecological network, the development of our European cultural heritage, and Integrated Coastal Zone Management (ICZM). The idea here is clearly to go beyond the traditional sectoral distribution of responsibilities and to focus on truly 'territorial' issues, which implies the co-operation requirement.
- Territorial differentiation: this idea was already located in previous parts of the ESDP, notably in chapter A.3 (§ 64 and 66). 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"* (§ 66). This idea is repeated in chapter A.4, and linked to the idea of the integrated approach, e.g. the groupings of options *"have to be determined locally according to the prevailing situations"* (§ 164). It seems particularly important to keep this 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.

Some recommendations in respect of application can also be found in other parts of the document. In particular, § 26 of chapter A.1, which introduces the contents of chapter A.4, emphasises the time dimension and the gradual and interactive process of application:

*"Initial proposals for the application of the ESDP by the various actors at different levels are proposed in Chapter 4. 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."*

### 3.3.2 Selected forms of ESDP application

The last paragraph of § 165 introduces the next part of chapter A.4: *"In the following section, the most important proposals for the application of the ESDP at the respective governmental and administrative levels are outlined."*

The following sections (§§ 166 to 189) are indeed structured according to five levels, which however cannot be strictly associated with governmental / administrative levels, but rather with territorial levels:

- Community level (4.2)
- Transnational co-operation (4.3)
- Cross-border and interregional co-operation (4.4)
- Meso level (Member States) (4.5)
- Pan-European and international co-operation (4.6).

Section 5.6 of chapter A.5 appears both in terms of its contents and its form to be a further "level", which focuses on enlargement, an issue hardly addressed in chapter A.4. As its contents do not concern the "enlargement space" alone, this "enlargement" level is grouped with the "pan-European and international" level. Within each section, concrete proposals are emphasised by statements such as **"it is proposed"**, **"The Member States should"**, usually written in bold characters. This provides a structure in some way similar to that of chapter A.3, where the policy options are presented in a specific form that allows them to be distinguished from other considerations. These proposals, entitled here "selected ways of application" are represented in a table (table 5) with intended levels and actors. The link with the Tampere ESDP action programme, which also appears in this table, will be discussed later. The table shows that all actors are concerned, even those who 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 co-ordinate with each other – hence the "co-operation" leitmotif;
- transnational and cross-border co-operations rarely have their own governmental and/or administrative level<sup>4</sup>, and thus rely on actions taken within the various involved Member States / regions.

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<sup>4</sup> Save for formal co-operation structures such as the Benelux or the Baltic States.

**Table 5 Selected ways of application**

§	Level / scale	Actors	Co-operation need			Category <sup>5</sup>	TEAP <sup>6</sup>
			Hor.	Vert.	Spat.		
167	Community	EC	√			A	1.4
168		MS		√	√	D	
169		European institutions + spatial planning authorities in MS		√	√	D	
170		MS			√	C	
171		EC + MS		√	√	C	
172		EC + MS		√	√		3.2
173		EC + MS		√	√	A	2.1
178	Transnational	EC + MS	√	√	√	A	1.2
179		EC		√	√	-	
181	Cross-border and interregional	MS, regional and local authorities	√	√	√	-	
182		MS			√	C	
183		Regional and local authorities			√	B	
184	National and lower	MS	√	√		B	1.3
185		MS + regional and local authorities + administration	√	√		C	1.3
186		MS	√		√	C	1.5
188	Pan-European and international (including Enlargement)	MS + Council of Europe		√	√	B	3.1
189		MS + regional and local authorities		√	√	C	
230 (1)		MS			√	A	
230 (2)		MS+AC			√	B	
230 (3)		AC (including regional and local levels)		√		-	
230 (4)		MS+AC+EC+Council of Europe	√		√	-	
230 (5)		MS+EC+AC			√	-	

### 3.3.3 The process after ESDP adoption

The importance of the ESDP process has been emphasised, and it has been said on numerous occasions that the mere adoption of the ESDP did not signal the end of this process. Table 6 gives a synthetic view of some

<sup>5</sup> According to the summary made by the Finnish Presidency from the answers of MS to their questionnaire on priorities for ESDP application:

A. Very important recommendations that should be applied immediately

B. Important recommendations that should be applied immediately

C. Important recommendations that should be applied later

D. Recommendations that should be applied later (opinions on importance diverge).

<sup>6</sup> Corresponding action of the TEAP (see review of the TEAP).



significant milestones determining the context in which the ESDP process is expected to continue. These milestones also help to situate the context in which the policy documents reviewed in the two following sections have been produced.

**Table 6 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 <sup>7</sup>	Commission	FI
04-05/10/1999	Inf. Council Tampere	Adoption of the <b>ESDP Action programme</b>	Ministers+Commissioner	FI
2 <sup>nd</sup> half 2000		Report on polycentrism (Ingerop)	French Presidency + CSD	FR
07-08/09/2000	CEMAT meeting Hanover	Adoption of the <b>CEMAT guidelines</b>	CEMAT	FR
02-03/11/2000	Lille conference	Theme: "Spatial and urban development"	Ministers+Comm.+others	FR
23/10/2000		Water framework directive <sup>7</sup>	Commission	FR
2000 - 2001	Suppression of the CSD / Institution of the SUD WG of the CDCR		Commission / CDCR	FR/SE
01/2001	Presentation of <b>Second Report on Economic and Social Cohesion</b>		Commission	SE
20-21/06/2001	Meeting CSD+	Co-operation 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 <sup>7</sup>	Commission	BE
03/06/2002		Approbation of the ESPON CIP	Commission	ES
2004		Interim Territorial Cohesion Report	DG Regio	IE
02/2004	Presentation of <b>Third Report on Economic and Social Cohesion</b>		Commission	IE
01/05/2004	Accession of 10 new Member States			IE
05/05/2004	DG meeting Paris	Discussion European co-operation 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

<sup>7</sup> Refer to the ESDP

### **3.3.4 Implications for the methodological approach**

Reviewing the ESDP shows that we have to consider a number of parameters in respect of its application. The approach cannot be limited to the mere "thematic contents" (chapter A.3), but has to take into account parameters such as the ways and means to apply the aims and options, as well as the levels and actors of implementation. This fits with the list of key terms defined to better analyse the scientific literature. In order to achieve, as far as possible, a consistent approach the review of policy documents is based on the same grid of analysis, with the addition of a few topics related to the specificity of the analysed policy documents, such as:

- a key term, "European/ transnational / cross-border level", given the level of the analysed documents (all of European level);
- an "Actors" category, as in most cases policy documents show that actors and levels cannot be assimilated (e.g. "sectoral" actors or private actors are found at all levels) and some actors (e.g. national authorities) may act at different scale levels.

Some key terms are of course less significant for the policy documents than for the scientific literature, while others may not be significant at all for a given document (e.g. c1 for the TEAP).

**Table 7 Key terms for the analysis of policy documents**

Themes	a1. polycentric spatial development (polycentrism)
	a2. new urban-rural relationship
	a3. parity of access to infrastructure and knowledge
	a4. wise management of the natural and cultural heritage
Ways	b1. vertical integration
	b2. horizontal integration
	b3. spatial integration
Means	c1. Tampere ESDP Action Programme
	c2. cross-border co-operation (Interreg IIIA)
	c3. transnational co-operation (Interreg IIIB)
	c4. urban governance
	c5. Structural Funds
Effects	d1. institutional changes
	d2. changes in planning policies
	d3. changes in planning practices
	d4. changes in planning culture (discourses)
	d5. changes in spatial representation (images)
	d6. spatial development
Levels / Scales	e0. European / transnational / cross-border
	e1. national
	e2. regional
	e3. local
Actors	f1. European Commission
	f2. other European institutions
	f3. Member States / national authorities
	f4. regional and local authorities
	f5. other actors (academic sector, private sector, etc)

### 3.4 The Tampere ESDP action programme

#### 3.4.1 Introduction

This section presents elements that could be worth considering when further elaborating the working hypothesis and methodology for the national reports and case studies. Regarding the development of the working hypothesis, we may consider that the TEAP, explicitly oriented toward applying the ESDP, in principle addresses the "direct application" aspect: whether *the ESDP has explicitly been applied and a method or approach that clearly influences the way a national (regional) plan is produced*. A closer look however at the results of the individual actions could reveal that not all necessarily apply to the ESDP.

Even though the tender emphasises "*the Belgian exercise carried out in the context of this programme and the Commission impact study in EU sector*

*policies*", it seems relevant to first consider the TEAP as a whole. The TEAP's specificity lies not so much in the twelve actions it encompasses as in their adoption as a political programme. The most relevant points indeed concern that particular dimension. This also means that the "application" aspect is prominent, although the programme formula may also have effects, notably in terms of attitudes toward co-operation. This however remains to be explored in rather more depth, possibly through national and case study inputs. The review of the TEAP should also give us an indication of the necessary conditions for successful ESDP application, even though the meaning of "success" here may still be in need of further discussion.

### **3.4.2 Definition, adoption and implementation of the TEAP**

#### *Continuing the ESDP process*

The Tampere process must be viewed in the context of the ESDP process and philosophy as a whole. The previous section has shown how novel the ESDP is in terms of its process and philosophy, never mind its contents. Both aspects are indeed intrinsically linked, notably when considering the way it is supposed to be applied / implemented. Continuing the ESDP process during its application phase then appears to be particularly important, considering:

- the huge potential scope of the document, addressing 15 (now 25) countries, a large number of policy domains and a wide variety of actors;
- its rather "fuzzy" character: no formal character, no binding power, very few "spatialised" objectives or options.

There is then room to work out the contents of the document further. Considering several of the TEAP actions, deepening some aspects of the ESDP's contents appears to be an important dimension. It may of course be discussed whether this is, in itself, to be considered as an application. The TEAP fits into this perspective of the direct continuation of the ESDP process. Its preparation was indeed already envisaged before the adoption of the ESDP, and was decided at the same time that the ESDP was adopted (informal Council of Potsdam, 1999). The TEAP involves the same actors that wrote and adopted the ESDP (the spatial planning ministers, the Commission, and the CSD associating the spatial planning authorities). It is inspired by the same aim of co-operation on spatial development matters.

On the basis of chapter 4 of part A, it goes further in the selection and specification of ways of beginning to apply the ESDP<sup>8</sup>.

**Figure 1      Application of the ESDP**



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<sup>8</sup> It presents itself as a selection of "*initiatives that can be dealt with in the short to medium term*", "*concrete actions for the immediate application of the ESDP*".

**Table 8 TEAP actions and the ESDP**

Strand	Action		Deriving from ESDP § in chapter A. 4	In main recommendations?	Belonging to heading	Other relevant § of chapter A.4	In Potsdam conclusions	Proposed by	Engaged before Tampere?
Promoting a spatial dimension in Community and national policies	1.1	ESDP policy orientations in SF mainstream programmes					✓		
	1.2	Interreg III and ESDP demonstration projects	178	✓	Transnational co-operation between the MS	163, 165, 181	✓		
	1.3	ESDP policy orientations in national spatial planning	184, 185	✓	In the MS	170			
	1.4	Spatial impacts of Community Policies	167	✓	Community level		✓		
	1.5	Territorial impact assessment	186	✓	In the MS	167, 182			
	1.6	Urban policy application and co-operation							✓
Improving knowledge, research and information on territorial developments	2.1	Establishing the ESPON co-operation	173	✓	Community level	171, 172	✓		✓
	2.2	Geography manuals for secondary schools					✓	France	
	2.3	'Future regions of Europe' award				183	✓	Germany + France	
	2.4	Guide on integrated strategies for coastal regions	164, 167		Community level		✓	Spain	
Preparing for an enlarged EU territory	3.1	Pan-European framework for spatial development	188	✓	Pan-European and International co-operation				✓
	3.2	Spatial impacts of enlargement on EU MS and non-MS	172	✓	Community level				

The aim is *"to translate the policy aims for European spatial development into examples of good practice at the transnational and European level as well as the national, regional and local levels"*, in order to demonstrate *"concrete and visible ways of applying and supporting the policy orientations laid down for the European territory"*. The idea is thus not only to start applying the ESDP, but also to show how to apply it. The TEAP results from an exemplary process led by the Finnish Presidency of the EU:

- early 1999, the (future) Finnish Presidency asked all MS to give their views on the main recommendations of chapter 4, and to indicate for each of them 1) the degree of importance, 2) the degree of priority in time;
- on the basis of the answers received, summarised into 4 categories<sup>9</sup>, a list of actions<sup>10</sup> was devised by the Finnish Presidency, together with a calendar and list of the responsible actor(s) for each action (or part of action);
- the resulting draft programme was discussed within the Troïka and the CSD, and slightly modified in consequence (12 actions instead of 14<sup>11</sup>);
- the definitive programme was adopted by the spatial planning ministers in Tampere on 5 October 1999.

#### *The philosophy of the TEAP*

The TEAP bundles actions that differ considerably in their content, scope, duration, involved actors and means. Most selected actions are not really ESDP specific. However, the TEAP puts them into a common perspective, which is definitely ESDP specific. The programme finds a unifying factor in its philosophy, its accent on the process dimension, which is expected to strengthen co-operation<sup>12</sup>. The TEAP insists on this aspect on several occasions:

- *"Each of the proposed initiatives needs close co-operation and the support of authorities responsible at different levels for the territories concerned. In dealing with the Action Programme, the Member States*

<sup>9</sup> See footnote under Table 5.

<sup>10</sup> Not all selected actions derive directly from ESDP chapter A.4. Some of them were proposed by MS at the Potsdam informal council and mentioned in its conclusions (see Table 8).

<sup>11</sup> Actually the transition from 14 to 12 actions essentially reflects a different way of distributing the selected tasks into actions.

<sup>12</sup> This echoes to the ESDP itself (§ 162): *"application is not the responsibility of one authority but of a wide range of spatial development (land-use, regional planning, urban planning) and sectoral planning authorities"*.



*and the Commission have to involve regional and local authorities in order to obtain practical results in a number of joint projects."*

- *"In the spirit of European co-operation, 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 co-ordinate and monitor the ESDP Action Programme will be taken jointly by the Member States and the Commission. In practice, the CSD would be the proper body for this task. The Member States will in common provide the resources necessary for the co-ordination and monitoring."*

The programme relies on the "lead partner" principle. The LP is expected to take *"the responsibility for the management of the project"* and to *"provide the resources needed for managing the project in collaboration with the other participants"*. For some important and extensive actions, all MS are expected to act on the same footing, with one MS taking responsibility for a particular aspect. In the absence of any authoritative coordination body, the programme relies entirely on the good will of the involved actors. Moreover, the possible effects of such a feature are probably reinforced by the fact that there is no specific funding.

The TEAP was expected to begin functioning at the moment of its adoption. A mid-term agenda was defined, taking into account the future EU Presidencies, as well as events foreseen until mid 2003. The timetable was however considered to be rather flexible (*"a certain flexibility and room for adjustments in the timing will be indispensable"*). The fact that the agenda was explicitly seen as "mid-term" indicated however that completion of the programme was expected to go beyond the end of the 'mid-term' period and thus beyond the "phases " or concrete products mentioned in the agenda<sup>13</sup>.

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<sup>13</sup> Interpretations diverge on this point, as the TEAP is sometimes presented as going until 2003, notably in the "expert document" of the SUD working group (2003): *"The Tampere political action programme for the ESDP will be completed in 2003"*.

### **3.4.3 The contents of the TEAP**

Table 9 lists the 12 actions of the TEAP, as well as their contents and their expected outputs mentioned in the "mid-term agenda". Despite (or perhaps thanks to) their diversity, the Tampere actions can be viewed as balanced, illustrating the inherent diversity in their potential application. Under the following headings the actions are considered as they were foreseen, which may be quite different from what has actually been realised. The analysis according to the keywords (summarized in Table 10) is thus based on what is stated (or implied) in the TEAP about the contents of the actions, and not on their effective implementation and results.

**Table 9 TEAP actions as intended**

Action		LP (for)	Contents	By	Concrete outputs	By	Schedule	Linked event	Presidency
1.1	ESDP policy orientations in SF mainstream programmes	All Portugal (experiences prospects)	MS Reflecting the ESDP in structural policies including SF programmes, in national and / regional planning documents and in the co-ordination of sectoral policies	MS	Considering the first experiences and prospects on ESDP policy orientations in SF mainstream programmes	MS	2000/1		Portugal
					Report on ESDP policy orientations in SF mainstream programmes	MS	2002/1		Spain
1.2	Interreg III and ESDP demonstration projects	All Denmark (demonstration projects)	Reflecting the ESDP in the preparation of Interreg III B and in OP, exploring means for transnational co-operation	MS					
			Give priority to ESDP demonstration projects in Interreg III OP	MS	Midterm evaluation of ESDP Demonstration projects	MS	2002/2	Ministerial together with regional ministers	Denmark
			Evaluating Interreg II C projects	EC	Evaluation of Interreg II C projects	EC	2002/2		Denmark
			Applying the ESDP in Interreg III guidelines	EC	Interreg III guidelines	EC	1999/2		Finland
1.3	ESDP policy orientations in national spatial planning	All Belgium (synthetic report)	MS Integrate the ESDP and European dimension to spatial development / planning and encourage sectoral policies to apply the ESDP	MS	Report on ESDP policy orientations in national spatial planning	MS	2001/2	Ministerial	Belgium
1.4	Spatial impacts of Community Policies	Commission Portugal (ESDP / Transport)	Evaluating spatial impacts of Community policies	EC	Information on spatial impacts of Community policies	EC	2001/2		Belgium
			Contributing to evaluation of spatial impacts of Community policies with examples	MS					
			Considering the ESDP in the TEN-revision	EC	Paper to prepare event	EC MS	2000/1	Event on spatial development and transport	Portugal
			Considering the ESDP in transport planning	MS					
1.5	Territorial impact assessment	United Kingdom	Developing a common concept for Territorial Impact Assessment (TIA)	MS	Discussion on a European concept for TIA	MS	2001/2		Belgium
1.6	Urban policy application and co-operation	All France (application)	MS Promoting further the urban dimension in relevant policies at national and European level	EC MS	First report on urban policy co-operation	MS	2000/2		France

		experience)	Co-operation between MS and Commission to take advantage of strategies and actions and take forward results of UEI						
2.1	Establishing the ESPON co-operation	Luxembourg (work programme)	Evaluation of the SPESP	EC	Joint application	MS	2000/2		France
		Sweden	Establishing the co-operation structure for the ESPON (2000-2006)	MS					
			Development of research and development programme on territorial development for ESPON	MS	Work programme	MS	2001/1	Ministerial together with R&D Council	Sweden
2.2	Geography manuals for secondary schools	France	Preparation of geography manuals for secondary schools	MS	Presentation of manuals	MS	2000/2		France
2.3	'Future regions of Europe' award	Germany	Organising "Future regions of Europe" competition	MS	Launch of "Future regions of Europe" competition	MS	2001/1		Sweden
			Organising competition for secondary schools ("Future and territory")	?					
2.4	Guide on integrated strategies for coastal regions	Spain	Preparation of European Guide on integrated strategies for coastal regions	MS	Presentation of European Guide	MS	2002/1	Ministerial together with Environmental Council	Spain
3.1	Pan-European framework for spatial development	Germany	Preparation of an agenda for political and technical co-operation with accession countries	MS (+ AC)	Agenda for co-operation with non-member states	MS	2000/2	Pan-European framework, CEMAT conference	France
					Report on co-operation with non-member states	MS	2003/1		Greece
			Integrating a spatial dimension in discussions on applying the Community <i>acquis</i>	AC EC ?					
3.2	Spatial impacts of enlargement on EU MS and non-MS	Commission	Assessment of the spatial impacts of enlargement on the territory of MS and AC	EC ?					
			Reflecting on implications for ESDP policy orientations	MS	Evaluation of ESDP policy orientations	MS	2002/2	Ministerial together with regional policy ministers	Denmark

### *Themes*

The TEAP addresses the ESDP as a whole, and thus it addresses all themes. This reflects the integrated approach to territorial issues recommended by the ESDP. This is true also for actions considered individually, even though in a few cases (e.g. "Urban policy application and co-operation" or "integrated strategies for coastal regions"), some may attract greater emphasis than others.

### *Ways*

While the general philosophy of the TEAP largely relies on integration / co-operation, there is more diversity among actions regarding the emphasised type of integration / co-operation:

- horizontal integration co-operation appears as the most frequent requirement. This is probably linked to the importance of the issue of cross-sectoral co-ordination in the ESDP;
- vertical and spatial integration / co-operation come next.

The actions appear as relatively "specialised", as only a couple of them insist on two different types of integration / co-operation.

### *Means*

By definition, all actions belong to the TEAP, but the other means may also play a role for some of them. The Structural Funds and Interreg appear more or less explicitly in regard to three actions, urban governance does so for one action.

### *Effects*

Expected effects cover the middle range of keywords, i.e. not the extreme ones (institutional changes and spatial development). This is consistent with the ambitions and time scope of the programme. There is a relatively balanced distribution of actions regarding the different types of effects. Only two actions cannot be linked to any particular type of effect.

### *Levels / scales*

The TEAP addresses all levels / scales, but more often than not the higher rather than the lower ones. This is in accordance with the level(s) on which the programme was designed, and with the subsidiarity principle.

### *Actors*

All types of actors are concerned by the TEAP. There is again a varied and balanced distribution of actions according to the addressed actors, with a stronger representation of the actors directly involved in the drafting and adoption of the programme (Commission and Member States). Interestingly, most actions rely on several types of actors. The co-operation requirement is thus logical. Even for actions for which it is not explicitly specified, involvement of different actors is implicitly considered through the general recommendations made by the TEAP. In accordance with the subsidiarity principle, this can be done as considered best by each concerned Member State.

**Table 10 TEAP actions related to the keywords**

		Promoting a spatial dimension in Community and national policies						Improving knowledge, research and information on territorial developments				Preparing for an enlarged EU territory	
		1.1	1.2	1.3	1.4	1.5	1.6	2.1	2.2	2.3	2.4	3.1	3.2
		ESDP policy orientations in SF mainstream programmes	Interreg III and ESDP demonstration projects	ESDP policy orientations in national spatial planning	Spatial impacts of Community Policies	Territorial impact assessment	Urban policy application and co-operation	Establishing the ESPON co-operation	Geography manuals for secondary schools	'Future regions of Europe' award	Guide on integrated strategies for coastal regions	Pan-European framework for spatial development	Spatial impacts of EU MS enlargement on MS and non-MS
Themes	a1. polycentric spatial development (polycentrism)	√	√	√	√	√	√	√	√	√	√	√	√
	a2. new urban-rural relationship	√	√	√	√	√	√	√	√	√	√	√	√
	a3. parity of access to infrastructure and knowledge	√	√	√	√	√	√	√	√	√	√	√	√
	a4. wise management of the natural and cultural heritage	√	√	√	√	√	√	√	√	√	√	√	√
Ways	b1. vertical integration		√	√			√						
	b2. horizontal integration	√		√	√	√						√	
	b3. spatial integration							√		√		√	
Means	c1. Tampere Action Programme (various actions)	√	√	√	√	√	√	√	√	√	√	√	√
	c2. cross-border co-operation (Interreg IIIA)		√	√						√			
	c3. transnational co-operation (Interreg IIIB)		√	√						√			
	c4. urban governance						√						
	c5. Structural Funds	√					√	√					
Effects	d1. institutional changes												
	d2. changes in planning policies	√		√	√		√						
	d3. changes in planning practices	√	√	√	√	√					√	√	
	d4. changes in planning culture (discourses)			√					√		√	√	
	d5. changes in spatial representation (images)								√	√			
	d6. spatial development												

		1.1	1.2	1.3	1.4	1.5	1.6	2.1	2.2	2.3	2.4	3.1	3.2
		ESDP policy orientations in SF mainstream programmes	Interreg III and ESDP demonstration projects	ESDP policy orientations in national spatial planning	Spatial impacts of Community Policies	Territorial impact assessment	Urban policy application and co-operation	Establishing the ESPON co-operation	Geography manuals for secondary schools	'Future regions of Europe' award	Guide on integrated strategies for coastal regions	Pan-European framework for spatial development	Spatial impacts of enlargement on EU MS and non-MS
Levels / Scales	e0. EU / transnational / wider		√		√		√		√	√		√	√
	e1. national	√	√	√			√		√	√			
	e2. regional	√	√	√		√				√	√		
	e3. local		√	√		√				√	√		
Actors	f1. European Commission	√	√		√		√	√		√		√	
	f2. other European institutions				√							√	
	f3. Member States / national authorities	√	√	√	√		√	√	√	√		√	√
	f4. regional and local authorities		√	√						√			
	f5. other actors (academic sector, private sector,...)							√		√			



#### **3.4.4 Actual outcomes of the TEAP**

The implementation of the TEAP did not take place in line with initial expectations. In particular, the timetable underwent significant changes in the course of the programme, notably due to an important modification to the context. In 2000, the Commission announced that the CSD, which was in charge of monitoring the TEAP, could not be maintained, and proposed the creation of a working group inside the CDRR, entitled the "Sub-Committee of Spatial and Urban Development" (SUD). Although the TEAP was mentioned among the topics for discussion within the SUD WG, the shift from spatial planning to regional policy and the different power balance between the Commission and MS within the new organ modified the priorities and generated some confusion and uncertainty as to the future of the programme, and possibly affected also the content orientation of some TEAP actions.

Furthermore, and unlike what was foreseen in the TEAP, no informal council of spatial planning ministers was organised for almost two years following Tampere, meaning that no structure was there to drive and the TEAP onwards. Combined with the total reliance on the spirit of cooperation alone, the duration – and flexibility – of some of the TEAP actions appear to add another weakness to the programme.

The actual results of the TEAP<sup>14</sup> are not easy to apprehend, and are even less amenable to assessment, taking into account the unexpected changes of context. In 2001, the Belgian presidency carried out an initial assessment of the progress of its implementation, highlighting a somewhat contrasting situation. At that stage, some actions were already considered as completed, while others had hardly started, or were stuck for various reasons. Precise information is missing about the subsequent progress, as well as about some points, which were under the responsibility of each MS were not required to produce well-defined outputs. On these points, the national reports and case studies will hopefully deliver some clarification.

It must also be kept in mind that the end of the mid-term agenda does not mean that the TEAP itself has been completed: some actions (ESPON, co-operation on urban matters, integration of the ESDP in national policies, etc) are ongoing and not bound to any particular end date. Having said that, it

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<sup>14</sup> This point will be developed in the frame of WP 4.

may be interesting to identify whether and why some actions have worked better than others, meaning not only that they produced the expected output but also that they were carried out in line with the general recommendations of co-operation. It must nevertheless be kept in mind that the perception of a successful implementation is an issue of itself and may greatly vary among stakeholders. Two combinations of circumstances appear to be favourable as regards the effective delivery of an output:

- Relatively punctual tasks (limited contents and/or well defined output) that do not necessarily require that a significant amount of co-operation between different actors be achieved; this applies notably to evaluations made by the Commission and to actions such as 1.5 (TIA) or 2.2 (geography manuals);
- Actions already started before Tampere and where the complex co-operation process has had time to ripen. The most prominent example here being the establishment of ESPON.

On the other hand, in some cases the expected outputs could not be delivered because there was no agreement over the way to proceed, because conditions had changed (e.g. other priorities or new initiatives taken by the Commission), and probably more generally due to a deficiency in respect of monitoring and compulsion, perhaps linked to the change in context. In some cases there was also an unexpected problem over the lack of resources or of legal constraints (e.g. financing the "Future regions of Europe" award).

In terms of the co-operation process, things may be viewed rather differently. In some cases, even though the output was not delivered as expected, and the process cut short (e.g. ESPON 1.3, whose report was presented three some years later than originally foreseen), there was an implication of all partners that was certainly in line with the ESDP philosophy. In other cases, where only one partner carried out the action or where an output was not followed up by further initiatives (e.g. 3.1), the co-operation dimension was not clearly enhanced although an output was indeed delivered.

In other words, everything depends on the standpoint and focus one sets on ESDP application, whether the "contents" dimension (i.e. spatial objectives and options) or the "philosophy" dimension (awareness of the European dimension of spatial planning, horizontal, vertical and spatial co-operation etc,) is privileged.

### 3.4.5 Selected actions of the TEAP

Among the 12 actions, two appear to be particularly significant for the current project, mainly because they each concern topics that constitute a part of its wider scope, even though in the TEAP they are approached from a more policy-oriented than from a scientific standpoint:

- Action 1.3 about the application of the ESDP in the Member States;
- Action 1.4 about the spatial impact of Community policies.

### 3.4.6 The application of the ESDP in the Member States (1.3)

Action 1.3 of the TEAP is important in the context of the application of the ESDP. This is notably indicated by:

- The fact that it belongs to the first strand of actions ("*Promoting a spatial dimension in Community and national policies*"), which is presented as the priority strand on which the success of other strands of actions will depend.
- The fact that all Member States are partners on the same footing, Belgium having the responsibility to write the synthesis report.

The TEAP describes the action in the following terms:

*"Member States should generate proper initiatives at the national, regional and local levels to integrate the ESDP and a European dimension into spatial development and planning in relevant policies, guidance or planning documents, and even in relevant legislation. Sectoral policies should, through dialogue, be encouraged to apply the ESDP within their own responsibilities. In particular, the application of the ESDP in the forthcoming Interreg III programmes should be given a high priority. [...] A status showing the progress made should be tabled for political discussion within a reasonable period."*

This indicates that the essence of the action is the application of the ESDP in and by the Member States. The synthesis report can be seen as one of the products of this action, but certainly not the main outcome. Belgium launched its part of the action early in 2001 by circulating a questionnaire and an accompanying note within the CSD. The task was jointly managed by

the three regional administrations in charge of spatial planning, the responsibility being assumed by the Walloon Region.

The questions concerned 'awareness and application of the ESDP' inside the Member States at different levels and by different actors, and took the form of a self-assessment rather than of an evaluation from the outside. The questionnaire asked recipients to underline encountered problems and to provide examples of successful or less successful experiences.

13 Member States returned answers to the questionnaire, i.e. all except Ireland and Luxembourg. Both multiple choice and open questions were duly completed, providing highly valuable information with many suggestions being made. A draft report compiling the answers was prepared by a university research centre, with a view to it serving as a basis for further analysis and discussion in the CSD. The gagging of the CSD on the eve of the Belgian presidency<sup>15</sup> however cut the process short.

Three years later, many of the issues discussed in the report still seemed relevant, notably in relation to the new challenges faced by the Union and its Member States, the report was reviewed by the Walloon spatial planning administration and made available in June 2004 for the working group Spatial and Urban Development of the CDCR<sup>16</sup>. The synthesis report was presented and briefly discussed in the SUDWG on 28/09/2004.

### *Themes*

By definition, as the action concerns the whole ESDP document, all themes are considered in the questionnaire and in the report (section on ESDP "contents"), as a whole. No question focuses on the thematic level. The Member States have indicated a number of option(s) raising difficulties for application, though these do not generally concern a particular theme – they depend rather on the country and its characteristics.

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<sup>15</sup> According to the mid-term agenda, the report was foreseen for the second semester 2001, i.e. under Belgian Presidency.

<sup>16</sup> On the CIRCA website of the EC.

### *Ways*

All types of co-operation (vertical, horizontal and spatial) are mentioned in the questionnaire and in the answers. All are judged important, though not easy to put into practice. This is particularly so for horizontal co-operation at all levels, but also for vertical co-operation. Some countries underline that more horizontal co-operation / integration at the Community level would help to foster horizontal co-operation at the national and regional levels. In this perspective, both types of co-operation are linked, as vertical co-operation may help spread horizontal co-operation. The ESDP is acknowledged as contributing mostly to spatial co-operation at the trans-national and cross-border levels.

### *Means*

The answers here emphasise the importance of cross-border co-operation (Interreg IIIA) and particularly trans-national co-operation (Interreg IIIB). The Structural Funds and urban governance also appear among the noted means of application.

### *Effects*

The questionnaire focuses more on application than on effects, thus effects are not systematically dealt with. Besides, due to the time frame of the action, long-term effects such as institutional changes or effects on spatial development would have been hardly detectable. The questionnaire and the answers thus focus on a few particular effects of the ESDP, such as awareness of the European dimension of spatial development or support for co-operation, which may concern several keywords.

### *Levels*

Though all levels are considered by the questionnaire (and in the answers), the main focus of attention rests on the national, regional and local levels. The Community level is mentioned, but only in terms of its effects on ESDP application in the Member States.

### *Actors*

The questionnaire allots a significant place to the role of actors, and in particular to their awareness of the ESDP process / document. Notably, the sectoral authorities at each level are considered here. Other actors such as

those in the private sector, the academic world, NGOs, citizens, etc. are also mentioned in the questions. One sensitive issue in this domain is the attitude of the sectoral authorities to the ESDP, an issue sometimes linked to that of the status and means of spatial planning in the respective Member States.

### 3.4.7 The spatial impact of Community policies (1.4)

Description of the action in the TEAP:

*"The Commission will report on the spatial impacts of sectoral policies at the Community level indicating the ways and means of enforcing a common territorial concept in Community Policies in line with the ESDP. By providing the information necessary preparatory studies and a dialogue with relevant Commission services and EU Institutions have to be undertaken. Member States could contribute with practical experiences.*

*In particular, the ESDP shall be considered in the Member States and in the Commission in relation to transport planning and the forthcoming TEN-revision. A process giving room for discussion of the correlation to ESDP policy orientations shall be promoted. The organisation of a high-level event involving authorities responsible for transport and spatial development and planning shall be a priority. A paper shall be the basis for this joint discussion"*

Actually the fates of the different components of this action were not similar. A report on the spatial impacts of sectoral policies at the Community level was indeed written in 2001 (it is often called as the "Robert report"<sup>17</sup> (updated in 2001), and referred to in the ToR as "*the Commission impact study in EU sector policies*"). Though the section that specifically dealt with transport policy and the ESDP was not – as far as we know – realised. The TEN orientations do not refer explicitly to the ESDP and the high-level event was not organised during the Portuguese Presidency as foreseen<sup>18</sup>.

The "Robert report" itself does not explicitly refer to the TEAP (since it was written in 1991), though it does contain interesting information on the relationship between the 3 main Community policies (Common Agricultural Policy, Common Transport Policy, Common Environmental Policy) and the objectives and options of the ESDP. As the action covers quite different components, and in accordance with the Terms of Reference of the 2.3.1 project, the analysis in accordance with the keywords will focus on the report rather than on the whole action *per se*.

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<sup>17</sup> *Spatial impacts of Community policies and costs of non-coordination* (1991).

<sup>18</sup> There was however a reflection about polycentrism and transport during the French Presidency (2000/2), but no dedicated event.

### *Themes*

All themes are successively considered in the report in relation to each of the three Community policies. The report however goes even further in detailing the level of policy aims.

### *Ways*

By definition, the report focuses mostly on horizontal integration, but from a "contents" (territorial effects of a number of policies) rather than a 'structural' standpoint (structure, organisation). There are however proposals at the end of the report that concern a number of concrete means to improve horizontal integration and coherence across the territory. Vertical co-operation and spatial (mostly transnational) co-operation are also mentioned as issues of importance here.

### *Means*

The report does not belong to any of the aforementioned frameworks (i.e. Interreg, urban governance, Structural Funds) besides the TEAP. It does however refer to them occasionally, for example when analysing the interactions between sectoral policies and regional policy, or when suggesting, "*recentring the Interreg III programmes on a limited number of major strategic issues for the territory concerned*" (page 162).

### *Effects*

The report proposes different type of changes, including some institutional changes (inter-institutional co-operation structure), changes in planning policies and practices (Strategic Spatial Impact Evaluation (SSIE)) and the "*improvement of the spatial planning culture*" (page 162). Of course it is too early to know if it will have concrete effects of this kind. As for now, the main effect is probably to have raised awareness of the issue among a larger public (e.g. SUD WG of the CDCR, where it was discussed).

### *Levels*

As the reference to Community policies suggests, the main addressed level / scale is that of the EU. But other levels, in particular the regional / inter-regional and local levels, are also considered as "*particularly suitable for coordinating the various policies influencing the territory*" (page 162).



