TERRITORIAL IMPACT ASSESSMENT: AN APPROACH TO IMPROVE THE VERTICAL AND HORIZONTAL INTEGRATION OF EU POLICIES

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Content

• Introduction
• ESPON EATIA project
  • TIA approach
  • Governance aspect
• Reflection on the governance issues and implementation of TIA
• Future prospects
EU policies

TRANSPOSITION

IMPACTS

Expected/unexpected

Direct/indirect

Positive/negative
Habitat directive (directive 92/43)

Restriction of development opportunities in **CERTAIN AREAS:**
- Negative impacts on agriculture (France, Ireland)
- Conflicts in local land-use plan making procedures (Slovenia)
Energy Services directive (2006/32/EC)

Opposite effect in **regions across EU:**

- More populous countries: falling prices dominated by few providers
- Less populous countries: increase in prices – market too small to sustain several smaller providers
TIA background

- **ESDP** (1999): TIA for large infrastructure projects
- Tradition of **obligatory spatial IA** (AT, DE, BE)
- **5th Cohesion report** (2010):
  
  “Both policies with and without an explicit spatial dimension could benefit from an **assessment of territorial impact**.”

- **Territorial Agenda of the EU** (2011):
  
  “Territorial coordination should be supported by instruments such as **assessment of territorial impacts**…”

- **ESPON**:
  
  - Ex-post assessments: quantitative, computer modelling approaches
  - Ex-ante assessments: quantitative, later qualitative
Scope of integrated assessment methodologies

Technical (Expert-based)

Modernist Rational Planning Traditions

Quantitative
Drawing upon science / economics

Participative Modelling Exercises

Participatory (Expert-facilitated)

Expert Opinions

Qualitative
Drawing upon social science

Post Modernist Consensus/Communicative Planning Traditions

Main focus of TIA research to date

Scope of TIA research through project

Source: adapted from Kidd and Fischer, 2007
Territorial impact

= any impact on a given geographically defined territory whether on spatial usage, governance, or on wide economic, social and environmental aspects which result from the introduction or transposition of the EU policy.

- **TERRITORIAL IMPACT ASSESSMENT** = ex-ante mechanism that can be used to identify territorial impacts at national, regional and local level in MS to help identify potential policy conflicts or inconsistencies.

Differentiation of impacts between different places
Administrative aspects of terr. impact

- Legislation and other regulation
- Procedures and administrative arrangements
- Financial Instruments
- Information and Publicity

- Planning, project ideas and land use plans
- Functionality of solutions
- Land Management
- Impact Assessment
- Applied to all categories of land use (built area, agriculture, housing, infrastructure and others)

- Change in morphology of territory (form, area, dimension)
- Distribution of objects and land use, other land characteristics
- Environmental and other impacts
- Distribution of measures regarding regions, states and Europe

Tennekes and Hornis, 2008, p. 18
ESPON EATIA project

• 2010-2012: University of Liverpool, University of Porto, Technical University of Delft, University of Ljubljana
• Bottom-up approach to TIA
• Qualitative methods
• Stakeholders’ participation, input and networking
• Testing of four directives in each country

Three main elements:
2. Techniques.
3. Governance.

(1) Good in diversifying the impacts in both:
• vertical level
• horizontal dimensions (characteristics of the region).

(2) Simple to learn and use

(3) Flexible - fits in existing administrative frameworks.
TIA approach

TIA process

Screening

Scoping

Assessment

Evaluation and synthesis

TIA methods/techniques

Stakeholder workshops (learning networks)

Policy analysis (logical chains) Teritorial typologies and clustering

Impact analysis (assessment and evaluation matrices)

Expert evaluations
Scoping: making of typology

- Directive 2010/31 on energy efficiency of buildings
  - Length of heating season
  - Number of buildings needing renewal (age of 30 years+)

- Directive 2009/28 on use of renewable resources
  - Potential for geothermal / hydro energy / biogas / biomass
Assessment

EU directive

Measure 1

Measure 2

Measure N

... 

