

Berichte aus dem Institut für Raumplanung

59

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

This report documents research work carried out by IRPUD for
the ESPON programme of the European Community

Dortmund, Dezember 2006

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The following results do not necessarily represent the view of the European Community.

Foreword

Between 2004 and 2006 IRPUD participated in two projects of the European Spatial Planning Observation Network, in short ESPON. Both projects fall into the policy impact studies of ESPON, trying to understand and identify the various effects of territorial policies implemented by the EU and its various bodies.

The ESPON project 2.3.1 "Application and Effects of the ESDP in Member States" focused on the European Spatial Development Perspective and tried to analyse, which effects this bottom-up policy document finally generated when looking towards the planning systems of member states (and beyond).

The ESPON project 2.3.2 "Governance of Territorial and Urban Policies from the EU to Local Level" on the one hand can be understood as a follow up of the mid-90ies Compendium of EU Planning Systems. On other hand, the study clearly goes beyond the earlier compendium trying to establish a deeper understanding of urban and territorial policies in Europe, not least surveying 29 states.

IRPUD contributed to both projects various elements but in particular quantitative approaches towards the analysis. What needs to be stressed here is, that the quantitative approach in both cases constitutes only a very first attempt. Both policy fields are very complex analytical entities which do not lend easily for a quantitative indicator based survey. The results rather have to be seen as preliminary, raising many more questions than providing ready made answers.

The reports presented here are excerpts of the final reports produced for ESPON. The complete versions can be found at www.espon.eu.

The team for both projects (with varying responsibilities) consisted of Prof. Dr. Peter Ache, Alexandra Hill, Michael Höweler, Christian Lindner and Stefan Peters.

Part 1 Introduction

This working paper brings together IRPUD research for the project “Impacts of the European Spatial Planning Perspective” carried out under the ESPON (European Spatial Planning Observation Network) programme. Information given in this report was first created for ESPON 2.3.1 Second Interim Report (December 2005). It was extended in preparation of ESPON 2.3.1 Final Report (April 2006). It comprises a German National overview of the application of the ESDP (cf. part 2), two Europe-wide analyses of questionnaires on the application of the ESDP (cf. part 3 and part 4) and maps illustrating the application of the ESDP in Europe (cf. part 5).

This introduction summarizes the project’s aims, hypotheses and key findings. It was mainly taken from the project’s final report delivered to the ESPON coordination unit by NORDREGIO, the project’s lead partner. Parts 2 to 5 were written by IRPUD.

1 Aims of ESPON and project aims¹

This project was carried out under the ESPON programme. The aim of ESPON is to carry out research on territorial development and spatial planning on EU level, considering mainly regions or cities. One of its practical aims is to generate tools and appropriate instruments such as databases, indicators, territorial impact analyses and maps in order to facilitate further research on the subject. After the first phase of the programme, 2000-2006, a second follows 2007-2013.

This ESPON 2.3.1-Project is one of ESPONs “Policy impact projects” (priority 2). Projects of this group examine spatial impacts of Community sector policies on an empirical basis, e.g. Transport policy (2.1.1), Common Agricultural and Rural Development Policy (2.1.3), the Structural Funds (2.2.1) and EU Environment policy (2.4.1). Other projects cover impacts of major spatial developments (“thematic projects”, priority 1) and networking projects covering the results of the before named projects (priority 3), creating a European Spatial Monitoring System (priority 4) and improving results of other ESPON project in general (priority 5).

The task of ESPON 2.3.1 project “Application and effects of the ESDP in the Member States” was to study the application of the European Spatial Development Perspective (ESDP). The objective was to identify the ESDP’s potential and to highlight examples of its application and implementation at the European, trans-national, national, and regional/local levels. The

¹ This text was generated following texts from the ESPON 2.3.1 final report edited by NORDREGIO.

results of the study on ESDP application is of specific interest to those involved in future territorial policy-making.

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

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

2 Project partners and runtime

The ESPON project 2.3.1 started in 2004 and ended in 2006. Research and results were elaborated by a consortium, which included the lead partner and core team members as listed below. Additionally there were national partners who contributed national assessments.

Lead Partner

Nordregio – Nordic Centre for Spatial Development, Stockholm, Sweden.

Core Team Members

- Katholieke Universiteit Leuven, Leuven, Belgium
- OTB Research Institute for Housing, Urban and Mobility Studies, Delft University of Technology, The Netherlands
- PdDB Consultant, Belgium
- Politecnico e Università di Torino, Dipartimento Interateneo Territorio, Torino, Italy
- Department of Civic Design, University of Liverpool, United Kingdom
- EuroFutures, Sweden
- IRPUD – Institut für Raumplanung, University of Dortmund, Dortmund, Germany

The reports presented here are excerpts of the final reports produced for ESPON. The complete versions can be found at www.espon.eu .

3 Methodology²

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

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

The application of ESDP was assessed on four different levels:

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

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

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

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

² This text was generated following texts from the ESPON 2.3.1 final report edited by NORDREGIO.

4 ESDP drafting process³

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

The ESDP preposes "a policy framework for better cooperation between Community sectoral policies with significant impacts and between Member States, their regions, and their cities" (ESDP, p.11). As such, its major idea is cooperation between all levels and sectors. Each country takes it forward according to the extent it wishes to take account of European spatial development aspects in its national policies. The emphasis is set on the attitudes of the receiving institutions.

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

5 Application of the ESDP⁴

European Level

The ESDP underwent a long period of preparation (1993-1999) comprising a completely new method and process. The ESDP is actually the first EU level policy document on spatial planning. The philosophy and objectives of the ESDP refer to the general objectives of the European Union. It is now seven years since the final version of the ESDP was agreed. The effects of the ESDP are analysed concerning three main areas of application:

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

³ This text was generated following texts from the ESPON 2.3.1 final report edited by NORDREGIO.

⁴ This text was generated following texts from the ESPON 2.3.1 final report edited by NORDREGIO.

The fate of the ESDP at the European level has been rather mixed. The TEAP was partially implemented and had some persisting effects on European spatial planning. However, the emergence of new political agendas (e.g. Lisbon and Gothenburg) and new European policy concepts resulted in pushing the TEAP into the background. Regarding European sectoral policies and programmes application of the ESDP is institutionally complex and mostly happened when it served to support another policy. In CEMAT the ESDP is considered through the guiding principles, though it is obvious that it mainly addresses the needs of EU15.

Trans-national and cross-border level

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

ESDP application at national and regional level

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

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

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

The use of the three ESDP policy guidelines and 13 policy recommendations shows that national policies to a large extent are in conformity with ESDP principles and that only small variations exist between the studied countries.

Approximately half of the ESPON countries report partial compliance between national policies and ESDP policy aims, but without any significant impact from the ESDP on national policies while the other group, particularly countries where new systems were under discussion at the time of ESDP publication, experienced an evident impact on their national policy-making. However, the level of conformity is larger for the EU15

countries than for the other countries. This properly reflects the origin of the ESDP and the participation in the ESDP process.

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

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

For most countries, the impact of the ESDP has been modest in terms of its direct presence in planning documents. In general, the references to the ESDP were more numerous at the time of the official deliveries in 1997 (draft version of ESDP) and 1999 (final document). Thereafter, interest seems to have dwindled in the old EU Member States, where planning documents produced after 2000 often lack direct ESDP references. In contrast, the influence of the ESDP began to rise after its publication in many of the new Member States and in non-member countries. These countries did not take part in the drafting process, though they were subsequently influenced in respect of institutional reforms and changes in planning legislation.

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

Nearly half of the countries report regional differences in terms of ESDP influence. The factors that influence the degree or intensity of regional application relate to the relative position in Europe, i.e. participation in INTERREG III programmes, but also to the attitudes of key institutions in the planning process and to the timing of plan production. For five countries, the regional level has been the most important in terms of ESDP application: Austria, Belgium, Italy, Norway, and Spain. Austria and Belgium are federal countries with the regional level being the driver in terms of spatial policies. In only one country, Bulgaria, the local is seen as the most important application level, while experts from 19 countries consider the national level as most relevant. In general, it is difficult to talk about the application of the ESDP at the regional level, as it is more a question of conformity and parallel processes. There are regional variations in the degree of conformity between domestic spatial policies and the ESDP in some countries. In Belgium for example, the use of ESDP ideas has been more substantial in the Walloon region than in Flanders or Brussels. In

Italy, the northern regions are more engaged in policy development than the southern regions with Emilia-Romagna playing a leading role.

6 Policy conclusions and recommendations⁵

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

After the winding up, in 2001, of the Committee on Spatial Development (CSD) the ESDP process faded from view. At the same time a new process was initiated by the Commission under the umbrella of a new concept, 'territorial cohesion', a term that figured in Article 16 of the EC Treaty, and was later introduced in the draft Constitution. Since 2003 there are two separate processes of European territorial policy-making, each of which is linked to the ESDP. An expert document on territorial development (since 2004 entitled 'Territorial State and Perspectives of the European Union') is worked out in an intergovernmental cooperation context – this process shows many similarities with the former ESDP process. The other process, focusing on territorial cohesion/cooperation, is led by the Commission (DG Regio) and notably concerns the future implementation of the Community Strategic Guidelines for the Structural Funds of the period 2007-13.

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

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

⁵ This text was entirely taken from the ESPON 2.3.1 final report edited by NORDREGIO.

spatial planning perspectives aiming to balance horizontal and vertical integration.

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

It has been difficult to identify any significant or tangible effects generated by the ESDP on the ground. This is not surprising, as the ESDP is rather general in nature and merely reflects the state of the professional debate at the time of its publication. Its effects are more visible in the new Member States, since they have recently undergone a period of institutional reform and thus have had a larger than normal window of opportunity over the last few years in which to test and implement these new approaches. For the future, one should strive for more practical advice, advice that is easier to understand and easier for planners to make use of in their daily work. Impacts on the ground would be easier to achieve through pilot projects or other kinds of practical advice that inspire planners at all spatial levels. It also seems that the ESDP is 'a secret for the few'. It was developed by a limited number of actors, and the dissemination process that followed has seen limited success. The most successful dissemination has been via INTERREG (where funding for spatially-oriented projects is available) and via the concept of polycentricity. The ESDP then was born out of an ongoing professional work process and subsequently influenced the wider policy debate in a non-linear manner. This is probably how it will continue to work in future. The challenge for any future ESDP-style process must then be to enlarge the circles that find the topic of pan-European spatial development relevant for their work. The ESPON programme has been instrumental in the enhancement of the level of academic cooperation on these issues. The next step must be to involve other policy fields as well.

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

Part 2 National Overview

“Application and effects of the ESDP in Germany”

Introduction

1 Institutional / Receiving Context

1.1 Recent evolution of planning, including a discussion of trends and significant issues affecting spatial planning

The divides between successful metropolitan regions [henceforth: MR] and disadvantaged regions is the major problem in Germany. The most serious situation in this respect concentrates on East Germany. This has in fact led to a discussion about the traditional aim to establish equal living conditions in Germany and whether this can still be kept effective, not least due to the steady decline of available resources.

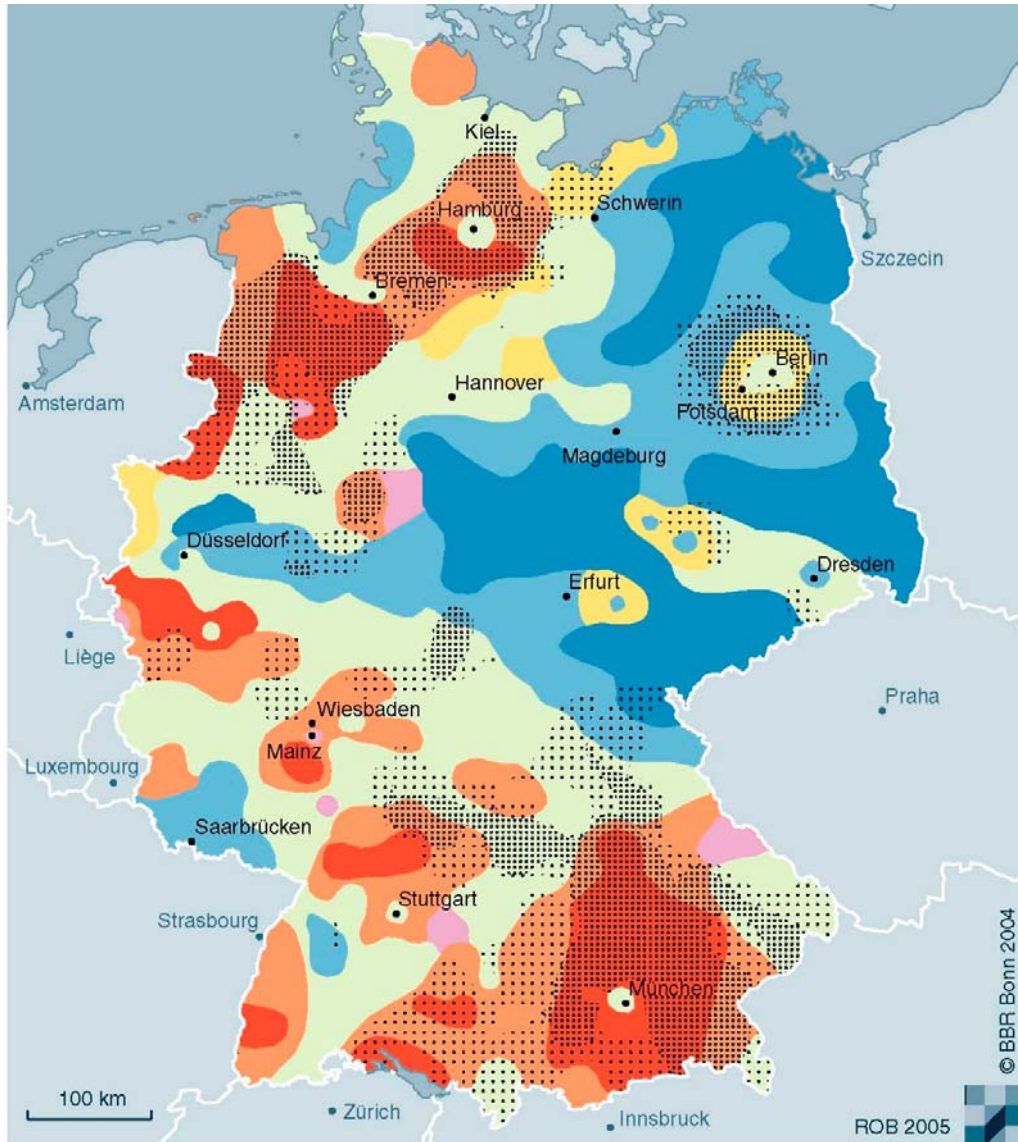
The winner regions, in particular in West Germany suffer at the same time from intense sub-urbanisation processes, occasionally even characterised as de-urbanisation processes, as expressed in the *Zwischenstadt* hypothesis. The consequence of these developments include the standard ‘canon’ of traffic increase, green field consumption, difficult financial situation of core cities with a steady deterioration of services, and the like. Nimby-ism and the transformation of previously rural local cultures into quasi urban cultures or commuter villages are another feature.

On the other hand, deserted East Germany cities are the culminating point of several overlapping negative trends, especially loss of jobs and out migration. In East Germany, large housing estates are even deconstructed with the help of additional public subsidies to straighten out the housing market. A development not only restricted to Halle or Leipzig, where the most prominent examples can be found. Indeed it was in the city of Leipzig, where the paradigm of the ‘perforated’ city was invented, trying to capture the difficult situation.

The ‘planning’ system responds to this with different strategies, from road charges, deliberations to reduce commuter allowances, to cut back subsidies for home builders (family grants), to the introduction of city networks and the new delineation of regional institutions, better reflecting the new functional urban area.

The combined template identifying spatial development problems can be seen from Figure 1. Blue regions are the ones with highly negative development perspectives. Red regions are the positive opposite. The overlain dotted pattern shows, where a very high pressure with respect to settlement structures can be expected.

Figure 1 – Spatial Development Trends in Germany



Quelle: BBR (2005): Raumordnungsbericht 2005. Berichte Bd. 21, Bonn. Seite 85

In the *Wirtschaftswunderjahre*, the German planning and control system was very effective in the distribution of growth and wealth. In times of marginal growth, occasional down swing, population decline and job losses, the very formal system does not prove to be flexible enough to face and cope with the changes. So, in general new forms of more flexible responses, including different actors and resource holders are searched for. The economic underperformance combined with structural problems results in a resource scarcity for many local authorities. This supported (not every planner is in favour of this) more project based planning approaches

and the contracting of planning to private developers. This in turn enhanced co-operation between public and private actors, but also the formation of city networks, new regions (Hanover, Stuttgart, Ruhr-Region), reform of the ROG (*Raumordnungsgesetz*, spatial planning act, with emphasis on softer planning instruments, such as networks).

The European dimension of planning is not least due to above mentioned national trends considered important. The federal government, speaking through its minister for spatial planning, comments on European Spatial Development from a German perspective with the following list of things to do (Stellungnahme, p. 21):

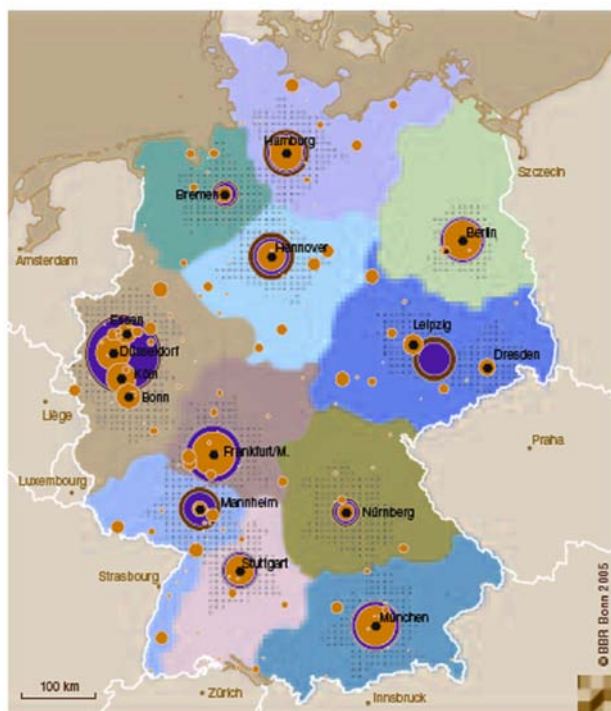
- strengthening the importance of metropolitan regions including their wider functional region (e.g. as knowledge locations);
- further develop the partnership principle between city and country towards what has been called regionale Verantwortungsgemeinschaft, communities of shared responsibility, account, or risk [all English language meanings go into the German Verantwortung: responsibility, resembling social questions; account, being called to account administratively; risk – taking the risk and winning all?];
- TEN strategies further strengthening main corridors between major metropolitan regions;
- the role of natural resources and cultural landscapes for EU development;
- sustained functioning of estuaries as important carriers of economic development;
- integrated coastal development and utilisation of immediate off shore areas (so called Ausschließliche Wirtschaftszonen);
- spatial integration and transport links with new EU members and new EU neighbours; and
- effects of demographic change.