### *Actors*

The broad range of actors involved in the conception and implementation of Community policies (Commission, other European bodies, MS, regional and local authorities) is considered when relevant in the analysis and proposals.

#### **3.4.8 Implications for the methodological approach**

The first methodological implications that can be derived from chapter A.4 of the ESDP, as well as from the TEAP, concern the scope of the application of the ESDP. Clearly, this scope is very wide and involves a diversity of actors in a variety of processes. This has implications for the information that should be found in the national reports and case studies.

- Besides information on the way in which the objectives and options of the ESDP are to be integrated into national tools and practices, national reports and case studies should thus also provide information on the way **actors; mechanisms and processes** are involved in the ESDP's application. The "Belgian exercise" indeed shows that application is significantly more difficult when it concerns sectoral policies and regional/local decisions and practices. There seems here to be a link with the fact that the relevant actors have not been so involved in the elaboration of the ESDP and the TEAP. There is also the recurrent question of the role and means of 'spatial planning vs. sectoral policies'.
- The TEAP and the "Belgian exercise" also emphasise the importance of the **interplay between the European level and the national/regional / local levels**, for example by fostering cross-sectoral co-ordination. The national reports and case studies should help in identifying how European decisions and initiatives play a role in the practice of applying the ESDP inside the MS (and in its actual effects).
- The CSD, as an inter-governmental committee associating the Commission, has been central in the ESDP and the Tampere processes. The national reports could thus usefully aim to gather information on the feelings in the MS about the importance of such an organ for fruitful cooperation on the application of the ESDP.
- The progress of the TEAP also shows that the time dimension is very important in assessing the application. A "static" evaluation of the actual state of play can be misleading, particularly as the duration of such processes is often underestimated. National reports should thus try to

identify **trends** rather than static pictures. Due to the time scale, the "criteria" may however evolve considerably. The distinction between intended or "*ex ante*" and achieved or "*ex post*" should therefore always be kept in mind.

- The "**state of mind**" (awareness of European-wide issues, openness to co-operation) is an important dimension that appears as a pre-condition for application as well as a potential effect of the ESDP process. The "Belgian exercise" attempted an initial exploration of this dimension. It would therefore be interesting to go further and/or update the observations in the framework of the national reports and case studies.

### **3.5 CEMAT activities: Guiding Principles for the Sustainable Spatial Development of the European Continent (CEMAT, 2000)**

#### **3.5.1 Introduction**

A year after the appearance of the ESDP the Guiding Principles for the Sustainable Spatial Development of the European Continent were published by the European Conference of Ministers responsible for Regional Planning (CEMAT) with the intention of making a "contribution to a strategy of social cohesion" (CEMAT, 2000:1). The document is divided into six parts:

1. Contribution of the Guiding Principles to the implementation of the social cohesion strategy of the Council of Europe
2. The spatial development policy in Europe: new continent-wide challenges and prospects
3. Specific role of the private sector in spatial development 7
4. Principles of a sustainable spatial development policy for Europe 9
5. Spatial development measures for Europe's territorial categories 12
6. Strengthening of co-operation between the member states of the Council of Europe and participation of the regions, municipalities and citizens

The document makes explicit mention of the European Spatial Development Perspective (ESDP) and states early in the text (on page 2) that the content of the ESDP was taken into account in the drafting of the document.

### 3.5.2 Themes

The CEMAT document contains a number of references to *polycentric development and a new rural-urban partnership*, the first of the ESDP's three policy guidelines (the other two being parity of access to infrastructure and knowledge, and wise management of the natural and cultural heritage). For example, Part II of the document (Spatial development policies in Europe: new continent-wide challenges and prospects) notes that Europe has the potential to achieve a polycentric development pattern, with a number of significant growth areas, including ones on the periphery, organised as urban networks, which will create a dynamism and the necessary external economies of scale to attract further investment. Polycentric development also contributes to the lowering of environmental pressures and social tension and helps to stabilize democratic structures. (CEMAT, 2000:5). Part IV of the CEMAT document (Principles of a sustainable planning policy for Europe) states that, "Spatially relevant decisions and investments should be based on a polycentric development model both at the European and at the national and regional levels." (CEMAT, 2000:9).

In terms of *urban-rural partnerships and relationships*, part IV of the document (Principles of a sustainable planning policy for Europe) recognises that urban-rural partnerships have an increasingly important role to play in sustainable spatial planning, particularly in the "development of public transport networks, the revitalisation and diversification of rural economies, increasing the productivity of infrastructures, the development of recreation areas for urban dwellers and the protection and enhancement of the natural and cultural heritage" (CEMAT, 2000:10). The need for urban-rural partnerships is underlined in Part V (Spatial development measures for the individual regions of Europe) in the statement that a significant proportion of the population in several member states of the Council of Europe still lives in the countryside. Effective rural development policies are therefore required to prevent undesirable large-scale outward migration from these areas (CEMAT, 2000:14).

On *access to infrastructure and knowledge*, part IV of the CEMAT document (Principles of a sustainable planning policy for Europe) identifies the promotion of more balanced accessibility as one of its principles of more regionally balanced development. The document states: "In the interests of achieving a regionally more balanced development, links between small and medium-sized towns as well as rural and island areas and the trans-

European networks and transport centres (railways, motorways, navigable waterways and ports, airports or intermodal centres) should be improved" and continues: "Regional accessibility must also be increased through the elimination of missing intra-regional links" (CEMAT, 2000:10). Another of its principles for a more regionally balanced development is the development of access to information and knowledge. Here, the document highlights the fact that "particular attention should be paid to all regions to make sure that access to information is not restricted by physical and other constraints" (CEMAT, 2000:10).

The *management of the natural and cultural heritage* is also contained in two more of the principles of more regionally balanced development set out in the CEMAT document. Under the principle of 'Enhancing and protecting natural resources and the natural heritage', the document states that "natural resources contribute not only to properly balanced ecosystems but also to the attractiveness of regions, recreational value and general quality of life" (CEMAT, 2000:10) and advocates their protection. The document also states that particular attention should be paid to environmentally sensitive and valuable areas, such as wetlands, which form part of such networks. In order to achieve this objective, "various ecological elements, such as semi-natural areas, water resources, healthy climates and derelict industrial sites needing restoration, or buffer zones must be identified" (CEMAT, 2000:11). Under the principle of 'the cultural heritage as a factor for development', attention is drawn to increasing the appeal of localities and regions for investors, tourists and the general public, which can make an important contribution to economic development and the strengthening of the regional identity (CEMAT, 2000:11).

### **3.5.3 Ways**

Issues of *vertical, horizontal and spatial integration* are touched on in Part VI of the CEMAT document (Strengthening of co-operation between the member states of the Council of Europe and participation of regions, municipalities and citizens). Here it is recognised that "the great diversity of structural and spatial measures in the context of spatial development policy requires interdisciplinary integration and co-operation between the relevant political bodies and authorities" (CEMAT, 2000:18) outlining the need for a "framework for transnational, interregional and intercommunal decisions" (CEMAT, 2000:18). In the same chapter, the CEMAT document states that horizontal co-operation is particularly important between sectoral policies with significant geographical impacts (e.g. transport, agricultural and

environmental policies) and spatial development projects (CEMAT, 2000:19). A particularly important task of horizontal co-operation, according to the CEMAT document, is the cross-border coordination of development projects among the member states of the Council of Europe including their regional and local authorities (CEMAT, 2000:19). In addition, co-operation between the various administrative levels is of particular importance for European spatial development policy. It should be organised in such a way as to enable local and regional authorities to adapt their spatial development objectives to measures decided on at a higher level, while the national authorities in turn take the objectives, plans and projects proposed at regional and local level into consideration in their decisions (CEMAT, 2000:19).

#### **3.5.4 Means**

The issue of *transnational cooperation* is touched on in Part II of the CEMAT document (Spatial development policies in Europe: new continent-wide challenges and prospects), stating that "Europe's social cohesion is strengthened by transnational cooperation within large European regions" and recognising that "outside the Union or overlapping with it, transnational cooperation is taking place at present in the Baltic Sea Region, in south-east Europe and in the Danubian region as well as in the Barents Sea region in northern Europe" (CEMAT, 2000:5). The issue of *transnational cooperation* is also mentioned in Part VI (Strengthening of co-operation between the member states of the Council of Europe and participation of regions, municipalities and citizens) in relation to interdisciplinary integration and co-operation.

#### **3.5.5 Effects**

The CEMAT document contains little explicit reference to institutional changes, changes in planning policies, planning practices, planning culture or spatial representation.

#### **3.5.6 Levels/scales**

The important role of different levels of decision-making for sustainable spatial development in Europe is apparent from an early stage of the CEMAT document. Indeed, on the first page we find the statement that "the implementation of sustainable development principles valid at the Europe-

wide level, must be organised equally at the national, regional and local levels" (CEMAT, 2000:1).

### **3.5.7 Actors**

The role of different actors in the process is also recognised in the document. Part VI (Strengthening of co-operation between the member states of the Council of Europe and participation of regions, municipalities and citizens) contains a section entitled 'Broadly-based participation of society in the spatial planning process', which specifically addresses the involvement of different actors (CEMAT, 2000:20).

## **3.6 OECD Territorial Outlook (OECD, 2001)**

### **3.6.1 Introduction**

The OECD 2001 Territorial Outlook was produced by the Territorial Development Service (TDS) within the OECD, which has responsibility for policies with a spatial dimension. The publication is the product of work carried out for the two OECD committees of governmental representatives and experts serviced by the TDS: the Directing Committee of the Local Economic and Employment Development Programme and the Territorial Development Policy Committee. The document aims to take stock of the variety of approaches to territorial development issues and to make the most promising ones better known. The document is divided into 11 chapters:

1. Why territorial policies matter
2. Territorial disparities: current conditions and trends
3. The conceptual framework
4. Policies for spatial development
5. Policies for economic development
6. Policies for social development
7. Achieving sustainable urban development
8. Improving metropolitan governance
9. Rural trends and policy issues

Sub-national authorities and entrepreneurship: policy on business incubators, enterprise clusters and networks

## Review of policy trends: a survey of 15 OECD countries

The document was published two years after the publication of the ESDP and thus makes direct reference to it in the text. Chapter 5 (Policies for economic development) mentions the ESDP in relation to the territorial dimension of sustainable development policies (OECD. 2001:p181).

### 3.6.2 Themes

Chapter 3 (The Conceptual Framework) of the OECD document identifies various policy tools designed to improve spatial development, including several which coincide with the ESDP's three policy guidelines (polycentric development and a new rural-urban partnership, parity of access to infrastructure and knowledge, and the wise management of the natural and cultural heritage). According to the OECD, document, the main policy tools used to improve spatial development include:

1. Those directed at the geographical distribution of economic and social activities:
  - Strategies relating to the distribution of human settlements and economic and social activities such as industrial and business districts, commercial centres, transport and logistic hubs like ports and airports, and public decisions regarding their location.
  - Development of a balanced and polycentric urban-rural structure by, for example, strengthening small and medium-sized towns as focal points for regional development.
  - Provision of financial incentives and disincentives (e.g., grants, subsidies, tax concessions, and charges) to influence the location of activities.
  - Land use planning and co-ordination with transport and telecommunication planning.
2. Those directed at the geographical distribution of infrastructures and public services:
  - Public investment in infrastructures of all kinds in an equal opportunity objective.
  - Location of public agencies as a means of de-concentrating employment and boosting development in target areas.

- Provision of subsidies and grants to local governments and the private sector for the development of public infrastructures and provision of public utilities.
3. Those directed at managing natural and cultural resources:
- Preservation and creative development of natural and cultural landscapes with special historical, aesthetic and ecological importance.
- (OECD, 2001:136-137)

The concept of urban-rural relations also appears in a number of other places in the document. Chapter 5 (Policies for Economic Development) states that, "new patterns of population settlement, relationships between urban and rural areas and rural diversification are leading public authorities to rethink their policies" (OECD, 2001:171). Later we find the statement that "although there has been a tendency in the past to study urban and rural trends in isolation, and indeed to assume that their interests are diametrically opposite, there is a growing tendency to consider more carefully how interdependent they are, and thus what can be gained by considering a number of policy issues in urban and rural areas together" (OECD, 2001:225). In Chapter 7 (Achieving sustainable urban development) we find the statement that "the goal of a more balanced pattern of urban and rural development in a country leads directly to a consideration of how the management of urban sprawl and the regeneration of urban 'brownfields' are linked. Pressures in one dimension of urban development lead to problems elsewhere" (OECD, 2001:229). Chapter 8 (Improving metropolitan governance) contains a number of recommendations for the governance of metropolitan areas, including the recommendation to integrate central cities and their suburbs. The recommendation is based on the argument that globalisation can accentuate socio-economic spatial disparities in cities that in due course will reduce competitiveness. Integrated strategies and stronger metropolitan wide structures and strategic planning are believed likely to help in achieving this goal (OECD, 2001:244). Chapter 9 (Rural Issues and Policy Trends), under the section on 'New issues in rural policy-making' reports that past public policies have made simplistic distinctions between rural and urban areas, and furthermore have tended to focus on rural areas as homogenous, with uniform problems and similar opportunities, as opposed to those of urban areas. However, such an approach no longer reflects the present development opportunities for rural areas. The unit of analysis and intervention has changed. In many cases, the definitions of separate urban-rural forms, functions and societies have become obsolete. Daily commuters from scarcely populated municipalities in



suburban areas of London or Paris have values and behaviours that are much closer to those of inner city residents than to the values and behaviours of residents in small and medium sized towns in predominantly rural regions. In this context, the crucial unit of analysis and intervention is not the small municipality but the functional region, defined in terms of its local labour market or commuting area (OECD, 2001:251).

In terms of access to infrastructure and knowledge, Chapter 3 (Conceptual Framework) states that spatial development policies are important with respect to the geographical distribution of infrastructure and public services so as to ensure equal access across the territory and reduce excessive disparities in terms of productivity and living standards between different parts of the territory, and to alleviate obstacles and bottlenecks in links to the global economy (OECD, 2001:136). Chapter 3 also identifies various benchmarks (indicators) to evaluate the performance of policy tools, including ones relevant to access to infrastructure and knowledge and also management of the natural and cultural heritage (see below).

The OECD document contains a number of references to the management of the natural and cultural heritage. Chapter 3 (The Conceptual Framework) for example states that achieving balanced and sustainable development requires interventions that can be grouped under the broader heading “spatial development” and the more restricted term “spatial planning” (OECD, 2001:136). These include, *inter alia*:

- preparing territories to support economic and social activities;
- geographical (re)distribution of infrastructure and public services across the territory; and
- management of natural and cultural resources embedded in each part of the territory.

Chapter 3 also identifies various policy tools to improve spatial development, including mention of natural and cultural heritage as well as identifying various benchmarks (indicators) to evaluate the performance of policy tools, including access to natural and cultural heritage. In Chapter 9 (Rural Issues and Policy Trends) it is noted that a key change in thinking about rural policy has resulted from the emergence of a more general policy concern with sustainable development. This marks a shift in thinking from the idea of development as a process mainly or entirely linked with economic growth to

one based on increases in the quality of life. In fact, some rural areas contribute to the quality of life of society as a whole because they contain important public or quasi-public goods such as a clean environment, attractive landscapes and cultural heritage (OECD, 2001:249).

### 3.6.3 Ways

Issues of *vertical, horizontal and spatial integration* are to be found in several chapters of the OECD Territorial Outlook. Chapter 3 (Conceptual Framework) states that policies with a territorial focus can integrate the economic, social and environmental dimensions of cross-sectoral policies (OECD, 2001:135). Later in the same chapter, it is also noted that the lack of a cross-sectoral perspective remains a major obstacle. Spatial development policy tends to be narrowly confined to urban land use and physical policy with less focus on economic and social aspects and environmental concerns (OECD, 2001:137). According to the document, integrated spatial policies are emerging in some metropolitan contexts but spatial development approaches are often sectorally focused and may generate conflict rather than co-operation. Chapter 4 (Policies for Spatial Development) states that in the last decade, sustainable development has imposed itself as the emerging paradigm in spatial development policies. Its main characteristic – especially when applied to local environments that are largely non-natural, but artificial, like cities – resides in its integrated and integrative nature (OECD, 2001:160). Chapter 8 (Improving Metropolitan Governance) identifies the fact that the lack of transparent, accountable decision making processes and of clear political leadership at the local level is a major obstacle to better metropolitan governance and that “there is a growing demand for more democratic, less hierarchical, more flexible, transparent and accountable systems of governance for all types of territories, urban, rural and mixed, based on more horizontal networking with a wide range of partners from the private sector and community groups” (OECD, 2001:241). In addition, the document sees the fragmentation of administrative jurisdictions within metropolitan, resulting in a lack of correspondence between administrative and functional territories, and inhibiting cross-sectoral policy integration as another major obstacle to better metropolitan governance. These observations lead to the recommendations that, whatever the specific institutional arrangements adopted, it is essential that metropolitan governments:

- embrace a new, more democratic concept of governance — which is less “top-down”, less bureaucratic, and puts people at the centre;

- introduce more flexible “outcome-oriented” strategic approaches which integrate the sectoral policies of different levels of government intervening in the metropolitan area and provide a framework for managing change in the entire urban region more successfully; and
- develop the skills and capacity required to lead partnerships (which provide a flexible tool for achieving a wide range of purposes) in co-operation with the private sector and civil society and to employ performance criteria to improve transparency and accountability criteria in decision-making.

(OECD, 2001:242)

#### **3.6.4 Means**

Trans-national and cross border cooperation receives little attention in the document. The issue of governance on the other hand is central to the document. The second half of Chapter 3 (Conceptual Framework) and the whole of Chapter 8 (Improving metropolitan governance) concern territorial governance. The role of the Structural Funds also receives some attention here. Chapter 11 (Review of policy trends) for example states that, “[f]or the 15 Member countries that are also members of the European Union, the importance of the EU Structural Funds for regional development and territorial development policies cannot be underestimated. Not only does the EU provide funding; the supranational frame of reference means that the objectives of policy are no longer exclusively domestic, even in countries such as Austria with a long tradition of public support for private investments in lagging rural and industrial regions” (OECD, 2001:289).

#### **3.6.5 Effects**

Changes in planning policies, practices or culture also feature in the report. Chapter 4 (Policies for spatial development) for example contains a section entitled: ‘Towards renewed spatial policies: goals, principles and issues’, which considers the evolution of spatial policies in terms of goals, principles, tools and issues. Chapter 5 (Policies for economic development) contains a section entitled: ‘Rethinking policy responses requires revisiting current practice’, which provides an overview of new regional policies.

In terms of changes in spatial representation, Chapter 3 (Conceptual Framework) states that “spatial development policies can help governments

to cope with economic and societal changes by helping to promote new network structures among towns and cities and between rural and urban areas (in contrast to existing hierarchical settlement structures), and by making possible coherent long-term visions of places to guide policy interventions by national and sub-national governments, and the private sector" (OECD, 2001:136).

### **3.6.6 Levels/scales**

The role of different levels of decision-making for territorial development is addressed in the OECD document. Chapter 8 for example (Improving metropolitan governance) contains a section entitled 'Implementing the principles of metropolitan governance' in which it sets out policy guidelines for central and local government (OECD, 2001:243-245).

### **3.6.7 Actors**

The roles of various actors in the process of territorial development are also addressed in various parts of the document. Chapter 1 (Why Territorial Policies Matter) sets out the five pillars of the new regional policy paradigm. The fifth pillar, which relates to governance involves, ensuring in the first instance that territorial policy formulated at a national level is compatible with the development policies pursued in the regions and cities. Therefore, a fair distribution of responsibilities and financial resources has to be organised among the three levels of intervention (central, regional and local) and the decentralisation of responsibilities must be avoided, unless it is accompanied by tax resources enabling the fulfilment of such responsibilities. In the second place, greater recognition has to be given to the need to involve in major decisions not only the local authorities but all local actors, whether the private sector, the social partners, the community (third) sector or civil society as a whole. These local partnerships are the best way to guarantee that problems are properly identified, that the solutions adopted are as effective as possible, and that the correct priorities are set (OECD, 2001:24-25). Chapter 3 (Conceptual Framework) states that "a wide range of governmental and non-governmental actors, including the voluntary sector and private enterprises, are gradually constituting a new and more or less formal policy network within which solutions to common problems are jointly discussed and policy solutions developed" (OECD, 2001:142). Later in the same chapter it is argued that "effective and efficient national public policymaking demands that attention be paid to governance issues across all levels of government and to linkages with non-

governmental actors" (OECD, 2001:144). Chapter 5 (Policies for Economic Development) contains a section entitled 'Developing partnerships and multi-governance', dealing with the involvement of different actors (OECD, 2001:188-190). Chapter 7 (Achieving Sustainable Urban Development) states: "the development of proactive partnership approaches between public and private sectors and between levels of government, alongside the active involvement of civil society representatives, have been a central feature of successful redevelopment programmes" (OECD, 2001:231).

### **3.7 Second and Third reports on Economic and Social Cohesion (European Commission, 2001 and 2004)**

#### **3.7.1 Introduction**

Being published three years apart, the European Commission's second and third reports on economic and social cohesion are different in character as well as format, reflecting the existence of different ideas and priorities at the time of publication. The second report presented one of the first analyses of the situation in the present Member States and their regions in relation to economic and social cohesion, and how this was expected to change after enlargement. It was prepared as a basis for discussing the form and future of regional policy in an enlarged European Union. The report also set out the European Commission's priorities to be addressed in terms of solidarity and cohesion in an enlarged Union. It was structured in three main parts:

1. Situation and trends
2. Contribution of community policies to cohesion
3. The EU budget and the contribution of structural policies to economic and social cohesion

The third report on economic and social cohesion aimed to set out the European Commission's vision for the future of Europe's policy to reduce disparities and to promote greater economic, social and territorial cohesion. It was produced just before the enlargement of the European Union to 25 Member States. The report had four main parts:

1. Cohesion, competitiveness, employment and growth – Situation and trends
2. The impact of Member State policies on cohesion
3. Impact of Community policies: competitiveness, employment and cohesion

#### 4. Impact and 'added value' of structural policies

Both documents make explicit reference to the ESDP. Contained in Part 1 of the second report on economic and social cohesion (Situation and trends) is the statement that: "The objective of strengthening cohesion specified in Article 158 of the Treaty is aimed primarily at achieving harmonious development of the Union as a whole. This, indeed, was the rationale for the formulation of the European Spatial Development Perspective (ESDP) by the informal Council of Ministers responsible for spatial planning and regional policy in Potsdam in 1999." Part 1 of the third report (Cohesion, competitiveness, employment and growth – Situation and trends) states: "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".

##### 3.7.2 Themes

Whilst the second report contains some detailed statements about polycentricity, including a section in Part 1 (Situation and trends) on 'Growth centres for achieving polycentric development', the concept of polycentricity does not receive much prominence in the third report on economic and social cohesion. Although urban-rural relations are mentioned in the third report, little attention is given to this area. Part 1 of the third report states that, despite the growing importance of urban policies in the Member States, policies often tend not to take sufficient account of relations between urban and rural areas.

In terms of access to infrastructure and knowledge, Part 3 of the second report (The EU budget and the contribution of structural policies to economic and social cohesion) contains a section entitled 'Transport infrastructure – improving accessibility'. Access to infrastructure and knowledge is mentioned at the beginning of the third report on economic and social cohesion. The Executive Summary states that two complimentary sets of conditions need to be satisfied for regions in the Union to sustain economic development and employment in a competitive environment. The first is that they must have suitable levels of both physical infrastructure (efficient transport, telecommunications and energy networks, good environmental facilities and so on) and human capital (a labour force with appropriate

levels of skills and training). Part 1 of the third report goes on to assert that “access to new technologies, especially ICT, is particularly important for peripheral regions and those with geographical handicaps”. This is not only because they serve to reduce the significance of distance and the time required to reach central areas of the EU, but, more critically, because any limitation on their availability is almost certain to damage their development prospects and deter businesses from locating there” (European Commission, 2004:34). In terms of access to knowledge, the third report states that the capacity to innovate varies widely across regions in the EU and will do so even more after enlargement. This reflects similarly wide differences in access to knowledge and the ability to exploit it. Unless these differences can be narrowed, it will be difficult if not impossible to achieve the Lisbon objective of the EU becoming the most dynamic knowledge-based economy in the world (European Commission, 2004:50-51).

Concerning the management of the natural and cultural heritage, Part 1 of the third report asserts that “it is equally important that the economic development path they follow respects their natural heritage and does not endanger the very geographical features which are, or can be, a key aspect of their comparative advantage as locations not only for people to live but also for businesses to operate” (European Commission, 2004:34).

### **3.7.3 Ways**

The treatment of issues of vertical, horizontal and spatial integration are less apparent in the second report on economic and social cohesion than in the third report. Part 1 of the third report remarks that the concept of territorial cohesion extends beyond the notion of economic and social cohesion by both adding to this and reinforcing it. In policy terms, the objective is to help achieve a more balanced development by reducing existing disparities, avoiding territorial imbalances and by making both sectoral policies, which have a spatial impact and regional policy, more coherent. Here, the concern is also to improve territorial integration and encourage cooperation between regions (European Commission, 2004:27).

### **3.7.4 Means**

The issues of cross-border and transnational cooperation, urban governance and Structural Funds are central to both the second and third reports on economic and social cohesion. Part 3 of the second report (The EU budget

and the contribution of structural policies to economic and social cohesion) contains a section specifically on transnational, cross-border and interregional cooperation. Part 3 of the second report also contains a section entitled 'Assessing the effects of Community intervention (1994-99)', which does mention the INTERREG programme. It states that Community Initiatives cover a diverse range of themes, but have certain features in common. Four aspects, in particular, contribute to their 'added value':

1. They encourage trans-national, cross-border and interregional co-operation;
2. They increase the involvement of people on the ground (because of their 'bottom up' approach);
3. They stimulate innovation and the incorporation of the lessons learnt into regional, national or European policies;
4. They help to diversify economic activity in areas affected by declining industries."

In terms of governance, Part 3 of the second report on economic and social cohesion (The EU budget and the contribution of structural policies to economic and social cohesion) states that partnership and decentralisation (the corollary of the former) are the basic principles underlying a new approach to structural policy, which is more in line with the need for a new form of governance, in place of traditional management, to conceive and implement the programmes in question. The Executive Summary of the third report notes that "there is a growing consensus about the importance for regional competitiveness of good governance in the sense of efficient institutions, productive relationships between the various actors involved in the development process and positive attitudes towards business and enterprise" (European Commission, 2004:xiii). In Part 1 of the third report (Cohesion, competitiveness, employment and growth – Situation and trends) we find statements on governance, such as "it is widely accepted that good governance and an effective institutional structure are an important source of regional competitiveness through facilitating cooperation between the various parties involved in both the public and private sectors" and "evidence from research and pilot policy actions suggests public policy can contribute to good governance, though promoting public and private partnerships and business networks, as well as improving the institutional capacity of regional authorities responsible for innovation" (European Commission, 2004:58).



Both the second and the third reports on economic and social cohesion make frequent reference to the Structural Funds. Part 2 of the second report (Contribution of Community Policies to Cohesion) states that, since their creation, the Structural Funds and the Cohesion Fund have represented the main instruments of social and economic cohesion policy as well as playing a major role in supporting environmental protection. The Executive Summary of the third report on economic and social cohesion includes a short section entitled 'Improving the effectiveness of Structural Fund management' (European Commission, 2004:xii), whilst Part 2 of the third report (The impact of Member State policies on cohesion) states that "despite their relatively small size, the Structural Funds have a crucial role to play in combating regional disparities and in strengthening cohesion" (European Commission, 2004:84). Part 4 of the document is entitled 'Impact and added value of structural policies' (European Commission, 2004:137-186).

### **3.7.5 Effects**

Neither the second nor the third report on economic and social cohesion contains explicit reference to institutional changes, changes in planning policies, planning practices, planning culture or spatial representation.

### **3.7.6 Levels/scales**

Most references to the role of different levels of decision-making for economic and social cohesion have greater relevance to actors in the process and are thus covered in the following section (4.7).

### **3.7.7 Actors**

The role of the various actors in the process of economic and social cohesion is discussed in more detail in the third report on economic and social cohesion than in the second. The Executive Summary of the third report for example refers to efficient institutions, productive relationships between the various actors involved in the development process and positive attitudes towards business and enterprise (European Commission, 2004:xiii). It argues that "partnership in the design and implementation of programmes has become stronger and more inclusive, involving a range of private sector entities, including the social partners, as well as regional and local authorities" (European Commission, 2004:xxi). Part 1 of the third report states that "evidence from research and pilot policy actions suggests public

policy can contribute to good governance, though promoting public and private partnerships and business networks, as well as improving the institutional capacity of regional authorities responsible for innovation" (European Commission, 2004:58). It also states that "experience shows that good governance requires a shift from a traditional top-down approach towards a more open form involving all the relevant parties in a particular region" (European Commission, 2004:59). Such partnerships should extend to all the policy areas relevant for economic, scientific and social development (an integrated approach) and should ideally establish a long-term policy horizon (a strategic approach). Finally, the conclusions of the third report contain a section entitled 'Partnership and coordination'. Here we find the statement that partnership would be enhanced by reinforcing the complementarity and cooperation between Member States, regions and local authorities both at the programming and implementation levels. In this respect, according to its institutional arrangements, each Member State should seek to organise the coordination between the different levels of government through tripartite agreements (European Commission, 2004: xxxvi).

### 3.8 References

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## **4 Review of the scientific literature**

### **4.1 Introduction: reviewing the literature on the ESDP's application by "regional perspectives"**

The existing literature concerning ESDP application and European spatial planning more generally now comprises a huge list of contributions. Moreover, the international literature is supported by a large amount of national surveys and specific case studies, often illustrating just how this subject may be differently interpreted, once it comes into contact with the various planning traditions existing in Europe.

So, in order to produce useful outputs, a review of the scientific literature in the field of ESDP application in various European countries, as regards the form of application as well as the types of effects, necessarily requires a synthetic approach. The present review thus adopts such an approach, i.e. by "regional perspectives" on European spatial planning, in the belief that some relations, albeit non-linear ones, occur between the experienced types of ESDP application and the existing European planning traditions, as they are outlined by the Commission *EU Compendium of spatial planning systems and policies* (CEC, 1997, pp. 36-37).

European planning traditions do not of course correspond automatically to identical perspectives on European spatial planning. Indeed, the controversial process of making European spatial planning a concrete field of action tends only to complicate further the analytical framework. Indeed, the attempt (Janin Rivolin and Faludi, 2005) to better illustrate regional perspectives (figure 2) on European spatial planning was one of the aims of a recent contribution by one of the authors of the current report.

The following sections of this introduction present the basic features of four distinctive regional perspectives on European spatial planning, namely the: North-Western (§ 4.1.1), British (§ 4.1.2), Nordic (§ 4.1.3) and Mediterranean (§ 4.1.4) perspectives. A section introducing the common keywords adopted for the review process (§ 4.1.5) and a list of references (§ 4.1.6) conclude the introduction.

The rest of Chapter 4 includes a scientific review of the ESDP application in the context of the presented perspectives: North-Western (§ 4.2), British (§

4.3), Nordic (§ 4.4) and Mediterranean (§ 4.5). A list of references on ESDP related documents, both policy and scientific findings, from East-European countries concludes the chapter (§ 4.6). A common perspective on Eastern European spatial planning cannot as yet be agreed for historical reasons.

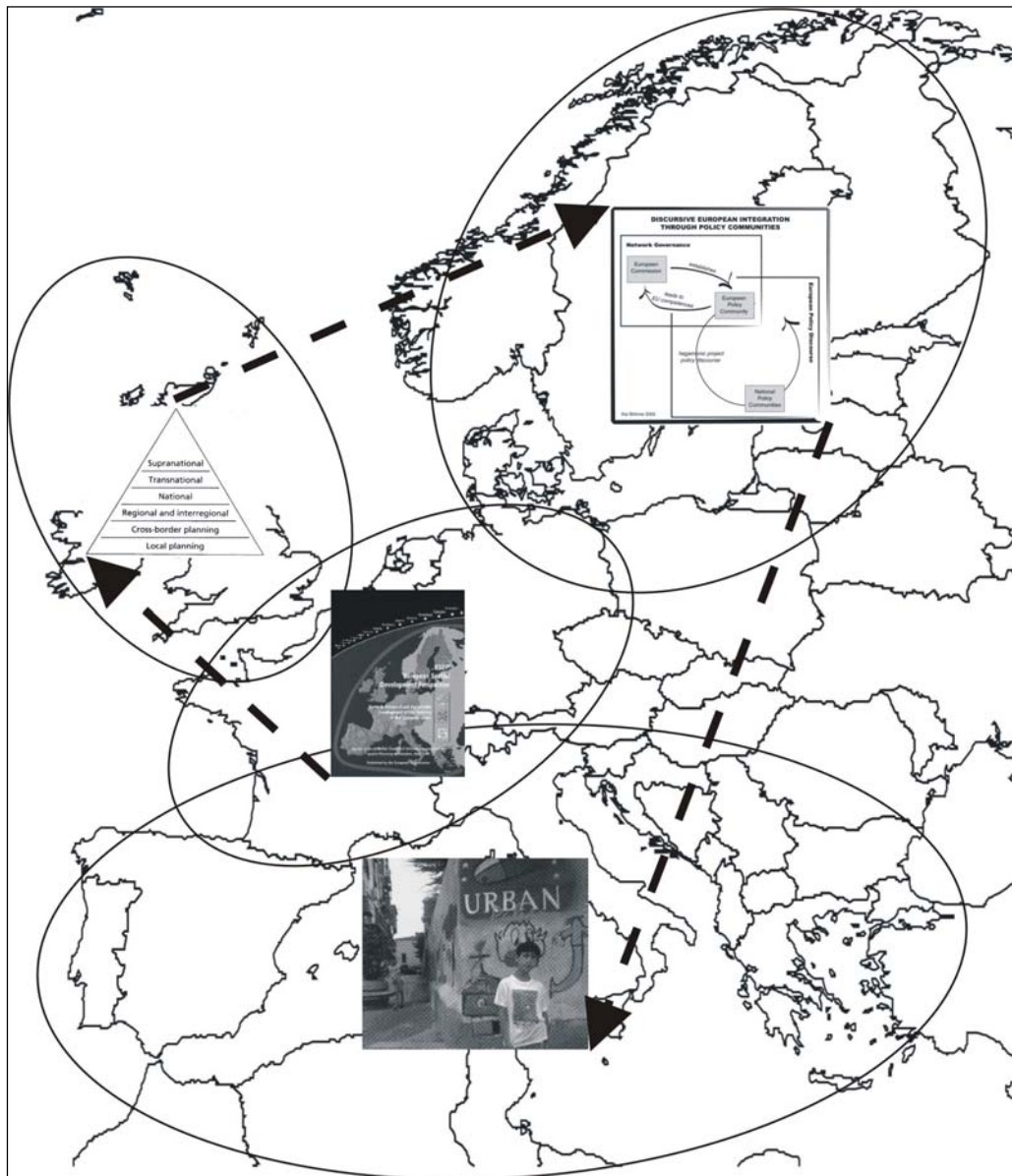


Figure 2 Regional perspectives on European spatial planning (Janin Rivolin and Faludi, 2005)

#### 4.1.1 North-Western perspectives

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 here in terms of the geography of these cities. 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 and 2001b). Last but not least, interested as they were above all else in the development of a European dimension of 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). Subsequently, in 1994 the Germans thought under their Presidency that they were already embarking on the end game. In this they were 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 the CDS’s attention to the topic of “polycentrism” constituting, especially in the French view, the key to interpreting and managing “territorial cohesion”, a policy that is now formally recognised in the European Constitution (EU, 2004).