Measure N

Selected territorial unit

Country
Region
Local community
Certain type of an area

IMPACT

Yes/no

Negative / positive

Size: -2 to +2 or -- to ++

<table>
<thead>
<tr>
<th>Measure</th>
<th>Region 1</th>
<th>Region 2</th>
<th>Region 3</th>
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</thead>
<tbody>
<tr>
<td>Measure 1</td>
<td>+2</td>
<td>-1</td>
<td>2</td>
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<td>Measure 2</td>
<td>0</td>
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<tr>
<td>Measure n</td>
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<td>2</td>
<td>-2</td>
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## Evaluation

### Territorial cohesion objectives

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<th>M4</th>
<th>M5</th>
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<th>M10</th>
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<th>M12</th>
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<tbody>
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<td><strong>1 Polycentric and balanced territorial development</strong></td>
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<td>EU (Promote polycentric and balanced territorial development)</td>
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<td>N (Polycentric development of the network of cities, towns and other settlements)</td>
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<td>L (Balanced spatial development)</td>
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<td><strong>4 Integrated development of the territories</strong></td>
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<td>EU (Encouraging integrated development in cities, rural and specific regions)</td>
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<td>N (Harmonious development of areas with common spatial development characteristics, Development of complementary functions of rural and urban areas, Spatial development harmonized with spatial limitations)</td>
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<td>L (Improvement of the qualities of territory and countryside areas, landscape and built structures, creating new qualities in the land and preservation of the natural qualities)</td>
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<td><strong>5 Preserving nature, landscape and cultural values</strong></td>
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<td>EU (Managing and connecting ecological, landscape and cultural values of regions)</td>
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<td>N (Nature conservation, Environmental protection, Prudent use of natural resources, Cultural diversity as the foundation of the national spatial identity)</td>
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<td>L (Environment protection objectives, Preservation of cultural heritage and its integration into social and economic development of municipality)</td>
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</table>
## Overview of TIA (governance aspect)

<table>
<thead>
<tr>
<th>Step in the process</th>
<th>Conducted by</th>
<th>Participated by</th>
</tr>
</thead>
<tbody>
<tr>
<td>Screening, scoping</td>
<td>National departments/ministries responsible for a draft directive</td>
<td>Representatives of different departments</td>
</tr>
<tr>
<td>Assessment</td>
<td>Regional/local level spatial planning authorities</td>
<td>Voluntary engagement of regional/local authorities</td>
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<tr>
<td></td>
<td>Spatial planning/SEA teams (web-based alert system)</td>
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</tr>
<tr>
<td>Evaluation</td>
<td>Central government departments/ministries</td>
<td>Information provided by regional/local authorities</td>
</tr>
</tbody>
</table>

Different policy, plan making and assessment traditions and planning cultures.
UK

- Qualitative
- Discursive
Slovenia

- Quantitative
- Legalistic
Portugal

- Qualitative/quantitative
- Discursive
Outcomes

(1) TIA is good in diversifying impacts between territorial units/administrative levels.

- Only to some extent (depends on territorial units; nature of the policy and impacts).
- Depends on the spatial knowledge of the assessment’s participants.
- Typologies should be natural – something people can quickly familiarize with.
- Policy vs. project level.
- Comprehensive vs. detailed.
Outcomes

(2) TIA can be easily learnt and used by administrators.
• One (half-)day workshop should suffice.
• Dependent on existing assessment practice.
• Modelling should be omitted.
• Clear linkage to the existing administrative framework should be provided.
• Motivation – benefits.
Outcomes

(3) TIA fits in existing administrative frameworks.

• Depends on the impact assessment culture (regulations, departments’ organisation).

• Limitations of administrative and financial capacities.

• Depends on the spatial culture and integration of the territorial matters into the policies (sectoral co-operation, set of national policies and local documents).
Conclusions

Benefits of TIA
- Complete information for the policy makers
- Ex-ante info on potential impacts of EU policies
- More efficient, realistic transposition
- Use of EU regional data
- Higher awareness of territorial aspects of policies
- Cross-sectoral co-operation and dialog

Potential barriers for TIA
- Resistance of different departments/administrations
- Implementation in the local community (capacity)
- Misinterpretation of the data
- General scepticism about assessments
- Complexity of the method for non-evaluators
- Monitoring
Future prospects

- Knowledge network: awareness raising and training on TIA – exchange of information, participation in evaluation
- Initiative for incorporating the territorial aspects into the IA of the EC, tool development:
  „essential to ensure that targeted consultations of local and regional authorities are part of the process in order to assess the potential territorial impact of EU initiatives more effectively“ (CoR, 2013)
Future prospects

• Applicability of the proposed TIA methodology should be looked at in other EU MS contexts
• Test and use in the real-time policy making process
• Further use in domestic policies, projects
• Web-platform (?)
• TIA mandatory in certain policy areas (transport, energy, environment, single market, agriculture and fisheries, urban and rural policies)