There is also a need for new spatial development visions, which are currently under preparation: The 1992 ORA, after a period of 20 years the first 'integrated concept' on federal spatial planning (coordinated with the MKRO), will be replaced by a new vision or *Leitbild* pretty soon (Aring 2005). First papers preparing the new *Leitbild* mention the international and global context as an important frame of reference for spatial planning at the federal level in Germany. To look at what is happening in neighbouring countries should become a standard. Interesting other topics see the new task for spatial planning to actively support the generation of GDP (the conditions thereof); support of networks for economic growth, of the knowledge society and innovation, and territorially concentrated development strategies.

Metropolitan regions play an important role in this context, epitomising the linchpin of what could be labelled a territorial 'Lisbon-strategy' (Orientations and key words come from ESDP policy option 3.2.2, mentioning gateway functions, improved infrastructures, enhancing the attractiveness of cities, diversified economic structures).

Also interesting is the following comment: In some cases a German region might be part of a cross-border Metropolitan region, where the core of such a region is located actually outside the national territory. Overall, these Metropolitan regions are considered so important, that the entire national territory is allocated to either of them (see Figure 2, ROB p. 224).

Figure 2 – Metropolitan Regions in Germany



Despite this positive reference list, a recent conference proved that the European perspective seems in fact to be under developed. The criticism addressed in particular the 'insular' cartography, ignoring largely the wider EU spatial context of German *Raumordnung*.

1.2 Levels of planning and key spatial planning instruments

Since unification on 3rd October 1990, Germany consists of 16 Federal States (Laender), five from the former GDR, eleven (including Berlin) from the former West-Germany. The German state is qualified as a co-operative federation with an in principle agreed co-operation between three levels of statutory powers, the federation, the Land, and the local authorities (*Gemeinden*, the smallest building stone). The co-operation is based on a distinctive and constitutionally confirmed division of labour between the different levels. All is bound together, again confirmed by the German constitution, by the maxime of *einheitliche Lebensbedingungen* – standard living conditions.

The Federal level only gives the framework and guiding principles for spatial planning, whereas the States (*Länder*) are constitutionally responsible for the implementation of spatial planning, usually carried out by the State Ministry for Spatial Planning or Spatial Development. The Regional Planning Act obliges the Federal States to set up an overall plan

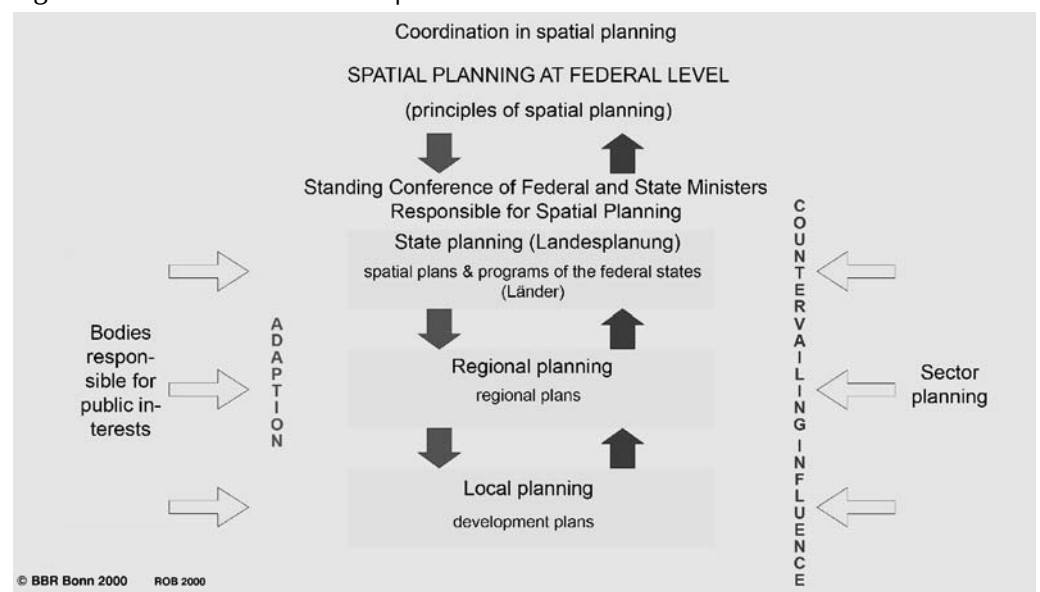
or programme for the whole state. The plan defines the principles, objectives and requirements of regional planning for the respective territory. Apart from the States of Brandenburg and Berlin, which have a common spatial planning programme, every State works independently (cf. BBR 2000: 201).

Planning documents on district level add to the planning objectives of State level. A district in Germany comprises several counties. For nearly all districts in Germany, corresponding to the statistical NUTS 2 level, regional plans exist. They concretize statements from the State plan. Major subject regarded in the regional plans are centres following the central place system (cf. chapter 6.5), development axes and the so called priority areas (cf. BBR 2000: 202).

Planning documents on municipal level follow the principles formulated in the State and Federal planning acts. Two main spatial planning policy instruments exist for local spatial development, both explained in detail in the Federal Building Code:

- Preparatory land use plan (Flächennutzungsplan)
- Binding land use plan (Bebauungsplan)

Figure 3 – Counter Current Principle



Source: BBR 2000: 197

The preparatory land use plan is issued by the municipality, a communal planning association or an association of smaller municipalities, adopted by the municipal council and consists of a graphic plan and a written statement. It is binding for all public authorities, but not for private or legal individuals (thus individuals cannot sue against single planning decisions once the plan is legally adopted) and has to be renewed every 10-15 years. The preparatory land use plan illustrates the expected land uses for the entire area of the municipality, especially areas zoned for residential, commercial, industrial, transport use, green and water areas, areas for mining, agriculture, forestry and nature protection. Moreover special

purposes can be indicated such as areas or sites with protected monuments, contaminated land, flooding and polder areas. The plan is usually issued at a scale of 1:5,000 to 1:25,000 subject to the size of the mapped area (cf. European Commission 1999: 63-64).

In order to accelerate planning processes in agglomerations and densely populated areas, the regional plan and the preparatory land use plan can be combined creating a regional land use plan.

Adding to the legal planning and programming instruments, a large variety of policy instruments have been developed which want to influence spatial development on a voluntary and informal basis. "They are implementation- and project-oriented and strengthen the moderating and designing role of spatial planning" (BBR 2001: 56). Aggregated under the title of "Demonstration Projects of Spatial Planning" (*Modellvorhaben der Raumordnung*), they aim at producing good examples and stimulation imitation in other places. There are always 2-4 demonstration projects running simultaneously whose common characteristic is the promotion of regional co-operation.

Above briefly outlined system is bound together by the well known 'counter current' principle (*Gegenstromprinzip*, see Figure 3, ROB 2005, p. 257), co-ordinating in short feedback cycles the framework decisions with concrete planning at lower levels.

1.2.1 Key institutions and important planning agencies at national level

The federal German government level provides general guidelines for spatial planning. Relevant ministries on federal level are (2005)

- the Federal Ministry of Economics and Labour,
- the Federal Ministry of Transport, Building and Housing,
- the Federal Ministry of Environment, Nature Conservation and Nuclear Safety,
- the Federal Ministry of Consumer Protection, Food and Agriculture.

In addition to the federal ministries, two major institutions are to be named, the standing conference of ministers for spatial planning (*Ministerkonferenz für Raumordnung*) and the spatial planning advisory council (*Beirat für Raumplanung*).

The standing conference of ministers for spatial planning comments on all federal spatial planning policy issues. "It makes the principal spatial planning decisions in relation to, for example, the development of central places and the preferred structure of settlements in Germany or the integration of spatial and environmental policies which are provided by the main programmatic documents" (European Commission 1999: 52).

The Spatial planning advisory council is an institution following requirements of the Regional Planning Act (ROG) and advises the federal minister responsible for spatial planning regarding guiding principles of spatial planning. "The advisory council is made up of representatives and experts from the fields of supra-local spatial planning, urban development,

science, economic development, agriculture, nature protection, sport, employers and employees organisations and from local government organisations" (European Commission 1999:52).

1.2.2 Key legislation

The Regional Planning Act (*Raumordnungsgesetz*) and the Federal Building Code (*Baugesetzbuch*) formulate the main policy principles and measures for spatial planning in Germany.

The main goals for federal spatial policies are (cf. BBR 2001: 47):

- the reduction of discrepancies in living standards between East and West Germany;
- the improvement of development potentials of structurally weak rural areas;
- the solution of employment and housing market problems;
- the further expansion of infrastructure and the maintenance of urban functions;
- the active protection of the environment.

The Regional Planning Act was revised in 1998 and amended in 2004. Since 1998, it follows the overall objective of sustainable spatial development. Social, economic and ecological issues shall be considered as equally important requirements for spatial development policy.

The regional planning act legitimates the Federal Office for Building and Regional Planning (*Bundesamt für Bauwesen und Raumordnung*) to maintain an information system for spatial development in Germany and to regularly deliver the results to the government and its ministries (cf. Art. 21 ROG). One of the observatory's results is the spatial planning report (*Raumordnungsbericht*) issued every few years, reporting the spatial and socio-economic situation in Germany, the space-related policy instruments available and the development perspectives for the near future.

The other federal law of major importance for German spatial development in terms of land use planning is the Federal Building Code. It was issued in 1976 for the first time by merging the former Federal Building Act (*Bundesbaugesetz*) and the Promotion of Urban Development Act (*Städtebauförderungsgesetz*) and for the last time amended in 2004. Its main contents are:

- "the regulations covering the contents and procedures for the preparation of the local land use plans (...); and
- the rules for the assessment of whether a development proposal is permissible or not" (European Commission 1999: 59).

Several Federal ordinances help to operationalise the Federal Building Code. The most important ordinances are the Federal Land Use Ordinance (*Baunutzungsverordnung*) and the Federal Valuation Ordinance (*Wertvermittlungsverordnung*).

The Federal Building Code was amended for the last time in 2004 by the European Law Adaption Act Building (*Europarechtsanpassungs-gesetz Bau*). The act responds to the need to provide an environmental impact

assessment for all legal spatial development plans. Introducing the environmental impact assessment thus is the major intention of the amendment. Simultaneously smaller proposals for modernisation of the Building Act are integrated in the amendments, as suggested by administration and research experts especially from the independent expert commission (*Unabhängige Expertenkommission*) in 2002 (cf. Schroedter 2004).

1.2.3 Key documents

Apart from planning laws the Federal level formulates a number of major guidelines giving policy orientation in spatial planning, not least with a view towards European questions: The guidelines for spatial planning (*Raumordnungspolitischer Orientierungsrahmen*) and the operational framework for spatial planning (*Raumordnungspolitischer Handlungsrahmen*).

The guidelines for spatial planning adopted in 1993 and the operational framework for spatial planning adopted in 1995 provide a general outline for spatial development in Germany, the latter concretizing the former. Both cover the following contents:

- "settlement structures, for examples the polycentric urban structures and city networks;
- the environment and land use, for example polycentric spatial development imposes less of a burden on the environment;
- transport planning, including inter-regional traffic management and trans European transport routes;
- Europe, including principles for European spatial planning;
- Planning and development, including regions in need of development and regions in need of containment and development control." (European Commission 1999: 58)

In addition to above documents, the two latest ROB were quite influential in shaping the discussion about new conceptual issues. The 2000 report came with spatial development scenarios (towards the year 2015), in part reflecting European development trends. The 2005 report comes with a number of maps and figures, preparing a wider *Leitbild* discussion.

As said before, recently a new approach towards integrated spatial development guidelines or visions has been presented on a conference with senior officials from all planning levels in Germany. This is a coordinated attempt going back also the MKRO, demanding that new guidelines should be developed. ESDP and EU spatial development receive some interest in this document. A clear statement is provided, demanding the continuation of the EUREK process and making clear, that a structural policy towards territorial cohesion is not equal to a European spatial policy (Diskussionspapier, p. 14/15). With respect to the national spatial policy, the document detects a still existing gap between the knowledge about European influences on developments and the resulting day to day practice (an aspect most relevant for the local level, PA). European impulses need to be anchored in national spatial planning in a much wider fashion – up to

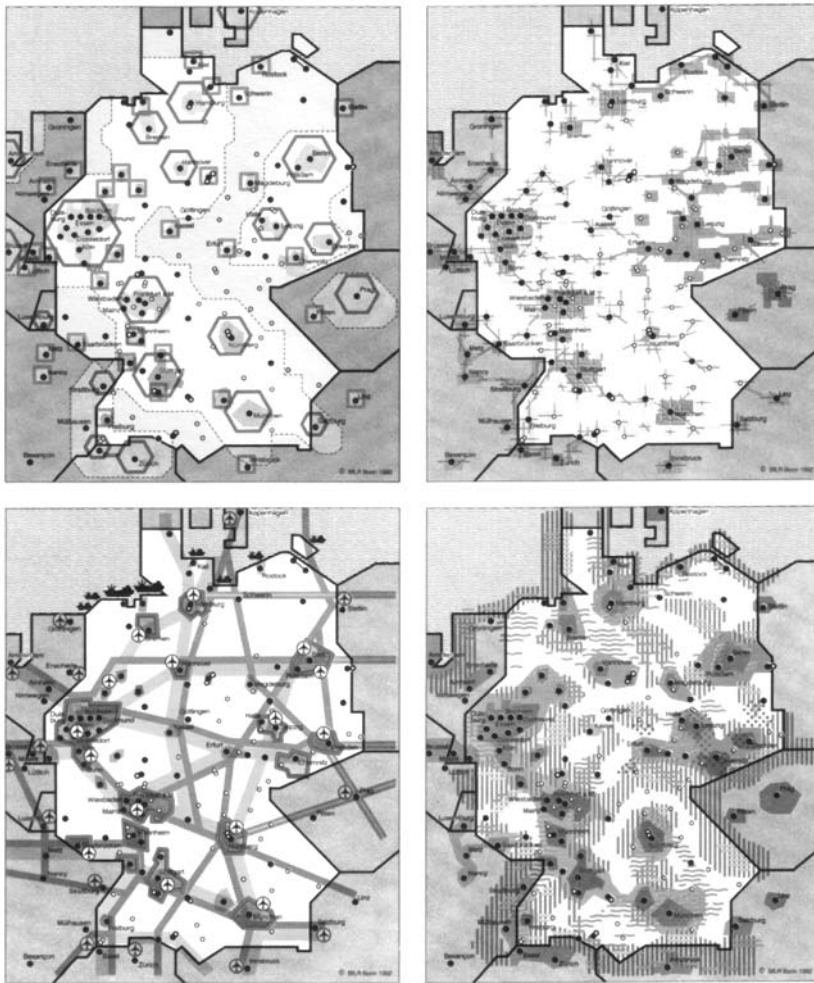
the point of regarding it as a matter of course. German Spatial planning should also pro-actively be involved in the formulation of a strategic spatial policy framework at the EU level.

Eight points of orientation are further formulated (also as guidelines for the national spatial policy, see Chapter 4 of this report):

- strengthening the importance of metropolitan regions including their wider functional region (e.g. as knowledge locations);
- further develop the partnership principle between city and country towards what has been called regionale Verantwortungsgemeinschaft, communities of shared responsibility, account, or risk [all English language meanings go into the German Verantwortung: responsibility, resembling social questions; account, being called to account administratively; risk – taking the risk and winning all?];
- TEN strategies further strengthening main corridors between major metropolitan regions;
- the role of natural resources and cultural landscapes for EU development;
- sustained functioning of estuaries as important carriers of economic development;
- integrated coastal development and utilisation of immediate off shore areas (so called Ausschließliche Wirtschaftszonen);
- spatial integration and transport links with new EU members and new EU neighbours; and
- effects of demographic change.

With respect to the metropolitan regions, the discussion paper states that they are in fact a response towards open borders and international competition and that therefore actors in MR need to adjust their strategic thinking accordingly. Precise recommendations are to internationalize administrations and institutions, to open further offices in Brussels (and invite the EC to open representations in the MR), to improve gateway functions, to form networks with hinterlands, to develop individual 'brands' for the MR, to utilize benchmarking exercises, and to attempt to establish a MR foreign policy conference. In fact, quite wide ranging suggestions, which were not as present in the oral presentation of the paper during the conference. However, the discussion paper is what it says – a discussion paper! Responses during the conference revealed, that representatives were first of all interested to limit the impact by asking for further qualification and added information, in particular respecting the peculiar situation of specific types of regions. A truly open or visionary discussion was not achieved. A clear European vision was neither developed.

Figure 4 – Guidelines for Spatial Planning (1993)



1.3 Position of spatial planning versus sector policies

German spatial planning was always conceived of as a coordinating and integrating activity, with the exception of the land use planning approach at the local level. Spatial planning at the federal and regional level comes either entirely without or with a minor budget only. This is increasingly so due to the already mentioned resource scarcity, which in some parts of Germany led e.g. to a massive cutback of planning administrations and the future contracting out of planning services. Sector policies are much stronger in this respect, up to the point of interfering with the ESDP process (the minister of finance [treasure] and economy opposed parts of the ESDP process, as reported by Faludi/Waterhout) (Selke 1999). Battis (2000) states that at the national level the integration and coordination of sector policies in spatial planning never really succeeded.

As can be seen from a Figure in the recent ROB (2005, p 325), telling in its own accounts that about 636 b EUR of spatially relevant budgets had been spend between 1999-2003, including 264 b EUR for labour market policy, 330 b EUR in other spatially relevant department policies, and including about 45 b EUR for EU measures (including SF means). The majority of this money is either not channelled through the planning ministry, or in case it

does, the budgets fall into the transport and housing programme departments.

Summary

The German Territory will be facing polarized development in the future. Planning practice will see the introducing of flexible approaches to planning (probably closer to governance style) The strategic form will be sustainable development as key orientation (at least on paper) and on importance of competitive positions, especially concentrating on large agglomerations (metropolitan regions). The critical debate will continue to discuss "Verantwortung", e.g. regional cooperation and coordination and regionally defined strategies, and overall aim is still striving to co-ordinate planning and spatially integrate sector policies.

2. Involvement in the process of making the ESDP and general reception of ESDP.

2.1 General national attitudes towards the ESDP

The German position towards European Spatial Planning can be seen generally as positive (Faludi/Waterhout 2002, various): The first CEMAT conference on spatial problems and perspectives was held in Bonn, Germany. The 1983 European Planning Charta – with a heavy input from German research – had in its aims already a huge overlap with German aims for spatial planning and e.g. the 1985 federal programme on spatial planning reflected this discussion. In 1993, a conference in Dresden brought together the EC and the Council of Europe for a document on (Krautzberger/Selke 1996) resulting ultimately in the Expo 2000 CEMAT document 'guiding principles for sustainable spatial development of the European continent' with a pan European planning perspective.