However, around this French-German-Dutch axis, which may well recall the often evoked Franco-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. Notwithstanding its peculiar institutional system and the resulting absence of national planning (so much so that, in European planning matters, the regions represent the state; Lecq, 2001), Belgium for instance

was a force to be reckoned with to the point where the very decision to produce the ESDP was taken at a ministerial meeting held at Liège in 1993 (Faludi and Waterhout, 2002, pp. 63-68). Moreover, even the Grand Duchy of Luxembourg took the initiative to manage the administrative tasks concerning the ESPON (European Spatial Planning Observation Network), which at the present moment is the most significant follow-up to the ESDP (ESPON, 2002; Bengs, ed., 2002).

In conclusion, Northwest European perspectives have spearheaded the collaborative process up to, and including, the approval of the basic political document of European spatial planning: the ESDP. Mainly within those perspectives, the institutional future of European spatial planning, in particular the need for formal planning competency at the EU level, is currently being debated.

#### **4.1.2 British perspectives**

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 United Kingdom suddenly moved to centre stage of the ESDP, 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 perspectives on European spatial planning are concerned, however, this requires some deeper consideration.

Despite the late active involvement of the UK in the ESDP process, in fact, British planners had already started their careful reflection on the impact of the European Community on land use planning in their country early on 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 [...] lays 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; § 2.1.1), 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 a "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). There is however one important consequence, of course, of this notion of an emergent European planning system extending over many spatial planning scales, from a supranational level to a local one (Williams, 1999, p. 64; Tewdwr-Jones and Williams, 2001, pp. 164-167) (figure 3). Namely, that different national planning approaches could, and should, coexist. Whether in the fullness of time these various approaches will coalesce into one overall approach is for the future to decide.

Be that as it may, British perspectives have cast light on the crucial but complex link between spatial planning and land use planning. Consequently, they have paved 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.

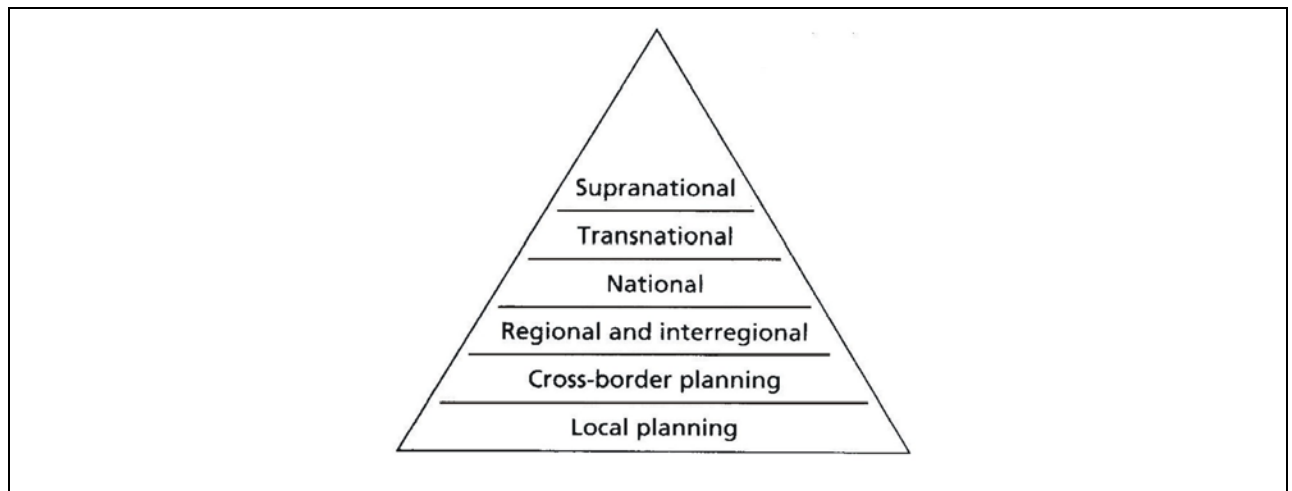


Figure 3 Typology of scales of EU spatial planning (Tewdwr-Jones and Williams, 2001)

#### 4.1.3 Nordic perspectives

Whilst the ESDP was in preparation, none of the Nordic countries hosted a meeting of the planning ministers. The Danish Presidency lost its one and only opportunity in 1993, while Finland and Sweden joined the EU only in 1995. So the first Finnish Presidency came in the second half of 1999, just after the final approval of the ESDP. However, the Finns keenly 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 has been the first country to apply the principles of the ESDP, as early as 1997, to their own policy (MEE, 1997).

The Swedish Presidency came too late to have an impact, while in any case the Swedes generally remain reluctant EU members. In addition, their planning system is fragmented, so at that time they could perhaps not be expected to give European planning a boost. This is a characteristic, which the Swedes to some extent share with the other Nordic countries. All have planning systems rooted at the municipal level and generally lack, with the exception of Denmark, comprehensive national planning systems. As such, the Nordic countries 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 transnational co-operation launched, parallel to the ESDP process, through the spatial vision initiative VASAB (Vision and Strategies Around the Baltic Sea 2010) (Faludi and Böhme, eds., 2000; Böhme, 2001,



2002). This vision has nevertheless been a source of inspiration to the makers of the ESDP.

Between them, these aspects seem to have contributed to shaping specific Nordic perspectives on European spatial planning, in which mutual learning and exchange play a prominent role. On the one hand, Nordic countries are often 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 be "an eye-opener for Nordic planners" in helping them to overcome the 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 of such perspectives has thus led 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) (figure 4). There is no doubt that from such perspectives, too, there is much to be said about the potential role of planning for the full implementation of European governance (CEC, 2001).

In brief, Nordic perspectives have 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 it should deserve much more attention.

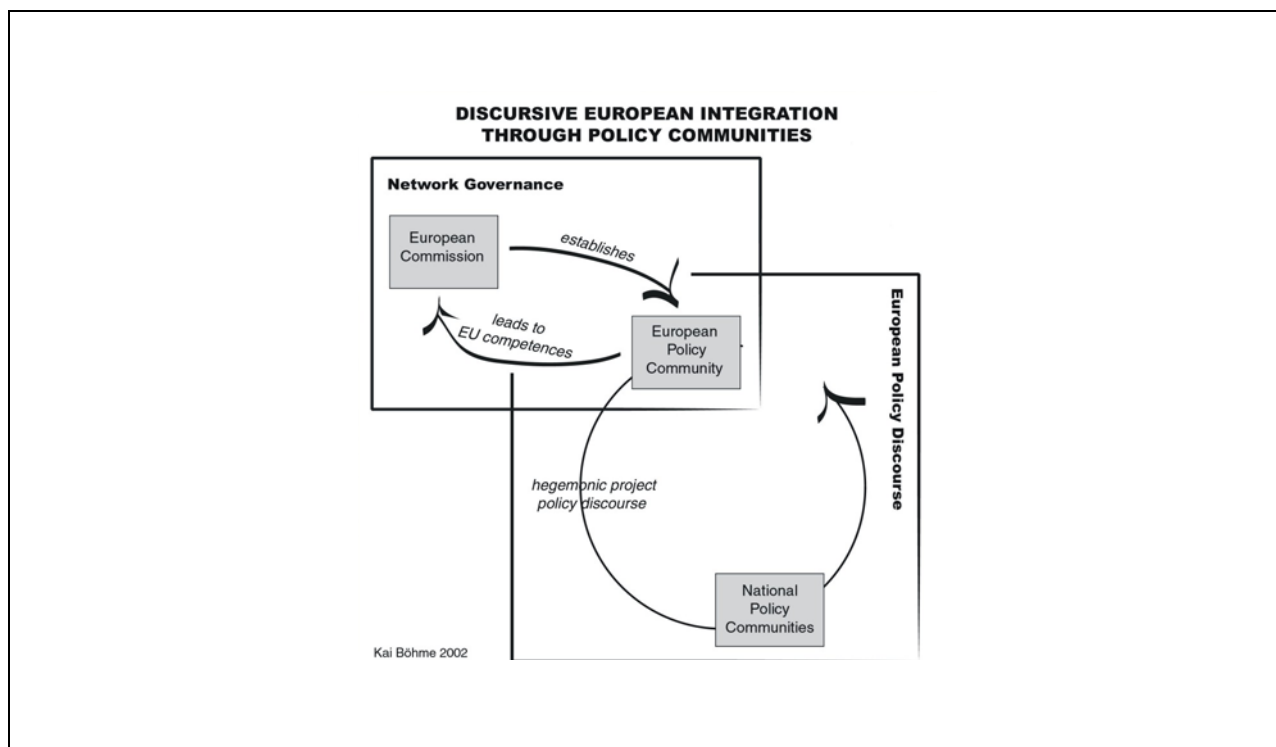


Figure 4 Discursive European integration (Böhme, 2002)

#### 4.1.4 Mediterranean perspectives

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 other partners. The point is that, unlike all of the other ESDP meetings recalled in the previous sections, these never raised topics that became important during the subsequent process, nor did these meetings achieve significant steps in advancing the construction of the document. Rather, the meetings were generally characterised by their focus on emergent spatial 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. True, one needs to admit that each host country – in the North as much as in the South of Europe – has always tried to bring grist to its own mill during the process. However, what seems to be missing is an important contribution from a Mediterranean member state advancing the common cause.

For instance, the Turin meeting of 1990 (the second after the inauguration of the process at Nantes in 1989) is remembered above all for the simplistic and “one-dimensional view of Europe” (core against periphery) put forward by the Italians, contrasting with the more diversified and promising vision proposed the year before by then Commission President Jacques Delors (Faludi and Waterhout, 2002, p. 39). It is probably the case here that the Italian intention was to put the Northwest European Member States in their place. After all, the latter “would profit much more from the opportunities offered by the European unification than the southern member states” (Zonneveld, 2000, p. 271; see also: Zonneveld, 1999).

Later, at Lisbon in 1992, the Portuguese Presidency decided to focus attention on the TENs and invoked once again a centre-periphery model of Europe in order to show how this should be counteracted in the interest of the more peripheral regions (Faludi and Waterhout, 2002, pp. 58-60). The Corfu meeting in 1994, organised by a Greek Presidency unenthusiastic about the ESDP, achieved at least some important methodological agreements among the parties concerned (*ibid.*, pp. 69-72).

Then it was the turn of Madrid, in 1995, providing the Spanish with the opportunity to demonstrate their deep suspicion of the ESDP as “a northern European plot to reduce its share of the Structural Funds” (*ibid.*, p. 85; see also: Rusca, 1998, p. 40). However, the controversy quickly subsided, and the last meeting of ministers held in Southern Europe at Venice in 1996 proved to be more constructive. Nevertheless, at Venice the Italians chose to focus attention on specific topics of national interest: urban development and, especially, cultural heritage. Furthermore, they continued to show reluctance, together with the Spanish, in seeing an immediate finalisation of the ESDP (Faludi and Waterhout, 2002, pp. 93-95).

What has been said above about the Mediterranean countries’ participation in the ESDP process is in no way meant to suggest that they tried to make it fail. Obviously, if that had been their intention, it would have been easier for them simply to abandon the ship. Furthermore, as already mentioned (§ 4.1.1), disputes were heated among the representatives of other member states as well; and, in any case, arguably speaking, the most heated opposition to the common interest as defined by the European Commission came from Member States more deeply involved in the discussion, rather than from the Southern countries. As major beneficiaries of EU cohesion

policy, if anything, the latter are perhaps more receptive to European initiatives than are other member states.

Even so, going by an eye-witness, herself an ESDP protagonist, the "Mediterranean group" included countries that were "sponsors of the dialogue, but enemies of the crude rationality of a 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 does not add much to what has already been said, but it is useful to recall that, independently of the limited power of intervention attributed in the end to the ESDP, European spatial planning is 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 South 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" and is 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, the assumption here is that, by widening the focus to include not only the ESDP, but other planning processes as well, we could improve our understanding of what is really going on in European spatial planning. In brief, and perhaps the most interesting aspect of European spatial planning concerns the overall results – whether expected or unexpected – of its implementation. Community urban and territorial policies have been developed 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, Mediterranean perspectives suggest that, ultimately, European spatial planning takes shape by passing through the prism of progressive and complex changes in planning practices. Even if Community-led, this is an eminently local and diversified process and therefore less visible at the continental scale.

#### **4.1.5 Common keywords**

The common keywords adopted for reviewing scientific literature in the above four distinctive perspectives are classified following five types of possible interpretation. These inspire the articulation in sections of each single review:

##### *A. Themes:*

- a1. polycentric spatial development (polycentrism)
- a2. new urban-rural relationship
- a3. parity of access to infrastructure and knowledge
- a4. wise management of the natural and cultural heritage

##### *B. Ways:*

- b1. vertical integration
- b2. horizontal integration
- b3. spatial integration

##### *C. Means:*

- c1. Tampere Action Programme (various actions)
- c2. cross-border co-operation (Interreg IIIA)
- c3. transnational co-operation (Interreg IIIB)
- c4. urban governance
- c5. Structural Funds

*D. Effects:*

- d1. institutional changes
- d2. changes in planning policies
- d3. changes in planning practices
- d4. changes in planning culture (discourses)
- d5. changes in spatial representation (images)
- d6. spatial development

*E. Levels:*

- e1. national
- e2. regional
- e3. local

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## 4.2 North-Western perspectives

The ESDP is looked upon as a kind of strategic plan (see Albrechts, 2003). It seems therefore fit to describe the follow up as the application of its core principles rather than their implementation (see Mastop, 1997, Faludi, 2000, 2003a).

### 4.2.1 Themes

The key principles of the ESDP are historically rooted in the mature and progressive planning traditions of France, Germany and the Netherlands. As such, apart from a standard noting of the ESDP here there is little proven influence of the ESDP in these countries. This is clearly illustrated by the French situation: DATAR made reference to the ESDP in most of the documents produced during the French Presidency, but did not take the ESDP as a source of inspiration for the different scenarios it constructed for France.

This is at odds with the findings of Ravesteyn & Evers (2004), within the limited scope of their study, on the impact of broader EU policies on spatial development. They concluded here (p. 137) "that each policy area studied at the EU level (regional cohesion, transport, agriculture, competition, environment and nature, water) has both direct and indirect spatial consequences in the Netherlands. Interestingly, the indirect – and therefore usually unseen – consequences are often more important and will become increasingly so in the future".

Polycentricity is undoubtedly *a* - or even *the* - core concept in the ESDP and is gaining widespread currency in both scientific and professional debates. While polycentricity is increasingly shaping the spatial policy discourses the precise meaning of the concept has however remained elusive. It is indeed a sufficiently vague concept that holds something in stock for everyone and allows actors with diverging views to read and interpret it according to their - individual or institutional - interests (Héritier, 1999; Waterhout, 2002; Faludi & Waterhout, 2002; Davoudi, 2003; Peters, 2003) and their particular interpretation of the ESDP (Richardson & Jensen, 2000).

For Faludi (2004a, 8) "polycentricity is powerful because of its ability to rally support and is sure to be invoked in cohesion policy". The shift towards

territorial cohesion policy however occurred with the emergence of Commissioner Barnier. For Atkinson (2001, 393) cohesion and notions such as "balanced competitiveness (an oxymoron if ever there was one) and polycentric development, operate as little more than a well-intentioned expression of the Commission's hope for a more (socially) integrated and cohesive European territory. Böhme et al., (2004, 1179) argue that *the analysis of EU policy-making should reflect on what EU spatial ideas, such as territorial cohesion, applied internally, mean for neighbouring regions in Europe and northern Africa, and beyond. Does achieving cohesion within the EU create new risks for those outside "Fortress Europe"?* All of this emphasizes that there is more to polycentrism than the morphology of the urban system.

As the challenge of polycentricity seems to be to overcome the contrast between cohesion and competitiveness there are also more critical voices. For Faludi (2004b, 393) polycentricity fulfilled its bridging function precisely because of its ambiguity. It is this very ambiguity however that makes Krätke (2001) suspicious. He argues (p.107) *that strengthening the competitive position of certain centres in the European urban system does not automatically entail a lasting improvement in the competitiveness of the pan-European urban system and a polarization at a more localized scale* (Copus, 2001 p. 548).

Copus (2001) points to the absence or weakness of both theoretical foundations and practical policy recommendations. The ESDP has more to say about aspirations than about processes or appropriate interventions (pp 548-549). Böhme et al., (2004, 1185) remind us that the ESDP has been criticized for its insensitivity to difference across European space.

Polycentricity is also linked to a new partnership between towns and the countryside. Town and countryside should act like communicating vessels. Blok (1998) provides crucial ideas for striking a new balance between town and countryside: rural areas are not outposts of polycentric urban systems, the relationships between town and countryside is changing as a result of globalization and regionalization, rural areas have a structuring effect on urban areas, as such, the diversification of rural areas must be seen in a wider context than that simply in terms of agriculture, while the development of corridors must tie in with a closer town-country relationship.

A survey of Europe's urban structure in the late 1990's, noted "as far as can be perceived the gravitational centre of European knowledge society will not differ too much from the core regions of the European industrial society" (Heidenreich, 1998, 328).

#### **4.2.2 Ways**

The horizontal integration of policies, management arrangements and plans across different sectors, services and agencies at a given level of governance, the vertical integration of policies, management arrangements and plans from the European down to the local level of government are issues that entail crucial challenges for all countries. Meijers & Romein (2003, 173) argue that "an active building of regional organizing capacity is needed - that is, the ability to regionally co-ordinate developments through a more or less institutionalized framework of co-operation, debate, negotiation and decision-making in pursuit of interests at the regional scale - to shape a polycentric urban region's competitive advantages". However, against these grand perspectives stand the coordination problems encountered every day. All of these discussions are still at a very early stage, and involve only a relatively small group of actively interested people, with as yet, few concrete results having been achieved.

In terms of horizontal and vertical coordination France is one of the rare countries where strategic planning and regional economic policy are located within the same ministry and where horizontal (between sector ministries within the central government and vertical (between cities, regions, nation and Europe) coordination is done by one agency (Datar). This is in line with the "White Paper on European Governance" recognition that problems cut across different levels of government as well as sectoral and institutional policy domains, and that policy development within the EU (and in member states) as such can no longer be horizontally and vertically segregated. A strategic approach is therefore 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 considerable emphasis on the role of partnerships between all stakeholders affected by a policy issue. The latter brings us very close to the communicative and collaborative planning approach (see also Böhme et al; 2004) embraced by academia and some (mainly local) planning practices (see Healey et al., 1997; Albrechts et al., 2001 but also the long standing

Dutch experience with public involvement in key decisions -PKB- at a central level).

Some informed commentators have argued that the White Paper represents yet another attempt by the Commission to justify its continued existence and expand its role (see Kohler-Koch, 2001; Scharpf, 2001).

#### **4.2.3 Means**

A new focus since Lisbon (Faludi, 2004b) has been placed on the Open Method of Co-ordination. This governance mode goes much further in accommodating diversity (see Scharpf, 2001, 10) and is a process of structured mutual learning and multi-level (see Pierre & Peters, 2000, 72) interaction between relevant actors on the basis of common objectives (see also Böhme et al., 2004). Could this method help to translate the ideas and concepts contained within the ESDP discourse to European sector policy, the National policies of the member states, regional policies and ultimately to local policies (see also Böhme et al., 2004)?

We can see that the Interreg IIC guidelines established a clear link between transnational cooperation programmes and new thinking on European Spatial Planning developed in the ESDP strategy (Doucet, 2002).

The successor to Interreg IIC, namely, the Interreg IIIB programmes, was challenged to provide evidence of specific 'added value'. This entails delivering tangible results in respect of the common benefits of cooperating partners, preferably on issues of real transnational relevance. The aim of Interreg IIIB programmes should then be to generate common understanding and political will with regard to a long-term strategy and its progressive implementation (Doucet, 2002). In France, Germany, the Netherlands, Luxembourg and Belgium Interreg IIC (transnational planning) and Interreg IIIB (cooperation between regions) have been, and are, important for the *de facto* field of the application of the ESDP (Jensen & Richardson, 2001; Faludi, 2001, 2002; Böhme et al., 2004). Moreover, the Saar-Lor-Lux, MHAL, Urbanet, and Spatial Vision are often seen by their participants (see Faludi, 2001) as 'arenas for the application of ESDP'. This can be seen in a very clear way in the North-western 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 transnational cooperation.

The construction of a spatial vision for NWMA brings the ESDP a step further (Faludi, 2003b). For Nadin (2002, 135-136) spatial visions serve up a mission statement or a political agenda about where there is a need for cooperative action on spatial development at the transnational level. Thus, they reflect the complex transnational situation they seek to address: recognizing and illustrating the considerable effort that is needed to arrive at a shared understanding and definition of the issues among partners with different planning traditions. Visions also concentrate largely on immediate problems rather than anticipating future states in the long term.

Interreg however remains very much a playground for experts and universities. Participants in a recent conference on "Spatial Planning for Future Development in the European Union" in Paris stressed that most Interreg III programmes are more concerned with other specific issues such as economic development or information technology than with spatial planning issues *per se*. Moreover the mainstream programmes for the allocation of the Structural Funds - objectives 1, 2 and 3 - do reference the ESDP and may, in fact, be incorporating spatial development considerations to a greater extent than Interreg programmes (Goldsmith, 2004). Zonneveld (2004, 37) argues that spatial visions could increase the effectiveness of the structural funds. Böhme et al (2004, 1177) argue that transnational cooperation becomes an increasingly important criterion for EU funding, not only in Interreg, but also in the forthcoming round of the Structural Funds, from 2006 onwards.

The European Spatial Observation Network is now a fact, while other actions of the Tampere Action Programme are also now 'on the books' (see Faludi, 2004,c).

#### **4.2.4 Effects**

After adopting the ESDP Germany became very reluctant *vis à vis* the ESDP for mainly two reasons: on the one hand, pressure from the Länder, fearing that the ESDP would lead to an integrated European spatial policy and a subsequent loss of competence, increased, while on the other, the Federal

Government itself feared that applying the ESDP would entail an increase in (the financial) Community intervention in the regions.

In the Netherlands the Fifth Policy Document embraces polycentric development but this is not the result of the ESDP being applied (Faludi, 2004c). France has favoured polycentric development for decades to counterbalance the hyper concentration in Paris. After all congestion, pollution, property inflation, and the backwardness of peripheral regions all produce diseconomies. This then explains the repeated promotion by Datar of polycentric development (see Guigou, 2002). In the wake of the "Contrats de Plan Etat-Région" the " Contrats d'Agglomération" define for each region the organizational priorities for the polycentric networks in the larger urban regions (such as Nord-Pas de Calais). In Belgium the Brussels Capital Region Plan and the Flanders Region plan predate the ESDP. In Wallonie the "Schéma de Développement de l'Espace Régional" does relate to the ESDP and more specifically to the Euro corridors, in particular the one from Brussels to Luxembourg. Journal issues of European Planning Studies (2004.3), and Urban Studies (2001.4) deal with three -Randstad, Rhine-Ruhr, Flemish Diamond- polynuclear regions in the Pentagon, the only global integration zone in Europe (see also Ipenburg & Lambregts, 2001). The project explored the role of polynucleated urban regions in the reinforcement of the competitive strength and quality of life in the NWMA. Cooperation in these polynuclear urban regions could be of importance for the further elaboration of the cooperation thesis of the ESDP. Cooperation at the scale level of a polynuclear urban region is certainly not taken for granted. In the regions considered, some public and private actors are beginning to appreciate that a coherent vision of the polynuclear urban region could have some advantages. Informal cooperative relationships, such as Emscher IBA in RheinRuhr (Knapp et al, 2004) and the Deltametropolis Association in the Randstad (Lambregts & Zonneveld, 2004) seem most successful. Such informal relationships, initiated by capable, enthusiastic initiative takers, appear to be capable of operating as learning organizations treading new paths unencumbered (Priemus & Zonneveld, 2004).

In addition, ongoing experiments with Interreg programmes and Structural Funds projects raise the question of how politics can deal with these new "shared spaces"? The driving rationale of the ESDP is one of economic growth as the precondition for sustainable and balanced development. But the discourse is not as coherent as it appears. Indeed the overwhelming emphasis on economic development within the ESDP suggests that the EU's

spatial strategy will be played out in competition between cities and regions, core and periphery. Competition inevitably has winners and losers. Social and environmental concerns seem less likely to benefit from the increasing spatial coherence of EU policy (Richardson & Jensen, 2000). Moreover the institutionalization of this new discourse of a competitive European space is likely to prove difficult (see Richardson & Jensen, 2000; Bengs & Böhme, 1998).

A link could be made here to the Lisbon strategy to turn Europe into the most competitive area of sustainable growth in the world by 2010. This though raises the need to transfer part of a reshaped Objective 2 to areas where it might improve competitiveness and co-operation. This may lead to an emergent, co-evolutive outcome of processes of supra-and trans-national policy making, coupled with local-regional claims for mobilization and self-organization, and embedded in processes of the institutional restructuring of nation-states (see Gualini, 2004; see also Böhme et al., 2004). Only the future however will prove how sustainable the *ad hoc* and informal institutions are. As yet, they have not lead - apart from the national observatories - to new institutions.

#### **4.2.5 Levels**

The Germans, French and Dutch have been instrumental in putting the "polycentric system of cities in Europe" on the ESDP agenda (Faludi, 2004c, 399). Germany has a polycentric urban system and they want to keep it that way. If local authorities could desist from further mutual competition and cooperate on a number of very carefully selected key issues, greater competitiveness for the region as a whole and a better pattern of landscapes could be achieved, together with better internal and external accessibility for collective and individual traffic.

Polycentricity entails very different visions at different levels of planning. For Hall (n.d. cited in Peters, 2003, 327-328) at a global level it refers to the development of alternative global centres of power, within a European context it entails diverting activity away from London (Paris?) to sub-global centres. At a finer geographical scale it can refer to the outward diffusion to smaller cities within their spheres of influence. In rural areas it can mean to build up the potential of regional capitals and county towns.



With the French regarding the stimulation of new “global economic integration zones” in peripheral areas and coastal zones -in fact the stimulation of areas outside the existing core - as the key ESDP strategy. It is however accepted that not every region in the EU can achieve this status. In the structurally weaker regions there is a need for a widening of the economic base and economic re-structuring (Richardson & Jensen, 2000). Krätke (2001) opposes the French idea of developing additional world economic integration zones outside the core area of the EU *as they would appear unrealistic in the light of the existing imbalances*. Polycentricity is intimately bound up with attempts to reconceptualise and ultimately reshape the spatial structure of urban hierarchies in Europe (Peters, 2003). The concept moves from the analytical to the normative level (blue banana versus bunch of grapes). It is amazing in this respect that the “Blue Banana” was conceived and used by French spatial analysts precisely in order to point out the need to develop alternative more polycentric structures. 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. This normative dimension - in terms of a desired spatial structure - can also be found in the pan-European notion of polycentricity (see Priemus & Zonneveld, 2004 but also CEMAT, 2000).

The rationale of economic competitiveness is dominant. This can be seen in the way the notion of balanced regional development is linked to the issue of global economic competitiveness. The powerful core region of Europe is framed as a model for other EU-regions to be pursued by the concept “dynamic global economy integration zones” (see Jensen & Richardson, 2001, 708). One of the most apparent differences between the rhetoric of the CEMAT vision and the ESDP is the strong emphasis on social cohesion in the wider Europe.

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### 4.3 British perspectives

As mentioned earlier the ESDP was produced following a long process of intergovernmental working over ten years (See Faludi and Waterhout 2002) and as such provides an indicative perspective on how the territory of the European Union might develop. As an indicative perspective it therefore follows that it's core principles both in terms of substantive policy themes and more procedural aspects of plan making need to be *applied* rather than *implemented*. The idea of application suggests that the ESDP acts as a discursive process of integration which provides a frame of reference for spatial policy makers across levels of multi-level governance in Europe (Richardson and Jensen 2000, Böhme, 2002) and hence can be said to have had influence if it 'shapes the minds of actors involved in spatial development (Faludi 2001). In other words it is a document that contains ideas that will have different relevance and applicability depending on particular national, regional and local circumstances.

The British review considers current literature that has been written in relation to the application of the ESDP with regard to two of the national sovereign states of the European Union, the United Kingdom and Eire. In looking at the United Kingdom it is important to realise from the outset that the process of devolution means that there are in effect four separate planning systems operating in the UK, England, Scotland, Wales and Northern Ireland, with each having developed a particular way of applying the ideas and themes of the ESDP. The literature can be divided into two broad, but not mutually exclusive forms of writing. First some authors have used the ideas contained within the ESDP to think in theoretical or abstract terms about how the territory might develop (see for example (Turok and Bailey 2004, Davoudi 2004), whereas other researchers have explored the way that the ESDP has implicitly or explicitly shaped planning practice (Shaw and Sykes, 2003, Healey 2004).

#### 4.3.1 Themes

The four policy themes of the ESDP emerged as a result of protracted negotiations and compromise between the policy actors who had been charged with delivering the ESDP. The four themes represent a consensual view of what is required at multi-levels to achieve sustainable development within the UK. The authors of the ESDP had to ensure that ESDP was not overly prescriptive and did not present a spatially articulated view of what Europe might look like. Instead the themes were general and vague, leaving

the policy actors at the transnational, national, regional and local scales to interpret and re-interpret the ideas that suited their particular needs and aspirations (Davoudi, 2003; Shaw and Sykes 2005).

Without doubt polycentricity is the concept that has most captured the imagination of academics and policy makers. It is recognised as a highly contested concept and many academics have tried and failed to develop for it a concise and accepted meaning (Davoudi 2002, 2004). Indeed while Hague and Kirk (2003) have argued that there needs to be a common understanding of the concept and the methods to interpret and apply this idea in practice if polycentric development is to have relevance for spatial planning, in reality polycentric development is an oxymoron or a malleable concept which can be interpreted and re-interpreted by a variety of different stakeholders to meet their own specific aims and objectives. In many cases the interpretation of polycentricity within the context of the UK has been framed around perspectives of economic development and regional competitiveness, although the Northern Ireland Regional Development Strategy 'Shaping Our Future: Regional Development Strategy for Northern Ireland 2025' and Ireland's 'National Spatial Strategy' places more 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 England, research into the application of the concept of polycentricity can found at the regional scale, with the idea having been used by planning actors in at least five different ways:

- A concept to promote transnational planning (Nadin 2002)
- An organising concept within regions
- A concept to promote balanced development within a metropolitan centre
- An analytical concept to examine/re-examine the functional inter-relationships between places. This work was pioneered by ECOTEC and JDT (2000) in relation to the West Midlands and a similar methodology was later applied in the early thinking surrounding the National Spatial Plan for Wales.
- As a rhetorical device
- A process to promote mutual learning (Shaw and Sykes 2005)

There has been much less discussion in the academic literature over how the other policies of rural/urban relationships, parity of access to knowledge and communications and protecting the natural and cultural heritage have received much less attention in the literature in terms of application. A review of the application of ESDP policy themes and options in Regional Planning Guidance in England revealed that there was considerable conformity between the ideas embedded in the ESDP and relevant policy documents themes (Shaw and Sykes 2000, 2001, Duhr 2005). This should not really come as a surprise however as the policy themes and options in the ESDP represent a form of European planning orthodoxy (Faludi and Waterhout 2002). In some respects it has been suggested that new modes of thinking and understanding of the new geographies of the relational geographies of networks and the lack of skills, imagination and time of planners involved in these agendas have acted as a limiting factor.

#### **4.3.2 Ways**

The ways of application has varied considerably in the light of sub-state territorial mobilisation in the UK in the wake of devolution to the "Celtic nations" (Roberts and Beresford, 2003, 23). Much of the formal activity has been at a sub-national or regional scale of activity. While there have been increasing calls for the development of a national spatial strategy, (Alden, 1999, Wong 2000, Wong 2003, Tomaney et al 2003), in England at least, national policy has remained essentially *aspatial*, delivered through the form of what were Planning Policy Guidance Notes, and under the new planning system, introduced in Autumn 2004, Planning Policy Statements. These documents are statements of national policy in relation to particular themes and processes of plan making at the regional and sub-regional scale. Prior to 1997, though European influences on spatial policy and practice were evident, the then Conservative Government kept these at arms length (Davies et al 1994, Bishop et al, Tewdwr-Jones and Williams 2001). Following the election of a Labour government in 1997, there was a much more explicit acceptance of the requirement for the English planning system to take more cognisance of the European agenda in general and the ESDP in particular. PPG 11 Regional Planning (DETR, 2000) argued that the bodies responsible for Regional Planning Guidance Notes (RPGs) should be much more explicitly cognisant of this agenda.

"[B]oth the European Spatial Development Perspective (ESDP) and the Community Initiative on Transnational Co-operation on spatial planning – INTERREG IIC and INTERREG IIIB – programmes will provide a European

context for the preparation of RPG. So too will other European funding regimes, in particular the EU Structural Funds" (DETR 2000, PPG 11 Para 3.1).

Hence national policy in England makes it clear that RPG should be set within a framework that acknowledges a region's link to other regions and the European and global contexts, yet provides little specific advice as to how this should be accomplished except that PPG 11 goes on to make it clear that central government will be the final arbiter whether or not the European context and the ESDP have been taken sufficiently taken into account.

"Before issuing RPG, the Secretary of State will need to be satisfied that the spatial strategy for the region has had sufficient regard to these European considerations, including the main policy themes of the ESDP" (DETR 2000, Para 3.4)

Research undertaken for the UK Government and the Planning Officers Society (Shaw and Sykes 2001, 2003) considered the role taken by the ESDP in the process of developing regional planning guidance in English regions. The research suggested that within most plans there was reasonably good vertical integration, with regional policy reflecting and being in accord with national guidance, albeit applied in a regional context. European policies in relation to environmental protection, spatially targeted structural funds (where applicable) Trans-European networks were also seen as part of the process of vertical integration. With regard to horizontal integration the picture was much less well considered. Inter-regional links, cross-border and transnational planning issues and links were not extensively acknowledged nor reflected in policy statements and policy maps. A review of plans as static documents did not however reflect the institutional learning and modifications to policy as reflected by a process. A detailed case study of the process of producing the RPG for the North West of England for example revealed how the intervention of a range of different stakeholders began to promote a wider acceptance of the notion that spatial planning needed to reflect an administrative unit's links to adjoining and transnational regions for a whole variety of subjects. To this end, boundaries are becoming more permeable and in some cases sub regional strategy frameworks crossing a number of regional boundaries have been promoted, for example the Milton Keynes sub-regional strategy. (Shaw and Sykes 2001, 2003, 2005).



In terms of spatial integration, whilst the ability to produce a wider ranging policy document was promoted by central government, in practice few regional plans have to date moved very far from a traditional land use planning approach. Nevertheless the RPG for the North West of England has been seen as an example of better practice by identifying the other agencies which have an important input in developing the policy agenda (Sykes 2004).

Reflecting the search, since devolution, for distinctive policy approaches tailored to the needs of Wales, the development of the Welsh Spatial Plan 'has provided us with the opportunity to do things differently' and develop the 'concept of spatial planning which has gained momentum from the publication of the ESDP in 1999' (NAW 2003,3). Research into different methodologies of spatial planning commissioned to inform the development of the WSP highlighted the consistency between the goals of the ESDP and the NAW and emphasised the importance of European and global concepts for developments in Wales (ECOTEC and Cardiff University, 2000). Nevertheless whilst the draft NAW does acknowledge the influence of the ESDP in a passing reference it does not make it clear and explicit as to how the NAW has been informed by the ESDP and other related documents (Harris and Hooper, 2003). However the final version of the WSP includes an appendix which explicitly considers 'Wales in the European Context,' including the policies of the ESDP (NAW, 2004).

The WSP has been described as a strategic framework which takes the form of a corporate plan designed to frame the spatial activities of the Welsh Assembly Government (Roberts and Beresford 2003, ECOTEC and Cardiff University, 2001) which sits outside, but is complementary too the statutory planning system and new legislation will be required to ensure that planning authorities have regard to the WSP in other plan preparation processes and land use decision making (NAW 2003).

In Scotland following devolution, a planning modernisation agenda was followed which identified a strategic planning vacuum in Scotland (Lloyd and McCarthy 2002). A number of professional bodies including the RTPI commissioned a report which argued for the need for a National Planning Framework for Scotland (Roberts et al 2000) and subsequently the Scottish Executive (2001) incorporated proposals for a National Planning Framework

(NFP) to provide a long term overview of how Scotland will develop 'as a place' (Scottish Executive 2003,1). An *ad hoc* ministerial working group was created and a series of stakeholder responsibilities provided their strong support and further impetus for the process drawing on the ideas and themes of the ESDP.

In Ireland, the National Development Plan, designed to co-ordinate EU Structural Fund investment for the 2000-2006 period included provision for the development of a National Spatial Strategy. McMaster (2004) has suggested that one rationale for the NSS was to provide a stable, long-term national reference point, up to 2020 for spatial development in a context where in the current Structural Fund programming period, several regions in Ireland are now designated as 'phasing-out'.

#### **4.3.3 Means**

##### *Tampere Action Programmes*

There is no literature relating to the ways in which the action programmes have explicitly influenced planning procedures and practices in the UK and Ireland

##### *Cross-border co-operation (Interreg IIIA)*

Whilst there are a relatively small number of cross-border co-operation programmes in the UK and Ireland, we are not aware of any literature dealing with the impact that the ESDP has had on the design of these programmes.

##### *Transnational co-operation (Interreg IIIB)*

In relation to Interreg IIIB, the projects that have been supported by the North West Metropolitan Area (NWMA) reflect the policy principles of the ESDP in transnational European space, while also promoting institutional capacity through a 'patient mutual understanding among different cultures' (Doucet 2002, 69). Two transnational projects in particular are perhaps worthy of note here. The North East Trade Axis (NETA) project is seen within the North West at least as an important trans-European corridor that can help to provide a counterbalancing economic development axis to the pentagon. The second project is the development of the Spatial Vision for Northwest Europe (NWMA Spatial Vision Group, 2000). This document was

produced by small group of planners supported by planning consultants, and according to Nadin (2002), creates a vision which is a mission statement whereby the actors involved in the process have been able to agree on a set of common policy principles designed to guide spatial planning in the future. The Vision has been criticised for essentially being a 'top down' process, and there is little support for the creation of major new institutional arrangements to support the development of this process, rather it is hoped that the work continues through informal intergovernmental channels (Nadin, 2002).

#### **4.3.4 Effects**

##### *Institutional Changes*

There have been no institutional changes reported as a consequence of the ESPD in either the UK or Ireland. Furthermore there seems to be little enthusiasm for new formal institutional arrangements to support transnational planning (Nadin 2002).

##### *Changes in Planning Policies*

In England national guidance was changed, requiring all regional planning bodies to make it explicit in their plans how the European agenda in general and the ESDP in particular had informed the new Regional Plans. This very explicit change in policy procedure gives less emphasis in terms of national guidance on the procedures and content for the new Regional Spatial Strategies (Shaw and Sykes 2005).

In Northern Ireland, Wales and Scotland the development of spatial plans has followed a more overtly 'spatial' approach as advocated by the ESDP, but this also creates plans that are broader frameworks to influence other policy decision makers. Indeed it has been acknowledged that in Wales, new regulations will be required to ensure that local planning authorities take due account of the WSP.

Similarly in Ireland the spatial approach adopted by the NSS has identified policy principles, without being too prescriptive about where new development should occur and how it can be encouraged or facilitated (McMaster, 2004). Hence the precise definition of gateways was delayed in the run up to the 2002 election and hubs linked to gateways were seen as a

means of ameliorating those urban centres that could not be considered hubs in their own right. Furthermore there has been some criticism of an inconsistency in the application of the strategy in practice (McMaster 2004).

### *Changes in Planning Practices*

In England the ways and means of application have been left to regional planners and other stakeholders. The key issue here is that critical individuals have used the ideas to explore new ideas and support their specific agendas. Hence the process of plan making has enabled degrees of institutional exploration and learning to occur, although its ideas have probably not permeated much below the regional scale. Within this context there is some evidence of attempts to engage a wider range of stakeholders in the process of plan making both in terms of better sectoral and spatial integration, although the extent to which such changes can be ascribed to the ESDP is more contested.

### *Changes in Planning Cultures*

It is clear then that in all parts of the British Isles there are signs of a shift in planning culture away from the narrowly defined approach of land use planning and management as defined by the Compendium towards a more spatial planning approach that can be said to have characterised many of the strategic planners of northern mainland Europe. Furthermore cross border and transnational co-operation in regional and national space is also promoting a more networked approach to planning.

### *Spatial Development*

The development of various spatial strategies in Wales, Scotland, Northern Ireland and Ireland have started to create new framework plans which have moved beyond a land use planning approach to integrate a wider range of stakeholders in developing these 'places' (Roberts, 2002 (for Scotland), McEldowney et al 2002 (Northern Ireland, Harris and Hooper, 2003 (Wales)) although it is perhaps too early to say what this means in practice. In England the UK Government's Modernising Agenda (DETR 1998) also advocates a more spatial approach, though as yet, there is little evidence that traditional land use planning instruments have really taken such ideas on board. One possible explanation here is that regional plans in England are still dominated by very practical issues such as housing allocations, while

elsewhere in the UK such plans are more schematic in nature (Roberts and Sykes 2004).

#### **4.3.5 Levels**

##### *National*

Within the context of the UK, in part because of the asymmetrical spatial planning governance structure that has evolved as a function of devolution, there is no national response to the ESDP, instead the various devolved administrations have responded differently.

In Ireland the focus of the research activity in relation to the application of the ESDP has been at the national scale, where the National Spatial Strategy (NSS) situates the development of Ireland within its wider European context and attempts to address key ESDP themes, notably balanced regional development (Roberts and Beresford, 2003).

##### *Regional*

Notwithstanding the difficulties of defining 'regional', in this context it is seen as being at the level below that of the sovereign nation state, within the UK almost all of the application of the ESDP has been at this scale. In Wales, Scotland and Northern Ireland a distinct appraisal and interpretation of the ESDP has been, in part, an attempt to assert the devolved government's independence. In England the Regional Planning Boards have been charged with explicitly taking on board both the substantive policy themes and objectives of the ESDP and the more procedural considerations in the plan making process of vertical and horizontal co-ordination, but have had to determine themselves how this can be achieved.

In Ireland it is reported that in order to elaborate and articulate the ideas of the NSS further, and to respond to criticisms from the Commission regarding devolution and subsidiarity in Ireland, 'Regional Planning Guidelines' need to be developed, although it is not clear who is responsible for developing such plans and whether new formal or informal institutions will emerge to carry this work forward.

##### *Local*

At the local level there is no formal requirement for local planning authorities in the UK to take the ESDP into account when developing strategic policy documents. Thus there has been little if any research that has explored the potential ways in which the ESDP has informed policy development. The limited role of the ESDP at this scale is then as a framing document that has captured the imagination of a limited number of policy actors. An example reported in the literature is the Glasgow and Clyde Valley Joint Structure Plan (2000), which tried to build around the principles of the ESDP. It is an interesting example of inter-authority collaboration which explores Europe as an important policy context and seeks to use the ideas of polycentricity to promote sub-regional competitiveness whilst at the same time trying to ensure a more balanced metropolitan area (Hague and Kirk 2003).

#### **4.3.6 Conclusions**

The ESDP was a framework document produced at a particular moment in time, which coincided with a strong devolution/regionalisation agenda within the UK. It 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-flagging exercise. Hence it was 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 is diminishing over time. For example, the new PPS 11 makes less explicit reference to the need for the Regional Spatial Strategies (RSS, the statutory documents replacing RPGs) be concerned with the ESDP. Perhaps then the substantive ideas and policy principles have already become more embedded in the culture and vocabulary of planners at the regional scale? 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 therefore requiring a shift in the culture of planning.

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#### 4.4 Nordic perspectives

During the 1990s a varied literature has developed in relation to the relationships between spatial development and spatial planning in the Nordic countries and European integration and spatial planning (Hansen and Böhme 2001; Böhme and Faludi 2001a; Selstad 2001; Schmidt-Thomé 2001). Böhme (2002) provides the most wide-ranging and comprehensive overview of how emerging European spatial planning initiatives and policy discourses have been 'echoed' in policy and institutional changes which have taken place in Nordic countries. His approach is based around the conceptual distinction between planning *in* Europe composed of the existing national planning systems and the policies of European states, and planning *for* Europe composed of the emerging European spatial development policy agenda in general and the ESDP in particular. An important issue that is stressed in the literature relating to the influence of planning *for* Europe on planning *in* the Nordic countries is that the concept of 'spatial planning' is new to these countries where traditionally a high degree of sector orientation exists and the subject matter of spatial planning is separated into physical planning, regional development, and environmental protection (Böhme 2003).

##### 4.4.1 Themes

Böhme (2003) notes that despite the fact that spatial planning is a new concept for the Nordic countries, it is possible to identify cases where the ESDP has been applied in national planning policy and cases where ESDP aims have been referred to or taken into account in regional policy.

For Böhme (2003: 21), the "most distinct case of applying the ESDP in national policy is that of Denmark". In Denmark, themes from the ESDP and other transnational planning exercises notably the VASAB 2010 cooperation initiative have been reflected in national spatial planning reports throughout the 1990s. It has been argued that the national planning report of 1992 entitled 'Denmark Towards the Year 2018: The spatial structuring of Denmark in the future Europe', was probably the first national planning document in Europe to incorporate references to the ESDP (Böhme 2001: 2). The document visualised Denmark in relation to its European spatial context and the ESDP process, and has been described as "marketing Denmark in the European context" (Newman and Thornley 1996: 64), and as representing a significant statement that Denmark was "prepared to implement a more polycentric and market-oriented spatial planning within a

larger European context” (Jensen, Jørgensen, and Nielsen 1996: 14). Indeed at this time Denmark was also part of the group of four EU member states that proposed the preparation of a European spatial vision at the 4<sup>th</sup> informal meeting of EU ministers responsible for spatial planning at Lisbon in 1992 (Faludi and Waterhout 2002).

VASAB 2010 (adopted 1994)	Danish National Planning Report, March 1997,	ESDP policy guidelines (presented in the Noordwijk document, June 1997)
Pearls (systems of cities and urban settlements)	Points (balances urban pattern)	A more balanced system of cities and a new urban-rural relationship
Strings (inter-linking infrastructure)	Lines (environmentally friendly accessibility)	More parity of access to infrastructure and knowledge
Patches (selected types of non-urban areas of distinct qualities)	Expanses/patches (Natural and cultural heritage through comprehensive landscape planning)	Prudent management and development of Europe's natural and cultural heritage
The system (planning institutions, rules and procedures promoting the pearls, strings and patches)	National Planning Policy	

(Böhme 2002: 92)

**Table 11 Danish planning in light of VASAB and the ESDP**

The trend towards the consideration of the European dimensions of spatial development continued through Denmark's engagement in the ESDP and the VASAB 2010 processes and the publication, in 1997, of the next National Planning Report entitled 'Denmark and European Spatial Planning Policy' (Danish Ministry of Energy and Environment 1997). This drew on principles and themes in the documents emerging from the ESDP process to articulate three overall goals of creating a balanced urban system; environmentally friendly accessibility; and protection of the natural and cultural heritage. Böhme (2002: 91) notes that "The goals for spatial development of this Danish report mirror exactly the policy guidelines of the ESDP document that would be presented three months later, in June 1997, in Noordwijk", and that the report's key metaphor of Denmark as a 'green room in the European house' underlines "the ambition of international spatial positioning, as well as the aim of making this document a central Danish document for further European co-operation". The report makes extensive reference to the ESDP process and as noted above its policy goals reflect those already

emerging in this process, as well as those of the VASAB 2010 document which had been endorsed in 1994 (table 3).

In the first national planning report produced following the adoption of the final ESDP, however, the European dimension "seems to [have] be[en] almost forgotten" (Böhme 2002: 93). This document, entitled 'Local identity and new challenges' (Ministry of Energy and Environment 2000) appears at first sight to focus on Danish issues and tasks. Böhme (2002: 93) however, notes that the European dimension of Danish planning which the two preceding reports had developed has "anything but disappeared". Thus the central 'balanced spatial development' theme of the ESDP is echoed in the report's goal of achieving "Balanced development throughout Denmark". One way in which the realisation of this goal is promoted is through the designation of two new national centres based on the regions of Trekant and the Mid-West Centre. The two 'national centres' are to be given prominence in the Danish urban system and are intended to contribute to a more polycentric development of the national territory, which can counterbalance the dominance of the capital Øresund region. ESDP themes of a new urban rural relationship, endogenous development and accessibility are also reflected in the report "with more or less reference to the ESDP" (Böhme 2002: 95). In addition, the Danish national planning reports do not replace one another but rather are seen as being layers which deal with different issues, thus although the report of 2000 contains a less high profile treatment of the ESDP and European issues, it can to a certain extent be seen to contribute to translating a number of ESDP issues into a Danish context by considering what particular policy options mean "when implemented more concretely at national or regional level" (Böhme 2002: 94).

Similarly, in Finland, features of the ESDP have been transposed into national land use policy goals. Böhme (2003: 21) argues that only in Denmark and in Finland have ESDP aims been integrated "explicitly into the available instruments of national planning". It is perhaps significant in this context that these two states have both also used their national spatial planning activities as part of a process of 'spatial positioning' in Europe.

In light of the sectoral organisation of the policy fields with which spatial planning is concerned in the Nordic countries, it is also necessary to consider how the ESDP themes have influenced regional policy. There is also competition between the planning and regional policy sectors in terms of the

comprehensive coordination of policy. In Denmark and in Finland, national regional policy has been almost completely replaced by EU structural funds whereas in Sweden, Iceland and Norway regional policy is in a stronger position. In Sweden and Norway, regional policy makes reference to European spatial policies, and the Swedish bill on regional policy of 2001/02 and the Norwegian white paper on regional policy of 2001 have paid attention to the ESDP. In these two states, regional policy occupies the position of a comprehensive all-encompassing spatial policy rather than 'national planning' as is the case in Denmark.

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 such as low GDP *per capita* and poor quality of life. Eskelinen *et. al.* (2001: 50) note how the "ESDP planning approach sidelines several distinctive Nordic features and important Finnish national concerns".

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 Øresund 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. Although this may lead to a more spatially balanced pattern of development at the European level it may also contribute to reinforcing centre-periphery development imbalances within the Nordic countries, with a growing dominance of the capital city regions. In light of such issues, Böhme points out a certain divergence between the spatial development aims of the ESDP and those that may be viewed as desirable from the national perspective.

Similar divergences can be found in relation to the ESDP's other core aims of promoting parity of accessibility to infrastructure and knowledge and the protection and sound management of the cultural heritage. However, as the aims of the ESDP are intended to apply across different geographical scales the relationship between the aims of the ESDP and national and sub-national policies is rather more complex. By considering the aims of the ESDP from a

national or broader Nordic perspective, it is thus possible to see that these are “very much in line with the aims of spatial development policies” (Böhme 2003: 23). In comparing ESDP aims with those of national policy in the Nordic countries, Böhme (2003: 23) concludes that:

“Balanced development utilising the entire territory, rural-urban partnership and sustainable development are also key issues in the Nordic debate, independent of the ESDP. In part, these topics are inspired by the European debate but to a large degree they have their roots in national centre-periphery discussions”

Thus the national policies being pursued in the Nordic countries in the main seek to avoid spatial imbalances of the national territory by addressing issues of population migration and the concentration of development to larger urban, and particularly capital city, regions. The issue for policymakers is then how to balance the need to promote spatial balance at the level of the national territory by strengthening regional centres, whilst also responding to the European level objective of balancing development across the European territory as a whole, which requires a focus on the main national (capital) urban regions in the Nordic countries. For Böhme both of these objectives are important for the future welfare of the Nordic countries. Overall, therefore the literature suggests that there is now a “considerable congruence of spatial development issues being discussed at the European and Nordic levels. This facilitates relating national policies to the European debate, although the understanding and interpretation of similar aims or formulations may differ” (Böhme 2003: 23).

#### **4.4.2 Ways**

##### *Vertical integration*

In considering the issue of vertical integration it is again significant that the concept of spatial planning is essentially new in the Nordic countries and that discussing ‘planning’ in these countries, with the exception of Denmark, generally means focussing on land use or physical planning which is strongly institutionalised at the local level. It also seems that the degree of vertical integration of ‘spatial planning’ and spatially relevant policy-making varies according to the different sectors that compose it – physical planning, regional policy and environmental policy. Particularly with regard to physical or land use planning the vertical linkages between the ESDP and national

and local levels are conditioned by the concentration of competences for planning at different levels.

In meeting the challenge of the ESDP, Schulman and Böhme (2001: 81) note that the "Weaknesses of the Swedish situation concern both the vertical integration of sectors and the horizontal integration of spatial levels". Interestingly, according to Schulman and Böhme (2002) one of the issues to be raised by the authorities that took part in the national consultation on the ESDP in Sweden following the Noordwijk ministerial meeting in 1997, was the lack of coordination between sector interests at the national level. Some of these authorities proposed the development of a national development perspective such as that produced in Denmark. In Sweden however, the state withdrew largely from planning in the 1980s, and similarly in Finland the state has no planning competence as such although it can set the parameters for national planning policy by setting national land use goals. In Denmark the local level is also the key level in planning, however, regional plans are binding on the local level and the state practices national planning. In Norway the state has tended to play a limited role in spatial planning in recent years although in the early 2000s debates took place regarding the development of the role of the regional level in certain policy areas. In light of the strong concentration of competences for planning at the local level, and the lack of highly developed regional or national planning systems in the Nordic countries (other than Denmark), Böhme (2002) has drawn attention to the difficulties that they have been faced in participating in transnational planning exercises such as the elaboration of the ESDP.

#### *Horizontal integration*

The issue of horizontal coordination is significant for the application of an ESDP type spatial development policy agenda in the Nordic countries in light of the traditionally highly sectoral organisation of policy in the areas of concern to spatial planning. As Eskelinen *et. al.* (2001: 42) note in relation to Finland for example, "The concept of spatial planning in the ESDP, which has no direct translation in Finnish, addresses issues that have traditionally been treated separately".

Reviewing the situation across the Nordic countries, Böhme (2003: 22) concludes that the application of the ESDP is being taken care of by the policy sector that is dominant in defining and delivering spatial policy at the national level. Thus in countries such as Sweden and Norway where



"regional policy emphasises its position as a comprehensive, all-embracing spatial policy" it is this sector that has taken a greater lead in incorporating ESDP ideas into national policy. In Denmark however this role is fulfilled within the context of national planning through the medium of the national planning reports, whereas in Finland, an attempt has been made at the regional level to integrate responsibilities for land use planning and regional development. Overall, Böhme (2003: 23) concludes that "in Sweden and Norway it is the regional policy sector that makes the clearest references to the ESDP, whereas in Finland and Denmark it is the planners who are applying the ESDP in formulating national aims". In summarising European adaptation in the Nordic countries, Böhme (2002: 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". However, it is also important to note that, whilst they are generally consistent with the core planning messages and approach of the ESDP, many of these changes are more clearly attributable to the effects of European integration in general and the effects of the Structural Funds in particular (see below).

### *Spatial integration*

According to Böhme (2002) it is possible to observe trends towards a more integrated approach to spatial planning in the Nordic countries, which are beginning to weaken the traditionally strong sectoral orientation of spatial policy-making. The clearest example of the trends towards a more spatially integrated approach are provided by the Finnish Regional Councils created in 1994, which merge the responsibilities for land-use planning and regional policy into one institution operating at a specific spatial scale (Eskelinen et al. 2001). The strategic regional plan prepared by these bodies is tasked with taking a cross-sectoral approach, which seeks to overcome the traditional divisions between land use planning and regional development policy. This cross-sectoral approach is however, not being promoted at the national level. It is also interesting to note Schmidt-Thomé's (2001: 8) comment that "The gradual integration of the sectors has been partly prompted by the deepening European integration in general, but not to any great extent by European spatial planning in particular". Elsewhere, in Norway the creation of county plans perhaps reflects a desire to address issues of cross-sectoral coordination (Amdam 2004), whilst in Denmark, Böhme (2002) suggests that the national planning reports have taken an increasingly broad perspective throughout the 1990s with the ambition of achieving a reconciliation of the various spatial significant policy sectors into a comprehensive overall spatial perspective.

#### 4.4.3 Means

##### *The Tampere ESDP Action Programme*

The Finnish were keen to sustain the momentum of the ESDP process following the adoption of the ESDP in 1999 and the Tampere ESDP Action Programme was how they managed to achieve this. For Böhme (2002: 130) this was, in part, an attempt to customise European spatial policy during the Finnish Presidency of the EU in-keeping with the country's wider European ambitions. The action programme was organised around key actions with lead partners being identified to take the actions forward. Nordic countries were involved in a range of these actions with Denmark and Sweden participating as lead partners in two of the actions:

- 2.1.1 ESDP policy orientations in SF mainstream programmes (All Member States)
- 2.1.2 Interreg III and ESDP demonstration projects (All Member States) **Denmark** (demo-projects)
- 2.1.3 ESDP policy orientations in national spatial planning All Member States Belgium (synthetic report)
- 2.1.6 Urban policy application and co-operation All Member States France (application experience)
- 2.2.1 Establishing the ESPON co-operation Luxembourg **Sweden** (work programme) Germany
- 2.3.2 Spatial impacts of enlargement on EU Member States and non-Member states The Commission

No literature relating explicitly to the ways that the Nordic states took forward the relevant actions of the Tampere ESDP action programme was uncovered during the literature search.

##### *Cross-border co-operation (INTERREG IIIA)*

Regions within the Nordic countries are involved in a large range of cross-border cooperation initiatives funded as part of the Interreg IIIA programme including:

- Sweden/Norway - 'Southern border area'
- Finland / Sweden / Norway - 'Kvarken-MittSkandia region'
- Finland / Sweden / Norway / Russia - "'Nord" programme'
- Finland / Russia - 'Karelia region'
- Finland / Russia - 'South-East Finland / Russia'
- Finland / Estonia - 'Finland / Estonia'
- Finland / Sweden - 'Skärgården Islands'
- Sweden / Denmark - 'Öresund region'
- Denmark/Germany - 'Storstrøms Amt and Ostholstein-Lübeck'
- Denmark/ Germany - 'Fyns Amt and K.E.R.N.'
- Denmark/Germany - 'Sønderjylland and Schleswig'

Of these different initiatives most literature was uncovered in relation to the Øresund region (Jensen and Richardson 2004; Berg et. al. 2000; Maskell, P. and Törnqvist, G. 1999). Jensen and Richardson (2004) point out that Interreg III is considered a 'test bed' for the application of the ESDP and thus present the Sweden/Denmark Øresund region as one of their case studies of the Europeanisation of spatial planning practice. The Øresund region is viewed as the most internationally competitive region that Denmark possesses, and Jensen and Richardson (2004) note the 'nestedness' of this international urban region in the wider EU spatial policy discourse as well as the high priority accorded to its development in the Danish national planning reports of the past decade. The development of the region is overseen by a political body, the 'Øresund Committee,' which administers the Interreg funds that the region receives from the EU. The Committee's vision is that:

"The Øresund Region will become one of the most integrated metropolitan regions in Europe. Based on two different countries, divided by water and linked by a bridge, the Øresund Region will be one of the most important regions in Europe within the next few years."

Øresund Committee (2004)

For Jensen and Richardson (2004: 191) the support provided to the Øresund Interreg region illustrates how the region is one of the many cross-border regions that have "materialised under the EU spatial policy discourse". One

concrete manifestation of this is the 16km long Øresund bridge, which is part of the wider TEN-T infrastructure programme at the European level, as well as being an important 'internal' component of the Øresund transnational region that provides a fixed link between its Danish and Swedish components. The link between initiatives such as the Øresund region and the ESDP is reflected in O'Dowd's (2001: 1) comment cited in Jensen and Richardson (2004) that "A very practical example of polycentric development is the growing Øresund region in Denmark/Sweden and the towns and cities it embraces". Therefore in the literature the Øresund region is seen as being closely related to the themes and aims of EU spatial policy discourses in general, and the ESDP's policy themes in particular. In relation to the polycentricity policy guideline for example, it is argued that the Øresund region can be seen both as an attempt to foster polycentricity at a inter/intra-regional scale through the creation of a cross-border urban network and as contributing to polycentricity at the European scale through the development of a counterweight zone of 'global economic integration' outside the 'core' Euro-Pentagon identified in the ESDP.

#### *Trans-national co-operation (INTERREG IIIB)*

Nordic countries are covered by three of the Interreg IIIB transnational cooperation regions in the 2000-2006 period:

- the Baltic Sea Region (Denmark, North-East Germany, Sweden and Finland in the European Union and Norway, Estonia, Latvia, Lithuania, Poland, Russia and Belarus);
- the Northern Periphery (Finland, Scotland, Sweden, Norway, the Faeroes and Greenland)
- the North Sea Region (Belgium, Denmark, Germany, the Netherlands, Sweden, Norway and the United Kingdom)

Jensen and Richardson (2004) and Jensen (2002) have considered the North Sea region as a case study of the Europeanisation of spatial planning, whilst Moll (2002) has considered whether the experience of the North Sea region under Interreg IIC can be seen as an example of successful transnational planning. Nadin (2002) has considered the role of transnational spatial visions in Europe on a wider level as part of which he considers the vision for the North Sea and Baltic regions. Priority 1 of the Interreg programme for the North Sea region is the development of a 'Transnational spatial

development strategy and actions for urban, rural and maritime systems in the Region'. The aim here is to develop measures and actions to promote polycentric and sustainable development, urban co-operation and networking and new urban-rural relationships and networks between rural areas. For Jensen and Richardson (2004) the development of the spatial vision for the North Sea region (NorVISION) contributes to reproducing the discourse of the ESDP, creating a common language to discuss spatial issues and problems in the context of transnational discussions, and to bridging the spheres of the ESDP and the TEN-T.

### *Urban governance*

The key reference relating to the impact of the European spatial planning agenda on urban governance was Selstad (2001) who considered the development scenario of the Eastern Norway County Network. Böhme (2003) also alludes to the influence of the European debate on certain other initiatives at the urban/regional/local scale such as the municipal plan for Copenhagen and the debate that took place in Sweden surrounding the ESDP method of planning.

### *Structural Funds*

It seems that in many cases, the adaptation of institutions, systems and policy approaches has been primarily in response to the Structural Funds. This trend is particularly clear in the two newest EU Nordic member states. Thus in Finland for example, the emergence of Regional Councils as coordinators of partnership arrangements for the administration of the Structural Funds is a clear example of moves towards greater sectoral integration and co-operation. Similarly, in Sweden the introduction of Regional Growth agreements as a means of administering the Structural Funds has tended to increase the role of regions as actors in regional development. It is perhaps significant that in relation to the emergence of more integrated approaches to spatial planning (including the integration of sectors) and to the consideration of spatial issues at the regional level Böhme (2002: 220) considers that "actual changes in the systems were caused more by the Structural Funds" rather than explicitly by European spatial planning policy discourses.

#### 4.4.4 Effects

The clearest institutional changes relating to European spatial development policies in the Nordic countries are those related to the strengthening of the regional level, notably in Finland and Sweden. In Finland the creation of regional councils in 1994 “provided an institutional framework for greater integration of regional planning and development, since the councils were given responsibility for both regional development and the preparation of the regional land-use plan” (Eskelinen et. al. 2001: 45). In Sweden a number of regional pilot projects have been established to test forms of regional administration and governance, and decentralisation has resulted in the introduction of Regional Growth Agreements which are designed to allow regional actors to play a greater role in regional development. Böhme (2002: 218) concludes that the two new Nordic members of the EU are “discovering the regional level and expanding its functions in bringing various sectors together in space” and that such developments are influenced by European spatial development policies, and primarily by the Structural Funds.

#### *Changes in Planning Policies*

A number of changes in planning policies in the Nordic countries following the adoption of the ESDP have already been mentioned in the sections above relating to the impact of the ESDP spatial development policy themes and the integrated spatial development policy model which the ESDP promotes (sections 2.4.1 and 2.4.2). A number of additional observations can also be made. Overall, the “most distinct case of transferring the ESDP into national policy is Denmark” while in Finland ESDP features have been “transformed into national policy by integrating these aspects in national land-use goals” (Böhme 2002: 222). Elsewhere it appears that ESDP aims and policy themes have not been directly integrated into national planning policy.

In addition, in Finland, Eskelinen et. al. (2001) suggest that the ESDP may be used as an argument in national political debates, for example, it complements the Government’s increased emphasis on urban policies. In Denmark, the national planning report of 2000 has been described as going into more depth in relation to certain ESDP policy options and as investigating how these may apply in the Danish context e.g. achieving a more polycentric urban system. In Sweden and Norway where the regional development policy sector is viewed as being more powerful and the ESDP is understood as a regional development rather than as a ‘planning’ policy,

references to the ESDP and European spatial policies are found in regional policy rather than planning policy. Examples of this include the Swedish Government Bill on regional policy of 2001/02 and the Norwegian Government's report on regional policy of 2001.

### *Changes in planning practices*

Elements of the changes in planning practices are covered in other sections of this sub-chapter, however, a number of key observations can be made here. In general it seems that the main adaptations in planning practices in the Nordic countries are related to the need to work in partnership at specific territorial scales in order to administer and deliver the Structural Funds. In Finland and Sweden for example, new arrangements have emerged at the regional level, which aim at securing a more integrated approach between the sectors and the involvement of a wider range of partners in regional development policy. Thus in practice, the key change that European spatial development policies appear to have contributed towards is a greater aspiration to achieve a more integrated approach to cross-sectoral working. It is important to note however that such changes appear more closely tied to the need to develop arrangements for the administration of the Structural Funds than to the ESDP agenda in an more explicit sense. A final point of interest is that during the second period of consultation on the ESDP in Sweden (2000) it is reported that a number of actors and initiatives at the sub-national level started to argue that they had in fact been following the "ESDP methodology" for at least 20 years. In relation to planners Böhme (2001: 4) notes a tendency to use the ESDP as a means of strengthening one's own position and to "embrace it fervently, with everyone maintaining that she/he is and has been doing exactly what the ESDP says". Therefore the issue of changes in planning practices is a complex one due to the need to establish the causality between changes in spatial development policymaking practices and the need to account for the perception of those involved in such practices that may consider that the ESDP does not reflect or require a changed approach to practice.

### *Changes in planning culture*

In terms of changes in planning culture, Böhme (2003) notes that the concept of 'spatial planning' is new to the Nordic countries where traditionally a high degree of sector orientation exists and the subject matter of spatial planning is separated into physical planning, regional development, and environmental protection. In Finland, although it tends to 'sideline' certain Nordic features and national Finnish concerns:

"In addition to seeing the ESDP as an important forum for pursuing country-specific issues, the ESDP has also been regarded in Finland – mainly in governmental ministries and among scholars – as a process, which may reveal the implications of a new planning philosophy for the national tradition".

#### *Spatial Development*

It appears that at present there is little in the published literature that explicitly addresses the extent to which the ESDP has an influence on spatial structures or processes and patterns of spatial development in the Nordic countries since its adoption in 1999. This is in some respects unsurprising given that, as noted in the Clarification to the Bid, the ESDP document can hardly have had an effect on spatial structures already by 2004 (Nordregio 2004).

#### **4.4.5 Levels**

Based on his study of the Nordic countries, Böhme (2002, 2003) has stressed the importance of institutional settings and national policy environments in conditioning how European spatial policy influences policies in national and sub-national settings. In the context of the Nordic countries, planning systems are based around unitary central governments and powerful municipal government at the local level. Strong national spatial planning policies are generally however the exception to the rule in the Nordic countries, with Denmark having the most highly developed instruments and levels of policy guidance at this level. The extent and nature of planning and policy-making across the different levels in the Nordic countries is one of the factors that conditions the ways in which planning systems and national planning and other policies respond to European spatial development policies such as the ESDP.

Discussing 'planning' in the Nordic countries means focussing on land use or physical planning and the roots of planning in land use planning are reflected in approaches to planning and planning policies at the national level. Denmark is the only Nordic country where national level planning is undertaken as a regular and mandatory activity. National planning reports are produced following each general election by the Ministry of the Environment with other ministries, for example, the Ministry of Energy.



These reports are non-binding, provide guidance for regional and local authorities and thus constitute Denmark's general planning policy. The other Nordic countries do not have the same recent tradition of engaging in the production of national planning reports and policy, although in the mid-1990s overview reports without official national policy status were produced in Finland, Sweden and Iceland ('Finland 2017', 'Sweden 2009' and 'Iceland 2018'). In general therefore the Nordic countries share an approach to defining national planning policy that aims at providing a non-binding framework for policy-making at the regional and local levels. In Böhme's (2002: 217) terms "the strong position of the local level basically restricts central state administrations to setting broad goals and structural frameworks, while the local level finds the means to achieve these goals". The position in Denmark, Finland, Sweden and Norway is now considered.

In Denmark, the municipal level is the key level for planning, though regional plans exist and are binding on the municipal level. Denmark is also the only Nordic country that has an institutionalised form of national planning in the form of non-binding national planning reports which offer persuasive guidance to regional and local authorities. Denmark therefore has institutions dealing with planning and development on the national, regional and local levels. Although planning at these levels is generally restricted mainly to physical planning rather than the broader approach to spatial planning promoted by the ESDP. At the national level it has been argued that the Danish national planning report of 1992 was probably the first national planning document in Europe to incorporate references to the ESDP (Böhme 2001: 2). In relation to the influence and application of the ESDP across the three levels, Böhme (2001: 3) argues that:

"concerning the reception of the ESDP document in Denmark, adoption and knowledge about the ESDP is mainly limited to an inner circle dealing with national planning and visions and involved in trans-national planning projects. No attempts have been made to make the document known and accepted in the wide circles of planners at regional and local level"

In Finland there is no autonomous self-governing regional level. Regional Councils indirectly elected by the municipalities are thus the main actors in spatial planning and development at the regional level. Böhme (2002: 123) argues that one of the ways that the Regional Councils have been influenced by membership of the EU is through the integration of regional development and land-use planning as "an answer to the European idea of spatial

planning". However, although "The regional tier is the level in Finland where the ESDP philosophy can actually be implemented, as only here all spatial development and planning tasks lie with the same actor.... There seems to be little concern with and knowledge of the ESDP" (Böhme 2002: 120). Böhme (2002: 131) has also argued that despite:

"broad national participation in the ESDP process and the fact that Finnish planners have now become familiar with EU programmes, European spatial planning initiatives, such as the ESDP and especially its content are relatively little known. One reason for this may be the fact that the ESDP is handled at national level and aspects considered as being of relevance for Finland as a whole are integrated or translated into Finnish national policies".

In Sweden, the local level enjoys a "planning monopoly" (Böhme 2002: 215) and regional planning can only take place with the consent of the municipalities as a result, regional planning is rare. Reflecting this it is significant that Böhme (2001: 4) considers that "Sweden is probably the only country where the ESDP is discussed on the local level". During the consultation process on the ESDP in Sweden in 1997 and again in 2000 regional and local actors engaged in the debate raising concerns about the ESDP but also, in the second period of consultation, using ESDP arguments to strengthen their own positions. In Norway local government is also in a relatively strong position, as the national government has not produced a report on regional planning and land use policy since 1997 and the non-binding county plan is the only planning instrument above the local level.

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 transnational planning. Despite this the emerging agenda of European spatial development policy and the ESDP document itself have had an influence on ways of thinking and certain adaptations in institutions and practices in the Nordic countries. Summarising the nature of this influence of planning *for* Europe on planning *in* the Nordic countries, Böhme (2001: 6) concludes that:

"There are a number of issues where the European planning co-operation functions as a promoter or even an eye-opener in Scandinavia. It gives strength to the regional level and to territorial perspectives and it challenges the sector divide between planning and development".

#### 4.4.6 References

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#### 4.5 Mediterranean perspectives

As a general statement, in the southern EU countries the production of scientific contributions on Community spatial policies and, particularly, the ESDP and its application is rather recent and restricted in the main to narrow groups of scholars participating in international research networks. Many of these texts are published in English, whilst domestic literatures do not configure proper arenas of public debate, but instead rather narrow and specialised fields of planning studies.