The ESDP is in its main parts largely 'coloured' with German ideas: polycentric settlement structure, access to infrastructures and knowledge, prudent management of natural and cultural heritage are not just coincidentally labelled Leipzig-Principles, earmarking the important 1994 meeting in Leipzig, but also reflect major German input: The Leipzig-Principles were prepared by a German document (which was coordinated with other Member States at that time, and the CSD and the EC – others say it was rather a document of the CSD plus other partners!). The document reflected also a position of the German Laender on those questions, represented by a main working party of the MKRO. Overall, the ESDP reflects central German principles for planning.

Lastly, the final version of the ESDP was prepared by (on the basis of the Glasgow draft, following what Faludi/Waterhout called the CSD method) and presented in Potsdam under German presidency.

The German Laender committed themselves in 1992 already to respect European Spatial Planning (in both senses, policy and developments) more

thoroughly in their Laender programmes and plans (though the results are weak, Selke 1999)

The important MKRO – Standing Conference of Ministers responsible for Regional Planning, a body vertically and horizontally coordinating spatial planning in Germany, between Federation and Laender - played a crucial role in the ESDP process: Formulation of the pre-Leipzig German position, the working party on 'Urban and Territorial development' of the CDRR was manned by a German Land (BAY) (Schmelz 2003) – this however, was a late start: until the beginning 1990ies, no separate working party existed – just a commissioner was installed; this changed with the introduction of a formal committee in 1992, which was taken back again to the status of a working group in 1996, which exists until today.

Despite the positive attitude towards European Spatial Planning, one aspect needs to be clearly stated: The German position towards a spatial planning competence for the EC also unanimously and constantly emphasised the subsidiarity principle! Yes, there should be more about spatial planning at the core of the EC/EU (e.g. institutionalise ESPON, stronger coordination of sector policies from a spatial planning point of view, use spatial planning to enhance the effectiveness of the overall system). No, the precise planning activity including the development of precise aims and goals should remain with the member states, but should be coordinated [a so called inter-governmental planning competency]. For that coordination a 'guiding principle' (such as the ESDP) might be developed. Therefore it is not surprising that Germany does not operate any custom made institutional structures (e.g. the case of the Swedish ESDP secretariat) having the task and remit to put the ESDP into practice. It is rather a question of discussion and professional debate, probably also pointing towards new visions or *Leitbilder*.

A couple of other features proof, that a high conformity between German planning and ESDP ideas exist:

- the ESDP speaks of the necessity to provide constant information about spatial development trends, a feature resembling the German idea of continued spatial observation, which was entered by Germany;
- the BBR (BfLR) 'invented' the Pentagon figure and contributed to the 'iconography' of the ESDP;
- it is reported that it was Klaus Töpfer (former minister for building, today director of the UN Environmental Programme) who introduced the ideas for TIA;
- Monika Wulf-Mathies (as a commissioner of DG XVI) was instrumental for the Interreg IIc initiative.

Summary

The German position has shown a high interest in EU wide spatial planning. All major professional bodies (MKRO, ARL, Beirat) welcomed the ESDP in principle. All emphasise the subsidiarity principle at the same time, re-emphasising the constitutionally granted rights in Germany.

3. Convergence/coherence with the ESDP from the outset

3.1 Was there any description of existing national spatial situation and trends?

German *Raumordnung* is strongly based on information about spatial development trends. The minister has a duty to regularly inform the government and parliament about spatial development trends, taking the form of *Raumordnungsberichte* (ROB, § 21 ROG) in regular intervals; covering the ESDP period, reports were issued in 1990 and 1991 (pre and post unification), 1993, 2000, with the latest issue from 2005. These reports are a point of reference for the entire professional and academic world. They are prepared by the federal research institute (BBR, former BfLR). Recent reports did not only provide analysis of trends, they also looked at impacts of policies, reported on EU cooperation in planning, and developed spatial development scenarios (outlooks towards the year 2020).

The ROB is in fact a culmination point of the German *laufende Raumbewachung* (continued spatial observation, §18 ROG). This continued spatial observation can be seen as one strong influence to set up the ESPON network – and is one point, Germany actually is strongly voting to be permanently institutionalised.

3.2 o what extent were the objectives or goals of the national system, organisation and programme consistent with the ESDP before the publication of the ESDP?

This has been addressed before: The Leipzig-Principles are core to German planning principles. However, the ESDP aims and objectives enter new nuances into existing German orientations: Whereas the German spatial system follows the idea of central places and was marked as highly decentrally organised (with the famous phrase of *dezentrale Konzentration*, decentral concentration), the term 'polycentrality/-tricity' can not one to one be translated into German central places (which is linked to a hierarchical organisation of space with very specific endowments for each level). Similarly, the 'prudent management of cultural and natural heritage' has led to a discussion of *Kulturlandschaften* in the planning domain, previously solely reflected under environmental protection. (HHB)

3.3. 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?

From what was said before, it is obviously the case that objectives and goals of the federal German planning system and the respective Laender

systems, as expressed in strategies, programmes, and plans were since long going into the same direction as the ESDP.

Summary

There is a consistent set of objectives and goals but they already existed before the ESDP.

Application

4 Levels of application

Table 1 – Levels of ESDP application

	Rank	
NUTS 0	6	Federation
NUTS 1	5	Land
NUTS 2	*	*
NUTS 3	2	Cityregions
NUTS 4	1	Localities
NUTS 5	1	Localities

(1=the least important - 6=the most important) * marks the mirror function of the regional planning layer (see text below)

The two main important levels for the application of the ESDP are the levels of the Federation and of the Laender (cf. table 1). The other levels are either simply reflecting the orientations expressed at higher levels (this relates in particular to the level of the *Regierungsbezirke*, a layer in the planning system which coordinates local with regional planning) or are dealing with land use planning, where practical planning matters dominate. (NUTS 0, Federation) The federal level consistently refers to EU wide spatial planning as important feature. A quote from introductory section of the most recent ROB can be repeated here, reflecting the German position vis-à-vis EU developments:

- strengthening the importance of metropolitan regions including their wider functional region (e.g. as knowledge locations);
- further develop the partnership principle between city and country towards what has been called regionale Verantwortungsgemeinschaft, communities of shared responsibility, account, or risk [all English language meanings go into the German Verantwortung: responsibility, resembling social questions; account, being called to account administratively; risk – taking the risk and winning all?];
- TEN strategies further strengthening main corridors between major metropolitan regions;

- the role of natural resources and cultural landscapes for EU development;
- sustained functioning of estuaries as important carriers of economic development (for whom?);
- integrated coastal development and utilisation of immediate off shore areas (so called Ausschließliche Wirtschaftszonen);
- spatial integration and transport links with new EU members and new EU neighbours; and
- effects of demographic change.

(NUTS 1, Laender) Between 1999 and 2001, in three meetings of the MKRO the German Laender committed themselves to stronger reflect European aims and objectives in their Laender programmes and plans (actually the first instance of this commitment dates back as early as 1992). The 28th MKRO in 1999 discussed the actual draft of the ESDP. Overall, the MKRO was quite positive about the result, in particular that an important framework of reference has been developed, which can be further implemented from below, respecting the subsidiarity principle. Regarding the application of the ESDP, the MKRO recommended the following points: stronger reflection of ESDP aims and objectives in EU sector policies; intensified cooperation in spatial planning between MS (old and new); recognition of ESDP aims and objectives in spatial planning at all levels in Germany, including the formal introduction of ESDP aims and objectives into what is called the weighing process; recognition of ESDP aims and objectives in local planning and in sector policies; extension of continuous spatial observation; provision of further financial means to support transnational cooperation (ROB Bay 2004, p. 243). The 29th MKRO in 2000 re-emphasised that coordination of sector policies, spatial observation, and the further development of the ESDP need to be addressed at EU level in particular with a view towards a precise division of labour between EU and MS level. The same meeting welcomed the CEMAT guidelines, which had been decided in Hanover 2000. The 30th MKRO in 2001 had as a guest speaker Michel Barnier, the former commissioner, with whom aspects of EU enlargement and future structural and spatial policies have been discussed.

The Bavarian spatial planning report from 2004 continues to explicate, how the ESDP relates to the current spatial planning practice at state level in Bavaria and as such epitomises the 'application' process (ROB Bay 2004). For Bavaria, it was clear from the beginning, that major aims and objectives of the ESDP (sustainable development, polycentric development, urban-rural partnership) are since long in practice in Bavaria. The ESDP is in conformity with central planning principles in Bavaria (observe the direction of the relation), not least due to the central influence which the German Laender had in the making of the document (German presidency at the time, in CSD via Laender representatives, as was outlined before). No matter that general conformity is given, Bavarian spatial planning will in the future continue to

- link further towards EU spatial development,
 - o in the overall aims emphasising the position and importance of Bavaria in the EU,
 - o spatial organisation principles regarding the southern German agglomerations,
 - o work towards a better link of Bavaria into TEN
- provide better conditions for the operation of soft planning instruments, such as regional management, marketing, Teilraumgutachten (territorial impact assessment) and transborder cooperation.

Not least, the report counts on a wider European awareness (reference framework) for all actors and stake holders in spatial planning, to support the application of the ESDP on that side, too.

Bavaria has been characterized as more advanced with respect to the application of the ESDP. However, the Bavarian way is also characterized by very favourable framework conditions, e.g. the outstanding position of Munich (not least as one pillar of the Pentagon). Other Laender with a positive attitude towards the ESDP are Mecklenburg-Vorpommern, Schleswig-Holstein, or Saxony. the former two are strongly involved in the Interreg programme, placing high expectations (for prosperity) on the intense cooperation in the Baltic Sea Region.

Despite these rather committed calls to support the ESDP, overall the application results have been characterised as mixed (Selke 1999).

Overall the federal and Laender planning level is quite weak compared to the sector policies or planning at the local level. The main reason is the lack of financial resources available to these levels. A discussion of the appropriateness of both levels in the planning system comes up time and again. Despite this criticism, the alternative of closer cooperation in larger agglomeration areas or metropolitan regions does not achieve convincing results either (see the discussion of new regions).

Further examples of application are scant, mainly focusing on grant schemes and ideas as expressed in programmes or reports on federal and Laender planning. This reflects a general conviction that is to expect the main impact of the ESDP on the communicative side and with respect to debate, coordination, and in the sense of conveying a *Leitbild*.

(Cities & Localities) It is quite difficult to assess the position of German local authorities and cities towards the ESDP. Of course, the respective bodies (e.g. DST, DLT) participate in discussions, not least channelled through the Committee of the Regions or the Councils of local and regional authorities (CCRE, CEMR). However, specific positions remain ambivalent.

DST⁶ emphasises that the ESDP is a topic for the (in particular larger) cities. Spatial planning is understood as a very important strategic instrument and the ESDP as important guideline with impacts on coming rounds of regional and structural policy as well as on investment decisions. DST also emphasises though, that higher levels of planning need to introduce ESDP

⁶ DST represents the larger cities (> 20,000 inh.).

objectives first, before the lower tiers of the planning system can respond. This position is a bit ambivalent, as the larger cities in particular might exercise a strong influence on the formulation of aims and objectives at the level of the Land or region. DST criticises the Laender as being more reluctant to follow the ideas and philosophy of the ESDP. Cities are closer to the Federal view than the Laender are – obviously a result of different assessment of the subsidiarity principle in the field of planning.

DLT⁷ very favourably mentioned the communication and participation process in the drafting of the ESDP (seminar series) and has informed its members accordingly. With a view towards application, the ESDP is less relevant on a day to day basis. However, DLT emphasises that the specific role and position of rural communities has been a major point of discussion in the drafting of the ESDP – with the success of entering rural communities as an independent territorial category into the ESDP. Today, the ESDP and relevant chapters are used to argument in favour of rural regions and communities.

This ambivalence in positions is partly due to the fact that local and regional authorities deal much more extensively with the precise and concrete effects of European integration, meaning that many regulations directly impact on local authorities. The more strategic and comprehensive side, which might be represented by the ESDP is not as present here. In particular local authorities have to cope with actual problems resulting from national policies (the reform of the social security system and the labour market) or from changes in framework conditions (economic situation). These are 'concrete' problems, where planning 'comes third', and the ESDP is way out of sight. Recent evidence for this was collected in a series of talks with chief planners of two German cities (Bochum, Dortmund): The individual topics addressed by the ESDP are – following from the German planning system – present in the day to day planning work. A specific European perspective or even the direct link towards the ESDP is almost entirely absent.

This picture changes slightly, when looking towards the largest German cities and the metropolitan regions, in which they are embedded. A city like Cologne since long operates a European office in Brussels. In most strategic documents frequent reference is made to Europe and the European framework – but similar to the term 'globalization', it is chic to quote and position oneself in this respect.

Furthermore, since ORA and HARA a discussion exists about German Metropolitan Regions of an EU importance. In 1997, The MKRO released a paper on MR including a map of such regions, which was already influenced by political will (entering the so called Saxony Triangle [Leipzig-Zwickau/Chemnitz-Dresden] into a league with Hamburg, Munich, Berlin, Frankfurt, Stuttgart and Rhine-Ruhr-Region). The adding on process continues until today, including regions such as Hanover or Nuremberg in the same class of MR. The question is raised, whether these MR can be seen as a new level of the existing central places hierarchy – or whether it might rather be the new playing ground to further distinguish the majors

⁷ DLT represents counties and smaller communities of the country side.

of MR from 'normal' regions. Whichever way, the discussion can definitely be seen as influenced by an increasingly European perspective.

5. Leading Policy Sector(s) for ESDP Application

(NUTS levels) In repetition of what has been said various times: The Federation and the Laender are taking the lead regarding the application of ESDP aims and objectives in and through spatial planning (cf. table 2).

Table 2 – Leading policy sectors for ESDP application

	Spatial Plannin g	Region al Policy	Transp ort	Other (Please state)
NUTS 0	4	3	2	
NUTS 1	4	3	2	
NUTS 2	4	3	2	
NUTS 3	3	4	2	
NUTS 4	dk	dk	dk	dk
NUTS 5	dk	dk	dk	dk

dk = do not know

(Sector policy) Regional Policy is – due to the obligation to respect ideas of ESDP – the next, though definitely weaker field of applying the ESDP. Transport policy definitely reflects ideas of the ESDP, but is as such not propelling the ideas and intentions of ESDP in its variety. Up until now, experience with SF programmes shows (Ache 2004), that ESDP terminology is used, wherever considered appropriate, but that this remains superficial, providing no serious new perspectives for regional policy. However, a closer link with SF in coming periods is not excluded.

Interreg has of course been very influential for the application of the ESDP, not only at the federal but also at the local level (see further down). Interreg (besides ESPON) was considered the main instrument to apply the ideas built into the ESDP. When looking at internal differentiations in the application of the ESDP, Laender and regions heavily involved in Interreg seem to have a proactive attitude.

6. Type of Impacts/Effects

The main impact of the ESDP can be seen in the influence of professional debate at higher tiers of the planning system. Since the early 1990ies, a stronger orientation towards *Leitbilder* and broader visions for spatial planning came back on the agenda. The ESDP fell into that period. Due to the very active support from German professionals at that time the result was an accordingly high influence of German perspectives in the ESDP.

Therefore, planning discourses, spatial representation, and spatial development are informed most by the ESDP process, and vice versa.

Table 3 – Ranking of type of impacts/effects

	Rank time	Rank importance
institutional changes	1	1
changes in planning policies	3	3
changes in planning practices	4	4
changes in planning discourses	7	7
Changes in spatial representation (images)	6	6
spatial development	5	5
no change		

The institutional and actual policy and practice side was less influenced by the process. This is neither surprising when looking at cross border cooperation, which exists in Germany since 1967, when a governmental commission was set up and the first Euregios started to work.

7. Impacts/Effects

7.1a Over time

The impact of ESDP was distinctively different when looking at the pre and post 1999 periods.

Pre 1999 a strong drive towards ESDP existed, where the preparation of the document involved very intensive debates and work between different actors, institutions, and stakeholders. Post 1999 the situation changed, with actors being less emphatic about the ESDP, at least regarding the breadth and depth of the personal and institutional networks. Following from the informal meeting of ministers in Rotterdam (2004), Germany has the plan to take a more active role in the discussion and reformulation of guidelines.

With the ORA from 1992 changes occurred, in advance of the ESDP. This 'integral concept' was reformulated as HARA 1994, entering into the general planning debate a higher prominence for *Leitbilder*, concepts, projects to influence the development of the urban and settlement structure. In 1995, the MKRO decided about a mid term working programme emphasising the formation of city networks & large agglomerations, regional conferences, the support for weak peripheral rural regions, and cross-border cooperation (Krautzberger/Selke 1996).

Such new messages towards planning were repeated with the reform of the ROG in 1998: sustainability became the guiding principle; to emphasise the importance of the region, regional structure plans are considered an additional option; also the policy delivery site was renovated: city networks

were mentioned as example for the new structures and processes; the same was done for regional cooperation and regional development concepts; last, contractual solutions with private developers are now possible. (ROB 2000)

The new ROG from 1998 also regulated the cooperation between the Federation and the Laender in all terms regarding EU planning activities, giving the Laender a voice in this respect (though all matters regarding the EU are strictly seen the responsibility of the Foreign Minister; Selke ARL 1996).

7.1b Over space

It is too difficult to go into the specificities of all German Laender and to decide, where the ESDP shows differing influences, impacts or effects. The West German Laender do have of course longer standing experiences with EU cooperation and territorial policies (SF e.g.) and might therefore be more advanced with respect to the ESDP. The new East German Laender have been very active – since further enlargement of the EU – in all Interreg Programmes. As has been mentioned before, some Laender have been pointed out as more active (Bavaria, Meck-Pom, SH, Saxony). Other German laender, though confronted with immediate impacts of EU integration (and globalisation) almost ignore the ESDP and pay no reference in their Land spatial planning programmes. In the context of the MKRO, all matters of a national territorial interest are coordinated and intensively discussed, which includes the equal information share between the different Laender. So it is very likely, that the overall perception of the ESDP might be equal amongst Laender, and that in some respects differences might be given.

8. Processes of application

8.1 What mechanisms or organisations have helped the application of the ESDP in your country (including the role and effectiveness of the Committee on Spatial Development (CSD) and Spatial and Urban Development (SUD) subcommittee)?

CSD and SUD were instrumental in conveying the discussion about the ESDP, this at least is frequently reported in comments and articles on the ESDP process.

In the sense of a 'strict' application, MKRO (with its working group) and Committee for Spatial Planning (*Beirat für Raumordnung*) were also instrumental. Positions and comments were produced by the MKRO (see previous chapter).

The Lower house and government supported the process discussing ESDP matters in parliament (BT DS 13/1078 – discussing the *Grundlagen* – emphasising the role and satisfaction of Laender with the result).

8.2 How did key actors come to know about the document? How did the dissemination work?

Key actors were involved in the making of the ESDP. Germany very closely engaged in the drafting of ESDP documents. Faludi/Waterhout (2002) see the German document *Grundlagen einer europäischen Raumentwicklungspolitik* (BRBS 1995) with 5.000 copies as the one which received very wide communication.