A review of the scientific literature on European spatial planning and its implications in the southern EU countries reveals some recurring features:

- the impression of a widespread process of "Europeanization" of planning cultures, even if not yet completely and not everywhere applied in planning practices;
- the observation, in the meanwhile, of a consistent process of the decentralisation of planning powers from central to regional and sometimes to local authorities;
- the acknowledgement, in most of the countries (i.e. Greece, Italy, Spain), of an emerging 'diarchy' or even rivalry between the Ministry of Economy and that of Public Works (or its equivalent) over leadership on EU policies (in Portugal a dualism concerns the approach to problems of spatial development more than institutional responsibilities, with the prevalence of economic planning over physical planning).

Further, as far as the main levels of planning are concerned, the southern EU countries are generally characterised by:

- a position of the general weakness of the central level of planning (exceptions being Greece and Portugal);
- an increasing improvement of institutional capacities at the regional level (especially Spain and Italy);
- a prevalence for legalistic and rigid planning regulations at the local level, typical of the "urbanism" tradition (CEC, 1997), also redefined as the "Mediterranean syndrome" of prescriptive regulation of planning provisions (Giannokourou, 2005).

In brief, the "urbanism" tradition may be considered the analytical starting point to explaining the above -mentioned difficulties of South European countries in attuning themselves to the ESDP approach (§ 2.1.4) but often also in implementing their own established land use policies. However, the impact of Community territorial interventions (since the Integrated Mediterranean Programmes, applied only in France, Greece and Italy in the 1980s, as the forerunners of the Structural Funds policies) has been of great

importance in the whole area under consideration, even if responses vary from country to country. Arguably, the main common effects are the strengthening of the role of the respective central governments in the planning process (sometimes going in parallel with the appearance of the ESDP in recent legislation) and the diffusion of new procedures of policy making at the regional and local level (with a perceptible shift from regulatory to strategic urban planning, both from an institutional and cultural viewpoint).

#### **4.5.1 Themes**

##### *Polycentrism*

Sensitivity to the topic of polycentrism clearly points to the often deep differences that exist among “Mediterranean” countries, perhaps a useful but inevitably simplistic label. In this case, an ideal continuum should be imagined from a positive pole, where polycentrism is recognised as a crucial item, to a negative one, where the question is disregarded or even ignored. Among the South European countries, Italy shares with France a position on the positive pole (even if there are still considerable distinctions between the two), whilst Portugal, Greece and, to some extent, Spain are located close to the negative one.

The leading position of France in putting polycentrism into European spatial policy agenda is well known (and France may represent, in this, truly a bridge between the North-Western and Mediterranean perspectives). In French practice this tradition grew up around the need to deal with the effort to reduce the imbalance between the Parisian basin and the French periphery: which at the beginning insisted on the role of the regional capitals (*Métropoles d'équilibre* during the 1960s), later trying to reinforce peripheral urban systems (*Réseaux de villes* in the 1980s) (Cichowlaz, 2005).

In Italy, the increasing level of attention given to this theme arose for three reasons: the high wealth of poly-nuclear structures, particularly in some areas of the country; the strong tradition of municipal self-government; and the ongoing reform process towards decentralisation and federalism, begun in early 1990s (and which is still underway) (Governa and Salone, 2005; Salone, 2005). However, such attention has never been translated into any national law or planning framework with indications as to how it reinforces polycentrism. The policy of central governments in charge during the past decade was rather to launch competitive bidding programmes for urban renewal and local development initiatives, in order to exalt local varieties

and, at the same time, to promote inter-urban and multi-actor co-operation (Janin Rivolin, 2003).

Spain appears less interested in this topic, although regionalism and the construction of a “composite state” is perceived as very important in order to valorise the diversity in development paths throughout the country (Farinós Dasí et al., 2005). As for other Southern countries, Portugal shows itself also to be quite disinterested in the core questions posed by the ESDP, with no exception for polycentrism, nor has the country experienced any redefinition of the role of regions (Rosa Pires, 2005). Greece, for its part suffers for weak internal and external relationships, which seem to limit any realistic action as regards improving polycentrism and network linkages between cities inside and outside the country (Petrakos et al., 1999).

#### *Urban-rural relationships*

Mediterranean countries perceive the question of the relationship between urban and rural areas in various ways, but basically in the sense of “competition”. Despite the non-negligible role of rural areas and agriculture in the majority of these countries, only France and Spain seem in particular to be aware of the importance of a “rural culture” in their national policies. This awareness has had some influence in the ESDP making process and was conversely increased by the dissemination of the ESDP policy aims. At the Madrid summit in 1995, the Spanish Ministry of Public Works, Transport and Environment identified rural areas as one of the topics for the ESDP, in order to promote the development of less favoured areas in Southern Europe (MOPTMA, 1996).

Despite the prevailing rural character of their economies, Portugal and Greece showed themselves less capable of exploiting the ESDP process as an opportunity to promote or protect their territorial specificity (Economou, 1997). The Greeks argue, rather, for the limited capacity of the ESDP to capture the structural specifics of the country, thus indirectly confirming also national difficulties of self-representation (Coccossis et al., 2005).

Lastly, Italy appears to be conscious of the importance of control over urban-rural competition mechanisms for reducing rural land erosion. The campaign of studies carried out in the SPESP has produced a relevant analysis of urban-rural relationships in the country, but the effects of these



studies on environmental or land policies delivered by institutional bodies seem negligible, with few exceptions (Boscacci and Camagni, 2001).

#### *Parity of access to infrastructure and knowledge*

During the ESDP construction process, the Portuguese and Spanish presidencies were particularly concerned about infrastructure and transport policies, in strict relation to the question of “peripherality” (Faludi and Waterhout, 2002, pp. 58-60, 85-86; Farinós Dasí et al., 2005).

As far as the application of the ESDP is concerned, France would seem the first to enlarge and improve accessibility to knowledge and infrastructure, according to the Republican principle of equality (Cichowlaz, 2005). Although this occurred essentially outwith the ESDP process, it well reflects the goals and the spirit of the intergovernmental document: the policy of the extension of the lines of high speed trains, first towards the Southern and Eastern areas, and only later towards the West, is a good example of this.

In Italy, too, the priority of territorial action led by the central government addressing the issue of the main corridors of transport (Società Geografica Italiana, 2004). Greece feels the need to shorten and improve links to neighbouring countries, both those belonging to EU and its Balkan neighbours, but its geopolitical isolation makes any attempt in this direction fiscally arduous: one example here being the hypothesis of the Rome-Athens Eurocorridor, which is often criticized as unrealistic (Coccossis et al., 2005). More generally, Mediterranean countries consider public investment in infrastructure as strategic, though the acknowledgement of such questions in scientific literature is less developed.

#### *Natural/cultural heritage*

Natural and cultural assets are considered to be of strategic relevance in the South European countries, and are inextricably related to each other. Officially, the cultural declension of the concept of ‘heritage’ is due to the efforts of Spain and Italy who, during their European Presidency semesters in 1995 and 1996, put much effort into the theme, stressing it both as a matter of cultural preservation and of economic development. Italy paid particular attention to the linkages between cultural assets and the cities, as declared during the Venice ministers meeting in 1996 (PCM, 1996).

The position of Greece is rather problematic: despite the problem of managing natural and cultural heritage being appropriate to the character of the country, "the realities of planning in the country and the lack of spatial contiguity with other member states" makes it difficult (Coccossis et al., 2005). However, this is considered to be a high priority in governmental circles, as the 1975 Constitution reiterates. As such, the long tradition of cultural exchanges with the Black Sea areas and with Egypt, and period of consolidated co-operation with other Mediterranean countries may be seen as witness to the excellent coherence of the ESDP aims.

#### **4.5.2 Ways**

##### *Vertical integration*

Vertical integration is at the core of a perceived process of the Europeanization of planning cultures (Giannakourou, 1996, 2005). It "is not conceived as an 'homogeneous' and 'cohesive' top-down process, derived as an 'independent' (external) variable that affects domestic institutions. It is seen rather an interactive and conflicting process of creating fragmented/differentiated policy structures with loose coupling coherence mechanisms exist within a framework of an emerging system of multi-level governance, in which different European, national and sub-national actors in competition and/or cooperation share their power" (Getimis, 2003, p. 82).

Even though not recurrently reminded in literature, this aspect can be considered present also in French spatial policies. Being the 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), the planning system in France has been directly and indirectly dominated by DATAR, an inter-ministerial agency with long experience in territorial policies. Of course, DATAR has also played a prominent role in managing French participation in the ESDP process. However, the strength of central planning notwithstanding, the participation in Community programmes (not only the ESDP process, but especially Interreg) has strongly influenced the recent generation of "contrats de plan Etat-Régions" and "contrats de Villes" (Cichowlaz, 2005). They therefore provide clear evidence of new arrangements of effective vertical integration between the State and sub-national governments.

At least in policy documents and in symbolic terms, Greece and Portugal also demonstrate an increasing effort to construct an interrelated system of planning tools able to bring together different levels of administration and spatial scales. A significant role is in this sense played by the national frameworks. Greece has adopted the National General Spatial Planning Framework in 2000: this has a clear reference to the spatial structure of national poles and axes of development in relation to the nodes of trans-European significance (Coccossis et al., cit.). Portugal is carrying out the PNPOT (National Programme for Spatial Planning Policy), which is explicitly mentioned in recent legislation (1998-1999) as "an instrument for cooperation with the Member states in the spatial organisation of the EU" (Ferrão, 1999; Rosa Pires, 2005).

The nature of vertical integration appears rather weak in the cases of Spain and Italy. In each it seems that there are two forces at work here: on the one hand, the absence of an explicit framework of reference defined at the national level; and on the other, the latent conflict on planning powers between the state and the regions, due to the ongoing and difficult process of decentralisation (Romero González and Farinós Dasí, 2004; Farinós Dasí et al., 2005; Janin Rivolin, 2004; Governa and Salone, 2005; Salone, 2005).

#### *Horizontal integration*

Horizontal integration deals with the mechanisms of institutional arrangement adopted in each country and also involves the questions of co-ordinating sectoral policies and of horizontal governance (Janin Rivolin, 2005). In terms of institutional arrangements, the French situation appears to be the best, at least in terms of legislation, with many forms of inter-municipal collaboration explicitly acknowledged by the state. Although fluid and still largely underway, the Italian case seems interesting too, as, beside institutional mechanisms of co-ordination, some planning practices experience co-operation among local authorities, economic stakeholders and social actors (e.g. territorial pacts or the various integrated planning tools; Janin Rivolin, 2003; Governa and Salone, 2005). This trend is related to a process of decentralisation, which, however, seems to work in informal planning practices better than in institutional formal relationships.

On the other hand, an openness to horizontal integration is not a necessary consequence of a reform process: the Spanish case, for instance, shows that regional planning laws are not so sensitive as regards the enhancement of

co-operation mechanisms (Sánchez de Madariaga, 2000; Romero González and Farinós Dasí, 2004; Farinós Dasí et al., 2005). The exceptions are rare and relate usually to environmental policies, for which the Department of General Management of Environmental Quality and Assessment encourages horizontal co-ordination as well as the vertical co-operation among various levels of government.

#### **4.5.3 Means**

As established also in the Tampere Action Programme, the Interreg Community Initiative should be considered one of the main instruments for the application of the ESDP. This seems certainly to be the case for the Mediterranean countries. Their participation in the Interreg programme constitutes a real opportunity to 'mainstream' the ESDP principles. As a sort of *ex ante* effect of the ESDP application, this strategy was preliminary attempted in the context of Interreg IIC and the European Regional Development Fund (ERDF) Art. 10 Pilot Actions (1997-1999). Interestingly, the implementation of joint planning programmes results in the formation of a concrete arena in which, irrespective of any theoretical concerns, states and regions recognise and accept a Community competence in spatial policies. In this process, the regions prove to be "the real innovative actors" and co-operation appears to be the key-concept helping them to overcome their traditional habit of restricting themselves to regulative planning, even if, as the author asserts, "we are still at the first stage of sharing Euro-spatial concepts" (Pedrazzini, 2005). The study of the sustainable, territorial development of the Alpine Space (running 2004-2006) functions as an example of the development of strategic vision, which will be of relevance for some of the countries belonging to the Mediterranean perspectives, i.e. Italy and France. A strategic study (Strategic Study on International Cooperation in the Atlantic Area) was also performed within the Atlantic Area in the Interreg IIC programme. The Interreg IIIB-project "Etude pour l'élaboration d'un Schéma de Développement polycentrique de l'Espace Atlantique" (SEDA) is aiming at creating a vision for polycentric development in the Atlantic Area.

With regard to the introduction of flexible forms of management in urban policies, the influence of a "European style" is often more theoretical than real. It represents an aim, expressed by scholars but not reached in practical actions. This is particularly so in Portugal, Greece and Spain, indicating that local practices are still strongly affected by a legalistic and legally-binding approach and by a basic inability to face up to the unexpected effects of

urbanisation (Coccossis et al., 2005; Farinós Dasí *et al.*, 2005; Rosa Pires, 2005). Elsewhere, particularly in Italy and France, the policy design at the urban scale seems more influenced by the models disseminated through European spatial planning, particularly the Urban programme (Janin Rivolin, 2003). In these experiences, we can perhaps talk about a cross fertilisation between a local, rather autonomous evolution of urban practices towards forms of flexible governance, and the practices directly inspired by the European models.

All of the Mediterranean countries are covered by the Structural Funds Objective 1. However, some differences emerge with regard to the political influence of the State government *vis-à-vis* the sub-national level in European regional policy making. In the most centralised states, such as Greece, Portugal and France, national governments control the whole procedure, while sub-national authorities have only limited political influence, even if they are able to gain benefits in institution building and learning (Economou, 1997).

In the more decentralised or regionalist countries, such as Spain and Italy, regions have a substantial role in programming and in implementing public expenditure based on the Structural Funds. In Italy, the mechanism is more complex, reflecting a mix of state activism as an interface between the Commission and the regions, which in many cases prove themselves dynamic and innovative in preparing and implementing planning documents (Getimis, 2003).

#### **4.5.4 Effects**

##### *Institutional changes*

As has been recently affirmed, "it is generally agreed that within the EU system of multi-level governance, the joint programming and implementation of the 'partnership' principle have empowered sub-national actors and social partners in network-creation and institution building" (Getimis, 2003, p. 78).

Relating to this, an intensive process of institutional reforms is modifying the political and administrative structure of many European countries. This phenomenon is occurring in parallel with the consolidation of a European planning culture (Giannakourou, 1996, 2005), but it would be hard to affirm

a causal nexus about the two aspects. However, it is undeniable that many interactions are operating between them; these can be seen as one of the many aspects assumed by the global-local dialectic, where the widespread dissemination of common concepts regarding spatial planning is accompanied by a number of regional and local responses which reflect different cultural traditions.

Thus, in some cases we are basically present at the apparent dismantling of the national states in favour of European institutional levels of governments and of empowered regions (Spain and Italy), in others the central state resists and even draws legitimacy from new technical tools of planning (Portugal and Greece), almost "induced" by the indirect pressure of supranational issues. Someone even describes such a phenomenon as a process of construction of a kind of "post-national state", where "a polymorphic geometrical configuration that is likewise being turned simultaneously inside-out and outside-in – inside out insofar as it attempts to promote the global competitiveness of its cities and regions; and outside in insofar as supranational agencies such as the EU, the IMF and the World Bank have come to play even more direct roles in the regulation and restructuring of its internal territorial spaces" (Brenner, 1999, pp. 439-440).

The response of Mediterranean countries to the policy proposal of the ESDP varies in accordance with the respective kinds of institutional setting: countries with a stronger central administration enforce their national planning tools, even in the presence of some forms of decentralisation (for instance in the case of Portugal, where a regionalisation process has started); other countries such as Italy or Spain present a latent conflict between the state, which would like to maintain a strategic role in spatial policies, and the regions, which work actively on ESDP issues especially through the Interreg programmes (Janin Rivolin and Salone, 2000, 2002). In particular, Italian regions have participated in the process of the construction of the Italian proposal for the ESDP in an informal way, but, after the Potsdam meeting in 1999, a "national Committee on spatial development" was established, attributing to the regions a key role in respect of European spatial planning and, especially, the ESPON programme (Janin Rivolin, 2003).

### *Planning policies, practices and culture*

The two countries that appear less interested in the direct application of the ESDP concepts, i.e. Greece and Portugal, are also those that have introduced, or are introducing, national spatial planning tools explicitly designed to improve co-operation with other EU member states. The others seem more engaged in the task of renovating planning policies and practices, which also come under the scope of the ESDP and of Community initiatives.

In particular, Spain is concerned with the creation of new instruments, embracing the concept of spatial planning as going beyond the prevailing tradition of physical intervention and a regulative approach. This also contributes to changing cultural attitude towards territorial policies, through increasing attention being paid to concepts such as the structural funds, environmental policy, cohesion and sustainable development (Farinós Dasí et al., 2005).

In Portugal, an evolution in national planning attitudes parallels the process of the decentralisation of planning powers to local authorities and of an, albeit uneasy, revision of the traditional "blueprint approach" to planning practice (Rosa Pires, 2005).

In Greece, the participation in EU programmes and initiatives (since the launch of the Integrated Mediterranean Programmes the mid 1980s exclusively in Greece, France and Italy) has contributed to a "dramatic transformation" of the national territory. However, the cultural capitalisation of the change still appears to be hampered by a prevailing "non-planning culture", which is a prominent cause of the generally perceived implementation gap in planning (Coccossis et al., 2005).

In Italy, a "creeping material innovation" in planning practice since "the arrival on the scene of the EU as a new institutional player" has been observed (Janin Rivolin, 2003, p. 55; Janin Rivolin, ed., 2002). In particular, local actions promoted by Community as well as national initiatives are triggering the emergence of new paradigms for territorial governance. To be more precise, the Italian 'urbanism tradition' appears to be challenged in a beneficial way by "the rise of planning practices as formulating local development strategies" (Janin Rivolin, 2003, p. 66).

#### 4.5.5 Levels

##### *National*

Here one should distinguish between the documents of spatial planning explicitly referring to the ESDP and those, which deal indirectly with European spatial planning. The strategic schemes adopted by central governments to outline a framework for planning activities at the sub-national scales are included in the first group, well represented by Greece and Portugal. As mentioned above, in 2000 the former adopted the National General Spatial Planning Framework, with the main goal being the desire to overcome the “missing neighbour” effect due to the dislocation of Greece from its other EU partners (Coccossis et al., 2005); while the latter is currently implementing its National Programme for Spatial Planning Policy (PNPOT) with the explicit goal of harmonising the national spatial vision with that of the other State members of EU (Rosa Pires, 2005).

In the case of France and Spain, the ESDP has evidently influenced the logic of the definition of the areas eligible for Structural Fund support: thus, Objective 2 programmes in France should be theoretically linked to the contrats de plan Etat-Régions 2000-2006, whereas in Spain, where spatial planning is the exclusive responsibility of the autonomous regions, the central government carries out, in accordance with its responsibility (article 131 of the Spanish Constitution of 1978) the task of coordinating economic planning for the group of regions which are currently objective 1 and 2.

Besides DATAR, another French inter-ministerial body, namely the CIADT (Comité Interministériel d’Aménagement et de Développement du Territoire), has retained some ideas from the ESDP, stressing the question of polycentrism. In Spain the struggle for leadership in respect of European policies has long been disputed by the Ministry of Finance, as the authority managing the Community Support Framework for objective 1 regions (the large majority of the structural funds concerning Spain), and the former Ministry of Public Works, Transport and Environment and the Ministry of the Environment.

Such “diarchy” is present also in Italy, where no national spatial planning document is currently operable. Here, the Ministry of Economy and that of Infrastructures and Transports (of Public Works since 2001) contend the



leading role in European policies, with the prevalence of the former on managing structural funds and the exclusive competence of the latter for the ESDP, Interreg and Urban. In Italy a specific Ministry for European Policies does exist, but without substantial functions as for spatial planning is concerned. However, going by Italy's previous experience, the evidence that "European spatial planning has a life beyond the ESDP" (Janin Rivolin, 2003, p. 72) is clear at the national level, where in the last decade an increasing European commitment has led to a veritable 'new deal' for planning (Gualini, 2001).

An analogous rivalry between the Ministry of National Economy and that of Public Works has characterised Greek participation in EU affairs, in this case with evident goals of "internal" political competition.

### *Regional*

As expected, the significance of the regional level varies according to the institutional framework of each country. Therefore, decentralised countries such as Spain or Italy are witness to a wealthy range of regional experiences in spatial policies. Nonetheless, since 1990, even France, where regions have no autonomy and weaker powers, has experienced significant activity in terms of spatial perspectives developed at the regional level (Cichowlaz, 2005). Regional experiences in Greece and Portugal however appear to be rather less significant.

In Italy and Spain, recent modifications in the Constitutional Law (Italy) or ordinary legislation (both Italy and Spain) have delegated planning activity as an exclusive competence to the regions. Here, the strong technocratic structure of regional governments allows them to apply the evolution of European spatial planning in regional plans, often explicitly inspired by the ESDP's principles, concepts and aims. Thus, documents like the Schema di sviluppo del territorio regionale (Regional Territory Development Perspective) of Regione Emilia Romagna or the Estrategia territorial de Navarra (Farinós Dasí, 2005) are but examples of regional plans operating with specific reference to European spatial planning.

Moreover, in Italy the EU influence has come in particular by way of the Interreg Community Initiative, leaving its mark in the form of a further improvement of institutional capacity, the term having been introduced by

Putnam (1993). This results above all, in a progressive increase in attention being paid by policy makers to spatial visions and in an effective learning process about inter-institutional negotiations and how to achieve mutual agreements (Janin Rivolin, 2003).

As mentioned above, the power of the French central administration is still dominant, but a significant level of activism at the regional level is nonetheless present. The reasons for this can be identified in:

- the enhancement of multilateral relations among EU countries, as in the Atlantic Arc Commission under the aegis of the Conference of Peripheral and Maritime Regions (CPMR) in 1989, which has pushed the regions to act accordingly to their specific “geopolitical” interests (Poussard, 1997);
- the increasing sensitivity of the regions, which have completely taken on board the principles of the ESDP, especially the proposals for promoting transnational cooperation (Cichowlaz, 2005).

Greece and Portugal however continue to experience a decline in the importance of the regional level. In Greece the regional level for planning activities and government does not exist: given the low level of influence even as regards local spatial planning in the public sphere and on development interventions, it is difficult to imagine the successful introduction of territorial policies at a superior scale. As such, the management of the Structural and Cohesion Funds would require a guiding role to be played by a strategic plan with spatial visions. Of course, this argument supports the necessity of spatial planning also as a horizontal coordinating mechanism for policies, which also affect territorial structures and dynamics, in order to mitigate potential conflicts (Petrakos, 1997; Coccossis et al., 2005). In Portugal a regional level of planning was recently introduced through the Regional Physical Plan (PROT), but thus far few PROTs have been approved. Furthermore, their preparation gave rise to many conflicts between local and regional administrations (Rosa Pires, 2005).

### *Local*

Arguably, local effects can be less easily perceived than those illustrated at the higher levels. Moreover, Mediterranean countries are steeped in the “urbanism” tradition, with a strong preference for legal prescriptions on land

use and urban design, and with no strategic orientation. In such conditions, a direct adoption of the ESDP concepts or policy aims may prove to be a daunting task. In reality, it is more likely that we will see local plans occasionally interfacing with some of the issues stressed by the ESDP, like for instance, urban sprawl, or sustainability.

The French system of urban planning represents an exception here, with its twofold level of documents: a strategic one, the *schéma directeur*, where general orientations about the spatial future are outlined, and a legally binding one, the *plan d'occupation des sols*, with technical prescriptions about building permissions and land uses. In Italy, according to the different regional planning laws, some strategic plans are adopted as a framework for land use documents. In both cases, there is no direct application of the ESDP: the acknowledgement of European spatial planning concepts is still bounded to the academic milieu and regional and state officers.

As far as Italy is concerned, however, the functioning of the above-mentioned innovative local practices of regional development and urban regeneration may be seen as an, albeit unconscious, application of the ideal concept of polycentrism (Governa and Salone, 2005). In this light, a centralist perspective appears to be able to meet concretely with more spontaneous 'bottom-up' processes of networking. Moreover, the sudden and spontaneous adoption of non-statutory strategic plans by many local authorities is perhaps the clearest sign of a widespread attempt to capitalise, both technically as well as institutionally speaking, on such EU-led cultural innovations (Janin Rivolin, 2003).

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## 5 Methodological review of the ESDP application concepts

### 5.1 Introduction

This chapter is a key element of the First Interim Report, as it synthesises the previous chapters dealing with the *Review of the Policy Documents* (Chapter 3) and the *Review of the Scientific Literature* (Chapter 4). In so doing, it constitutes the basis for what follows thereafter, i.e. the formulation of the *Working Hypothesis for the Application of the ESDP* (Chapter 5), and for the consequent development of guidelines for the national reports and the case studies (Chapter 8 and 9).

Therefore, this chapter has been structured as a systematic comment on an overall *matrix*, having in its *columns* the *policy documents relevant to European spatial development* (see Chapter 3):

- the ESDP and the Tampere Action Programme;
- the CEMAT Guiding Principles for Sustainable Spatial Development of the European Continent;
- the OECD Territorial Outlook report;
- the European Commission's second and third report on economic and social cohesion;
- the Tampere actions 1.3 (ESDP policy orientations in national spatial planning) and 1.4. (Spatial impacts of Community Policies);

as well as the *regional perspectives on European spatial planning*, by which *scientific literature on the ESDP application* has been reviewed (see Chapter 4):

- North-Western perspectives;
- British perspectives;
- Nordic perspectives;
- Mediterranean perspectives.

The *rows* of the matrix are the *keywords*, commonly adopted when reviewing policy documents and scientific literature, classified in five classes:

A. *Themes*:

- a1. polycentric spatial development (polycentrism)

- a2. new urban-rural relationship
- a3. parity of access to infrastructure and knowledge
- a4. wise management of the natural and cultural heritage

*B. Ways:*

- b1. vertical integration
- b2. horizontal integration
- b3. spatial integration

*C. Means:*

- c1. Tampere Action Programme (various actions)
- c2. cross-border co-operation (Interreg I, IIA and IIIA)
- c3. transnational co-operation (Interreg IIC and IIIB)
- c4. urban governance
- c5. Structural Funds

*D. Effects:*

- d1. institutional changes
- d2. changes in planning policies
- d3. changes in planning practices
- d4. changes in planning culture (discourses)
- d5. changes in spatial representation (images)
- d6. spatial development

*E. Levels/actors:*

- e0. European (European Commission and other institutions)
- e1. national
- e2. regional
- e3. local
- e4. other actors (academic sector, private sector, etc.).

The *cells* of the matrix have been filled by the review authors indicating (a) the *order of importance of the keywords within each class* and (b) a *synthesis comment of the main findings for each keyword*, with reference to one policy document or regional perspective. This common method of assigning scores and commenting allows comparisons both between policy

documents and the scientific literature and among the different policy documents and the distinct regional perspectives in which the literature has been produced.

The outcomes of the present methodological review of the ESDP application concepts are presented in the following sections, focusing respectively on the above five classes of keywords. Each of the five sections contains (a) the concerned extract of the matrix, (b) a general overview comment, (c) a comparison between the policy documents and the scientific literature and (d) a comparison between the regional perspectives. Of course, given the synthetic basis of data on which this analysis has been developed, reference to previous Chapters (i.e. 3 and 4) is required to obtain a deeper understanding.

## 5.2 Themes

classes	Key-words	Tampere ESDP Action Programme		CEMAT		OECD		Reports on Economic and Social Cohesion		Tampere Actions 1.3 and 1.4	
		R	Description	R	Description	R	Description	R	Description	R	Description
A. Themes	a1.polycentrism	1	Addressed by definition (reference to the ESDP as a whole)	1	Polycentric development seen as a way of reducing 'environmental pressures' and 'social tensions'	1	Various policy tools are identified to improve spatial development. These broadly coincide with the ESDP's 3 policy guidelines	1	The second report on economic and social cohesion contains more reference to polycentricity	2	Actions not thematically oriented - Polycentrism not a main topic
	a2. new urban/rural relationship	1	Addressed by definition (reference to the ESDP as a whole)	2	Puts emphasis on urban-rural partnerships to protect large-scale outward migration from rural areas	1	as above	3	Little attention to urban-rural relationships - some mention in the third report	1	Actions not thematically oriented - Impact of CAP and rural development policy analysed in 1.4
	a3. parity of access to infrastructure and knowledge	1	Addressed by definition (reference to the ESDP as a whole)	2	Parity of access to infrastructure is seen as important for more 'regionally balanced development'	1	as above	2	Similar level of attention to access to infrastructure and knowledge in the second and third reports	1	Actions not thematically oriented - Impact of Common Transport Policy and TEN analysed in 1.4
	a4. wise management of the natural and cultural heritage	1	Addressed by definition (reference to the ESDP as a whole)	2	Natural resources not only environmentally important but also important for recreation and quality of life. Cultural heritage seen as a way of strengthening economic development and regional identity.	1	as above	1	More attention to natural and cultural heritage in the third report	1	Actions not thematically oriented - Impact of Community Environmental Policy analysed in 1.4

**Figure 5 Review of policy documents "Themes"**

classes	Key-words	North-Western perspectives		British perspectives		Nordic perspectives		Mediterranean perspectives	
		R	Description	R	Description	R	Description	R	Description
A. Themes	a1.polycentrism	1	Shapes increasingly spatial policy discourses	1	Key policy principle that has captured the imagination of academics and policy makers	1	Is reflected in certain transnational planning initiatives including the Oresund INTERREG region. There may be a contradiction however between the promotion of polycentricity at the level of the European territory and within certain Nordic national territories	3	Somewhere increasing attention due to existing spatial structures, but negligible translations in planning frameworks
	a2. new urban/rural relationship	3	Rural areas are not outposts of polycentric urban systems	3	Inter-relationships between urban and rural areas increasing being acknowledged in policy documents although implications for policy poorly articulated	2	Already an issue in the Nordic debate independent of the ESDP. Polycentricity objective at the European level may reinforce centre-periphery development imbalances & dominance of the capital regions	4	Concept basically perceived in a competitive sense; some new analyses, with minor effects on policies
	a3. parity of access to infrastructure and knowledge	4	Gravitational centre of European knowledge society will not differ too much from the core regions of European industrial society	3	Key principle often around public transport issues, but access to ICT seen as an important component in promoting competitiveness.	3	Does not seem to have been explicitly considered as part of an explicit response to the ESDP	2	Generally at the core of national policies, but few responses from private capitals and scientific debate
	a4. wise management of the natural and cultural heritage	2	Rooted in mature and progressive planning traditions	2	Protection of critical sites and species acknowledged and embedded in planning tradition	2	Issues already formed part of the debate on territory and planning in the Nordic countries	1	Traditionally considered of strategic importance by policy makers and academics

**Figure 6 Review of scientific literature "Themes"**

### 5.2.1 General overview

Above all, polycentrism is the main theme both in terms of the policy documents and the scientific literature. Analysing the data in the matrix it is easy to underline an important difference between the result obtained reviewing and comparing policy documents and the output drawn from the scientific literature. *Policy documents*, especially those that directly refer to the ESDP (but even those that do not represent an important exception), consider *all four themes* as topics of almost *equal importance* (with the edge pointing in the direction of polycentrism).

Turning now to a consideration of the *scientific literature*, *polycentrism* and *the wise management of natural and cultural heritage* appear to be the topics that dominate and influence spatial planning policies, while the urban/rural relationship and parity of access to infrastructure and knowledge are often not explicitly taken into consideration or, even if present in the scientific debate, produce fewer effects on applied policies.

### 5.2.2 Comparing policy documents and the scientific literature

Analysing the role of *polycentrism* in the policy documents, it clearly appears as a *main topic* in all but Tampere Action 1.3 and 1.4 documents, where it does not clearly orient any action. In CEMAT however it is merely regarded as a 'tool' able to reduce environmental pressure and to improve spatial development.

Policy documents tend to view the *new urban/rural relationship* as an *important topic*. Indeed this is particularly so of those directly referring to the ESDP programme (Tampere ESDP Action Programme, OECD). In Tampere Action 1.4 it is included within the broader framework of CAP and rural development policy. In CEMAT this relation represents a 'tool' to protect large-scale outward migration from rural areas and to improve spatial development. Only Reports on Economic and Social Cohesion pay little attention to the urban/rural relationship topic.

In addition to the two previous themes, *parity of access to infrastructure and knowledge* is seen, in the policy documents, as a tool "for more regionally balanced development and to improve spatial development".

All the documents consider *wise management of the natural and cultural heritage* as a major topic. Shifting the analysis from one document to another it is possible to see the different level of attention attributed to management of natural and environmental resources (Tampere Action 1.3 and 1.4, Reports on Economic and Social Cohesion) and management of the cultural heritage. Wise management of natural and cultural heritage is usually seen as a way of pursuing recreation and quality of life and of strengthening economic development and regional identity.

Even if the polycentrism is recognised as a major theme in policy documents and in the scientific literature, it is also clear that in policy documents the other themes are still relevant. On the contrary, in the scientific literature, wise management of the natural and cultural heritage appears to be the topic that most influences spatial planning policies.

### **5.2.3 Comparing regional perspectives**

In the review of the scientific literature it is important to underline how *polycentrism* is seen as an *emerging discourse*, that increasingly shapes the spatial policy debate (North-Western perspectives), captures the imagination of academic and policy makers (British perspectives), obtains increasing attention due to the existing spatial structure (Mediterranean perspectives). Although it is the main topic in three out of four regional perspectives, polycentrism is also described as a possible contradiction between European development as a whole and the development of certain specific national territories (Nordic perspectives). In the Mediterranean perspective, in spite of the interest it generates it still lacks effective translation into the region's national planning frameworks, and cannot therefore be considered the main theme for them.

Far behind polycentrism and wise management of the natural and cultural heritage, we have *new urban/rural relationship*, which is therefore *not the main topic* in the scientific literature. Although the North-Western and British perspectives recognize that rural and urban areas have to be looked upon in an integrated way, they point to the fact that the implications for spatial policies are still poorly articulated. The only exception here appears to be represented by the Nordic perspectives, in which the urban/rural relationship is an important issue in the debate outside the ESDP. Moreover, the polycentricity objective at the European level may reinforce centre-periphery development imbalances, and the supremacy of the capital regions.

As with urban/rural relations, *parity of access to infrastructure and knowledge* is a topic *that does not feature so highly* in the scientific literature, particularly when compared to polycentrism and the wise management of the natural and cultural heritage. North-Western perspectives take the theme into consideration only when asserting that the “gravitational centre of European knowledge will not differ too much from the core regions of European industrial society”; while the Nordic perspective does not seem to have considered this topic as an explicit response to the ESDP at all. The British perspective, although pointing to this theme as a key principle, asserts that often it is translated only in terms of access to public transport (while it sees the issue of access to ITC as an important component in promoting competitiveness). The Mediterranean perspective represents an exception to the rule here, considering parity of access to infrastructure and knowledge to be at the core of national policies, but pointing to a lack of response from private capital and the scientific world.

*Wise management of the natural and cultural heritage* is considered a *major topic* by all four regional perspectives, immediately *below polycentrism* (or even above it, as is the case for the Mediterranean perspective), but, if polycentrism is increasingly capturing the attention of the debate as the new ‘key policy topic’, the Wise management of the natural and cultural heritage is increasingly seen as a traditional theme, deeply rooted in mature planning traditions (North-Western perspectives, British perspectives), and as such, something that has already contributed to shaping the scientific debate on territory and planning.

## 5.3 Ways

classes	Key-words	Tampere ESDP Action Programme		CEMAT		OECD		Reports on Economic and Social Cohesion		Tampere Actions 1.3 and 1.4	
		R	Description	R	Description	R	Description	R	Description	R	Description
B. Ways	b1. vertical integration	1	Co-operation at the heart of the approach; depending on the actions, all levels should be involved (EC, MS, regions, local)	3	Little direct reference to vertical integration	1	Issues of vertical integration found in various chapters	1	The issue of vertical integration is less apparent in the second report	2	Important topic of 1.3 - Mentioned as an issue in 1.4
	b2. horizontal integration	1	Co-operation at the heart of the approach; depending on the actions, sectors should be involved (focus of 2.4 coastal regions)	1	Horizontal integration is particularly important 'between sectoral policies with significant geographical impacts'	1	Issues of horizontal integration found in various chapters	1	The issue of horizontal integration is less apparent in the second report	1	Primary issue of 1.4 (costs of non-coordination); important topic of 1.3 (shows that cross-sectoral integration is far from obvious)
	b3. spatial integration	1	Between territorial entities at different levels: cross-border/ trans-national/ inter-regional (1.2 Interreg, 2.3 Award, 3.1 Pan-European framework)	2	Cross-border coordination is important	2	Little direct reference to spatial integration	1	The issue of spatial integration is less apparent in the second report	2	Important issue for 1.3 (ESDP seen as contributing mostly to transnational and cross-border co-operation)

**Figure 7 Review of policy documents “Ways”**

classes	Key-words	North-Western perspectives		British perspectives		Nordic perspectives		Mediterranean perspectives	
		R	Description	R	Description	R	Description	R	Description
B. Ways	b1. vertical integration	2	Crucial challenge for all countries. See role of Datar in France; Plea for a strategic approach	1	Planning system expects vertical integration and plan making process expects there to be broad conformity with higher level plans, unless there are specific and justifiable reasons why not	2	Varies according to country and policy sector. Local institutionalisation of planning can be an issue in terms of vertical linkages between ESDP, national and local levels. In Denmark the national level plays a role in interpreting and mediating the ESDP messages.	2	At the core of a perceived process of "Europeanization" of planning cultures, but persisting conflict on planning powers between states and regions
	b2. horizontal integration	1	Same as above	2	Emergent thinking at the regional and local scale as to how to effectively develop strategies that deal with planning issues that transcend the traditional planning framework of administrative boundaries	1	A significant issue in light of the traditionally highly sectoral organisation of the policy areas of concern to spatial planning. Variation in the policy sector which has sought to take forward the ESDP (planning or regional policy). Overall, a trend towards an increasing cross-sectoral perspective in observable in Nordic planning systems.	1	Beside new institutional mechanisms of co-ordination, planning practices experience new forms of co-operation among local authorities, economic stakeholders and social actors
	b3. spatial integration	3	Emphasis on the role of partnerships between all actors affected by (spatial) policy issue	3	Spatial integration a growing objective of planning, through the 'Sustainable Communities' Agenda. Hard to identify the specific influence of the ESDP in this changing emphasis for planning	2	Suggestion that there are trends towards a more spatially integrated approach to spatial planning. The clearest examples of this are at the national level in Denmark, the regional level in Finland, and the county level in Norway	3	Apparently not relevant, with the exception of cross-border cooperation

**Figure 8 Review of scientific literature “Ways”**



### 5.3.1 General overview

In the *policy documents*, *horizontal integration* is, on the whole, seen as being *more important than either vertical or spatial integration*. New discourses and practices inspired by collaborative and communicative planning emphasize cooperation between sectors and actors at different levels. Integration thus appears as fundamental here, particularly for spatial development policies.

A major horizontal integration sensibility found in the policy documents can *also* be verified *in all regional perspectives*. Horizontal integration is one of the challenges that support the new orientation towards strategic planning. Everywhere a trend towards increasing cross-sectoral awareness is noticeable. Vertical and horizontal integration are crucial challenges for all regional perspectives. The “level” of integration varies with different policy sectors. As more relational approaches are spread, tensions emerge with traditional administrative boundaries.

Metropolitan governance could be an important level to improve the three integration typologies. Attention to sustainable development is also related to this.

### 5.3.2 Comparing the policy documents and the scientific literature

Even *more than vertical integration*, *horizontal integration is considered particularly important in all of the policy documents* with the exception of the Second Report on Social and Economic Cohesion. The Tampere ESDP Action Programme and the 2nd and 3rd Reports on Cohesion give the same weight to all three themes. Even though it allots major importance to horizontal integration, the CEMAT document does pay attention to spatial integration, focusing on cross border coordination. On the contrary, in the OECD document, horizontal and vertical integration represent the main issue. The Tampere Actions 1.3 and 1.4 reflect general trends across all policy documents, where horizontal integration appears as the main issue, while spatial integration and vertical integration are both important, even if located at a lower level of importance.

It is however recognized that the lack of horizontal integration has been an obstacle to the effectiveness of policies, and that this is why the integration objective is not a consolidated theme. The 1.3 Tampere Actions illustrate the

cost of this lack of integration, and how it is related to the success or failure of spatial development policies. This means on the one hand that there is a need to overcome the limits of sectoral policies with spatial impacts, while on the other, we have an acknowledgement of the predominance of land use control in spatial policies, and thus that they should be more integrated with other social and economic aspects. *Horizontal integration* is underlined not only *between policies but also between public and private actors*.

It is interesting to underline the importance assigned to the metropolitan level by the OECD document, in particular as a key level to experiment with the integration form of policies.

The Tampere ESDP Action Programme and the Tampere Action 1.3 (and to a lesser extent 1.4) stress the importance of vertical integration. For the regional perspectives in the review of scientific literature this issue is also at the core of the debate. Datar in France is a clear example of how vertical integration is put into practice, while in Denmark, the national level plays a role in interpreting and mediating the ESDP messages.

There is no clear distinction between the policy documents and the scientific literature on spatial integration. The former stress the importance of cross-border, transnational coordination (Interreg). The Nordic perspective points to trends suggesting a more spatially integrated approach, in Denmark (national level), Finland (regional level) and Norway (country level). The scientific literature however finds it hard to identify a specific influence of ESDP on this theme.

It is however interesting to underline the fact that in the CEMAT document, the link between horizontal and spatial integration takes place through trans-border horizontal cooperation, at all levels. Spatial integration thus concerns the limit of sectoral policies. The spatial development approach is thus often sectorally focused, particularly in metropolitan contests. In the policy document we clearly see also how spatial integration is basically required by environment themes and sustainable development objectives.

### 5.3.3 Comparing regional perspectives

Rather than coming to a general overview on the policy document, this comparison between the regional perspectives shows that vertical integration is different from spatial integration. *Horizontal integration* remains the *main issue* to be pursued while *vertical integration* follows, but only as a *secondary priority*.

Integration forms appear as important themes, particularly at the regional and local levels, and often in policies with spatial implications. The North-Western and Mediterranean perspectives are coherent with this general trend, while the Nordic perspective is closer to the 1.3 and 1.4 Tampere actions and the general trend of the policy documents, where vertical and spatial integration are alike in terms of importance, behind the main objective of horizontal integration.

As far as the North-Western perspective is concerned, horizontal and vertical integration appear more oriented to a strategic approach. The Mediterranean perspective, on the other hand seems to be oriented towards coordination and cooperation policies without an explicit concern for the strategic content of the ESDP. Indeed only in the Nordic perspective is there a straight reference to the ESDP strategy and integration objectives.

Vertical and horizontal integration are crucial challenges for all regional perspectives. In the British perspective, vertical integration is reduced to conformity with the higher level, but appears as the primary issue in terms of the "ways" key words. In the British perspective the focus is on issues that transcend the traditional planning framework of administrative boundaries. In the Nordic perspective the focus is on cross-sector cooperation. In the North-Western and Mediterranean perspectives however it is a combination of both.

Place is seen as a locus for integration in the North-Western perspective. The British and Nordic perspectives indicate trends towards spatial integration. In the Mediterranean perspective however spatial integration is not considered to be relevant except for cross-border cooperation.

Horizontal integration is definitely considered as the most important theme. In the British perspective the focus is mostly on transcending administrative

boundaries, while the Mediterranean perspective points also to coordination with sectoral departments. In the North-Western perspective the focus is mainly on horizontal coordination between sectoral departments (see Datar). The Nordic perspective however point to variation in the policy sector, which has sought to take forward the ESDP (mainly spatial planning and regional policy).

Vertical integration is considered to be important in all regional perspectives. In the British perspective it seems to be reduced to conformity with higher levels, while the Mediterranean perspective points to the continual conflict between state and regions. In the North-Western perspective, Datar represents an institutional example of vertical coordination. In a similar manner, the Nordic perspective stresses that the institutionalization of planning is an issue of some importance in terms of the vertical linkages between the ESDP and the national and local levels.

Although spatial integration is one of the core competencies of traditional spatial planning it is seen in a different way according the regional perspective adopted. The British perspective uses the sustainable policy agenda, while the North-Western perspective points to the role of partnerships between actors affected by spatial policy issues. For the Mediterranean the theme is not relevant, apart from cross-border cooperation. The Nordic perspective meanwhile highlights a clear trend towards a more integrated approach to spatial planning.

## 5.4 Means

classes	Key-words	Tampere ESDP Action Programme		CEMAT		OECD		Reports on Economic and Social Cohesion		Tampere Actions 1.3 and 1.4	
		R	Description	R	Description	R	Description	R	Description	R	Description
C. Means	c1. Tampere Action Programme	-	N.A.	3	No reference	4	No reference	2	No reference	-	N.A.
	c2. cross-border cooperation (Interreg I, IIA and IIIA)	2	Important tool (focus of 1.2, mentioned for 1.3 and 2.3)	2	Little direct reference to the issue	3	Little attention to the issue	1	This issue is central to both the second and third reports	2	Important instrument (1.3) (see b3)
	c3.transnational cooperation (Interreg IIC and IIIB)	1	Important tool (focus of 1.2 with particular accent on IIIB, mentioned for 1.3 and 2.3)	1	Transnational cooperation is seen as a means of strengthening cooperation between countries	3	as above	1	as above	1	One of the most useful instruments (1.3) (see b3)
	c4.urban governance	1	Important (urban policy = focus of 1.6) but somewhat distinct from other issues	2	Little direct reference to the issue	1	The document contains a whole chapter on urban governance (Chapter 8)	1	as above	3	Not particularly emphasised but urban "tools" mentioned by several MS as useful (1.3)
	c5.structural funds	1	Structural funds seen as application field (1.1 integration of ESDP into SF programmes, reference to SF in some other actions)	2	as above	2	Structural funds are mentioned as an example from Europe but little attention is given to them	1	Frequent reference to structural funds can be found. The second report states that structural funds are one of the main instruments of social and economic cohesion policy, as well as supporting environmental protection	3	1.3: Structural Funds viewed by some MS as instrument for applying the ESDP; 1.4: role of SF with regard to the ESDP not clearly addressed

Figure 9 Review of policy documents "Means"

classes	Key-words		North-Western perspectives	British perspectives		Nordic perspectives		Mediterranean perspectives	
		R	Description	R	Description	R	Description	R	Description
C. Means	c1. Tampere Action Programme	4	Different actions are on the books.	5	Little understanding as to how they are specifically influencing planning practice, although considerable input of academics in ESPON projects	4	No literature explicitly relating to the ways the Nordic states have taken forward the actions of the TEAP was uncovered.	5	Little and not systematic interest
	c2.cross-border cooperation (Interreg I, IIA and IIIA)	3	Interreg IIIA programmes seen as arenas for application of ESDP	4	INTERREG IIIA and particularly the 'Visioning' Exercises have created something for policy makers to react too, although impact on practice uncertain	2	Nordic states involved in a wide range of Interreg IIIA initiatives (11 in total). Øresund region viewed as a practical example of ESDP application through its aspirations to promote polycentricity at the intra/interregional and transnational levels.	3	Same of transnational cooperation, but at a more experienced and intensive stage
	c3.transnational cooperation (Interreg IIC and IIIB)	1	Interreg IIC programmes are important for de facto field of application of ESDP	2	Important for de facto application of the ESDP, especially in relation to horizontal integration	3	Nordic countries are concerned by three of the Interreg IIIB transnational regions. The Baltic Sea region, the Northern Periphery and the North Sea region. Seen in the literature as contributing to reproducing the ESDP policy discourse, however, effects on practice are not clear	4	Formation of a concrete arena in which, irrespective of theoretical concerns, states and regions recognise and accept a Community competence in spatial policies
	c4.urban governance	5	Open Method of Co-ordination goes further than accommodating diversity and is seen as process of structured mutual learning and multi-level interaction between relevant actors on the basis of common objectives.	1	Partnership working at a variety of spatial scales is increasing. This is seen as a mechanism to foster regional and place competitiveness, eg NETA, the Northern Way	3	ESDP may have influenced development of urban governance network in Eastern Norway. Also influenced the Copenhagen Municipal plan and was debated at the local level in Sweden. May have contributed to reinforcing the Government's increased focus on urban policies in Finland.	2	Great influence of the Urban Community initiative: emerging of new paradigms of urban governance
	c5.structural funds	2	Mainstream programmes for allocation of structural funds do reference ESDP and may be incorporating spatial development considerations to a greater extent than Interreg programmes	3	In the UK SPD's make reference to ESDP, but little knowledge as to whether this has shaped thinking or is little more than a flagging exercise. By contrast in Ireland the National Development Plan designed to co-ordinate EU structural fund investment was the inspiration for the National Spatial Strategy	1		1	The impact of SF (since the Integrated Mediterranean Programmes, as their forerunners) has been of great importance in the whole area, even if responses vary from country to country

**Figure 10    Review of scientific literature “Means”**

#### **5.4.1    General overview**

In terms of ESDP application and as far as the class of “means” is concerned, the general overview of the policy documents and the scientific literature suggests the *following order of attention*:

- Structural Funds
- Transnational co-operation, through Interreg IIC and IIIB
- Urban governance
- Cross-border co-operation, through Interreg I, IIA and IIIA
- Tampere Action Programme.

In particular, a certain distance between the former three keywords and the latter two is visible. This means that, according to the above policy documents and scientific literature review (Chapters 3 and 4), the Structural Funds programmes, the transnational strand of the Interreg Community initiative and urban governance are seen as the most probable means of the application of the ESDP. The interest is lower however for the cross-border strand of Interreg and, rather surprisingly, for the Tampere Action Programme.

In fact, the programme, which is also, formally at least, the most directly related to the ESDP and to its application, appears to be the least considered both in other policy documents and in the authors’ comments. Looking more specifically at the evidence determining such a statement, one may observe that there is “no reference” to the Tampere Action Programme in all other relevant policy documents, i.e. the CEMAT “Guiding Principles for Sustainable Spatial Development of the European Continent”, the OECD Territorial Outlook and the Commission’s Second and Third reports on Economic and Social Cohesion. As for the scientific review, there is “little understanding” of how the programme actions “are specifically influencing planning practice” (British perspective), “no literature explicitly relating” to the ways to take forward these actions (Nordic perspective), while “little and non-systematic interest” is shown in the Mediterranean perspective. Although the degree of attention remains low, only in the North-Western perspective are “different actions on the books”.

#### 5.4.2 Comparing the policy documents and the scientific literature

Shifting attention to the remaining means of application, the above classification is roughly confirmed by the results of the scientific literature review. In the context of the review of the policy documents, the *transnational strand of Interreg* gains *first place*, followed by that of *urban governance* and the *Structural Funds programmes*, while the *cross-border strand of Interreg* is to be found in a *lower place*. In this case, however, differences are minimal and keywords are often treated with the same emphasis inside each policy document.

The *Interreg transnational programmes* (IIC and IIIB) are a central topic in the ESDP and in the Tampere Action Programme (also in respect of its specific actions 1.3 *ESDP policy orientations in national spatial planning* and 1.4. *Spatial impacts of Community Policies*). The topic is also crucial in the reports on Economic and Social Cohesion and, to a lesser extent, in the CEMAT Guidelines. Little attention to this issue is however given in the OECD Territorial Outlook. As far as *urban governance* is concerned, the level of attention is higher in the case of the Cohesion reports and the OECD document. Urban policy is a specific but somewhat distinct issue also in the Tampere programme (action 1.6); though its actions 1.3 and 1.4 do not emphasise the topic more than as a “useful tool” in some countries. Little reference to this issue can be found in the CEMAT Guidelines. The *Structural Funds programmes* receive a greater appreciation only in the EU policy documents (ESDP, action 1.1 of Tampere programme and the Cohesion reports), while little attention is given to them in the CEMAT and OECD documents. Finally, *cross-border co-operation* records a significant level of interest only in the Cohesion reports, while this level decreases in the other EU policy documents (ESDP and Tampere programme) and in the CEMAT and OECD reports.

In general terms, the different classification as regards the scientific literature and the overall review framework may be explained in respect of the low level of *expectation in policy documents* (especially the non-EU ones) *with regard to what the Structural Funds programmes can really be expected to accomplish in the field of ESDP application*. In fact, the literature report, which uncovers more concrete experiences, generally delivers a more optimistic scenario in this respect.

### 5.4.3 Comparing regional perspectives

A comparison between regional perspectives in the review of the scientific literature shows that the *Structural Funds* are considered the *best means of ESDP application*, at least in the cases of the *Nordic and Mediterranean countries*. Of course, this should be related to the location of the Objective 1 Structural Funds eligible zones. In the former case, the emerging impression is that the adaptation of institutions, systems and policies, and the emergence of more integrated approaches to spatial planning are caused more by the process of administering the Structural Funds than by the ESDP itself than by European spatial planning discourse more generally. In the latter, the impact of the Structural Funds (beginning with the Integrated Mediterranean Programmes, as their forerunners) has been of significant importance in the whole area, even if responses vary from country to country. In the case of the *North-Western perspective*, the *impact of the Structural Funds is second only to the Interreg transnational programmes*: though, the mainstream programmes do reference ESDP and may incorporate spatial development considerations even to a greater extent than do Interreg programmes. Only *for the British perspective is attention minor*, since the Structural Funds programmes make reference to the ESDP, but little knowledge is shown as to whether this has shaped thinking or is "little more than a re-flagging exercise". By contrast, in Ireland, the National Development Plan designed to co-ordinate Structural Fund investment was the inspiration for the National Spatial Strategy.

As with the reviewed policy documents, the *Interreg transnational programmes* receive the *maximum amount of attention* only in the case of the *North-Western perspective*: in the concerned countries, they are considered of primary importance for the "*de facto*" field of application of ESDP. A *similar judgement* emerges in the case of the *British perspective* (especially in relation to horizontal integration), where urban governance is also considered to be particularly interesting. The level of attention decreases still further in the case of the Nordic countries, where the Interreg IIIB transnational programmes are seen as contributing to the reproduction of the ESDP policy discourse; effects on practice are not however clear. The lower degree of interest here is shown by the Mediterranean perspective, which generally sees Interreg transnational programmes as an opportunity for the formation of a concrete arena in which, irrespective of theoretical concerns, states and regions recognise and accept a Community competence in spatial policies.



*Urban governance* is of *primary importance* as far as *British perspectives* are concerned. In the UK, partnership working at a variety of spatial scales is increasing and some examples show this to be the mechanism to foster regional and place competitiveness. According to the *Mediterranean perspective*, where the importance of this topic is second only to that of the Structural Funds, the Urban Community initiative in particular has had a significant influence on the *emergence of new paradigms of urban governance*. The medium stage of importance recorded in the Nordic perspective is explained by reference to specific national cases: ESDP may have influenced the development of the urban governance network in Eastern Norway; it has also influenced the Copenhagen Municipal plan and was debated at the local level in Sweden; lastly, it may have contributed to reinforcing the Government's increasing focus on urban policies in Finland. Interest in urban governance appears to be minimal as far as the North-Western perspective is concerned. In the countries concerned, however, the Open Method of Co-ordination goes further than accommodating diversity, and is thus seen as a process of structured mutual learning and multi-level interaction between relevant actors on the basis of common objectives.

Finally, *cross-border co-operation programmes* are listed first in order of importance in none of the regional perspectives. However, *Nordic countries* appear to be the most sensitive to this issue, probably due to their wide range of involvement in Interreg IIIA initiatives (11 in total). In particular, the Øresund region may be viewed as a practical example of ESDP application through its aspirations to promote polycentricity at the intra/interregional and transnational levels. Albeit with a lower degree of attention, Interreg IIIA programmes are also seen as arenas for the application of ESDP in the context of both the North-Western and the Mediterranean perspectives, where attitudes are similar to those on transnational cooperation, though at a more experienced and intensive stage. At the bottom, the British perspective shows that Interreg IIIA, and particularly the "Visioning" Exercises have created something for policy makers to react too, although the impact on practice remains uncertain.

## 5.5 Effects

classes	Key-words	Tampere ESDP Action Programme		CEMAT		OECD		Reports on Economic and Social Cohesion		Tampere Actions 1.3 and 1.4	
		R	Description	R	Description	R	Description	R	Description	R	Description
D. Effects	d1. institutional changes	4	Institutional change is not an issue per se, but better use of institutions (co-operation) is an important concern	1	Little emphasis in the document	2	Little emphasis in the document	1	Little reference to this	3	1.3: institutional changes not essential for applying ESDP; 1.4: proposals for cross-sectoral coordination at EU level
	d2. planning policies	1	Need to develop more cross-sectoral policies (1.4)	1	as above	1	Sections of the document on 'towards renewed spatial renewal policies' and 'rethinking policy responses requires revisiting current practice'	1	Little reference to this	2	1.3: ESDP influence to some degree in most MS (preference for non binding approaches); 1.4: proposals to integrate a territorial dimension in EU policies
	d3. planning practices	1	Integrated approaches (1.5, 2.4) and trans-/cross-border approaches (1.2, 2.3)	1	as above	2	Little emphasis in the document	1	Little reference to this	2	1.3: ESDP influence to a variable degree
	d4. planning culture	2	Make spatial planning more European-aware (1.3, 2.3)	1	as above	2	Little emphasis in the document	1	Little reference to this	1	1.3: awareness of ESDP and of European SP issues should be improved; 1.4: fundamental to solve "cultural problem" of sectoral approach
	d5. spatial representation	3	Addressed through 2.2 (geography manuals) and 2.3 (award)	1	as above	2	Little emphasis in the document	1	Little reference to this	5	Not addressed

**Figure 11 Review of policy documents "Effects"**

classes	Key-words	North-Western perspectives		British perspectives		Nordic perspectives		Mediterranean perspectives	
		R	Description	R	Description	R	Description	R	Description
D. Effects	d1. institutional changes	3	Active building of regional organizing capacity is needed	5	No explicit institutional reforms have resulted from the ESDP. Strengthening of sub-national planning more of a function of internal devolution/regionalisation debates	1	Strengthening of the regional level in Finland and Sweden to enable regional actors to play a greater role in regional planning and development has been influenced by European spatial development policy, primarily the structural funds	4	Twofold phenomenon of reinforcement of the national role and of decentralisation of planning powers from central to regional and local authorities
	d2. planning policies	1	Key principles of ESDP are rooted in planning traditions of countries with mature planning culture.	1	Key principles and policy options of the ESP rooted in the tradition of planning strategic instruments within mature planning cultures. Polycentricity is seen as a new, interesting, and malleable concept	2	ESDP policy principles have been transferred into planning and land use policies at the national level in Denmark and Finland. In Norway and Sweden references are made to the ESDP in Government legislation and reports relating to regional policy.	3	Diffusion of new and diversified procedures of policy making at the regional and local level
	d3. planning practices	2	Cooperation at scale level of poly-nuclear urban region is certainly not taken for granted	3	Growing evidence of partnership working across sector and space reflecting an emerging spatial approach	1	New arrangements at regional level in certain states to promote a more integrated approach between the sectors. Such changes are tied closely to the need to administer structural funds. Some planning actors claim they have already been following the ESDP approach (Sweden)	1	European territorial governance passes through and modifies the complex prism of institutionalised planning by complex and progressive innovations in practice
	d4. planning culture	4	Informal cooperative relationships seem most successful.	2	The ESDP arrived at a particular moment in time and has been used to help strategic spatial planners to re-conceptualise planning problems	1	Concept of spatial planning is new to the Nordic countries traditionally characterised by a strong sectorial orientation. In Finland ESDP is viewed by some Government and academic actors as a new planning philosophy with implications for the national tradition	2	"Europeanization" of planning cultures contrasting the "Mediterranean syndrome" of prescriptive regulation of planning provisions
	d5. spatial representation	6	Blue banana versus bunch of grapes	4	The plans for Wales Scotland, Northern Ireland and Ireland represent interesting and novel approaches of visualisation, compared with a more narrow land use planning tradition	3	Use of metaphor 'a green room in the European house' and ESDP style policy icons in Danish national planning reports.	5	Increasing attention to spatial visions, which are not part of Mediterranean planning traditions

**Figure 12 Review of scientific literature "Effects"**

### 5.5.1 General overview

At first glance, the issue of the effects of the ESDP within the context of four regional perspectives outlined above seems to be reducible to single country issues, rather than to the wider regional perspectives previously outlined. Moreover ESDP aims and policy themes have not always been directly integrated into national planning policy.

The main questions related to the effects of the ESDP at the specific national level are then, first and foremost, related to *changes in planning policies, practices and culture*. Moreover, it appears that, at present, *the effects of the ESDP on institutional changes and spatial development are not yet evident*. Answering this conundrum is however rather straightforward, as we can simply postulate that the changes are in fact related at different time scales, and as such, in respect of these effects, more time is needed to see them 'work themselves out' through the system. On the other hand, it is possible to formulate a hypothesis about their positive results, that is, these effects should become ever more obvious following the generally positive experience relating to the Structural Funds and the Communities Initiatives. Finally, the effects of the application of the ESDP on spatial representation are also not yet evident. Nevertheless, increasing attention is currently being placed on this aspect.

### 5.5.2 Comparing the policy documents and the scientific literature

The comparison between the policy documents and the scientific literature is not so easy to make. The first thing that emerges here is that the *CEMAT document and the two Cohesion Reports* (Second and Third) do *not contain explicit reference* to the effects of ESDP application. On the other hand, the *OECD 2001 Territorial Outlook* does contain some *reference to the evolution of spatial policies* in terms of goals, principles, tools and issues. Moreover it also contains an overview of new regional policies. In terms of changes in spatial representation, the OECD Conceptual Framework states that spatial development policies can promote new network structures among towns and cities and between rural and urban areas.

In the *Tampere Actions* there are three main themes directly related to *changes in planning culture, policies and practices*: awareness that ESDP and ESP issues should be improved, the need to better integrate the

territorial dimension into EU policies, and recognition of the importance of the overlap with the sectoral approach. In general, it is possible to confirm that the main effects of ESDP application are related both in the policy documents and in the scientific literature to changes in planning policies, practices and culture.

### 5.5.3 Comparing regional perspectives

In general, it goes without saying that in those countries (i.e. relating to the North-Western and British perspectives) with mature planning cultures, the aims and key principles of ESDP are rooted in planning traditions. Overall, the most distinct case of the simple transfer of ESDP into national policy is in Denmark and Finland, where ESDP features have been “transformed into national policy by integrating these aspects into national land-use goals”. The main effects of the ESDP that may be found in *planning policies* are:

- the promotion of spatial development policy themes – spatial approach - and the integrated spatial development policy model (i.e. Northern Ireland, Wales and Scotland)
- the use of ESDP as an argument in national political debates to increase emphasis on urban policies (i.e. Finland)
- the application, in practice, of the polycentrism concept in relation to certain ESDP policy options (in France to counterbalance the hyper concentration in Paris)
- the use of the ESDP principle of polycentrism to consolidate some planning policies related to polynuclear regions (Randstad, Rhine-Ruhr and Flemish Diamond)
- the use of ESDP and European spatial policies as a regional development rather than as a ‘planning’ policy (i.e. Sweden, Norway).

Regarding the *effects in planning practices*, it is interesting to note that the countries that appear less interested in the direct application of the ESDP concepts are also those that have already introduced, or are currently introducing, national spatial planning tools explicitly designed to improve co-operation with other EU member states.

Two methodological tools emerge in general across all the countries: the need to work in partnership with the involvement of a wider range of partners, and the need to adopt a more integrated approach across all

sectors. The key change in practice then, which European spatial development policies appear to have contributed towards, is the greater aspiration to achieve a more integrated approach to cross-sectoral working: multiple forms of action integrating different objectives; co-ordinating various institutional levels and public and private actors.

The *changes in planning culture* are generally related to the introduction of a more *spatial planning approach*. In the Nordic countries for instance, the subject matter of spatial planning is usually separated into physical planning, regional development, and environmental protection. Thanks to the experience of Interreg cross border and transnational cooperation however, a more 'network-style' approach to planning is on the rise. In some Mediterranean countries, participation in EU programmes and initiatives has contributed to the emergence of new paradigms of territorial governance. For instance, in Italy the "urban tradition" appears now to be under increasing challenge in the context of "the rise of planning practices as formulating local development strategies".

The ESDP effects on *institutional changes* are again very different when addressed on a country-by-country basis. An intensive process of institutional reform is modifying the political and administrative structure of many European countries: the widespread dissemination of common concepts regarding spatial planning is accompanied by a number of regional and local responses, all of which reflect different cultural traditions. In some countries – such as the UK and Ireland – there have been no institutional changes that have been reported as a consequence of the ESPD. While, in Nordic countries on the other hand the clearest institutional changes are related to the strengthening of the regional level (notably in Finland and Sweden). Some other countries with a stronger central administration enforce their national planning tools, even in the presence of some forms of decentralisation (i.e. Portugal); others, such as Italy or Spain however, present a latent conflict between the state, which would maintain a strategic role in spatial policies, and the empowered regions. Germany also, after an initially positive reaction to the ESDP process, has had to cope with pressure from the *Länder* worried about a loss of their competences.

Regarding the *changes in spatial representation*, in the North-Western perspective we can see the emergence of the image of the 'bunch of grapes' (polycentric model) over the older one of Blue Banana, while in other

countries a *new attention* to spatial visions and images of synthesis is increasing after the ESDP adoption.

## 5.6 Levels/Actors

Classes	Key-words	Tampere ESDP Action Programme		CEMAT		OECD		Reports on Economic and Social Cohesion		Tampere Actions 1.3 and 1.4	
		R	Description	R	Description	R	Description	R	Description	R	Description
E: Levels / Actors	e0.European (European Commission / other institutions)	1	TEAP concerns EU15 (and beyond for strand 3) EU-wide approach even when acting on national level EC largely involved, often with MS; other EU institutions in 1.4; Council of Europe in 3.1	1	The role of different actors and levels of decision-making is recognised as important for the process of sustainable spatial development	1	The role of different levels of decision-making is explicitly recognised (e.g. Chapter 8 - 'Improving metropolitan governance')	1	The documents make some reference to the role of different levels in terms of partnerships and coordination	1	1.3: effects of European measures on national policies mentioned; 1.4: European level is the main level addressed
	e1.national level	1	MS involved in most actions, involving actors of lower levels as far as possible	1	as above	1	as above	1	as above	1	1.3: national level is the primary level addressed; 1.4: national level indirectly addressed
	e2. regional level	1	Concrete implementation inside MS (e.g. regional plans, Interreg IIIB) and for cross-border / inter-regional co-operation	1	as above	1	as above	1	as above	2	1.3: role differs widely according to national institutional context; co-operation not always easy
	e3. local level	1	Should be involved as far as possible (see b1) (especially for 1.6 Urban policy)	1	as above	1	as above	1	as above	3	1.3: not much involvement
	e4. other actors (academic sector, private sector etc.)	2	Involved in some actions, in particular 2.1 (ESPON)	1	As above. There is also a section in the document on 'broadly based participation of society in the spatial planning process'	1	As above. The role of various actors in the process of territorial development is addressed in various parts of the document.	1	The role of different actors in economic and social cohesion is more evident in the third report	3	1.3: not much involvement; 1.4: interactions of Community interventions with those of other actors (notably private)

**Figure 13 Review of policy documents “Levels/Actors”**

Classes	Key-words	North-Western perspectives		British perspectives		Nordic perspectives		Mediterranean perspectives	
		R	Description	R	Description	R	Description	R	Description
E: Levels / Actors	e0.European (European Commission / other institutions)	-		-		-		-	
	e1.national level	3	Discussion about desirability of stimulation of “new global economic integration zones”	2	Variable approach depending on the nation state. In Ireland a national approach has emerged, in the UK practical application has been left to sub-national planning agencies	2	Planning generally strongly institutionalised at the local level. The most explicit response to the ESDP at this level is to be found in Denmark	2	Strengthening of the role of central governments in planning processes (sometimes with the appearance of the ESDP in recent legislation)
	e2. regional level	2	In structurally weaker regions need for a widening of economic base and economic restructuring	1	Variable approaches taken depending on sub-national context, but the majority of application focuses on regional competitiveness	1	Variation in the importance of this level. In Finland it is the level where the ESDP philosophy could be implemented but there is little awareness of the ESDP	3	Increasing improvement of institutional capacities at the regional level
	e3. local level	1	Plea that local authorities should refrain from further mutual competition and cooperate on a number of very carefully selected issues.	4	Many LPAs involved in application through Interreg projects, but limited explicit application in plans except for a few ‘enlightened’ authorities have to date been reported.	2	Reflecting the ‘planning monopoly’ of the local level and the lack of regional and national planning the ESDP has been discussed on the local level in Sweden. The local level is also strong in Norway but little literature on the influence of the ESDP at this level was uncovered	1	At the core of a transformation which, albeit often unconsciously, passes through innovation in planning practices
	e4. other actors (academic sector, private sector etc.)	4	Considerable attention from the academics and certain consultants, complete ignorance from private sector	3	Considerable attention from academics and some attention from private consultants.	3		4	Increasing attention in scientific literature; unawareness of the private sector.

**Figure 14 Review of scientific literature “Levels/Actors”**

### 5.6.1 General overview

Before undertaking any in-depth discussion of the similarities or exceptions within the levels of ESDP application, two general points should be underlined. The first aspect concerns the nature of the assessment proposed: this exercise begins from a collective evaluation regarding two profoundly different families of “objects”: 1) the relative position of the various levels and actors within the official literature produced by the institutional bodies themselves (i.e. informal meetings of EU ministers, CEMAT, OECD and so forth), and 2) the role played by the same aspects within the scientific debate, as witnessed by the international literature. These two questions are evidently interlinked but, at the same time, they cannot be compared without considering the caveat that the aspects reflected, and the method of representation, depend upon different perspectives: on the one hand, the policy making approach, with its normative purposes, and on the other, the scientific view, which is more or less critically oriented.

The second aspect is that the supranational/global levels and actors are generally absent from the field of the scientific production considered here, which is organised according to “geopolitical perspectives”: this makes comparison and the cross-evaluation of the relative importance of this specific theme in the two families of documents practically impossible.

As regards the general results of the cross-evaluation, a *relatively close ranking among the regional, national and the local levels* can be observed, exactly in this order, whilst the other levels and actors, representing the private sector and civil society, are quite far away from the main group.

The *regional level* seems to play the most *important role in the application process of the ESDP*, but, in the general overview, the *national levels/actors are nonetheless relevant*. This is not surprising, given the well-known effects of the internationalisation process, which tend to exalt the dialectic between the global and the local/regional dynamics, giving new opportunities for regional actors to gain more visibility and inducing the national states into deep restructuring processes.



### 5.6.2 Comparing the policy documents and the scientific literature

The two types of documents make reference to two different fields, the institutional action and the scientific milieu; if we examine them separately, the results significantly diverge. *Within the policy documents*, the *EU level* and the *national one* stay at the same position, followed by the regional level in the second position and by the local and others level, at the last position. This reflects a traditional, hierarchical conception of the institutional frame of policy making, proceeding from the general to the particular.

The ranking of the importance of the themes in the literature provides another view, for many respects opposite to that emerging from the policy documents. In the *international debate* the *regional level* is at the *top*, the *local* is at the *second place*, the *national* at the third one, whereas the others are largely far from the central positions.

This basic difference opens up some general considerations: the policy literature seems to be affected by a formal approach to the role of “institutional” levels of application, characterised by a top-down setting of the policy mechanisms. On the contrary, the scientific production insists more on the regional and local levels, where the essays of application of ESDP policy aims are more common and valuable.