8.3 Assess the awareness of the ESPD contents among professionals at the different levels.

Table 4 – Awareness of the ESPD contents among professionals

	Awareness	
National level	3	(3=good knowledge about the whole document – 1=total unawareness)*standing for Laender!
Regional level*	2	
Local level	1	

With respect to marketing of the ESDP: The paper itself was widely distributed to the professional community and is also available as download from the BBR website. The ROB 2000 spoke extensively about ESDP and the different orientations. ROB 2005 continues to address European perspectives, but the chapter on European spatial development focuses on Interreg, CEMAT cooperation, and does not anymore refer to the ESDP so extensively. However, Interreg is of course the important instrument to apply the ESDP.

9. Means of application

Table 5 – Means of application I

	Rank
Tampere ESDP Action Programme	3
cross-border co-operation	6
transnational co-operation	5
Structural Funds	2
Urban	1
Other means please specify!	4

(1=the least important – 6=the most important – 0=no importance).

9.1 Role of the country in the TEAP (Tampere ESDP Action Programme) actions (For information about the roles see table a and b below)

Germany had a specific responsibility for two elements of the TEAP, the 'future regions of Europe award' and the pan-European framework for

spatial development, under the CEMAT auspices. Whereas the results of the latter can clearly be seen, the 'future regions of Europe award' is a somewhat mystical creature at the moment. Overall, Tampere seems not anymore to be 'present' in the actual discussions. To avoid repetition, both projects will be addressed further down under the respective chapter heading.

9.2a All EU15 Member States

Table 6 – Means of application II

	Action	Task
1.1	ESDP policy orientations in SF mainstream programmes	Reflecting the ESDP in structural policies including SF programmes, in national and regional planning documents and in the co-ordination of sectoral policies
1.2	Interreg III and ESDP demonstration projects	Reflecting the ESDP in the preparation of Interreg III B and in OP, exploring means for transnational co-operation Giving priority to ESDP demonstration projects in Interreg III OP
1.3	ESDP policy orientations in national spatial planning	Integrate the ESDP and European dimension to spatial development / planning and encourage sectoral policies to apply the ESDP
1.4	Spatial impacts of Community Policies	Considering the ESDP in transport planning
1.6	Urban policy application and co-operation	Promoting further the urban dimension in relevant policies at the national and European levels

All above criteria have been respected in German spatial planning and sector policies.

1.1 – The reflection of the ESDP in SF programmes can be said to be weak. Results of research into SF programmes in the period 2000-2006 revealed that ESDP terminology can be found in the programmes, but that a deep intrusion of concepts and ideas is not equally observable (Ache 2004). On the contrary, traditional regional policy orientations prevail. However, this statement is based on the analysis of three programmes and has also to be seen in the context of the specific time horizon. The preparation of the majority of programmes was well under way in 1999, when the ESDP was only published. A lack of influence might be understandable in this respect. Forthcoming rounds of SF programmes might prove to be much more influenced by the ESDP.

1.2 – Interreg plays a vital role in the application of the ESDP. (see further down, section 9.3).

1.3 – The influence of ESDP in spatial planning in general and on sector policies in particular can be seen as weak

1.4 – Spatial impacts of EU policies – beyond TEN – are considered important and are under regular observation (again ROB) – section on spatially relevant sector policies.

1.6 – urban policy dimension (see chpt. 9.5 and 9.6)

9.2b EU15 Member States with a particular commitment. This table provides information about the specific commitments for the EU15 Member States within the TEAP process.

Table 7 – EU15 Member States with a particular commitment

	Action	AT	BE	DE	DK	ES	FI	FR	GR	IE	IT	LU	NL	PT	SE	UK
2.3	'Future regions of Europe' award			LP				P?			P?					
3.1	Pan-European framework for spatial development			LP												P?

LP=Lead Partner Country

Germany initiated and succeeded with the pan-European framework for spatial development. On the occasion of the Expo 2000 in Hanover, CEMAT released its ideas for a pan-European framework. Suffice to say, that the 'Guiding Principles' were deeply influenced by the ESDP. In some respects however, the GP went also further than the ESDP, especially with the emphasis on sustainability. Meanwhile, the Ljubljana declaration stands and has repeated this emphasis. This brings to an interim result a long standing process, to which Germany proactively contributed since the 1970ies (1st CEMAT conference in Bonn).

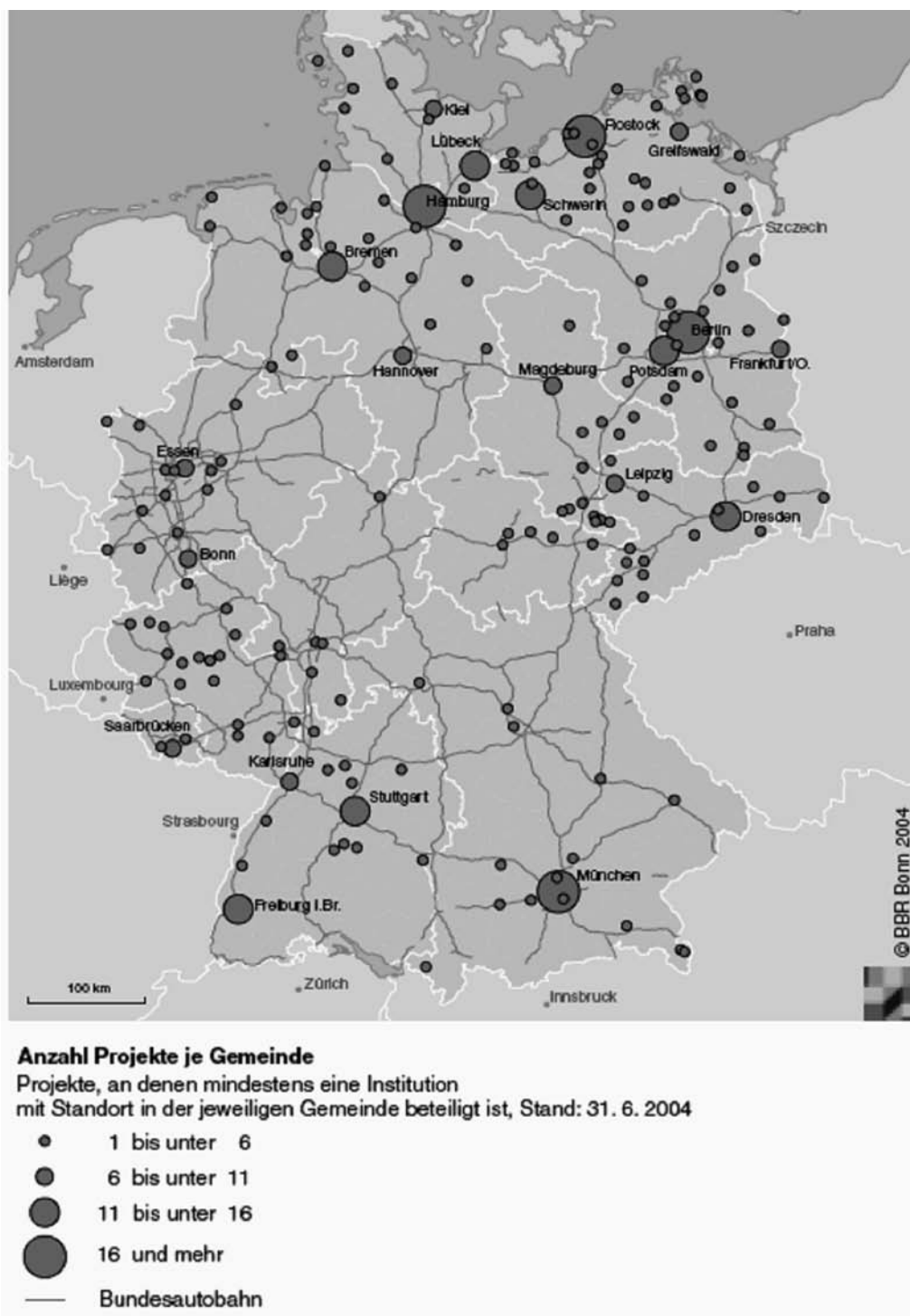
The 'Future Regions of Europe' award is more difficult to assess. Germany initiated in 1997 a *Regionen der Zukunft* competition with some considerable backflow of ideas and concrete projects (See Figure 5 ROB 2000). This competition emphasised ideas of the Local Agenda 21 and meanwhile the first round successors (26 regions) formed a network of regions. The general idea of the regions of future competition stood obviously behind the TEAP 2.3 project and was finally realised with the help of the 'innovative regions' project. Another strand to realise the TEAP 2.3 was via a link to Interreg and the Baltic Plus cooperation. Meanwhile, under the umbrella of an initiative called 'Europe's Regions on their Way to Sustainable Development' 73 pan-European regions participate and exchange perspectives, concepts, and strategies towards sustainable development.

Figure 5 - Demonstration projects of spatial planning



Source: BBR 2001: 209

Figure 6 – Interreg III B cooperation (ROB 2005)



9.3 Cross-border and transnational co-operation

All above items of cooperation in cross-border or transnational dimensions are very important drivers of the application of the ESDP. The Interreg programme, in all its strands but particularly under III B, is considered the main instrument for the application of the ESDP. Here, the wider and abstract debate about spatial planning and the practical and conceptual work come closest to each other. Having said this, sector specific aspects dominate the discussion and exchange in the majority of Interreg projects, pushing the general ESDP debate into the back. Germany cooperates in 5 (out of 13) cooperation areas and thus shows a large scope. Meanwhile, first results of Interreg are available: Two thirds of all projects have partners from Germany. 20% of the projects have a German lead partner. Increasingly, East German Länder are involved (since further enlargement of the EU) in transnational cooperation. The material impact of Interreg-Projects might be small, the impact on perceptions and relations is considered substantially high (ROB 2005, 313-317).

9.4 Structural Funds

- What role have the Structural Funds programmes had for the ESDP application in your country?

According to exemplary research into SF programmes and ESDP (Ache 2003/2004) the relation is twofold: The wording can be found in the latest versions of programmes (until 2006), occasionally arguments are used to point out the importance of one or another measure. The practice of SF programmes and projects shows, that traditional orientations and approaches dominate.

9.5 Urban exchange initiative

- Has the Urban exchange initiative (1998-2000) had any influence/impact on the ESDP application in your country?

The Urban Exchange Initiative (UEI, *Initiative Städtedialog*) explicitly started with the aim to contribute to the application of the ESDP by way of exchanging experiences and ideas in the field of sustainable development. A report on the Urban Exchange Initiative from 1999 lists two German examples for the application (DST et al. 1999):

- a voluntary regional cooperation to generate a process of decentral concentration in the Bonn region,
- a strategy based on urban design towards the preservation of historical (listed) buildings in Dresden.

The spatial planning advisory council (*Beirat für Raumordnung*) in its recommendation for the application of the ESDP emphasised the importance of the Urban Exchange Initiative (Beirat 2000). In any case, beyond these repeated importance of exchange of experiences and know-how, the actual impact of UEI remains vague. When talking with representatives from the two German UEI cities, the initiative obviously has left no further impact. Interreg is considered more important with respect

to projects and exchange of experiences. Meanwhile, initiatives such as URBACT and the new EUKN have taken over the agenda (see below).

9.6 Other means of application

Two further initiatives might be considered as instrumental in the application of the ESDP: URBACT and EUKN. Interestingly, the latter goes back to an initiative of the Dutch side, very similar to UEI. URBACT has as its main addressees participants from the URBAN initiative but includes also cities and city quarters from the new member states. Though URBACT is strongly based on thematic networks and concerns, the individual topics reflect of course aims and objectives of the ESDP. As one observer said, topics are close to each other, but the ESDP does not play a role.

10. Causality and the ESDP application process

The application of the ESDP in Germany has a rather 'implicit' nature, probably with some sprinkles of 'explicit application' but into the direction of the ESDP, rather than German planning aims and objectives being directly influenced by the ESDP. This has extensively been written about by Faludi/Waterhout, who characterise Germany as one of the drivers behind the ESDP.

Overall, the category in which the German case falls has to be

- No change because the issue/policy area is already in conformity with the ESDP (Implicit Application)

11. Concepts applied

11.1 The General ESDP spatial planning approach (philosophy).

ARL (2004) demands to further develop the ESDP (aims and process) to a 'strategic instrument', to coordinate sector policy at EU level, to support spatial planning policy in MS (help develop instruments and structures), to establish a continued spatial development observation (institutionalise ESPON), to further discuss OMC⁸ and develop TIA.

The statement (recommendation) of the *Beirat* 2000 exemplifies probably the general attitude towards the ESDP at that time – and until today:

- the European perspective is the political answer to globalization etc. and this change of mental landscapes needs to be achieved,
- the ESDP is very much a continuous process of learning,
- the EU has the right to proceed with political options for spatial development, in a self-binding fashion,
- cross border cooperation and Interreg are important drivers of ESDP,

⁸ A recent workshop organised by BBR inquired the appropriateness of OMC for spatial planning. The process will be continued.

- other actors, usually external to planning, need to be involved and informed about the process,
- the (at that time fairly recent) ORA and HARA documents need to be integrated to a new document, outlining European wide visions from a German perspective and vice versa,
- the structure of the ROB should follow the content of the ESDP and therefore provide an immediate comparison of how advanced Germany is with respect to the ESDP (a feature not realised yet),
- local level initiatives are required which are integrative, problem and opportunity based,
- the important territorial units are the Metropolitan Regions, which need to develop strategic thinking, including pan-European axes such as Berlin-Posen-Warsaw or Dresden-Prague, and lastly
- associations such as DASL, DV, VHS, and other professional associations are called to establish further and continued education programmes focusing on ESDP topics.

11.2 Rank the spatial impacts where the application of the ESDP has been most important

Table 8 – Rank of spatial impacts

	Rank
vertical integration	3
Horizontal integration	2
spatial integration	1

(1=the least important 3=the most important)

Horizontal and vertical cooperation: These are the two main concepts which receive enhanced importance, now and in the future. Germany advocates a MS led approach towards spatial planning, giving the cooperation between MS but also inside MS amongst various regions a very strong position in spatial planning. Cooperation in both directions is vital in this respect. German Planning practice over recent past emphasised cooperation between public actors, but also with private actors a lot.

Spatial integration: With ORA, HARA and the new *Leitbild* discussion at the federal level, the traditional German federal planning approach (*integrative*) becomes re-emphasised. It remains to be seen, whether the renewed and intensified call for integration of sector policies dies away or not.

11.3 Policy guidelines, policy aims, policy options

Polycentric development is as such existing at the conceptual level since long in Germany. The actual problem situation (see introductory section) has initiated a new discussion about the appropriateness of the aim of 'equal living conditions', standing behind polycentric development.

Especially the practical implications (provision of services in the sense of SGEI) has come under pressure. Also from this perspective, the new Metropolitan Regions and the *Verantwortungsgemeinschaften* have to be interpreted.

The German infrastructure system has such a dense structure, that the technical access is less of a problem. Also knowledge networks are well developed, as the German knowledge landscape (including universities) follows also spatial concerns, e.g. with the allocation of universities or Fraunhofer Institutes of applied research in disadvantaged regions, providing services for the local industry.

The sustainability agenda has been entered into the main spatial planning act (ROG 1998) and has to be respected in the weighing process. A new orientation occurred with respect to culture landscapes, which are discussed now with a stronger emphasis.

Spatial positioning is an interesting aspect: Map representations of aims and objectives in the ORA from 1992 extended towards neighbouring MS (Selke 1999). The HARA introduced a chapter on cross-border cooperation – which was influential for the reform of the ROG in 1998 (§16 – cooperation with MS at borders). This opened information and cooperation channels also at the regional level (because in any other case, the Federation has the exclusive right for cross-border, transnational agreements).

The current working process on a new *Leitbild* might move into the direction of extended spatial positioning.

The discussion about metropolitan regions accepts the idea of certain transborder regions, where the dominating core might actually be situated outside the national territory and German regions being part of such a region and influenced by the core.

Conclusions

12. General observations

Summing up the previous sections, German spatial planning and the ESDP co-developed in the 1990ies. German orientations and interests (represented by specific persons) at that time influenced the drafting of the ESDP very much. The ESDP in turn, was partly used to enter some spatial planning ideas into the national debate.

This double relation might be epitomized by the the *Leitbild* discussion, which started after an abstinence of twenty years in the 1990ies again. ORA, HARA, and the ESDP gave new impulses for the national discussion, continued with a new *Leitbild* document in 2005. They also gave a strong impulse to the pan-European discussion, which founds it peak with the guiding principles decided at the Expo 2000 in Hanover.

These elements reflect the general conviction amongst German professionals, that there is in fact a need for spatial guidance. Such a common sense exists, when looking at all major professional bodies. The idea behind is not new, that spatial planning, despite its structurally weak position, should nevertheless try to territorially integrate all sector policies. An important critical remark is though, that German professionals need to discuss how many planning levels can be afforded – and how the existing division of responsibilities, expressed by the subsidiarity principle, can be protected.

From a territorial perspective, the acceptance of difference is a new feature in the German context. The equal standards of living might be seen as past. However, the tune of the day emphasises the lack of resources to remedy all disadvantaged situations. As a consequence, new strong regions are in focus, especially the metropolitan regions, which might have all the potentials needed in the global economic competition – and which can organize the hinterlands under one umbrella, called *Verantwortungsgemeinschaft*. The link towards structural policy is obvious. A stronger spatial perspective in structural policy is demanded, too. However, a structural policy in search of territorial cohesion is not the same as a EU spatial policy, as the same document has made clear.

13. Recommendations

No clear cut recommendations from a German perspective can be made. Taking some of the comments together and adding a positive perspective, the following might be said:

- A change of mental landscapes still needs to be achieved. In many respects, actors in German spatial planning have an 'insular' view, still. This applies in particular to the lower tiers of the planning system.

- The ESDP has to be seen as a process, without overly formalizing it. It should accept much more the communication and learning (if not training) task.
- The ESDP needs to be accompanied by lots of practical projects, trying to further explore and experiment with ESDP aims and objectives in concrete locations.
- The overall process should respect the existing division of responsibilities and strictly follow the subsidiarity principle. It might also be seen, whether the OMC is appropriate in the field of spatial planning.
- Actors and actions towards the ESDP will definitely benefit from structural support via secretaries and resources.

Guidelines such as the ESDP are obviously demanded, to improve regional policy making but also general investment decisions. A wide acceptance of coordinated approaches towards spatial and sector policies can be detected at least amongst professionals.