### 5.6.3 Comparing regional perspectives

As regards the place of *national scale* in the literature survey, its position in the various perspectives is quite *stable* being located in *second place* in three cases out of four. In other terms, it is significant in British, Nordic and Mediterranean countries, though *less relevant in the North-western area*, either because of the constitutional weakness of the central state apparatus (Germany), or in context of the recent reinforcement of local powers thanks to a long-run process of decentralisation (France).

The *regional level* appears to be particularly relevant in the *British and Nordic* contexts, albeit with significant distinctions between the countries. While the importance of the regional scale is well known in Finnish planning, it is nevertheless surprising that the regional orientation of British ESDP application has also occurred. Even in this case however a number of convincing explanations can be offered, namely the recent establishment of planning systems where regional guidance plays a crucial role, and an

institutional building process that accompanied devolution, with the creation of more active regional bodies. Moreover, notwithstanding the federalist/regionalist reforms currently underway in Spain and Italy, *the regional levels/actors do not seem to play a concrete role in ESDP application in the Southern countries.*

The *local level* of application is *particularly significant for the North-western and Mediterranean perspectives*, even though this is manifest in different ways. Closely linked to the central question of polycentricity, the attention paid to the local levels/actors displays rather different nuances in the two perspectives: for North Western countries, it corresponds to a plea for further inter-municipal competition and collaboration; for the Mediterranean countries the stress is on concrete practices and local contexts, according to the tradition of “urbanism” which dominates the spatial planning field there.

The *lowly position of the local level in the British perspective* often astonishes analysts accustomed to the traditional locally centred approach of British spatial planning. This ambiguity can be partially explained by the fact that the relevance of the local scale in general terms is not the issue here, but rather simply the local level capability to embody the ESDP keywords. In this sense, local awareness of the European issues is very weak in Britain.

## **6 Working Hypotheses for the Application of the ESDP**

### **6.1 Introduction**

The Compendium identified four different families (or traditions) of planning system within the then EU of 15 (EU Compendium of spatial planning systems and policies, CEC, 1997, pp. 36-37)

- The regional economic planning approach
- Comprehensive integrated approach
- Land use management approach
- Urbanism

Whilst such 'families' are not static, nor mutually exclusive of one another, they do perhaps provide an initial starting point for thinking about the application of the ESDP. Furthermore another characteristic that might be important in application terms could be the maturity and completeness of the system. Some systems have up to date policy instruments at all levels of government and appear to manage development effectively and can thus be categorised as efficient or effective. Other systems appear very comprehensive in theory, but in practice there may be significant divergence between the planning objectives of the system and actual outcomes. This also tends to fit with the idea of geographies of planning traditions and might provide a useful starting point for a series of hypotheses, taking also into account the diversified situation in the new Member States as well as recent trends in the evolution of planning systems.

The final caveat to what follows is that many systems are currently changing in response to a number of different policy agendas and perspectives, of which Europe and the ESDP is but one. In particular, the review carried out in previous chapters of the present report (especially Chapters 3 and 4) has shown that the types of ESDP application experienced are able to influence planning traditions existing in Europe, remixing them in distinct perspectives on European spatial planning. Furthermore, the evolution of planning systems in the 10 new EU member states that acceded in 2004 also needs to be considered here. All of these observations are supported by the initial findings of the ESPON 2.3.2 project, concerning "Governance of territorial

and urban policies from EU to local level” (see the respective First Interim Report).

We therefore need to be rather careful in ascribing cause and effect relationships, although they may be a contributory factor. Various causes and effects for changes in programmes, procedures, policies, organisational structures, funding arrangements, responsibilities, etc are possible. Examples include the following:

- Change mainly due to implementation of the ESDP
- Change due to the ESDP and other factors
- Change due to other factors
- No change because the issue/policy area is not considered appropriate
- No change because the issue/policy area is still under discussion or review
- No change because the issue/policy area is already in line with the ESDP

## 6.2 Theorising application

It is then worth developing a number of hypotheses that address the more theoretical notions of application. These will then ultimately be useful when it come to the drafting of the policy recommendations. Application must be explained in the context of the way in which the policy process has been designed (e.g. openness, which stakeholders have been involved, when, how and to what extent etc).<sup>19</sup>

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:

- *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

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<sup>19</sup> See discussion on conformance / performance in Mastop, H., Faludi, A. (1997) 'Evaluation of Strategic Plans: the Performance Principle', Environment and Planning B: Planning and Design 24: 815-3.

explicit application, it is possible to demonstrate causality, which contributes to the *conformance* of the approaches adopted with the policy themes of the ESDP.

- *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.

In addition:

- The nature of the application of informal policy documents such as the ESDP is highly shaped by the 'receiving context' including different national and sub-national territorial contexts.
- Application effects are time limited and explicit application may become more difficult to demonstrate over time as substantive and procedural ESDP policy messages become assimilated into national and sub-national spatial development policies and practices (institutional/systemic changes).
- Application is dependant on successfully shaping the thinking of critical individuals who have the ability to shape agendas at a variety of different scales
- ESDP application must be seen in the context of the ESDP elaboration process, and reflects, at least partially, the way this process developed in the different countries (e.g. involved actors and relationships between them, publicity of debates).

The following working hypotheses are presented under the same headings as in the key-word matrix used in chapters 3 and 4.

### **6.3 "Themes" - substantive**

- The extent to which ESDP 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

ESDP policy themes and the spatial development aims which are viewed as desirable at these levels.

- Polycentricity is the ESDP policy principal that has had the most resonance and has captured the imagination of planners in Europe.
- Polycentricity is a malleable idea that is being interpreted and reinterpreted in different situations (hence in Faludi's (2001) terms it possesses 'generative capacity').
- Besides polycentrism, wise management of the natural and cultural heritage attracts the most attention in the literature, apparently because in mature planning systems protection of the natural and cultural heritage is already deeply embedded in their objectives.
- Far behind polycentrism and wise management of the natural and cultural heritage, (with the exception of the Nordic perspective), new urban/rural relationship is not a major topic in the scientific literature. The extent and nature of the response to the ESDP's policy theme of a 'new urban-rural relationship' is conditioned by the different interpretations and perspectives on this issue in the different member states and regions of Europe.
- Urban/rural relationships, and perhaps somewhat surprisingly, the parity of access to infrastructure and knowledge did not capture the attention of planners in Europe. Although responses vary in the different perspectives, in general, the theme is considered to be a key principle for national policies but does not produce reflections and purposes.

#### **6.4 "Ways" - procedural changes**

- The ESDP has helped to promote the vertical and horizontal integration of the existing strategic planning instruments.
- The fact that the ESDP is not spatialised (no maps, no concrete identification of areas of application or of a number of options) makes its message versatile and thus each actor may apply it in ways that are not necessarily consistent among them.
- The ESDP has been one factor, which has contributed to the emergence of more cross-sectoral perspectives in spatial policy-making at the national and regional scales.
- The types of co-operation for which the ESDP is mostly used / useful are cross-border and trans-national co-operation.

- Different policy actors at different scales have used the ESDP in order to further their own territorial/sectoral/organisational aims, objectives, and interests.
- It is difficult to conclusively establish a causal link between the ESDP and adaptations in national and sub-national institutions, systems and policies, which are coherent with its spatial development approach and policy themes. Changes in spatial planning that have taken place in some countries were already underway or under discussion during the formulation of the ESDP (and thus resulted in some issues being included in the ESDP). Changes in some countries are thus consistent with the ESDP but are not necessarily the result of it. Indeed, the reverse may also be true (i.e. proposed changes have influenced the content of the ESDP).
- The ESDP is but one of the drivers for change in the spatial planning systems and policies of member states mainly in countries with a less developed and mature planning tradition.
- There may be a link between ESDP integration in national / regional policies and the feeling that the country / region is particularly (inter)dependent with/on other countries / regions for some spatial issues.

## **6.5 “Means” - Links between European funded projects and the application to planning systems in the Member States**

### **6.5.1 Tampere ESDP Action Plan**

The Tampere ESDP Action Plan (TEAP) was designed as a tool to apply the ESDP and it must be assessed as such. Regarding the development of the working hypothesis, we may consider that the TEAP, explicitly oriented toward applying the ESDP, in principle addresses the "direct application" aspect: whether *the ESDP has explicitly been applied and a method or approach that clearly influences the way a national (regional) plan is produced*. However, a closer look at the results of the individual actions reveals that all do not necessarily apply to the ESDP.

Moreover, we should also note that our review has shown that the attention given to the Tampere Action Programme is lower than that for any other means of application. Rather surprisingly, the programme, which is also formally the most directly related to the ESDP and to its application, appears

also to be referred to only rarely both in other policy documents and in the authors' comments across Europe.

Having said that, it may be interesting to identify whether, and why, some actions have "worked" better than others, meaning not only that they produced the expected outputs but also that they were carried out in line with the general recommendations of co-operation. It must nevertheless be kept in mind that the perception of a successful implementation is separate issue, and one that may vary greatly among stakeholders.

- The TEAP has a very programmatic character and has only addressed a limited range of actors, mostly within the ministry responsible for carrying out the TEAP.
- As a consequence of the TEAP process, the effects of the TEAP are limited in terms of policy adoption and negligible in terms of other impacts/effects (member states did their job without communicating the results of their findings with other departments/member states).

#### **6.5.2 INTERREG**

- The Interreg transnational programmes receive the maximum level of attention particularly in the case of the North-Western countries. In general, INTERREG funding has contributed to the development of concrete examples of the application of the ESDP in practice and to a degree that varies across the different regions of Europe, and also to an extent greater than that generally reflected in the scientific literature reviewed.
- Interreg projects have contributed to a widening of regional planners' perspectives and for instance stimulated 'spatial positioning' at a 'transnational' rather than 'national' level.
- Between Interreg IIC/IIIB co-operation areas<sup>20</sup> differences will be found as regards the extent to which the ESDP has been applied as well as the substance of the outputs.
- Little is yet known or understood of how exactly such cross border and transnational initiatives have shaped formal planning practices (policies and procedures) within the Member States. However, Nordic

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<sup>20</sup> For instance, only four out of seven co-operation areas have embarked on transnational spatial visions.



countries appear to be the most sensitive to this issue. Moreover, this is probably due to their wide- ranging involvement in Interreg IIIA initiatives (11 in total).

- INTERREG programmes have often been set up as a 'tool' to apply ESDP concepts, principles and objectives. More specifically, the INTERREG programmes attempt to apply the ESDP's guidelines, principles and policy options.
- Application of the ESDP through INTERREG can be characterised as 'secondary decision-making', since projects are being selected on the basis of the Operational Programme, which in turn is based on ESDP concepts, principles and objectives. The extent to which the ESDP is applied in INTERREG projects depends on: (1) the Operational Programme; (2) the selection procedures that have been applied by the monitoring committee; and (3) the project proposals submitted.
- Four INTERREG areas embarked on the development of trans-national spatial visions that have been inspired by the ESDP in many ways. Whilst the ESDP has been applied in the spatial visions to a certain extent, the spatial visions have barely been applied. This has a lot to do with the limited openness of the development processes of the spatial visions.
- Many INTERREG projects do not address trans-national issues at all, but instead facilitate local interests that already existed. Although the ESDP and INTERREG have facilitated these projects and sometimes influenced structural changes, the ESDP has only been implicitly applied in the case of most projects.
- 'Tertiary decision-making' can be observed in the case of INTERREG IIC areas where spatial visions have been developed and then applied to the Operational Programmes of INTERREG IIIB.
- INTERREG cooperation areas have developed their own policy dynamics over time, and are operating more independently from ESDP and/or territorial cohesion concerns. There is an increasing diversity of cooperation projects.

### **6.5.3 Structural Funds**

- According to the review of the scientific literature, the Structural Funds proved to be the major means of ESDP application. This occurs especially in the cases of the Nordic and Mediterranean countries, which belong to the Objective 1 eligible zones.

#### **6.5.4 Urban governance**

- Urban governance is of primary importance as far as British perspectives are concerned: partnership working at a variety of spatial scales is increasing and some examples show this being seen as a mechanism to foster regional and place competitiveness. In the Mediterranean perspectives, the Urban Community initiative also has a major role.

#### **6.6 “Effects” - Impacts on systems**

- The ESDP has contributed to an emerging ‘spatial’ planning agenda particularly in states where there has traditionally been a strong sectoral orientation in spatially relevant policymaking and/or a regulatory/urbanism or land use management tradition in planning. Hence the ESDP might be expected to have a larger impact in those countries with an emerging spatial planning tradition.
- Explicit application of the ESDP is likely to be more evident in those countries that do not have a regional economic or comprehensive integrated approach to planning. This might be reflected in institutional reform, new or modified strategic planning instruments, new planning laws. For example, this is what Mediterranean perspectives on European spatial planning have shown. In addition, the application of the ESDP is likely to be more evident in those countries where the planning systems might appear to be less mature and/or effective.
- The ESDP is being responded to by the policy sector which has the strongest remit and position in relation to delivering ‘all-encompassing spatial policy’ in the Member State concerned (e.g. planning or regional policy).
- The effects of European integration in general, and other spatially significant EU policies and programmes are, in some cases, as or more significant in promoting policy approaches and practices which are coherent with the ESDP than the ESDP document itself. We may observe this in The Netherlands and, more generally speaking, in respect of the North-Western perspectives.
- In other cases, as for instance with the Mediterranean countries, the adaptation of institutions, systems and policies in ways that are coherent with the policy aims of the ESDP has resulted primarily from

the experience of administering the structural funds and other EU programmes, rather than from explicit attempts to apply the ESDP.

- The ESDP might then be considered as a loose but useful common framework for systems where there is significant autonomy for the Regions in the matter of spatial development.

#### **6.6.1 Impact over time**

- The impact of the ESDP as a policy document that is shaping policy development at a variety of different spatial scales may however be diminishing over time. Alternatively, the impact on policy development may increase over time since institutional change and/or policy change is generally slow and often requires a long lead-time. The impact on policy development may also increase over time if/when concepts from the ESDP become well established in practice at the national, regional or local levels. This might be because the ideas substantive and procedural process agendas are becoming more embedded in the thinking of strategic spatial planners.

#### **6.7 “Levels” / “Actors”**

- The understanding and interpretation of ESDP policy aims varies between different scales and spatial contexts.
- The focus of application in terms of levels (national, regional or local) depends of the extent to which the national system is centralised, regionalised or localised.
- There are still a relatively small number of planning actors who know about and use the ESDP particularly at spatial scales below that of the region.

##### **6.7.1 European Commission**

- Because of the pillared structure of the European Commission, little application of the ESDP can be expected outside DG-Regio, unless the ESDP goals are more or less in full compliance with the goals of the other Directorates.
- Even within DG-Regio, it is difficult to ‘sell’ the ESDP since its principles run counter to the general objective of DG-Regio to spend budgets according to ERDF regulations (the people in DG-XVI, now

DG-Regio, who are responsible for the ESDP have been called the 'poets of DG-XVI' by other officials in the same DG).

- Where references are made to the ESDP in EU policies which have been developed outside DG-Regio, there is often a direct link to an individual who has been directly involved in the ESDP process.
- Although the ESDP may not be familiar in most DGs of the European Commission, an increasing number of cases of 'implicit application' can be observed, since policy discourse in the European Commission is gradually shifting towards the underlying philosophy of the ESDP.
- In line with the previous hypothesis, an increasing number of cases of 'indirect application' have taken place through processes of secondary decision-making. This might be the case with the second and third cohesion reports, which have been heavily influenced by the ESDP and, in turn, influenced policy development processes in other fields.
- Since there is no administrative culture or initiative within the European Commission that stimulates horizontal coordination between Directorates, the application of cross-sectoral policies such as the ESDP requires additional effort in addition to policy communication principles within the European Commission.
- The application of the ESDP has had an influence (an 'effect') on policy-making by other parties such as the Committee of the Regions and the European Parliament as well as other interest groups.

### **6.7.2 CEMAT**

- The ESDP has been the major source of inspiration for the drafting of the CEMAT guidelines, due in part to the participation of officials with responsibility for the ESDP from DG-TREN in the CEMAT process.
- Like the ESDP, the CEMAT guidelines have been positively received and aroused interest in territorial issues in CEMAT countries outside the EU15.
- CEMAT activities were intensified during the ESDP process and after publication of the ESDP. This intensity has diminished since enlargement of the EU.
- The effects of the ESDP include changes in CEMAT 'policies' (and policies within CEMAT countries<sup>21</sup>) and CEMAT actors. Few effects can

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<sup>21</sup> This is something to cover in the national reports.

be expected in respect of other European actors such as the Council of Europe.

- CEMAT has served as a 'preparation process' for the introduction of discussion about territorial cohesion in the new EU member states.

## **7 Indicators used to analyse the application of the ESDP in the Member States**

As part of the comparable national studies, a collection of indicators on the application of the ESDP at the appropriate NUTS levels will be attempted. Therefore, for each country the appropriate NUTS level, corresponding to the responsible level of spatial policy-making, needs to be identified. Once the appropriate NUTS levels have been defined, the challenge will be to develop indicators that allow us to compare the diversity of instruments and policy sectors. Thus far, the literature review shows that the application and the effects of the ESDP vary considerably. Indeed, the demonstrated effects can include anything from only being mentioned in documents, i.e. reference, to being implemented in practice and/or heavily influencing the process of plan making.

The following chapter outlines the current state of our work on the data and the indicators, as well as the planned next steps. It uses the hypotheses developed in Chapter 6 as the starting point to elaborate on potential data and indicators. Part 7.1 addresses the availability of data and indicators and cross-links to other ESPON projects. Part 7.2 discusses the aim of displaying variations in the application of the ESDP and defining typologies, which may then be used to create thematic maps. Part 7.3 takes a tentative look at the next planned steps.

### **7.1 Data and indicators - Tasks**

The tasks for data collection in national reports are complex:

1. identify appropriate NUTS level
2. identify instruments
3. identify main policy sector
4. identify policy documents
5. identify degree of correspondence (terminology)
6. identify legal status and powers (attached to above document)
7. display ESDP application
8. display ESDP 'effects' (TIA)

All of the above listed questions can only be answered with the help of the national experts. As will be shown later, this is also true of the desire to

identify the 'effects' of the ESDP, i.e. providing the quantitative analysis for a complex Territorial Impact Assessment (TIA, WP5).

As was also understood right from the outset, no data or indicators directly addressing the questions under scrutiny in the current ESPON 2.3.1 project are available in any previous and running ESPON projects.<sup>22</sup> However, the forthcoming results of the ESPON 2.3.2 project in relation to the typologies of governance and typologies of regionalisation within ESPON 3.2 may be useful in explaining the different ways of applying ESDP.

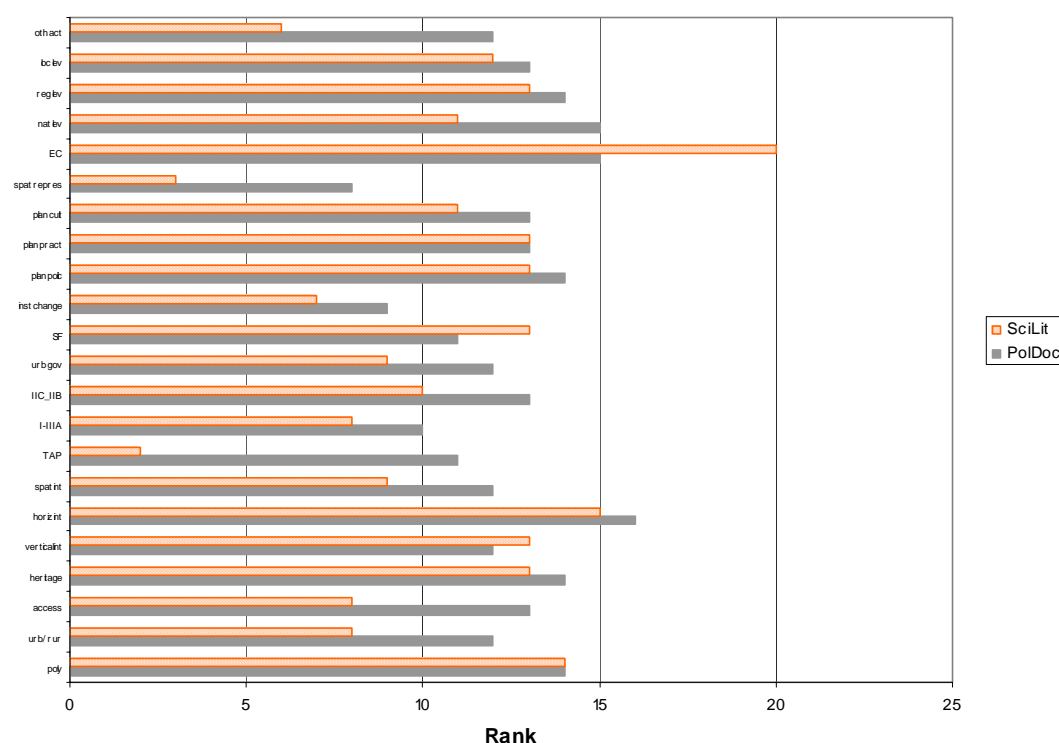
#### *The question of the appropriate NUTS levels*

The need to identify the most effective spatial planning level for strategic planning issues is the issue here. The picture varies, depending on the source documents under scrutiny<sup>23</sup>. For the policy documents, the national level is the most important with respect to application. For the scientific literature, it is the regional level. In both cases, as can also see, other actors are less important. The latter aspect shows a strong variation between the two sources, i.e. policy documents and the scientific literature. Overall however, the national level seems to be the more appropriate level to analyse with respect to ESDP application, followed by the region.

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<sup>22</sup> This relates also to the parallel project on 'governance in territorial and urban policies'. Only with the help of some 'proxy' indicators, this unsatisfactory situation might be solved.

<sup>23</sup> The bars have been enhanced to emphasise the difference.



**Figure 15 Synthetic Analysis of Policy Documents and the Scientific Literature**

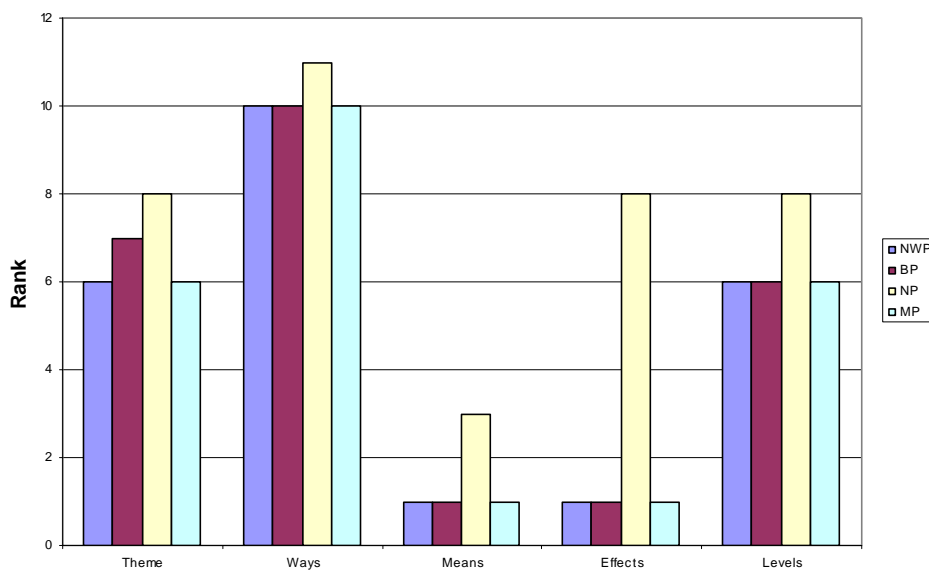
### *Instruments for the application of the ESDP*

The precise instruments for the application of the ESDP have to be addressed in the national overviews. Judging from the synthetic reports of this FIR, instrumental questions of the application of the ESDP seem to be less important. Figure 15 shows the results, highlighting the fact that the 'means'<sup>24</sup> show a lower importance than the 'ways'<sup>25</sup>. Horizontal Integration seems to be the most important way to apply ESDP. Figure 16 provides a similar picture focusing on the respective regional perspectives.

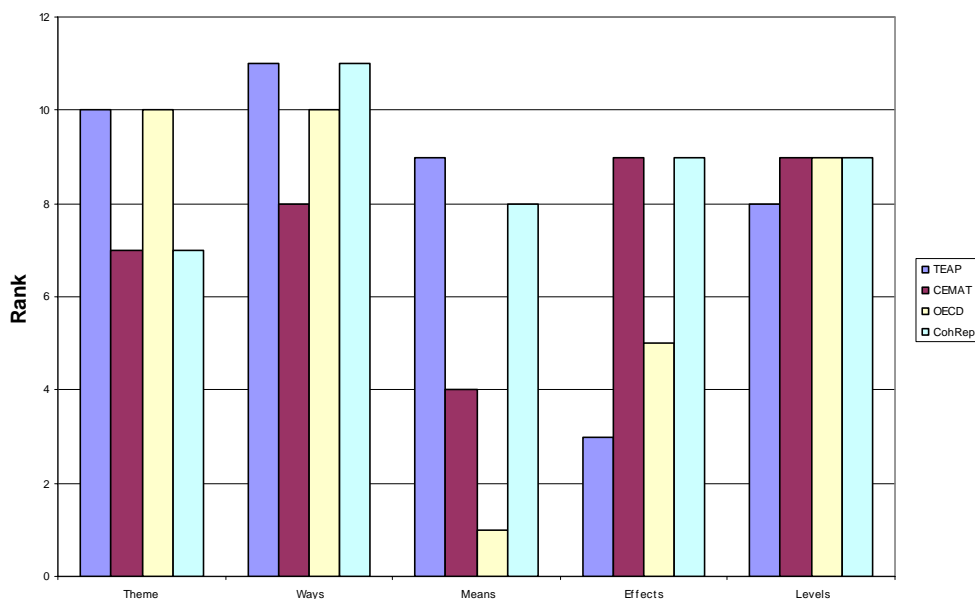
<sup>24</sup> Tampere Action Programme [TAP], Cross-border Cooperation [I\_IIA], Urban Governance [UG], Structural Funds [SF]

<sup>25</sup> Vertical Integration [VI], Horizontal Integration [VI], Spatial Integration [SI]





**Figure 16 Synthetic Analysis: Regional Perspectives (Scientific Literature)**



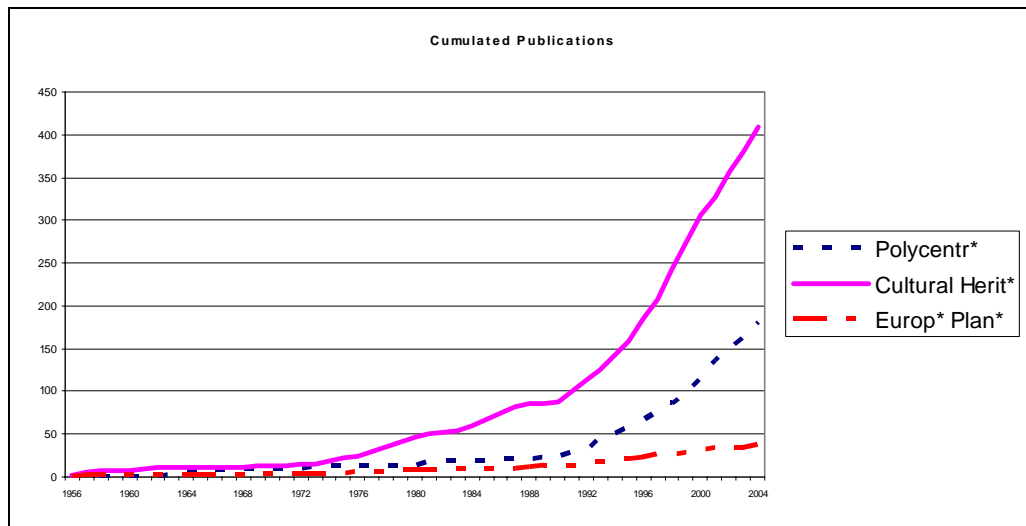
**Figure 17 Synthetic Analysis – Policy Documents Perspective**

### *Policy sectors*

The fields of natural and cultural heritage and polycentricity seem to be the sectors with the highest attached importance. This is also reflected in another first 'assessment' using bibliographical data<sup>26</sup> (figure 18).

<sup>26</sup> Search in Web of Science, February 2005. The search used text fragments to increase the likeliness of hits. 'Europ\* Plan\*' resulted in a good match of topics of our interest.

The 'kick-off' point was 1992, when publication intensity increased. Without looking further into cultural heritage (as a term too broad) but concentrating on polycentr\* and Europ\* plan\*, the former seems to be more important for academic writing than the latter.



**Figure 18** Publications Search Source: IRPUD 2005

Indicators for bullet points (4) – (6) can only be the result of the national overviews. Indicators for points (7) and (8) will be discussed below.

### *Supporting Indicators from ESPON*

The ESPON 3.1 project developed a regional classification of Europe (RCE), which at its core has two sets of indicators reflecting two of the substantial aspects of the ESDP – accessibility (FUA) and polycentricity (spatial structure).

The list of indicators in table 12 will be assessed in the coming weeks to identify availability and coverage (majority available for EU 29). Obviously, data on cultural and natural heritage cannot be provided at present and on the basis of ESPON. This will then form the working basis to identify variations in application or, beyond that, potential impacts/effects.

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However, the overall count for the period 1956-2004 was 39 (with 44 authors), of which 38 are displayed [polcentr\* achieved 181, cultural herit\* achieved 409 counts]. The first publication on Europ\* Plan\* dates back to 1957 and was related to a European Plan for agriculture policy, writing on the pending common agriculture policy.

<i>Polycentricity</i>	
Pentagon	(N2, N3) – datum 0 and 1 for yes / no,
settlement structures	(N2, N3) – datum, <b>typology</b> , 1 – 9 for different degrees of population density,
Typology Polycentricity	(N3) – <b>typology</b> ,
Functional Urban Areas	(N5) - <b>typology</b> ,
Effects of Polycentric Development	(N3) – data, differentiated, calculation (SASI model),
<i>Urban/rural</i>	
urban rural typology	(N3) - <b>typology</b> ,
lagging regions	(N2, N3) – <b>typology</b> , in relation to GDP figure, lagging/non lagging,
<i>Accessibility</i>	
Typology multimodal accessibility potential	(N2) - <b>typology</b> ,
<i>Additional Indicators</i>	
Regional classification	(N2) - diverse indicators on current situation in regions: population density 2000 (RC_PopDN2), share of internet users (RC-IUI03, regression?), various accessibility indicators (RRG!)

**Table 12 ESPON 3.1 Indicators**

## 7.2 Display variations in application

The quality to 'display' variations of applications might be achieved with reasonable effort, especially with respect to the descriptive side. Unfortunately, the same cannot be said for the analytical side, at least for the moment. As was noted in the introduction, one starting point here has been the set of hypotheses. Table 13 shows a list of potential data and indicators, which have been 'read out' of the specific hypotheses.

Aspect	Description	D&I	Method
<b>Systems</b>			
Planning families	The concept of 'planning families' could be used to characterise the different countries: - regional economic planning approach - comprehensive integrated approach - land use management approach - urbanism	No ESPON data available categorical matrix	Needs to be disaggregated from N0 to lower NUTS levels Questionnaire
Maturity and Completeness	This might be captured with two indicators: - first acts/statutes/regulations establishing planning; - introduction of planning education (while at the same time indicating the basis of the education, e.g. architect-planner,	No ESPON data available Planning history Planning education history Disciplinary dominance	questionnaire

	engineer-planner, planner-planner, ...)	Categorical	
Changes	<ul style="list-style-type: none"> <li>- change mainly due to implementation of ESDP</li> <li>- change due to ESDP and other factors</li> <li>- change due to other factors</li> <li>- no change because issue/policy area considered not appropriate</li> <li>- no change because issue/policy area under discussion/review</li> <li>- no change because issue/policy area already in line with ESDP</li> </ul>	No ESPON data available Categorical Ranking	Questionnaire All examples of the working hypotheses identifying changes might be used for a questionnaire. Answer categories might be 'yes/no' or we can ask for a ranking
Application level	Can be captured by a questionnaire as well, asking for a specific ranking between levels (national, regional, local).	Could be constructed using ESPON data on FUA, RCE, polycentricity Categorical	Questionnaire
Policy sector lead	Obviously E 111 has some results on this. We might ask for further explanation and for the raw data, if any available. When obtaining the data, we might categorise these in terms of their 'technical' basis.	No ESPON data available categorical	E111 Questionnaire
<b>Substantive</b>	<b>(Themes)</b>		
Substantive Indicators	ESPON data on - polycentricity - FUA  Eurobarometer - SGEI	Some ESPON data from RCE  Eurobarometer – no full coverage categorical	Eurobarometer provided data on satisfaction with such services, which we might transform into something 'different' for our purposes.
<b>Procedures</b>	<b>(Ways)</b>		
Procedures <sup>27</sup>	Synthesis reports for FIR E.g. the 'different policy actors' (see in above figure 'oth act') seem to be less important and therefore less likely to generate impact. Unfortunately, the overview comes for larger spatial aggregates, i.e. the 'regional perspectives'	No ESPON data available categorical	Questionnaire
Impact time		No ESPON data available	Questionnaire Some interesting finding we have, taken from literature reviews!
<b>EU Programmes</b>	<b>(Means; TEAP, SF, Urban Governance)</b>		
Interreg	Though there was the idea in other Espon projects to collect data on	Some ESPON data available	

<sup>27</sup> This is a highly problematic field, where we also face huge problems in the governance project. Here again it might be wise to use a questionnaire to generate the information, needed to assess any impact. On the other hand we can use results from the FIR (see above), which provide some answers for the hypotheses.

	Interreg, none were finally collected. Exceptions are regional markers, identifying whether or not a region falls into a programme or to which area it belongs. Again we might generate more data using a questionnaire. Also the overview papers generated a first result (see above, same restrictions).	Categorical	
<b>Soft</b>			
Theorising application	Explicit/implicit	No ESPON data available Categorical	No regional differentiation Using literature statistics we can develop the images, provided below. However, this does not allow for a 'regional' or a national differentiation.

**Table 13 Achieving a Synthetic Indicator for ESDP 'Application' 1**

The majority of aspects need to be generated with the help of the national overviews. To support this process, IRPUD has suggested that we set up a web-based questionnaire. National experts selected by national teams can complete this questionnaire. Depending on the number of active/effective planning levels, a set of matching policy/administration/planning actors needs to be selected and asked to complete the form. The number of questions will be derived from the working hypotheses for the application of the ESDP. This however, needs one additional round of critical discussion between the project partners. One particular point has to be highlighted: namely, that the time series<sup>28</sup> (i.e. 1980, 1999, 2005) needs to be done by national experts<sup>29</sup>.

A solution to 'display variations' in the application of the ESDP might in fact be generated with the help of a synthetic typology. The approach in the ESPON 2.3.1 project might follow in principle the approach of the ESPON 3.1 project (Final Report 3.1, part C chapter 7): individual indicators will be

<sup>28</sup> A crucial point here has to be emphasised again. We are not yet able to identify cause-effect-relationships. The ESDP is a 'soft' policy tool co-developed alongside many changes in the wider EU policy agenda, which often have a greater impact on the questions under consideration.

<sup>29</sup> Model can be found in Hooghe/Marks (2001, 187/8)

aggregated to a single index by using different procedures<sup>30</sup>. The final indicators can be used to visualise differences in the application of the ESDP. Further, similar to 3.1 we are currently investigating whether it would be possible to use the RCE technique to identify a matching ESDP table, indicating the polarity of impact of specific features on ESDP application (see below).