Part 3 ESDP Policy Option Table Analysis

1. Data Description

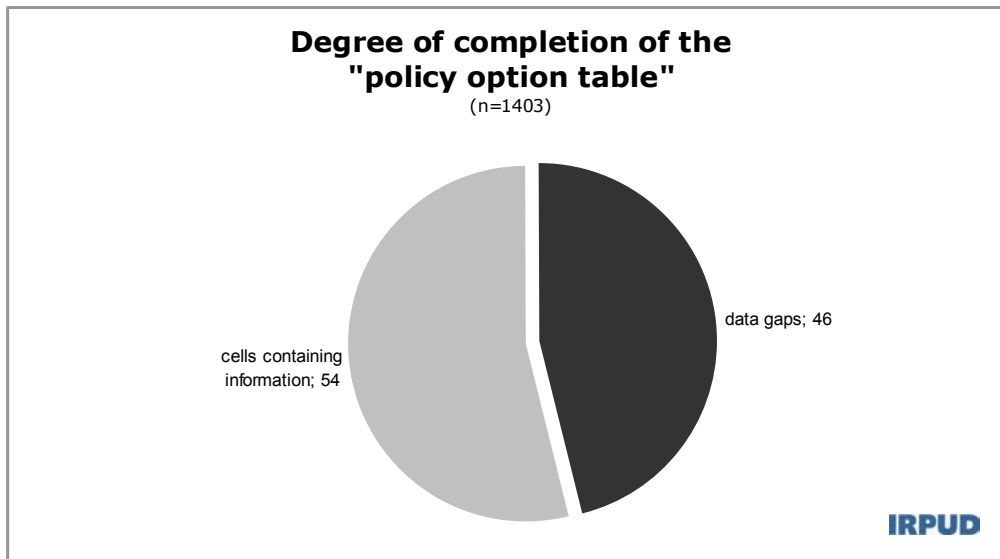
The policy option table analysis (POT) is based on assessments by the national partners within the ESPON 2.3.1 project. In a first phase in October 2005, all partners were asked to assess the mode of ESDP application *per policy option* for their ESPON 2.3.1 National Report (29 reports) and their ESPON 2.3.1 ESDP Application Case Study (25 case studies). The template for the survey is documented in figure 7.

Figure 7 - Structure and layout of the policy option assessment (first round)

ESDP Policy Guidelines	ESDP sub-headings/ policy aims	APPLICATION				NON APPLICATION				ESDP Policy Options
		Explicit		Implicit		Explicit		Implicit		
		Change & conformance mainly due to the application of the ESDP	Change & conformance due to ESDP and other factors	Change & conformance due to other factors	No change as policy was already in conformity with ESDP	No change and/or conformance as issue/policy still under discussion	No change and/or conformance as the issue/policy is not considered appropriate	No change and/or conformance due to a lack of awareness of the ESDP		
New Urban-Rural relationship	Polycentric & Balanced Spatial Development in the UE (3.2.1)		X						1. Strengthening of several large zones of global economic integration in the EU, equipped with high-quality, global functions and services, including the peripheral areas, through transnational corridors. 2. Strengthening a polycentric and more balanced system of metropolitan regions, city clusters and city networks through close co-operation between structural policy and the policy on the Trans-European Networks (TENs) and improvement of the links between metropolitan areas and peripheral areas. 3. Promoting integrated spatial development strategies for city clusters in individual Member States, within the framework of transnational and cross-border co-operation, including co-operation with the states and their sub-regions. 4. Strengthening co-operation on particular tools in the field of spatial development on a cross-border and transnational level. 5. Promoting co-operation at regional, cross-border and transnational level, with towns and cities in the countries of Northern, Central and Eastern Europe and the Mediterranean region, strengthening North-South links in Central and Eastern Europe and West-Europe in Northern.	
	Dynamic, Attractive & Connected Cities & Urbanised Regions (3.2.2)		X						6. Expansion of the strategic role of metropolitan regions and "gateway cities", giving particular attention to the development of peripheral regions of the EU. 7. Improvement of the economic, social, environmental and service infrastructure of cities, particularly in economically less favoured regions, in order to increase their attractiveness for mobile investment. 8. Promotion of an economic diversification strategy in cities which are too dependent on a single branch of economic activity, and support for the economic development of towns and cities. 9. Promotion of integrated urban development strategies sensitive to social and functional diversity. Particular	

It turned out that it was hardly possible to assess how every single of the 62 ESDP policy option was applied: 54% of all available cells were filled in, 46% were empty (cf. figure 8). 44% of the 62 options were assessed by only a third or less of all assessing experts.

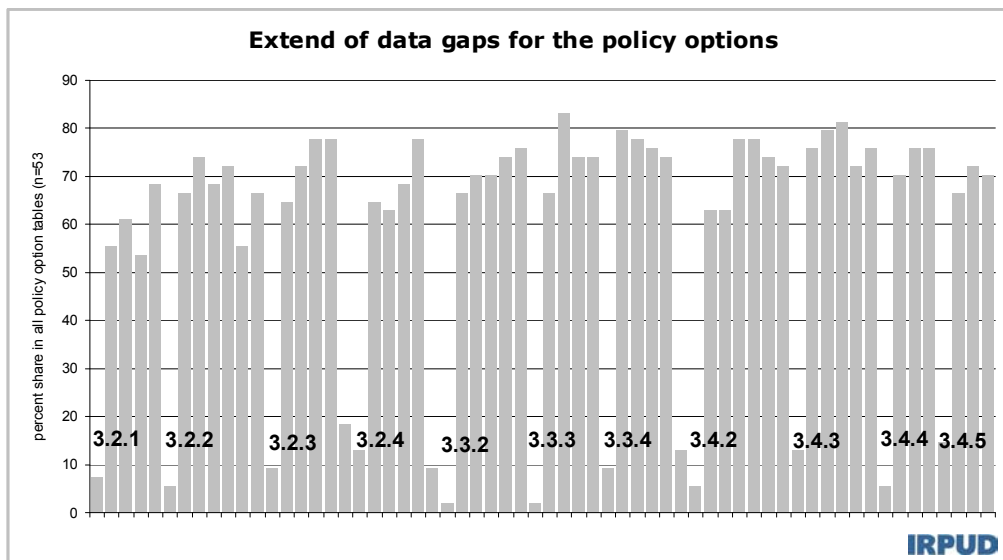
Figure 8 - Degree of completion of the „policy option table“



The most complete sets of data were the national reports of Austria and Germany both providing assessment for all 62 policy options.

The first policy option of a respective policy aim was most frequently assessed: It provided data for around 90% of all cases (for possible motives see next paragraph). However there are only four policy options in the whole dataset that have been assessed by *all* authors (cf. figure 9).

Figure 9 - Extend of data gaps on policy option level



There are several ways for explaining the data gaps and the pattern of table completion:

- Lack of precision of national policies regarding the policy option level
- Unclear layout of the policy option table (most partners assumed that only the first option of a policy aim was to be assessed and was to stand for the whole aim)

For data analysis all data gaps were ignored. Sections with this data cover questions where a large number of assessments is needed. Chapter 2 and parts of chapter 3 work with this data. For technical reasons, Belgium is not represented in diagrams and interpretations from the October 2005 survey. Results were first published in the ESPON 2.3.1 Second Interim Report (SIR).

In order to reach a higher degree of precision, NORDREGIO and IRPUD asked all project partners to reassess ESDP application in their country (national report focus) on the *level of policy aims* in March 2006. The review template is documented in figure 10.

Figure 10 - Structure and layout of the policy aim assessment (review)

	3.2 Polycentric Spatial Development and a new dynamic, attractive and balanced spatial development				3.3 Parity of access to infrastructure and knowledge				3.4 Wise management of the natural and cultural heritage																															
	3.2.1	3.2.2	3.2.3	3.2.4	3.3.1	3.3.2	3.3.3	3.3.4	3.4.1	3.4.2	3.4.3	3.4.4	3.4.5																											
proposed for your country by IRPUD (see note)	DE	4	4	4	4	4	4	4	4	4	4	4	4																											
your choice	DE																																							
<p>Choose the numbers according to what you feel may most correctly describe the situation for the respective policy aim in your country.</p> <p>PLEASE NOTE: ONLY ONE NUMBER CAN BE SELECTED PER POLICY AIM.</p> <table border="1"> <thead> <tr> <th>Code</th> <th>tendency</th> <th>description</th> </tr> </thead> <tbody> <tr> <td>0=</td> <td>no statement possible</td> <td></td> </tr> <tr> <td>1=</td> <td>non-application</td> <td>non awareness for non applied principle</td> </tr> <tr> <td>2=</td> <td>non-application</td> <td>principle not considered appropriate</td> </tr> <tr> <td>3=</td> <td>non-application</td> <td>principle still under discussion</td> </tr> <tr> <td>4=</td> <td>implicit application</td> <td>policy was already in conformance</td> </tr> <tr> <td>5=</td> <td>implicit application</td> <td>Change and conformance mainly due to other factors</td> </tr> <tr> <td>6=</td> <td>explicit application</td> <td>Change and conformance mainly due to other factors and ESDP</td> </tr> <tr> <td>7=</td> <td>explicit application</td> <td>Change and conformance mainly due to the application of the ESDP</td> </tr> </tbody> </table> <p>Values proposed for your country; rules of interpolation</p> <p>The values have been derived from your national report policy option tables</p> <p>If the same value was given in all cells of the policy aim OR only the first policy option was assessed, this value was used.</p> <p>If two values of the same general tendency (application or non-application) were represented equally, the worse motive of application was used. Condition: The prevalent value had to be on the same side of general tendency (application or non-application) as the prevalent number of assessments for the options of the respective policy aim.</p> <p>If two values of opposite tendencies (application or non-application) were represented equally, the value of the side was used that had more assessments in total across the options of the respective policy aim.</p>														Code	tendency	description	0=	no statement possible		1=	non-application	non awareness for non applied principle	2=	non-application	principle not considered appropriate	3=	non-application	principle still under discussion	4=	implicit application	policy was already in conformance	5=	implicit application	Change and conformance mainly due to other factors	6=	explicit application	Change and conformance mainly due to other factors and ESDP	7=	explicit application	Change and conformance mainly due to the application of the ESDP
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6=	explicit application	Change and conformance mainly due to other factors and ESDP																																						
7=	explicit application	Change and conformance mainly due to the application of the ESDP																																						

Based on the option level assessments in the original *policy option* tables, IRPUD proposed an average value for the *policy aim* to all national ESPON 2.3.1 partners. All partners responded to the request:

- 18 countries accepted the IRPUD proposal: CY, EE, FI, FR, IT, LT, MT, NO, SE, UK, CH, CZ, DE, DK, ES, IE, LV, NL.
- 10 countries changed single assessments: AT, BG, GR, HU, LU, PL, PT, RO, SI, SK.
- 1 country handed in a new table: BE.

The second survey ended very successful with a degree of 99% of table completion (only 4 out of 377 cells were data gaps). Results are shown in table 9.

It is important to note that the numbers are nominal. They **cannot** be internally compared using mathematical methods. They represent one of the motives of application of ESDP policy aims (7,6,5,4) or non-application of ESDP policy aims (3,2,1). Data gaps are marked "0". For the meaning of the numeric codes cf. table 10)

Table 9 - Policy aim assessments (review)

Country	Policy aims														
	3.2.1	3.2.2	3.2.3	3.2.4	3.3.1	3.3.2	3.3.3	3.3.4	3.4.1	3.4.2	3.4.3	3.4.4	3.4.5		
AT	1	5	5	5	5	5	5	5	5	5	5	5	5	5	
BE	5	5	5	5	5	5	5	5	4	5	5	5	5	5	
BG	6	6	5	5	5	6	5	4	6	6	5	5	5	4	
CH	5	4	5	3	1	4	5	5	4	5	4	4	4	4	
tCY	5	5	5	5	0	5	5	5	5	5	5	1	5	5	
CZ	6	6	4	5	5	6	5	3	6	6	6	6	6	6	
DE	4	4	4	4	4	4	4	4	4	4	4	4	4	4	
DK	4	4	5	4	4	4	4	4	4	4	4	4	4	4	
EE	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
ES	7	6	6	7	5	5	6	5	7	6	5	6	6	6	
FI	6	6	6	6	6	5	6	6	6	6	6	6	6	6	
FR	6	6	6	5	6	6	6	5	5	6	6	5	5	5	
GR	6	6	6	6	6	6	6	6	6	6	6	6	6	6	
HU	4	4	5	5	3	6	5	5	7	5	4	1	7	7	
IE	6	6	4	5	6	6	4	4	4	4	4	3	4	4	
IT	6	6	3	3	5	6	3	3	4	4	1	4	4	4	
LT	6	6	6	6	6	6	6	6	6	6	6	6	6	6	
LU	7	6	6	7	6	6	6	6	6	6	6	7	6	6	
LV	6	5	5	3	5	6	5	2	5	5	5	5	5	5	
MT	5	1	3	3	1	3	1	1	5	3	3	4	4	4	
NL	4	4	4	4	4	0	4	4	4	4	4	4	4	4	
NO	6	6	5	4	4	6	4	4	4	4	4	4	4	4	
PL	6	4	4	3	5	5	4	5	4	5	5	5	5	5	
PT	6	6	6	6	6	5	6	6	4	4	6	4	4	4	
RO	6	6	6	6	3	3	3	3	6	6	6	6	6	6	
SE	5	5	3	4	6	5	5	5	4	4	4	4	4	4	
SI	6	7	6	7	6	6	6	5	6	6	6	6	6	6	
SK	4	0	5	6	4	7	4	6	4	4	6	0	5	5	
UK	6	6	5	5	3	5	5	5	5	5	5	5	5	5	

Results of the review were used for chapter 3 of this part of the report, where strong reliability on few assessments is needed.

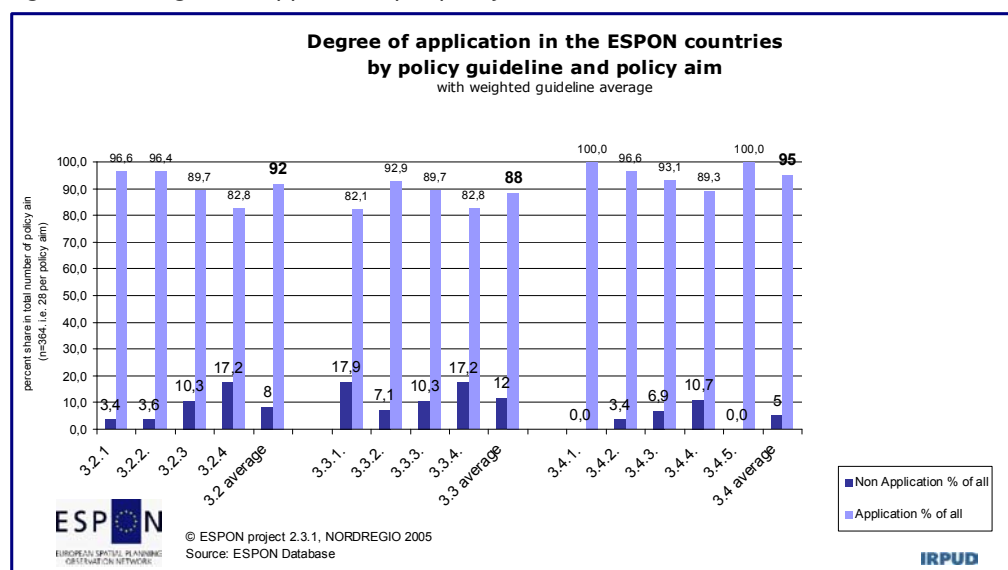
The results of both surveys can be considered valid and reliable. This applies to the October 2005 results due to the sheer mass of assessments and to the March 2006 results due to the extremely high degree of response. Both results can be used together as the March 2006 review revealed no larger amendments of the initial answers.

Table 10 - Legend for numeric codes in policy aim assessment table

code	tendency	description
0=	no statement possible	
1=	non-application	non awareness for non applied principle
2=	non-application	principle not considered appropriate
3=	non-application	principle still under discussion
4=	implicit application	policy was already in conformance
5=	implicit application	Change and conformance mainly due to other factors
6=	explicit application	Change and conformance due to other factors and ESDP
7 =	explicit application	Change and conformance mainly due to the application of the ESDP

2. Overall degree of application of ESDP policy options and ESDP policy aims

In order to retain representativity, only the national reports were used for analysis. Figure 11 to figure 18 are based on policy aim assessments made in March 2006, i.e. they concentrate on 28-29 votes per policy aim with total n=377.

Figure 11 - Degree of application per policy aim in the ESPON countries¹

It is clearly visible that application of all of the ESDP policy aims outnumbers non-applications (cf. Figure 11, for the names of the policy aims cf. table 11). For guideline 3.2 "Polycentric Spatial Development and a new urban-rural relationship" 92% of all assessments are "application", for guideline 3.3 "Parity of access to infrastructure and knowledge" 88% of all assessments are "application" and for guideline 3.4 "Wise management of the natural and cultural heritage" 95% of all assessments are "application". Though there is a high overall degree of application of

ESDP policy aims in the ESPON countries, it becomes obvious that in particular policy guideline 3.3 lags behind.

The strongest policy aims among the three guidelines are 3.4.1. "natural and cultural development as development asset" and 3.4.5 "Creative Management and Cultural Heritage", where all assessments are in the field of application.

The weakest policy aims are 3.2.4 "Urban-rural partnership", 3.3.1 "an integrated approach to infrastructure and knowledge" and 3.3.4 "Diffusion of innovation and knowledge" where only 82.8% (3.2.4), 82.1% (3.3.1) and 82.8% (3.3.4) of all assessments state application. Two out of the lowest three rates originate from the policy guideline 3.3 that we just identified as the guideline with the lowest total application rate. It must however be admitted that the rate of non-application cannot at all serve for serious ESDP criticism: Each guideline counts 29 votes, i.e. one negative vote already accounts for 3.4%.² Regarding the non-application rates, it is clear that 4 out of 29 countries only a maximum of five negate applying the respective aim.

Table 11 - ESDP policy aims

ESDP policy option policy aims
3.2.1 Polycentric and balanced spatial development
3.2.2 Dynamic, attractive and competitive cities and urbanised regions
3.2.3 Indigenous development of diverse and productive rural areas
3.2.4 Urban-rural partnership
3.3.1 an integrated approach to infrastructure and knowledge
3.3.2 Polycentric development model: a basis for better accessibility
3.3.3 efficient and sustainable use of the infrastructure
3.3.4 Diffusion of innovation and knowledge
3.4.1 natural and cultural development as development asset
3.4.2 Preservation and development of the natural heritage
3.4.3. water resource management - a special challenge for spatial development
3.4.4 Creative management of cultural landscapes
3.4.5 Creative Management and Cultural Heritage

The degree of application can also be compared to the overall average degree of application of the policy aims. This shows very well to which extend a guideline has a positive or negative impact on the overall average. As Figure 12 makes clearly visible, below-average aims originate mainly from guideline 3.3 "Parity of access to infrastructure and knowledge", while positive impacts mostly originate from guideline 3.4 "Wise management of the natural and cultural heritage".

At a later stage we will see, which countries cause negative or positive outliers to the general average, when comparing the countries among each other with respect to the thirteen policy aims (see figures in chapter 3.3).

First, we want to look at internal differences regarding application of the policy *guidelines* (3.2, 3.3, 3.4) in the European planning perspectives (cf. figure 13). It becomes visible, that the North-Western perspective shows the smallest variation (0%) of application, because all countries assess the

guidelines' policy aims as applied by 100%. The British Perspective (12%) shows the strongest variation, ranging from 88% (guideline 3.3) to 100% (guideline 3.2). The two other perspectives are between these values, but all on a high level.

However it becomes visible that the EU 15 countries as a whole show a higher degree of application of policy aims than the new member states (this will be examined deeper with the help of figures in chapter 3.3). The Mediterranean perspective is weakest among the EU 15 countries, the North-Western perspective is strongest.

Figure 12 - Deviation from average degree of application of policy option (92%) by policy aim

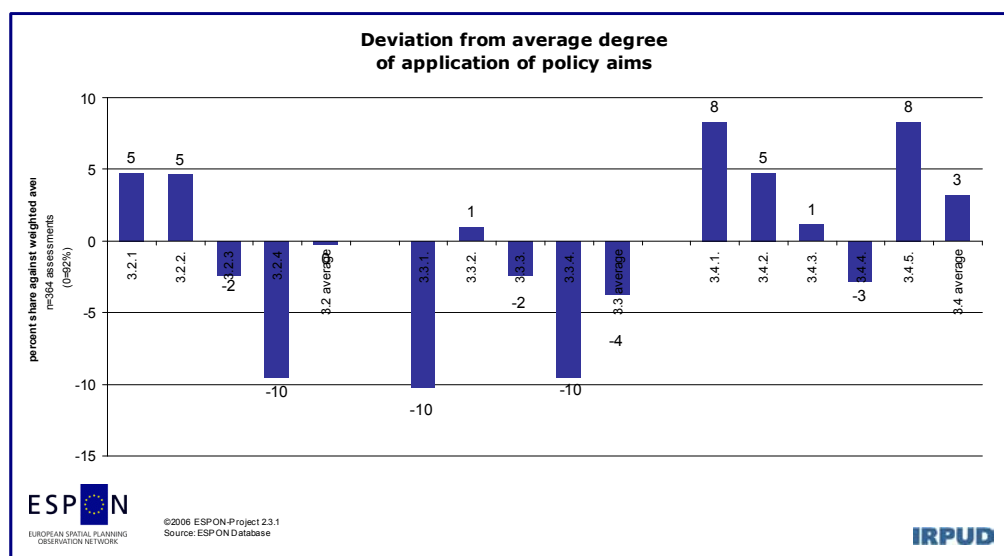
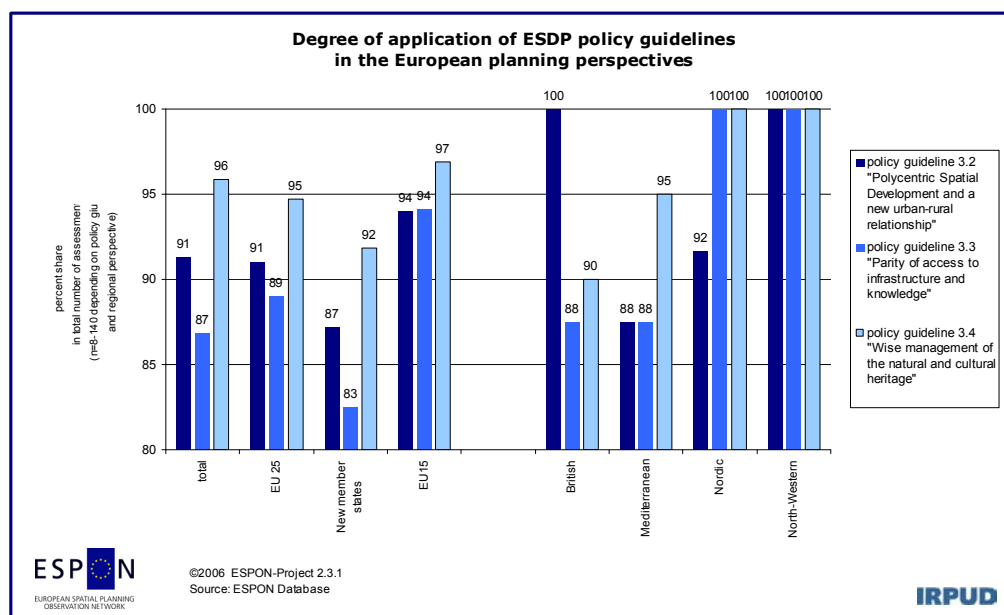


Figure 13 - Degree of application of ESDP policy guidelines in the European planning perspectives.³

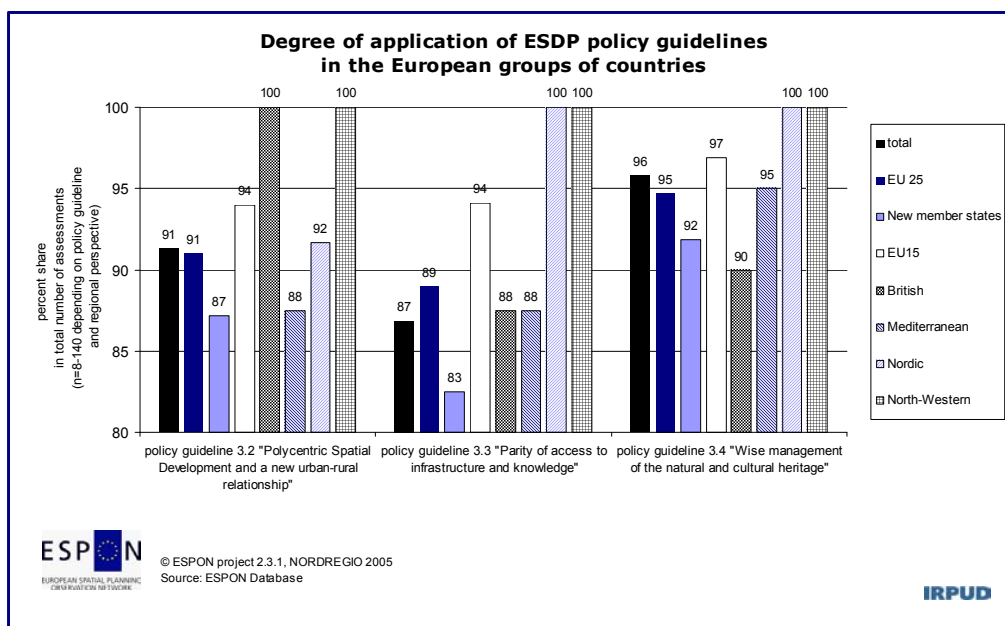


It can be asked whether the regional groups of European countries reflect the pattern of the total average, i.e. an increasing degree of application from guideline 3.3 (lowest) to 3.2 (medium) and 3.4 (highest). The outer left group of columns gives this overall average. Apart from the New Members States however this is not true, the perspectives have their very individual “patterns of application” (cf. again figure 13).

The British perspective is very prominent with its positive guideline 3.2 outlier, while 3.3 is the weakest guideline. From the Mediterranean perspective, guideline 3.4 is strongest and the two others on the same low level. This is due to two negative assessments respectively for 3.2 and 3.3, while guideline 3.4 has only one negative assessment. Though on the same level as 3.2, guideline 3.3 is weakest in this group, too. The Nordic perspective is the only group of countries that gives another guideline but 3.3 the weakest rank of application. Together with guideline 3.4, the Nordic countries assess application by 100%. Guideline 3.2 seems like an outlier but due to the small number of countries in this group, one negative assessment of Sweden for policy aim 3.2.3 creates this result; all other assessments are positive (cf. country-per-country diagram for policy guideline 3.2.3). The North-Western perspective applies all guidelines by 100%, consequently there is no pattern of an weaker or stronger guideline.

The same issue as in figure 13 where we sorted results by perspectives can be sorted by the three policy guidelines (cf. figure 14). Note that the columns are in fact identical, what differs is only the order. Again we can look at the range of application and search for positive and negative outliers.

Figure 14 - Degree of application of ESDP policy guidelines in the European planning perspectives.



The degree of applications ranges from 87% to 100% for guideline 3.2, from 83% to 100% for guideline 3.3 and from 90% to 100% for guideline

3.4. The width of this range perfectly confirms our results of the average degree of application: As there is a logical upper end of the degree of application (100%), guidelines with the widest range of values are weakest at the total average (3.3), while that with the smallest range of values is strongest in application (3.4).

Figure 15 - Degree of application of ESDP policy guidelines in the European Spatial Planning Styles (classification according to ESPON 2.3.2)

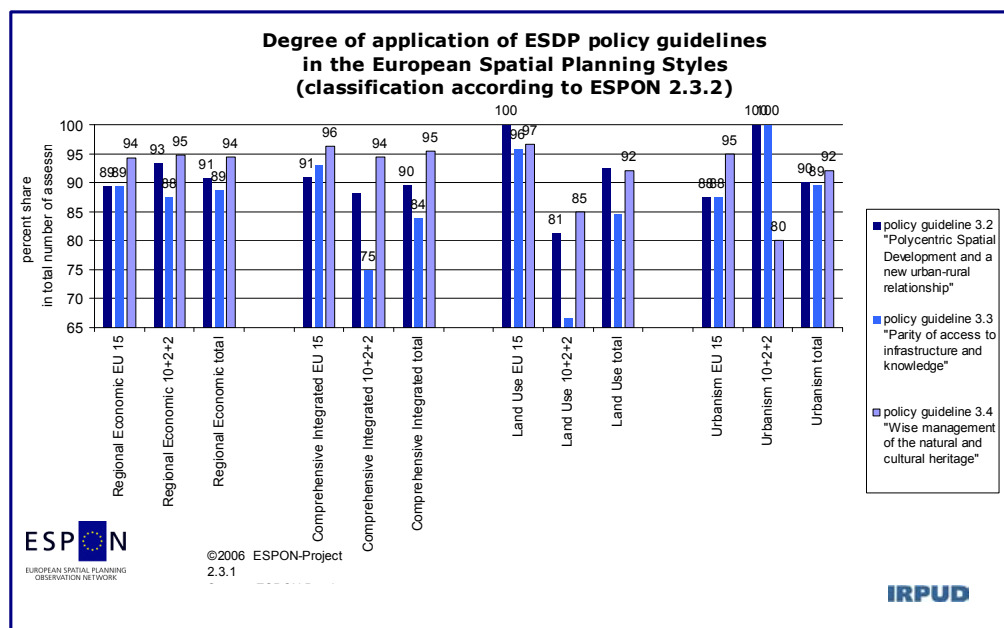
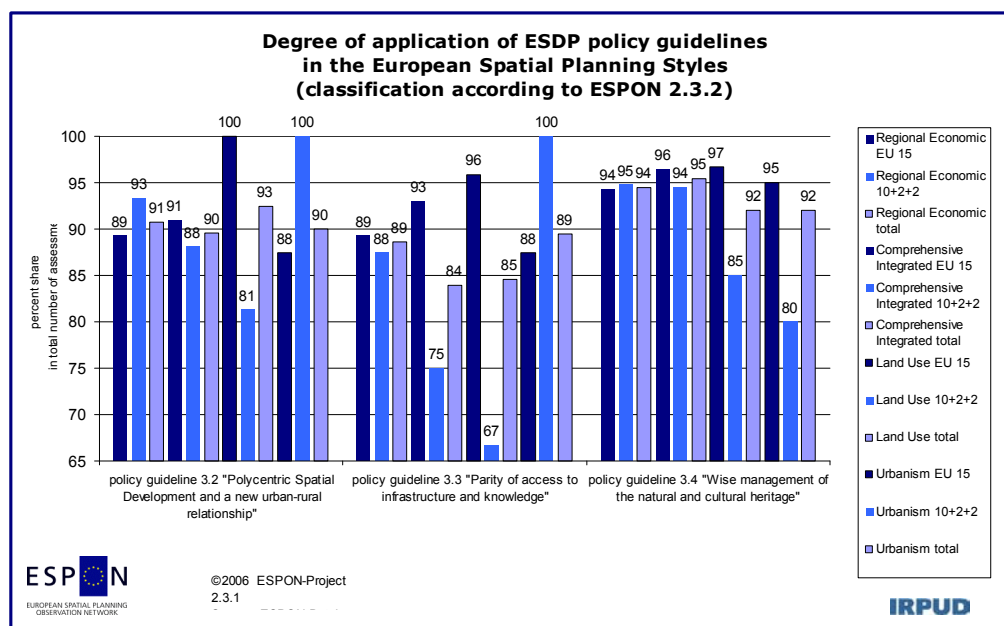


Figure 16 - Degree of application of ESDP policy guidelines in the European Spatial Planning Styles (classification according to ESPON 2.3.2)



The lowest degrees of application for guidelines 3.3 and 3.4 come both from the new member states and the Mediterranean perspective that we already identified as groups with a small degree of application of ESDP

policy aims before. Additionally, the British perspective seems weak regarding guideline 3.3, but this is due to the small number of countries in the group (UK, IE) and one negative assessment only. The Mediterranean perspective however is a special case as it is always the same country (IT) assessing non-application. Italy gives five out of all eight assessments of non-application in the whole EU 15. When looking at the single policy aims (cf. figures in chapter 3.3) it becomes well visible that the Mediterranean perspective in fact is shaped by very strongly applying countries. Regarding guideline 3.4, the new member states and the British perspective share the field of a relatively low degree of application (for the British perspective, the reason is the same as for guideline 3.3).

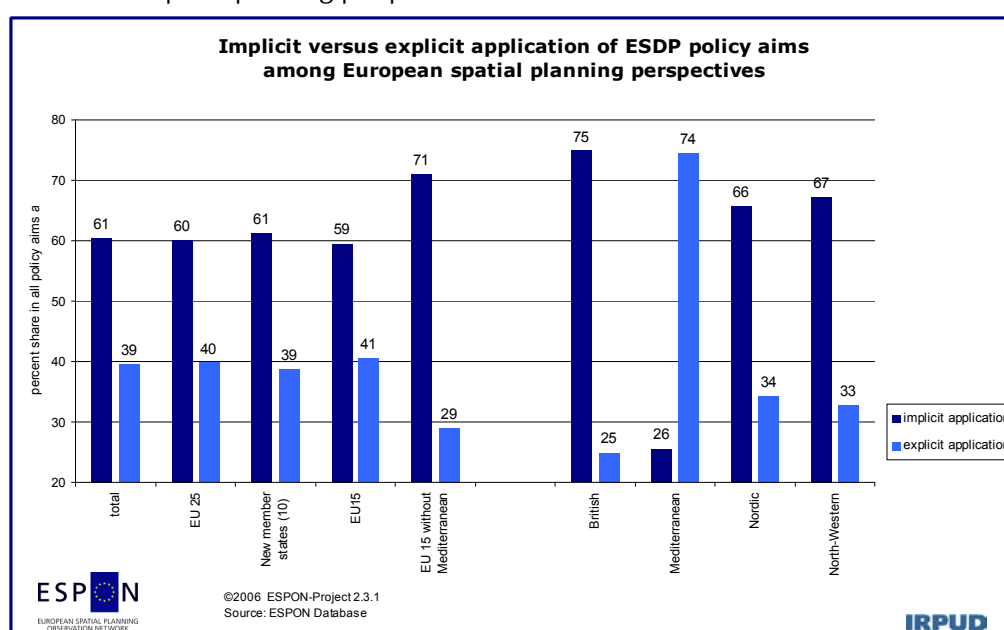
Table 12 - Classification of the European Spatial Planning Styles according to ESPON 2.3.2

Regional Economic	
EU 15	Europe 10+2+2
France Portugal Ireland Italy Sweden Germany United Kingdom	Latvia Lithuania Hungary Slovakia
Comprehensive Integrated	
EU 15	Europe 10+2+2
Austria Denmark Finland Germany Netherlands Sweden France Ireland Italy Luxembourg United Kingdom	Hungary Poland Slovakia Slovenia Bulgaria Romania Switzerland Latvia Lithuania Malta Norway
Land Use	
EU 15	Europe 10+2+2
Belgium Ireland Luxembourg United Kingdom Portugal Spain	Czech Republic Cyprus Estonia Malta
Urbanism	
EU 15	Europe 10+2+2
Greece Italy Spain Portugal	Cyprus
Please note that many countries are assigned to more than one group.	

Figure 17 and figure 18 shows how the country groups of the European Spatial Planning Styles (classification according to ESPON 2.3.2) do with respect to ESDP application (for a membership list for the European Spatial Planning Styles cf. table 12)

A frequent question which impact the adoption of the ESDP actually had on national policy, whether national policies changed influenced by or independently from ESPD adoption. In this respect, it is essential to differentiate between implicit and explicit application of ESDP policy aims. Figure 17 and figure 18 do so, thus creating a picture of the direct impact of the ESDP on national policies. It becomes instantly visible, that this impact differs between countries and also between perspectives.

Figure 17 - Implicit versus explicit application of ESDP policy aims among European spatial planning perspectives



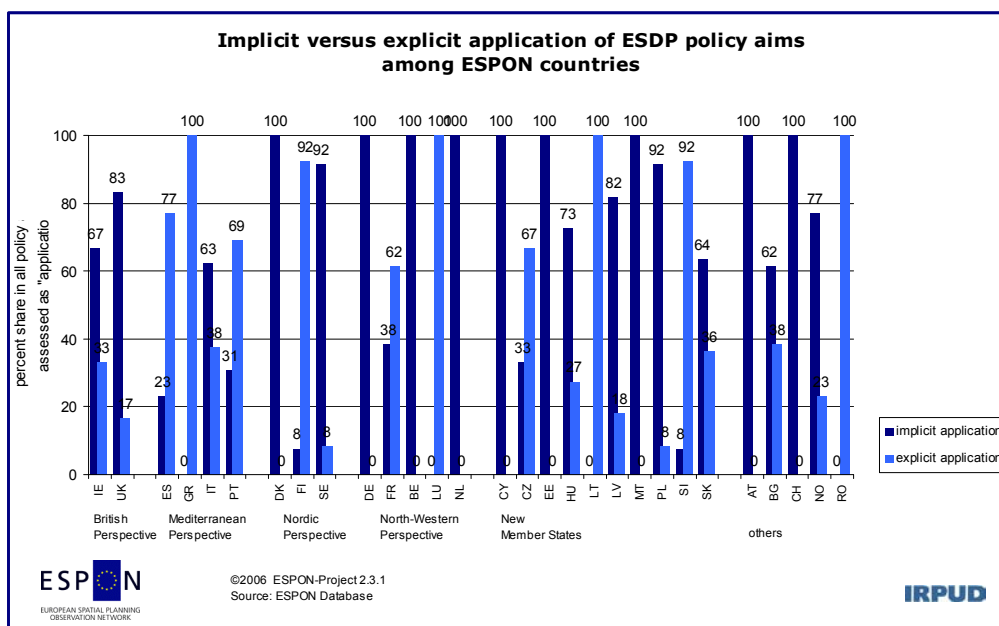
As figure 17 shows, implicit application of ESDP policy aims prevails in total average of all ESPON countries as well as for the European spatial planning perspectives. However there are some singularities that render the new member states in average more explicitly applying than other groups of countries. First of all, the new member states show the highest share of explicit application of ESDP policy aims (61%). On the first glance, this appears to be the same in the "old" member states (EU 15).