Theme	Description	Polarity
<b>System</b>		
Planning families	4 categories (5 – transition systems) yes=1, no=0 in part available for EU 15, might be drawn from E232?	+
Maturity	Categories, to be defined	+/-
Application Level	Effective level, N0-3 Sum 0,1,2,3 times lowest level <i>If NUTS 0 than 1?</i> Polarity likely to be negative – number of interaction to the detriment of application?	-
Policy Sector	Categories, to be defined Policy led=1, not pl=0	-
Regional Perspective	NWP, BP, NP, MP No full coverage Non conclusive Assumption – NWP=4, NP=3, BP=2, MP=1, no perspective=0	+
<b>Substance</b>		
Polycentric (RCE)	Categories (n-n) Available for 29 See comment on application level?	+/-
FUA (RCE)	Categories (n-n) Available for 29 See comment on application level?	+/-
Satisfaction with SGEI	Percentage No full coverage	+
Accessibility (RCE)		
<b>Procedures</b>		
Trust	Percentage value for trust in EC	+
<b>EU Programmes</b>		
Interreg Region	Yes=1 , NO=0	+
<b>Soft Factors</b>		
Professional Bodies	No data available But: WoS data?	+

**Table 14 Achieving a Synthetic Indicator (2)**

<sup>30</sup> This approach can briefly be characterised by classifying mean-standardised individual indicators and then aggregating those indicators with equal weights to a new indicator.

Table 14 shows a mixture of qualitative indicators and some quantitative data. The qualitative data was, or can be, generated from the overview papers and the national overviews. For example the different 'regional perspectives' (NW, Nordic, British, and Mediterranean) could be used to mark all NUTS 0 levels accordingly for a start. In combination, e.g. with 'effective' planning levels or planning families, further differentiations might be generated.

At present, the suggestion is to integrate information regarding different 'governance families', planning traditions (physical, architecture based, planning), territorial organisation (facts & strategic orientations; e.g. central places/FUA), with an indicator on the actual application.

Crucial to this exercise is the 'polarity' assessment. As can be seen, some features such as 'level of application' or 'degree of polycentricity' might be either positive or negative, or both, with respect to the application of the ESDP. The proper answer to this question is currently a matter of discussion in the core team and with regional experts.

### **7.3 Guidelines for data collection**

The data collection guidelines need to identify the policy-documents to be assessed (policy sector – type of document) and to develop a consistent system for translating the degree of ESDP correspondence, the legal status and power of the documents, as well as the visionary nature of the documents into comparable quantitative information. IRPUD is currently working towards the creation of a set of guidelines for data collection. This includes a thorough check of a web based survey tool. In terms of the working programme, each national team has two days available for data collection. So it seems to be feasible to generate at least a first level data set, which then needs to be further tested and complemented.

### *Data collection*

IRPUD has started to check on and collect the data available from ESPON data navigator and database, as well as the core indicators/typologies<sup>31</sup>. For a start, the indicators of table 14 will be collected and used for the initial single indicator maps. Until May, we will provide precise guidelines for data collection (following e.g. the guidelines of the Nijmegen paper). We will of course follow the standards developed by ESPON until now.

### *Web based survey*

The web-based survey may be used in connection with the case studies. The intention is to generate comparative data on all 29 EU countries. Importantly, the data set should cover all active regional levels and link these with the application variation of the ESDP. At present, IRPUD is suggesting that we ask each of the 29 countries for the national, regional and local level experts (i.e. around 3 experts from each country in total) respectively to complete the survey (which needs to be completed in cooperation with the other project partners). The result will be a survey of 261 data sets.

This tool can help us to develop an initial overview of the situation in the EU 27+2 Member States, while trying to display 'variations in application'. The explanatory side as yet remains open. As can be seen from the other parts of the report, cause-effect relations and deeper analytical hypotheses are still under construction.

IRPUD also suggested that the MA/CU consider a separate data and indicator project for the 'soft' aspects of ESDP application (and for governance as well). As has been emphasised a number of times, the ESPON 2.3.1 project (and 2.3.2) tries to capture very important features of current developments in the field of urban and territorial policies. However, the 'hard' data on such processes is hugely underdeveloped. This begins with a systematic description of existing structures identifying differences in e.g. administrative and planning systems, and continues with features on civil society. It would however be highly rewarding not merely to use a couple of days for a 'snap shot' here but rather to invest more in a thorough analysis. IRPUD is prepared to outline these ideas further.

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<sup>31</sup> However, the list of core indicators and typologies do not provide ready information needed for the current 2.3.1 project. We need to discuss possible 'interpretations' of some of the indicators and discuss their potential explanatory contribution.



Country	
Region <sup>32</sup>	NUTS 0 - 5
Function	Sci/Pol/Admin/Practic. Planner?
Mind be contacted?	e-mail address

Expert Opinion				
In your recollection – when did you first hear about ESDP?	Before 1989?	After 1989	Before 1999	After 1999
Where did you encounter it?	Free format ...	or choice?		
Was there a specific regional context?	Free format ...	or choice?		

Today, how would you assess ESDP regarding the following aspects

	N0	N1	N2	N3	N4	N5
Effective Regions <sup>33</sup>	X	X	X	0	0	0
Awareness	Pull down menu / measures need to be discussed / one score in each category only! 0 (non) (-)1-5(+)					
Application <sup>34</sup>	Pull down menu / measures need to be discussed / one score in each category only! 0 (non) (-)1-5(+)					
Importance of specific principles:	Pull down menu / measures need to be discussed / one score in each category only! 0 (non) (-)1-5(+)					
ESDP topics such as Poly...	Pull down menu / measures need to be discussed / one score in each category only! 0 (non) (-)1-5(+)					

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**Table 15 Web Survey Tool**

<sup>32</sup> Administrative Level

<sup>33</sup> Effective in the sense of having separate budget and responsibilities, political decision making potential and statutes, elected assembly

<sup>34</sup> Ask for specific examples?

## TIA

Our intention here is to closely follow the TIA manual (ESPON 3.1 Final). Ultimately, the entire project will 'analyse' the application and potential impacts of the ESDP in the sense of developing some hypotheses and hence policy recommendations. One instrument here will probably be a set of regional typologies and maps on the basis of quantitative information.

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### TIA minimum requirements

- Scoping
  - a. Reference to policy intervention
  - b. Hypotheses on cause-effect-relations
  - c. Regional scale of observation
  - d. Reference to past and future
- Analysing
  - a. Interventions and effects measured
  - b. Quantitative/qualitative appraisal
  - c. Technique of analysis
- Assessing
  - a. Goals referred to (general?)
  - b. Polycentric spatial development
  - c. Social & Economic Cohesion
  - d. Territorial cohesion

*Applied meaning of spatial or territorial*

*Territorial coverage of outcome*

---

The list above provides further clues to the necessary working steps and crucial questions:

- Our point of reference needs to be precisely defined (Scoping, a)
- Hypotheses on cause-effect-relations need to be worked out (Scoping, b)
- The regional scale of observation is also a matter of interest: Many of the potential indicators are only available on NUTS 0. ESPON 2.3.2 tends to define issues on the NUTS 3 level, following ESPON standards.
- At present, no time horizons have been defined for our project. The ESDP dates back originally to 1999 (1997). The entire process started in the 1980s. Only some of the data is available in time series, with different starting points – but mainly covering the late 1990s and early 2000 – and, highly problematically, different sets of EU Member States. The collection of data e.g. covering the entire period since the 1980s is not feasible on the basis of available resources.

Lastly, the analytical part will combine qualitative and quantitative approaches. The partners responsible for the case studies, data and indicators need to discuss further the precise level of articulation between the two approaches. This will be done during the extra core team meeting in May, to which also a representative of IRPUD will be invited.

## **8 Guidelines for the national reports and EU-level studies**

### **8.1 Guidelines for ESDP application at the national level / national Reports<sup>35</sup>**

There will be altogether 29 country reports in the project, each of which consists of a comparable national study, an indicator collection and, in at least of 25 of the reports, we will also provide a case study (see chapter 9). Guidelines for the country reports will be drawn up in order to ensure that the country studies contribute to the questions arising from the working hypotheses, in order to obtain comparable studies.

The 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. Thus the aim here is to develop suitable guidelines for drafting comparable national studies, which will allow us to identify the main differences when it comes to the application and effects of the ESDP throughout the ESPON space. The country study will then mainly focus on investigating:

- a. the administrative level of ESDP application
- b. the main policy sector in which the application is taking place
- c. the degree and focus of application, i.e. which ESDP aims and concepts are used

The research methods will mainly consist of analyses of spatial planning policy documents and interviews with key experts.

The project has been looking at the guidelines for the national overviews used within ESPON 2.3.2 Governance. These guidelines are rather detailed and extensive. In ESPON 2.3.1 the wish is to create some more “loosely” defined guidelines. Since the type and extent of application seems to depend very much on contextual characteristics (such as planning system and major spatial problems) the guidelines have to be focussed more on a small number of key issues that we are interested in. The national correspondents will be asked to provide some explanation and context where necessary. However, the 2.3.2 national reports may be useful as they provide

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<sup>35</sup> The development of guidelines related to the data collection in connection with the national reports and indicators are found in chapter 7.

contextual information from which the application of the ESDP can be (partly) explained.

The matrix (table 1) will be used as a starting point for developing the guidelines. In order to be able to develop the guidelines further we decided to undertake a number of country reports and use them as templates. Before finalising the guidelines the "pilot" country studies will be discussed by the core team at a meeting in May 2005. After the meeting, detailed guidelines will be developed and readied for distribution to the partners / subcontractors at the latest in June 2005

### **8.1.1 General guidelines for the national level application**

The TEAP and the "Belgian exercise" also emphasise the importance of the *interplay between the European level and the national/ regional / local levels*, for example by fostering cross-sectoral co-ordination. The national reports and case studies should help in identifying how European decisions and initiatives play a role in the practice of applying the ESDP inside the Member States (and in the actual effects).

The CSD, as an inter-governmental committee associating the Commission, has been central in the ESDP and Tampere processes. The national reports could aim to gather some information about Member State perceptions in respect of the importance of such an organ for further fruitful cooperation on ESDP application.

The progress of the TEAP shows that the time dimension is very important in assessing the application. A "static" evaluation of the actual state of play can be misleading, notably because the duration of processes is often underestimated. National reports should thus try to identify trends rather than static pictures. Due to the time scale, the "criteria" may evolve considerably. The distinction between intended or "*ex ante*" and achieved or "*ex post*") should always be kept in mind.

The "*state of mind*" (awareness of European-wide issues, openness to co-operation) is an important dimension that appears as a pre-condition to the application as well as a potential effect of the ESDP process. The "Belgian exercise" attempted an initial exploration of this dimension. It would be

interesting to go further and/or update the observations in the framework of the national reports and case studies.

The following guidelines are suggested as providing a basis for reviewing the application of ESDP at the national level (the guidelines will be specified and developed after the pilot studies have been accomplished). Basically, the guidelines follow the same structures as the guidelines developed for the EU-level by OTB.

## **Part I. INTRODUCTION**

### **1. Institutional or Receiving Context**

Give a brief introduction of the planning environment in which the ESDP is being applied. In describing the national system address such issues as: aim, history, and general way of working/administrative culture, position of spatial planning. The national overviews constructed within ESPON 2.3.2 project will be used for the background.

### **2. Involvement in the ESDP process and general reception of ESDP (only applicable to EU and CEMAT)**

What has been the role of the country during the ESDP process? Has it been involved in drafting the ESDP (and if yes, to what extent), was it consulted during the ESDP consultation process in 1998. General attitude towards the ESDP.

### **3. Convergence/coherence with the ESDP from the outset**

To what extent were the objectives or goals of the national system, organisation and programme consistent with the ESDP before the publication of the ESDP? Were the objectives or goals of the national system, organisation and programmes moving in the general direction of those of the ESDP before the publication of the ESDP?

## **Part II. APPLICATION**

It is important to try to distinguish between various causes and effects for changes in programmes, procedures, policies, organisational structures, funding arrangements, responsibilities, etc:

- Change mainly due to implementation of the ESDP
- Change due to the ESDP and other factors
- Change due to other factors
- No change because the issue/policy area is not considered appropriate
- No change because the issue/policy area is still under discussion or review
- No change because the issue/policy area is already in line with the ESDP

#### 4. Examples of the application of the ESDP

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

- *Explicit application (conformity)* – 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 towards a conformance of approaches, adopted with the policy themes of the ESDP.
- *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.

#### 5. Features applied

Which aspects of the ESDP are being applied:

- Philosophy
- Spatial impact of policies (see national overviews ESPON 2.3.2)
  - b1. vertical integration
  - b2. horizontal integration

- b3. spatial integration
- Guidelines, policy aims, policy options
  - a1. polycentric spatial development (polycentrism)
  - a2. new urban-rural relationship
  - a3. parity of access to infrastructure and knowledge
  - a4. wise management of the natural and cultural heritage
- 'Spatial positioning'
- General considerations about application
- Recommendations (selected ways of application)
- Description of existing situation and trends

#### 6. Mechanisms of application

- What mechanisms have helped the application of the ESDP?
- How did key actors come to know about the document?
- Was it in a direct or indirect way (secondary decision making)?
- Have they used the document itself, or policies that have been inspired by the ESDP?
- Have they met key actors of the ESDP process?
- Was the ESDP itself appealing or not and if so, which parts?

#### 7. Means of application

- c1. Tampere Action Programme

The national reports can be useful in order to collect or update information on the progress and results of the TEAP, in particular about the following "tasks":

- tasks that were not completed at the time of the progress report of July 2001 and about which information could probably be provided by the lead partner for the task:
  - ESDP demonstration projects (1.2 – Denmark);
  - urban policy application and co-operation (1.6 – France);



- «Future regions of Europe» award (2.3 – Germany (and France? Italy?));
- European Guide on integrated strategies for coastal regions (2.4 – Spain);
- co-operation with non-MS (3.1 – Germany (and Sweden?));
- general tasks that were assigned to all Member States but about which no reporting was done or reporting should be updated (taking into account that some tasks are overlapping):
  - "Reflecting the ESDP in structural policies including SF programmes, in national and regional planning documents and in the co-ordination of sectoral policies" (1.1) (update/complement of what has been done in the "Strathclyde studies");
  - "Reflecting the ESDP in the preparation of Interreg III B and in OP, exploring means for transnational co-operation" (1.2);
  - "Giving priority to ESDP demonstration projects in Interreg III OP" (1.2)
  - "Integrate the ESDP and European dimension to spatial development / planning and encourage sectoral policies to apply the ESDP" (1.3) (update of the answers to the Belgian questionnaire);
  - "Considering the ESDP in transport planning" (1.4)
  - "Promoting further the urban dimension in relevant policies at the national and European levels" (1.6);
  - "Integrating a spatial dimension in discussions on applying the Community *acquis*" (3.1), a question that addresses more specifically the new Member States.
- c2. cross-border co-operation (i.e. Interreg IIIA)
- c3. transnational co-operation (i.e. Interreg IIIB)

What arrangements (EU and non-EU) exist for transnational and cross-border cooperation concerning spatial development for cities and regions in the country? Do any joint planning agencies, joint plans, and joint committees exist for cross border cooperation? (See National overviews ESPON 2.3.2)

- c4. urban governance

Existence of partnerships at different scales? (See National overviews ESPON 2.3.2)

- c5. Structural Funds

What Structural Funds objectives and programmes is the country and the regions within the country entitled to? (Check results from ESPON 2.2.1)

#### 8. Type of Impacts/Effects

Examples include:

- d1. institutional changes
- d2. changes in planning policies
- d3. changes in planning practices
- d4. changes in planning culture (discourses)
- d5. changes in spatial representation (images)
- d6. spatial development

#### 9. Impacts/Effects over time

How have the impacts/effects of the ESDP changed over time? Was there convergence/coherence before the introduction of the ESDP? Has there been convergence/coherence since the introduction of the ESDP?

#### 10. On what level(s) has the application taken place?

- e1. national
- e2. regional
- e3. local

### **Part III. CONCLUSIONS**

#### 11. General observations concerning application and mechanisms

#### 12. Tentative recommendations for improving the application of the ESDP in future spatial planning documents/guidelines/practice

## **8.2 Guidelines for ESDP application at the trans-national and EU level**

In the project an additional study will address the European level, i.e. assess the application of the ESDP at the European level. Also for this study – based on the literature review – guidelines need to be developed that guarantee that the results of this study are adequate complements to the national studies. This research will, according to the tender, focus on:

- ESDP application in EU policies
- The contribution of Interreg to the application of the ESDP
- National EU level activities (Tampere Action Programme)
- Pan-European activities (CEMAT)

The four routes of application of the ESDP 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 as well as a programmatic approach. In other words, the four strands represent different contexts for application. Because of these different 'receiving contexts' also different types of results may be expected in terms of the 'explicit' and 'implicit' application of the ESDP.

The policy documents analysis (performed by PhDB and OTB in chapter 3) as well as the hypotheses drafted by Liverpool (Chapter 6) will serve as a starting point for assessing the ESDP's application in each of the four strands. While this analysis provides an indication as to what extent the ESDP has been applied, WP4 has to reveal the world that is behind these examples of application. In other words, it will seek to explain the mechanisms through which the ESDP has been applied. Mechanisms may vary depending on the 'receiving context'.

Given the diversity of the different tracks we will develop general guidelines as well as specific guidelines for each of the four tracks. Firstly, we give a short overview of the type of work that will be done in each track. Secondly, we will present a set of general guidelines that apply to all four tracks. Finally, we will present some guidelines specifically for each track.

### 8.2.1 Overview of the Tracks

#### *EU – Policies: Horizontal integration of EU policies*

Following the work carried out for the EU Commission study on the costs of non- integration, an assessment shall be carried out revealing to what degree the ESDP has been applied at the EU level. This takes into consideration both the work of DG *Regio* – in particular focusing on the Structural Funds – and also the policies of other DGs such as transportation, agriculture, information society, research and development etc. This task will to a large extent rely on the work carried out by the strand 2 ESPON project involving the territorial impacts assessments of various EU policies. In addition, interviews with key actors will be carried out.

Research methods:

- Interviews with key persons
- Policy analysis
- ESPON TIA projects

#### *Trans-national level Activities: Interreg*

In the ESDP it has been stated that Interreg is considered to be one of the main instruments for applying the ESDP. A number of ESPON projects have been asked to look into this field, though thus far, none has presented a consistent methodology or results for such a study. Before proposing our own methodology in this respect however a review will be made of the work carried out by the other ESPON projects. Based on their experience and on the work carried out by the proposed project partners, a review of Interreg as an instrument of ESDP application will be provided. Furthermore, some of the case studies to be carried out under WP 3 may address Interreg co-operation and be integrated into this part of the work.

Research methods:

- Analysis of Operational Programming Documents
- Analysis of Interreg IIC Evaluations and IIIB interim-Evaluations
- Interview with key players (optional)
- Review of spatial visioning processes

### *National Activities at the EU Level: The Tampere ESDP Action Programme*

At the 1999 meeting in Tampere the then 15 EU Member States agreed to an ESDP Action Programme. In this programme a number of Member States and the Commission committed themselves to carrying out a number of ESDP related tasks. Of particular interest here is the previously mentioned 'Belgian exercise' on ESDP policy orientations in national spatial planning. A number of other activities will also be reviewed here in order to provide a fuller picture of national activities at the EU level.

#### Research methods:

- Analysis of the process, notably on base of the first progress report (Informal ministerial meeting Namur 2001)
- Reporting documents responsible member states
- Interview with key players (optional)

### *Pan-European activities: CEMAT*

The fourth briefing on the application of the ESDP at the EU level will address the pan-European dimension. Here, in particular links to the CEMAT's activities and 'to the guiding principles for the sustainable spatial development of the European Continent will be reviewed.

#### Research methods:

- Analysis of CEMAT document
- Analysis of CEMAT working programme as from early 1990s up to now.
- Interview with key players (optional)

## **8.2.2 General Guidelines for European level application**

### **Part I. INTRODUCTION**

This section should provide a basic idea of the context in which the ESDP is applied and should not go too deeply into detail. Details will be given in Part II where specific cases and examples of application will be reviewed and explained.

### 1. Institutional or Receiving Context

Give a brief introduction to the planning environment in which the ESDP is being applied. In describing the organisation or programme address issues such as: aim, history, general way of working/administrative culture (e.g. sectoral set up in case of European Commission), and position of spatial planning.

### 2. Involvement in the ESDP process and general reception of ESDP (only applicable to EU and CEMAT)

What was the role of the organisation or programme during the ESDP process? Has it been involved in drafting the ESDP (and if yes, to what extent), was it consulted during the ESDP consultation process in 1998. General attitude towards the ESDP.

### 3. Convergence/coherence with the ESDP from the outset

To what extent were the objectives or goals of the organisation or programme consistent with the ESDP before the publication of the ESDP? Were the objectives or goals of the organisation or programme already moving in the general direction of those of the ESDP before the publication of the ESDP?

## **Part II. APPLICATION**

For each of the chapters below it is important to try to distinguish between various causes and effects for changes in programmes, procedures, policies, organisational structures, funding arrangements, responsibilities, etc:

- Change mainly due to implementation of the ESDP
- Change due to the ESDP and other factors
- Change due to other factors
- No change because the issue/policy area is not considered appropriate
- No change because the issue/policy area is still under discussion or review
- No change because the issue/policy area is already in line with the ESDP

#### 4. Examples of the application of the ESDP

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

- *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 towards a *conformance* of the approaches adopted with the policy themes of the ESDP.
- *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.
- Application is dependant on successfully shaping the thinking of critical individuals who have the ability to shape agendas at a variety of different scales

#### 5. Features applied

Which aspects of the ESDP are being applied:

- Philosophy
- Spatial impact of policies
  - b1. vertical integration
  - b2. horizontal integration
  - b3. spatial integration
- Guidelines, policy aims, policy options
  - a1. polycentric spatial development (polycentrism)
  - a2. new urban-rural relationship

- a3. parity of access to infrastructure and knowledge
- a4. wise management of the natural and cultural heritage
- 'Spatial positioning'
- General considerations about application
- Recommendations (selected ways of application)
- Impact of enlargement
- Description of existing situation and trends

#### 6. Mechanisms of application

- What mechanisms have helped the application of the ESDP?
- How did key actors come to know about the document?
- Was it in a direct or indirect way (secondary decision making)?
- Have they used the document itself, or policies that have been inspired by the ESDP?
- Have they met key actors of the ESDP process?
- Was the ESDP itself appealing or not and if so, which parts?

#### 7. Type of Impacts/Effects

Examples include:

- d1. institutional changes
- d2. changes in planning policies
- d3. changes in planning practices
- d4. changes in planning culture (discourses)
- d5. changes in spatial representation (images)
- d6. spatial development

#### 8. Impacts/Effects over time

How have the impacts/effects of the ESDP changed over time? Was there convergence/coherence before the introduction of the ESDP? Is there convergence/coherence since the introduction of the ESDP?



### **Part III. CONCLUSIONS**

9. General observations concerning application and mechanisms
10. Tentative recommendations for improving the application of the ESDP in future spatial planning documents/guidelines

## 9 Selection of case studies

The most interesting cases of ESDP application are likely to be found at the regional or local levels, or perhaps somewhere in the sphere of governance. Therefore, a set of case studies will be identified to assess a series of “hands-on” ESDP applications. As regards case study selection, material from the literature review is used (unfortunately, the selection must be made before we have the initial results of the national studies). Based on this material, between 20 and 30 case studies will be identified covering, at the very least, all 25 current EU Member States. The ambition here is thus that each EU Member State should be addressed by at least one case study. The final selection will be subject to discussions with the ESPON CU.

The case studies will above all function as illustrative examples displaying the different practice of ESDP application and will thus mainly tell “stories” about the application of the ESDP. In that sense, the selection will be rather non-representative.

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

The selection of the case studies has also been connected to the key word matrix. The list of potential case studies provided in the Terms of Reference (*marked with italic in the list that follows*) has served as a source of inspiration for the selection. Table 16 presents the proposed case studies including their connections with the key words.

### 9.1 Proposal of case studies

#### 9.1.1 Austria

PlaNet CenSE (Interreg IIIB project)

The project deals with the interpretation of ESDP and ESPON results in the CADSES area.

### **9.1.2 Belgium**

#### **Saar-Lor-Lux+ Space Development Outline**

The suggestion of the Benelux structural outline in the Terms of Reference probably relies on the wish to take into account approaches / documents of a transnational scale. As this document has been “adopted” in 1997, the same year as the Noordwijk version of the ESDP, it is difficult to consider it as an application of the ESDP. We therefore suggest selecting another and more recent document made at this type of scale and explicitly inspired by the ESDP, i.e. the *Saar-Lor-Lux + Space Development Outline*, which concerns a transnational territory covering the whole of Luxembourg as well as parts of Belgium, France, and Germany.

### **9.1.3 Cyprus**

The partner responsible for Cyprus has been in contact with Mr. Constantinos Alkides, responsible for the ESPON Contact Point in Cyprus. He stated that there are no references regarding the impact of the ESDP on Cyprus. After consulting with his colleagues at the Ministry of the Interior, Department of Town Planning and Housing, he assures us that neither formal nor informal publications related to the issue exist, not even something concerning the policies currently applied. Thus, it appears that there is no ground to include any case study from Cyprus.

However, the Contact Point also pointed out that legislation on urban planning would presumably be readjusted, in order to introduce the Strategic Environmental Assessment Directive into national law. That is to say, spatial planning, as well as the spatial and urban planning process in general, receives this kind of influences, however not directly from ESDP.

### **9.1.4 Czech republic**

#### **Selected River landscapes management and development in Europe**

During last few years Central Europe has been faced with local and regionally damaging floods. This has entailed that increased attention be paid to the complicated problems of river landscapes. Rivers are usually important traffic and infrastructure corridors, densely populated areas, but also wetland and wet forest areas limiting urban development. The people

living in these areas often have a special relationship with their “river home”. The principles of the ESDP could be well verified in the newly created spatial developing document, “River landscape management”. This document has a multifunctional approach to the river valley problems. Participating countries/regions include the Czech republic, Slovakia, Hungary and Saxony. The model regions will be smaller areas representing typical problems in their respective country. The lead partner of the project is the “Leibniz Institute of ecological and spatial development” in Dresden (Saxonia).

#### **9.1.5 Denmark**

*The Øresund Region (Denmark-Sweden)*

The cross border region Øresund is an example of the development of joint spatial planning crossing borderlines. The Øresund Bridge, opened in the summer of 2000, interconnects the region.

#### **9.1.6 Estonia**

Via Baltica Project

The Phare/Interreg project “Via Baltica Spatial Development Zone” concerns the transport development on the eastern side of the Baltic Sea. The following countries have been working with the project: Estonia, Lithuania, Poland, Finland and Germany.

#### **9.1.7 Finland**

Via Baltica Project

See description under Estonia

#### **9.1.8 France**

*Sectoral policies; “Schémas de Services Collectifs”*

#### **9.1.9 Germany**

*Committee of Experts for European Spatial Development*

#### **9.1.10 Greece**

Spatial Impacts Observatory of Egnatia Road

The case study "Spatial Impacts Observatory of Egnatia Road" concerns the assessment of the impacts of the road in relation to the policy objectives of ESDP.

#### **9.1.11 Hungary**

The impact of ESDP on the environmental and natural conservation policy of Hungary.

#### **9.1.12 Ireland**

*Regional Planning Guidelines for the Midlands Region (2004)*

#### **9.1.13 Italy**

The polycentric metropolitan area Turin-Milan-Genoa

New strategies of polycentric territorial development in the macro-region of North-West of Italy, well known as the "old industrial triangle", also in view of Community policies for the Trans-European Transport Networks.

#### **9.1.14 Latvia**

Integrated Coastal Management Plan for the Baltic Coast of Lithuania and western Latvia

This case study will display an example of Integrated Coastal Zone Management (ICZM).

#### **9.1.15 Lithuania**

Integrated Coastal Management Plan for the Baltic Coast of Lithuania and western Latvia

See description under Latvia

#### **9.1.16 Luxembourg**

Saar-Lor-Lux + Space Development Outline

See description under Belgium

#### **9.1.17 Malta**

*The island of Gozo*

A study on how the Ministry of Gozo is working on protecting and developing the unique cultural, social and environmental characteristics of the island.

#### **9.1.18 Netherlands**

*The National Spatial Strategy*

A study of the new spatial planning policy.

#### **9.1.19 Poland**

Changing patterns of spatial accessibility in Poland with special reference to accessibility to centres of higher education

#### **9.1.20 Portugal**

Lisbon 2015 (2005): strategic vision for the Lisbon region

This case study will deal with a strategic vision for the Lisbon region 2015.

#### **9.1.21 Slovakia**

Vision Planet

Perspectives and Strategies of Spatial Development Policy in the Central European and Danube Area – part of the Slovak Republic. The ideas of the ESDP were adopted in the transnational project VISION PLANET, which reported in 2000. Following this VISION PLANET project, the above-mentioned PHARE project No.1998-SR 9814 0401 commenced in Slovakia in 2001. Within the framework of the project, the explanation of the ESDP and VISION PLANET policy options was undertaken, as well as the explanation of both projects' connection to the Slovak Spatial Development Perspective 2001.

### **9.1.22 Slovenia**

Cross-border regional/city cooperation-various ongoing projects: Graz (Austria)-Maribor (Slovenia)

### **9.1.23 Spain**

*Navarrian Spatial Vision ("Estrategia Territorial de Navarra")*

The case study will highlight the project that works with the territorial development of the Navarra region 2001-2025.

### **9.1.24 Sweden**

*The Øresund Region (Denmark-Sweden)*

See description under Denmark

### **9.1.25 United Kingdom**

RPG / RSS for the North West of England

Recent years have seen a revival of interest in strategic planning at the sub-state scale in the UK both in the devolved territories of Wales, Scotland, Northern Ireland and London and at the regional scale in England. Reflecting this context, the UK case study will consider the regional planning process in an English region - the North West, as reflected in the production of a 'Regional Planning Guidance Note' document between 2000 and 2003 and its successor document the North West Regional Spatial Strategy which is currently under preparation. The UK case study is therefore a study of the impact of the ESDP on processes of strategic spatial planning within a particular territory. As illustrated in the case study matrix (Table 16) this case will address the majority of key words and concepts, which form the analytical framework of this study.

## **9.2 General guidelines for case studies**

Project guidelines for the case study analysis will be drawn up in order to ensure that the case studies contribute to the questions raised by the working hypothesis and the crucial issues identified in the comparable national studies. The main methods used within the context of the case studies will be the analysis of documents and interviews with key persons related to the selected case study.

Since the case studies will cover different levels and themes it will be rather difficult to construct one set of guidelines to suit all cases. Thus, it may be necessary to create different templates depending on the topic. In this interim report, we only present a checklist including headings. The checklist is mainly based on the key word matrix.

During April, some of case studies will be performed. The idea here is that the performed case studies will serve as templates. The performed "pilot" case studies will be discussed during an extra core team meeting in Brussels, 19 May. The template and guidelines will be ready for distribution to the other partners / subcontractors 1 June 2005.

### **9.2.1 Checklist for case studies**

#### **I Introduction**

Describe the general context of the case study, i.e. political and institutional context, spatial planning framework etc. Use information from the national reports.

#### **II Application**

Which of the ESDP policy aims / themes does the case study address? In what way?

- a1. polycentric spatial development (polycentrism)
- a2. new urban-rural relationship
- a3. parity of access to infrastructure and knowledge
- a4. wise management of the natural and cultural heritage

#### **B. Ways:**

- b1. vertical integration
- b2. horizontal integration
- b3. spatial integration

#### **C. Means:**



- c1. Tampere Action Programme (various actions)
- c2. cross-border co-operation (Interreg IIIA)
- c3. transnational co-operation (Interreg IIIB)
- c4. urban governance
- c5. Structural Funds

D. Effects:

- d1. institutional changes
- d2. changes in planning policies
- d3. changes in planning practices
- d4. changes in planning culture (discourses)
- d5. spatial development

E. Which level(s) does the case study address?

- e1. national
- e2. regional
- e3. local

III Conclusions

1. General observations concerning ESDP application through the case studies
2. Tentative recommendations for improving the application of the ESDP in future spatial planning /documents/guidelines

	Austria	Belgium	Cyprus	Czech	Denmark	Estonia	Finland
	<i>PlaNet CenSE (Interreg)</i>	Saar-Lor- Lux+ Space Development Outline	No case	Selected River landscapes management	<i>Øresund Region</i>	Via Baltica Project (Interreg)	Via Baltica Project (Interreg)
a1. polycentrism	X	X			X		
a2. urban/rural relations	X	X		X			
a3. access to infrastructures and knowledge	X	X		X	X	X	X
a4. natural/cultural heritage	X	X		X			
b1. vertical integration					X		
b2. horizontal integration				X	X		
b3. spatial integration					X		
c1. Tampere A. P.							
c2. cross-border				X	X		
c3. transnational	X	X				X	X
c4. urban governance					X		
c5. structural funds				X			
d1. institutional changes				X	X		
d2. planning policies				X	X		
d3. planning practices				X	X		
d4. planning culture				X	X		
d5. spatial development				X	X		
e1. national level							
e2. regional level				X	X		
e3. local level				X			

	France	Germany	Greece	Hungary	Ireland	Italy
	<i>Sectoral policies; "Schémas de Services Collectifs"</i>	<i>Committee of Experts for European Spatial Development</i>	<i>Spatial Impacts Observatory of Egnatia Road</i>	<i>The impact of ESDP on the environmental and natural conservation policy in Hungary</i>	<i>Regional Planning Guidelines for the Midlands Region (2004)</i>	<i>The polycentric metropolitan area Turin-Milan-Genoa</i>
a1. polycentrism			X			X
a2. urban/rural relations			X			
a3. access to infrastructures and knowledge			X			X
a4. natural/cultural heritage			X	X		
b1. vertical integration						X
b2. horizontal integration	X					X
b3. spatial integration						X
c1. Tampere A. P.						
c2. cross-border						X
c3. transnational						
c4. urban governance						X
c5. structural funds						X
d1. institutional changes		X				X
d2. planning policies						X
d3. planning practices		X				
d4. planning culture						
d5. spatial development						X
e1. national level						
e2. regional level						X
e3. local level						X

	Latvia	Lithuania	Luxembourg	Malta	Netherlands	Poland	Portugal
	Integrated Coastal Management Plan for the Baltic Coast of Lithuania and Latvia	Integrated Coastal Management Plan for the Baltic Coast of Lithuania and Latvia	Saar-Lor-Lux+ Space Development Outline	<i>The island of Gozo</i>	<i>The National Spatial Strategy</i>	Changing patterns of spatial accessibility to higher education centres	Lisbon 2015 (2005), a strategic vision for the Lisbon region
a1. polycentrism			X				X
a2. urban/rural relations			X				X
a3. access to infrastructures and knowledge			X	X		X	X
a4. natural/cultural heritage	X	X	X	X	X		X
b1. vertical integration					X		X
b2. horizontal integration	X	X			X		X
b3. spatial integration							X
c1. Tampere A. P.							
c2. cross-border	X	X					
c3. transnational			X				X
c4. urban governance							X
c5. structural funds							X
d1. institutional changes							X
d2. planning policies	X	X					X
d3. planning practices	X	X			X		X
d4. planning culture							X
d5. spatial development	X	X					X
e1. national level							
e2. regional level							X
e3. local level							X

	Slovakia	Slovenia	Spain	Sweden	United Kingdom
	VISION PLANET (Interreg)	Cross-border regional/city cooperation-various ongoing projects: Graz (A)-Maribor (SI)	<i>Navarrian Spatial Vision</i> ("Estrategia Territorial de Navarra")	<i>Øresund Region</i>	RPG / RSS for the North West of England (Interreg)
a1. polycentrism		X	X	X	X
a2. urban/rural relations		X	X		X
a3. access to infrastructures and knowledge		X	X	X	X
a4. natural/cultural heritage		X	X		X
b1. vertical integration			X	X	X
b2. horizontal integration			X	X	X
b3. spatial integration			X	X	X
c1. Tampere A. P.					
c2. cross- border				X	X
c3. transnational	X				X
c4. urban governance				X	
c5. structural funds			X		X
d1. institutional changes			X	X	X
d2. planning policies			X	X	X
d3. planning practices	X		X	X	X
d4. planning culture			X	X	X
d5. spatial development			X	X	X
e1. national level					X
e2. regional level			X	X	X
e3. local level					X

**Table 16** Keywords connected to the proposed selection of case studies