By taking a deeper look on the perspectives, it becomes visible this is mainly due to the Mediterranean perspective, being an outlier regarding the mainly "implicitly" applying EU 15 states. Implicit application of the British, Nordic and North-Western perspective is between 66% and 75%, making them clearly implicitly applying perspective. The ESDP has largest impacts on the countries of the Mediterranean perspective, where only 26% of all policy aims assessed are "implicit application". If the Mediterranean perspective is excluded from the EU 15 average, its share of explicit application is reduced from 41% to 29%.

When looking onto the new member states more thoroughly, it becomes visible, that their national experts judged application of ESDP principles very differently (cf. figure 18). What is common to all is the fact that they clearly tended to one of the sides of “implicit” or “explicit” application, there are no balanced examples. For CZ, LT and SI, explicit application prevails. For all other countries, implicit application prevails. However the new member states’ degree of explicit application remains clearly higher than that of the EU 15 states (if its outlier is eliminated).

Within the EU 15 states, explicit application prevails for all countries but IT in the Mediterranean perspective and FI, LU, RO.

Figure 18 - Implicit versus explicit application of ESDP policy aims among ESPON countries⁴



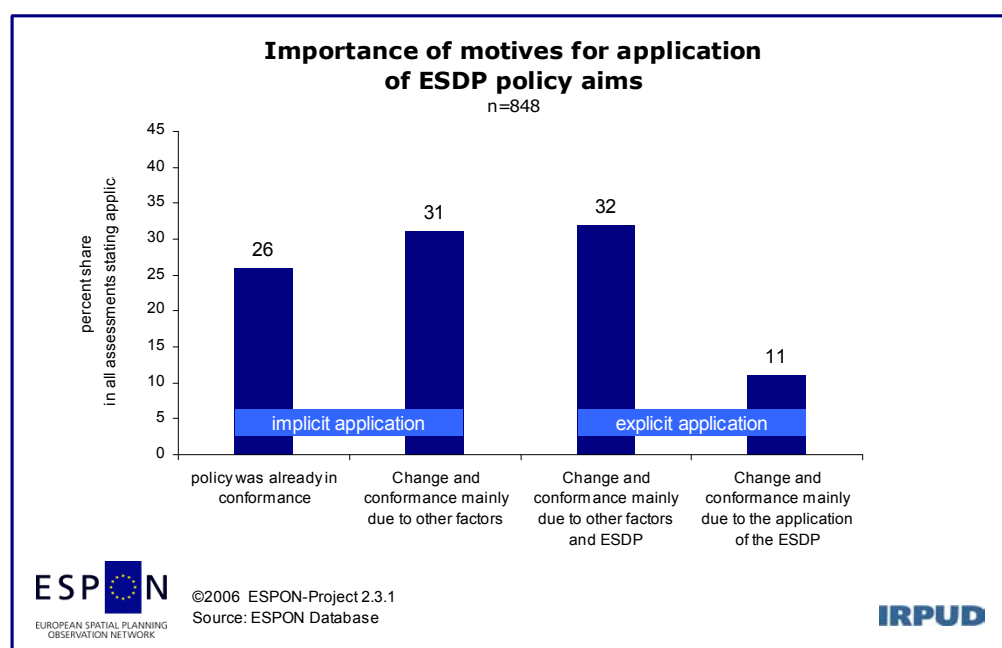
3 Mode of application of ESDP policy aims per ESPON country and per policy aim

This section focuses on the modes of application and non-application of ESDP policy options and ESDP policy aims. Figures base on poliyo option assessments made in October 2005. They refer to a total n=848, but per country n=14-62. Figures in chapter 3.2 and chapter 3.3 base on policy aim assessments made in March 2006, i.e. they refer to 28-29 votes per policy aim in a country, with total n=377.

First of all it is to ask which degree of application the different modes of application have in the ESPON countries. These motives are grouped as “mainly due to the ESDP”, “due to ESDP and other factors”, “due to other factors” and “policy was already in conformity with ESDP” (cf. figure 18). It becomes obvious that “Change and conformance due to ESDP and other factors” (32%) and “Change and Conformances due to other factors” (31%) have about the same strength, while “No change as policy was already in conformity with ESDP” (26%) and, most importantly, “Change

and conformance mainly due to the application of the ESDP" (11%) are considered to a much lesser degree. The four motives of application can also be aggregated into two new groups. The group of "explicit application" considers the motives "Change and conformance mainly due to the ESDP" and "change and conformance due to the ESDP and other factors". The group of "implicit application" includes "change and conformance mainly due to other factors" and "no change as policy was already in conformity with ESDP". While the first group means active consideration of ESDP policy options, the second means fulfilling ESDP policy option without referring to the ESDP.

Figure 19 - Importance of motives for application of ESDP policy aims



43% of all assessments are in the range of "explicit application" of the ESDP. In these cases, policy acted at least partly with the knowledge and the will to apply ESDP policy aims. Slightly more than a half, 57% of all assessments, judge that Application of ESDP policy aims happened "implicitly", i.e. policies are coherent with ESDP policy aims as a result of general considerations and not due to aiming at conformance with the ESDP.

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assessments, judge that Application of ESDP policy aims happened “implicitly”, i.e. policies are coherent with ESDP policy aims as a result of general considerations and *not* due to aiming at conformance with the ESDP.⁵

When asking for explicit and implicit application of ESDP policy options, countries and regional clusters have to be looked at more precisely. The motive of application “Change and conformance mainly due to the application of the ESDP” stands for the most explicit application of ESDP policy options. When looking at the single countries and regional groups, this motive is strongest in Slovenia (72%), Slovakia (59%), Spain (43%) and Hungary (47%). Spain and Hungary however provided only partly reliable material. For 19 out of the 28 countries, this motive had no relevance at all (0%) (cf. figure 20).

As conclusions for the national reports and for the case studies also show (cf. work of other ESPON 2.3.1. partners), this motive of application is mainly important for the new member states. Half of the states assessing relevance for this motive of application are new member states. Another is an accession country. Consequently, 19% out of all principles which have been judged as “applied” for the NMS state “Change and conformance mainly due to application of the ESDP”.

Among ESPON regional perspectives, the Mediterranean is the strongest (19%).⁶ For all other perspectives, importance is very low. In the North-Western perspective 7% of the assessments stating “application” fall under this motive.⁷ For the Nordic and the British perspective it carries no importance at all (cf. figure 20).

The second motive of explicit application is represented by the application motive „Change and conformance due to ESDP and other factors“ (cf. figure 21). As highlighted before, this is one of the two prevailing policy aims. Finland and Lithuania judge all of their “application” assessments to be part of that motive.

Regarding groups of countries, this motive is most important for the Mediterranean perspective.

Adding the two motives of application mentioned above, we receive the degree of importance of „explicit application“ in all assessments, that is 42% in total (cf. figure 22). Finland, Lithuania and Greece have highest conformity with applying ESDP policy aims, each reaching 100% respectively.

Among the ESPON regional perspectives, explicit application is most important for the Mediterranean perspective (71%). In addition, the new member states (47%) reach application shares slightly above the average.

Apart from Ireland (55%) and two accession countries, all countries above the average value belong to one of the ESPON regional perspectives named above.

The second set of possible motives for application of ESDP policy aims is the group of “implicit application” (cf. figure 23).

Highest conformity before the ESDP was released is assessed for The Netherlands (100%), Germany (98%), Denmark (85%) and Norway

(64%) (cf. figure 24). A very interesting aspect is that the Norwegian national report judges fulfilling many ESDP options already before ESDP adoption even though it is not an EU member state.⁸ For 13 countries, this motive had no meaning at all.

Looking at the ESPON regional perspectives, the Nordic countries and the North-Western perspective assess the highest application of ESDP options before adoption of the ESDP. In the Nordic perspective this is due to a high average importance of the option (Finland excluded from the pattern). In the North-Western perspective, this is due to the strong value of Germany and The Netherlands. The Mediterranean and the British perspective respectively consider this motive least important.

By adding up the values for the two before mentioned motives of application, we receive a cumulated value for implicit application (cf. figure 25). It is the reverse situation of figure 24 and shows that for the North-Western perspective, the British and the Nordic perspective, implicit application of ESDP policy options prevails. The group of the new member states show a 53% share of implicit application. This cannot be seen as a clear sign towards any of the "implicit" or "explicit" motive of application (the group members have to be analysed countrywise).

Figure 20 - Importance of "Change and conformance mainly due to application of the ESDP"

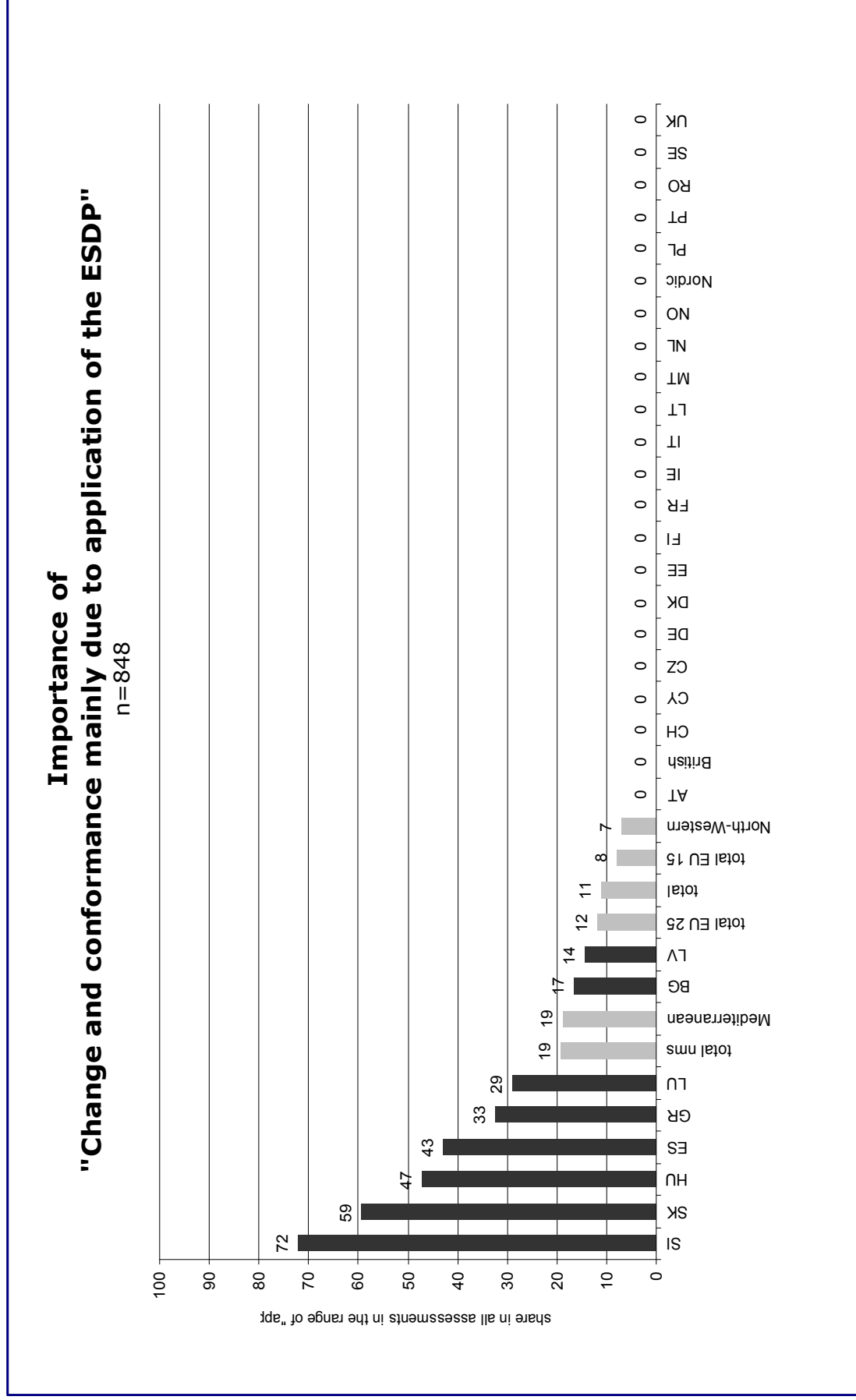


Figure 21 - Importance of "Change and conformance due to ESDP and other factors"

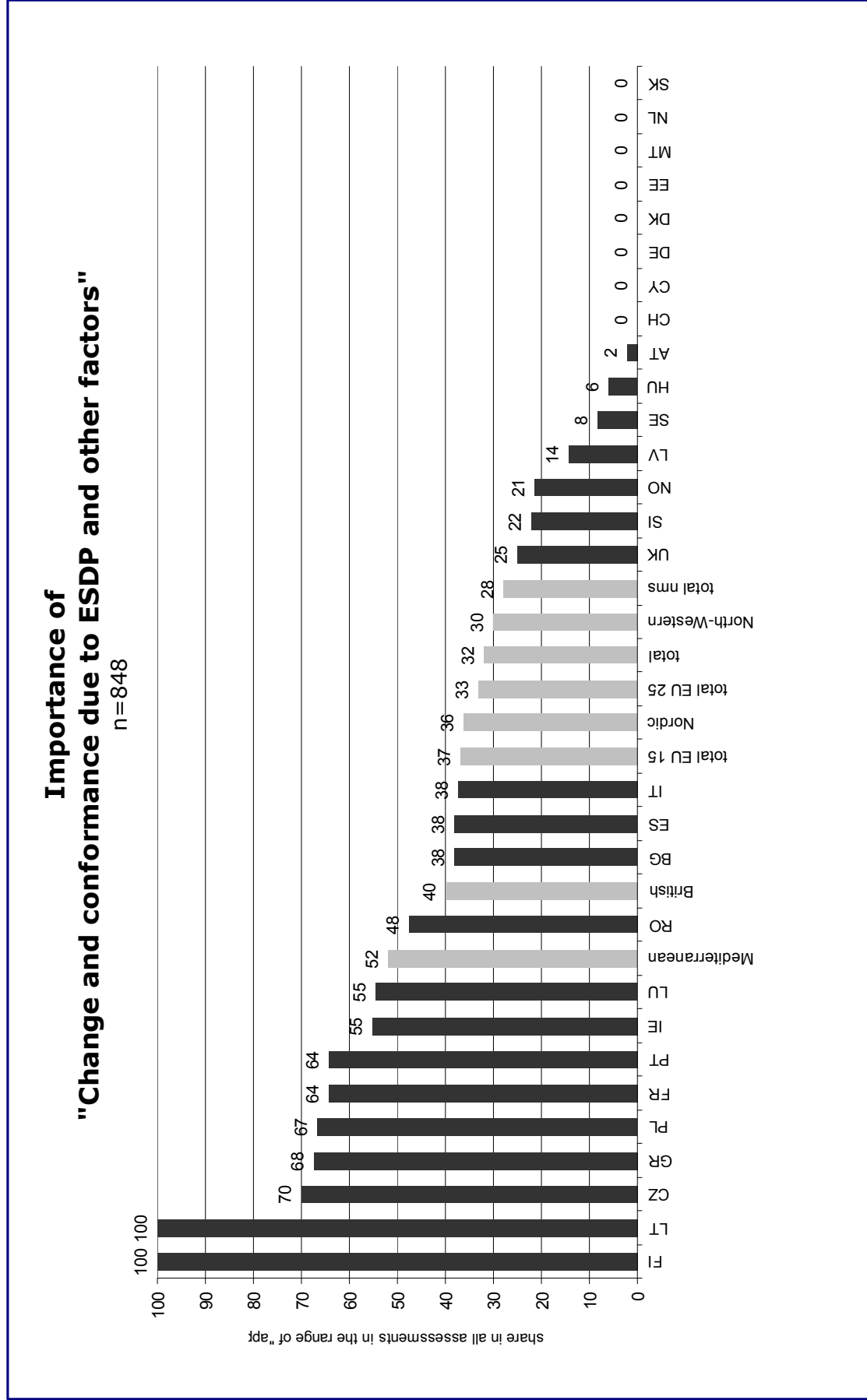


Figure 22 - Importance of the two modes of "explicit application" in applying ESDP policy options

Importance of the two modes of "explicit application" in applying ESDP policy options

n = 848

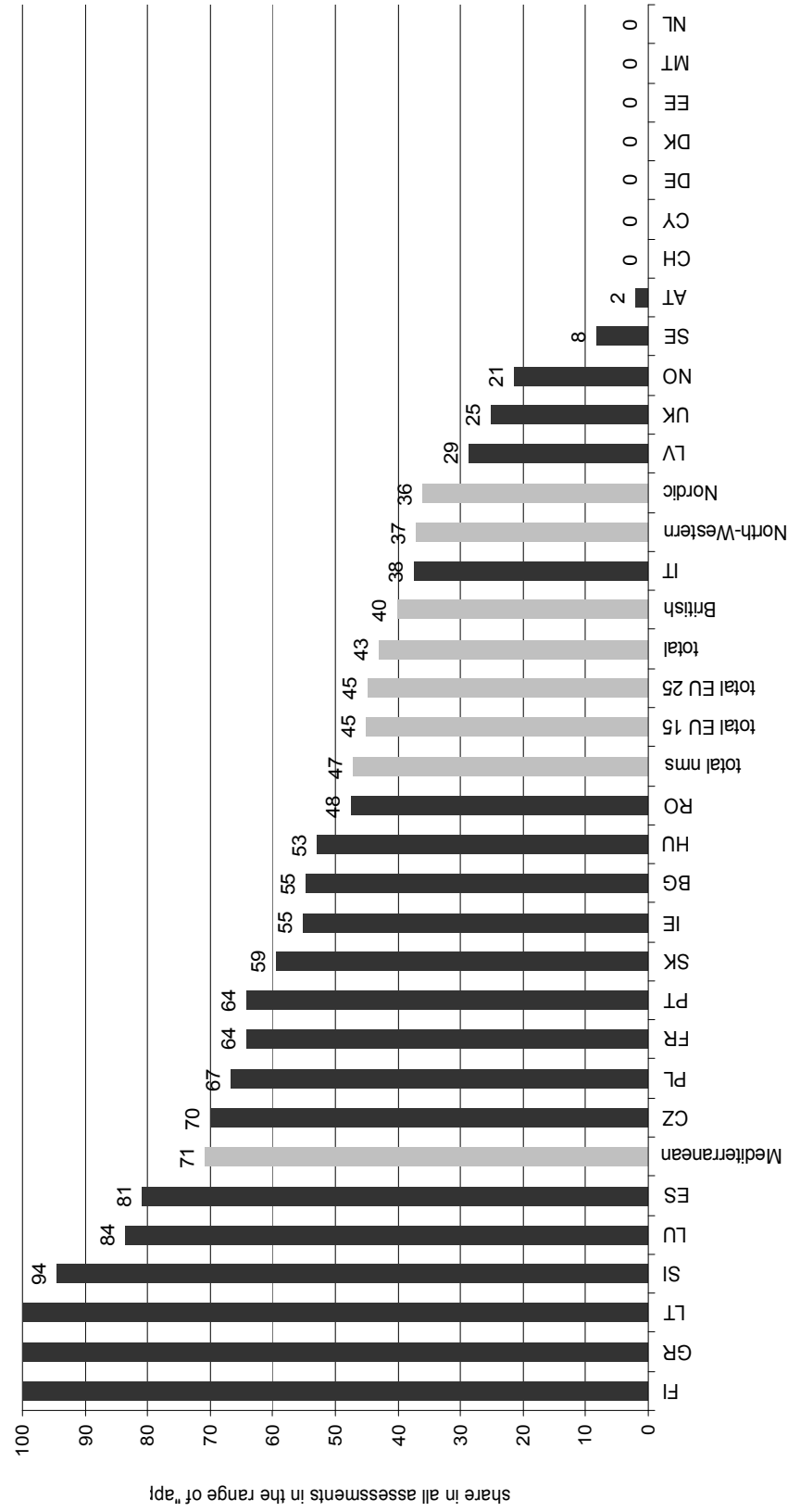


Figure 23 - Importance of "Change and conformance due to other factors"

**Importance of
"Change and conformance due to other factors"**
n=848

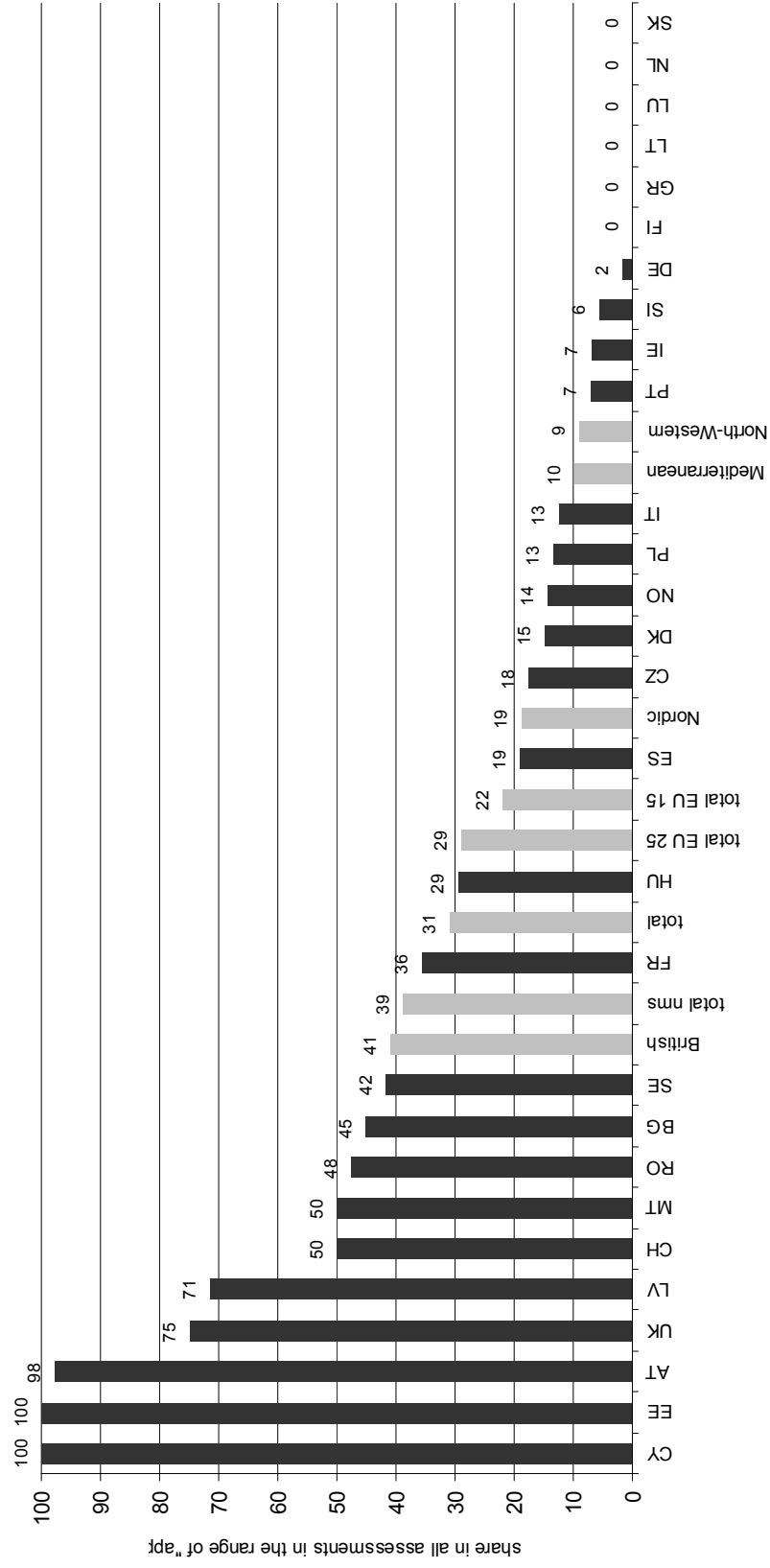


Figure 24- Importance of "No change as policy was already in conformity with ESDP" according to the national reports

Importance of "No change as policy was already in conformity with ESDP"

n=848

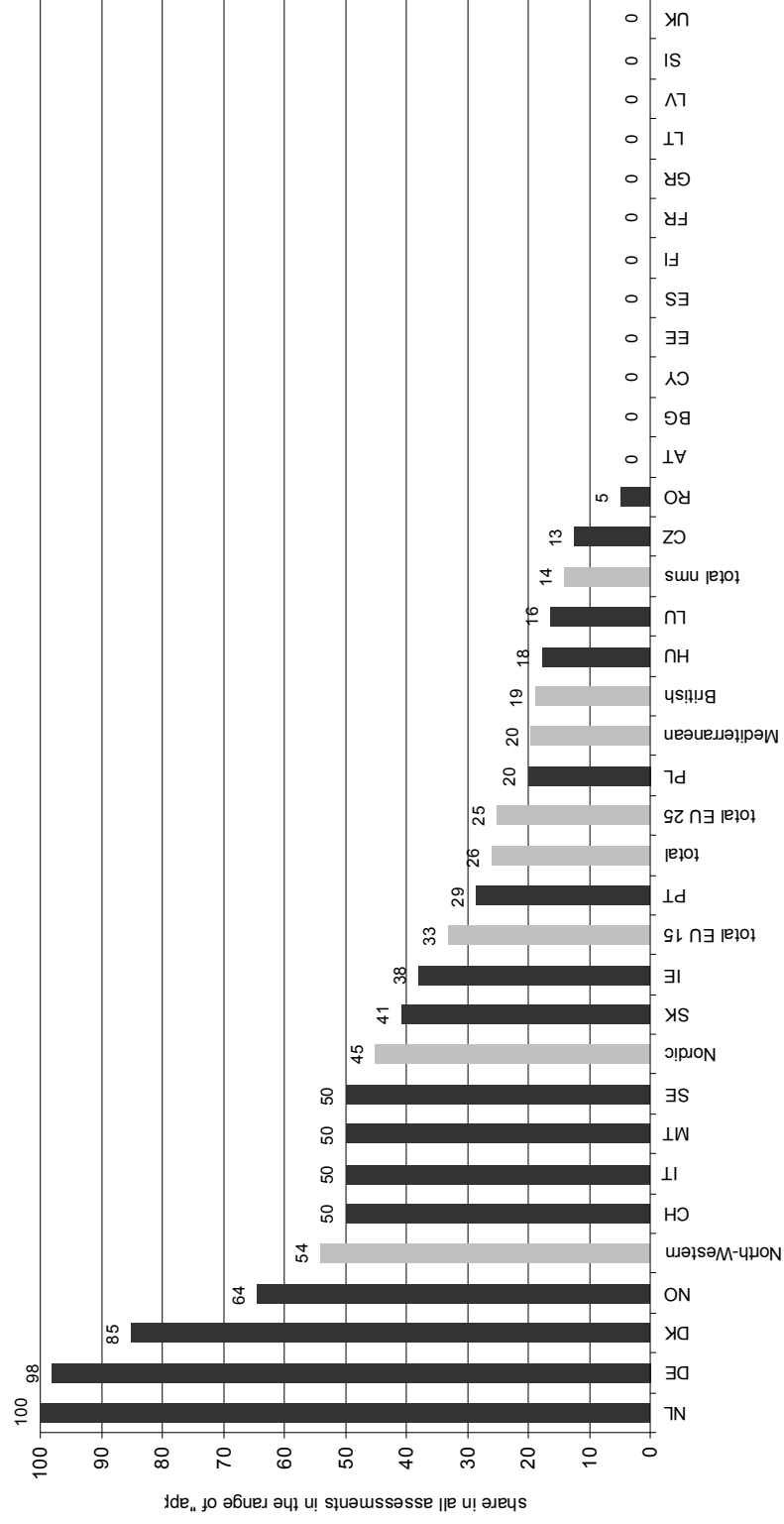
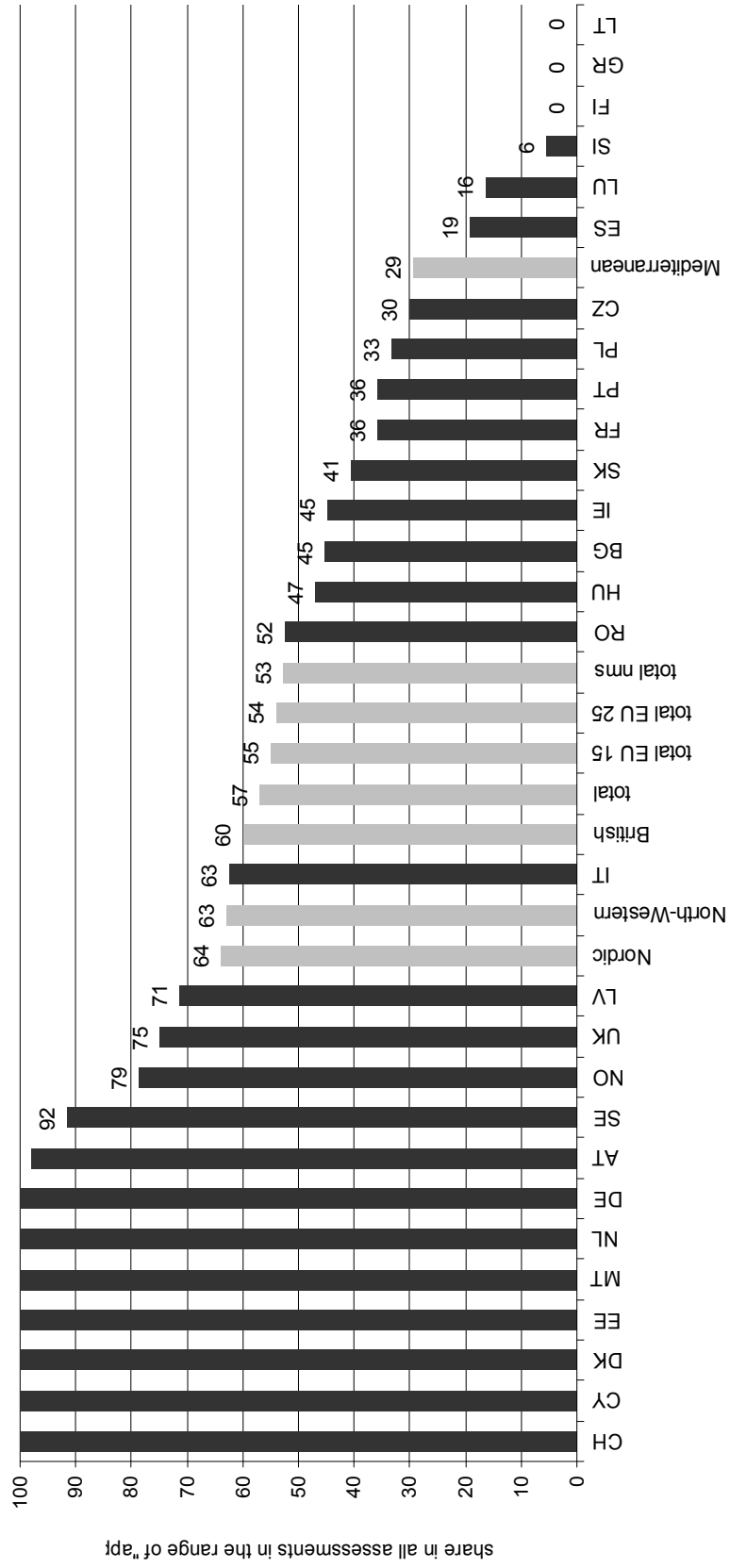


Figure 25 - Importance of the two motives of "implicit application" in applying ESDP policy options

Importance of the two motives of "implicit application" in applying ESDP policy options

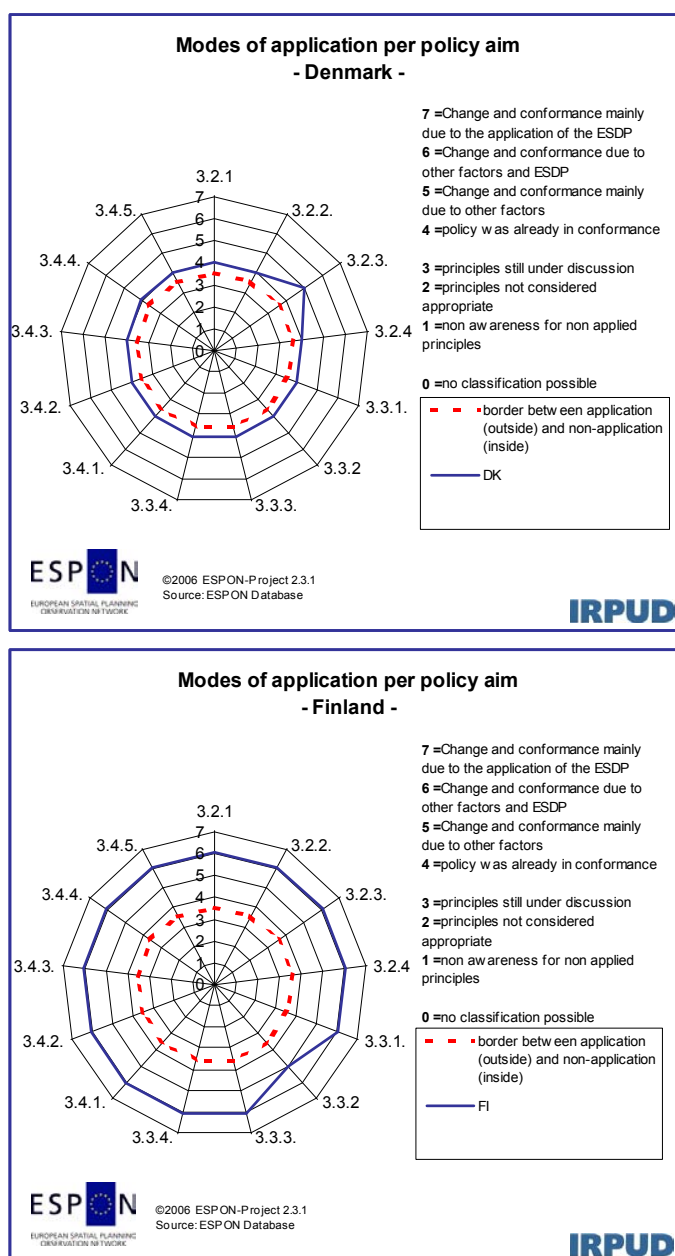
n = 848



3.1 ESDP policy aims in the individual countries

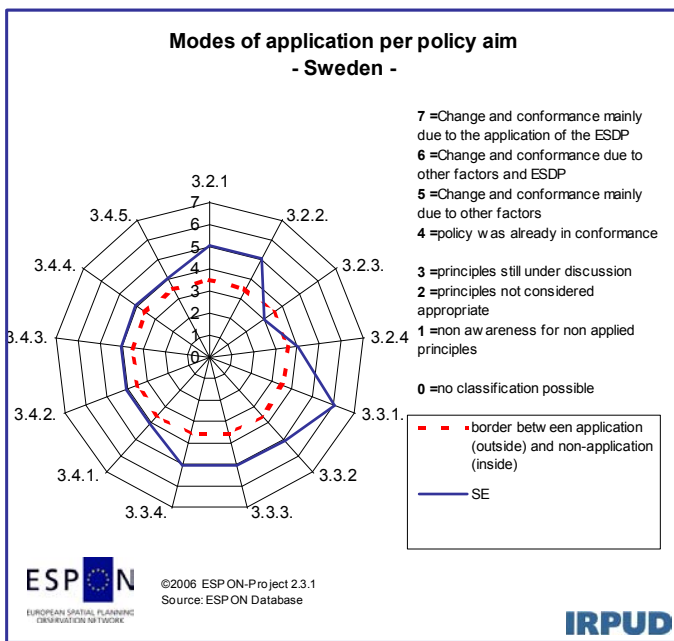
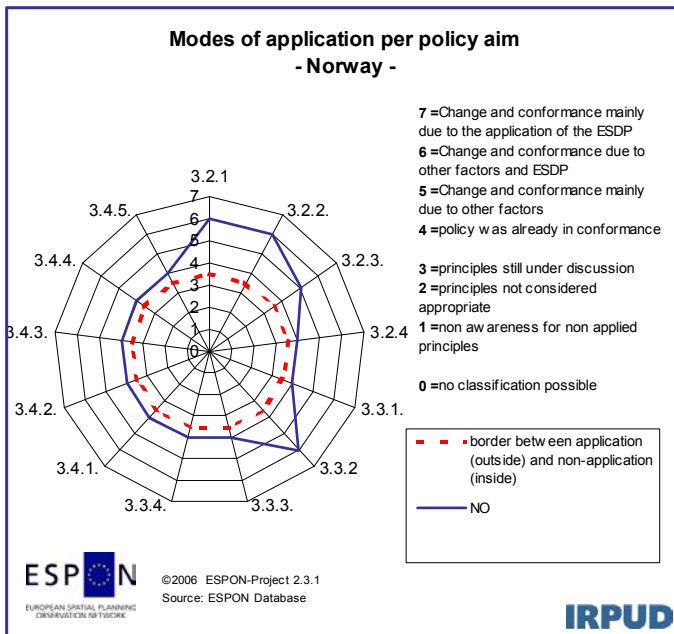
The policy aim survey review carried out in March 2006 allows to go deeper into the question of ESPO application quality. It is possible to tell the mode of application of every single policy aim. The results are displayed as spider diagrams for each individual country (cf. figure 26 to figure 40). As the dotted red line marks the border between non-application and application of the respective policy aim, showing which policy fields render a country strong or weak regarding application of thematic aspects of the ESDP. The larger a circle is and the larger its distance from the centre of the spider web, the more "explicit" is the application of the policy aim in the country. E.g. the outermost class is "application mainly due to the ESDP" which is the most explicit mode of application of an ESDP policy aim, while the three next classes increase the importance of *other* factors influencing ESDP application (implicit application). Inside the red dotted circle ESDP non-application prevails, up to class 1 "non awareness".

Figure 26 - Modes of application per policy aim (Denmark and Finland)



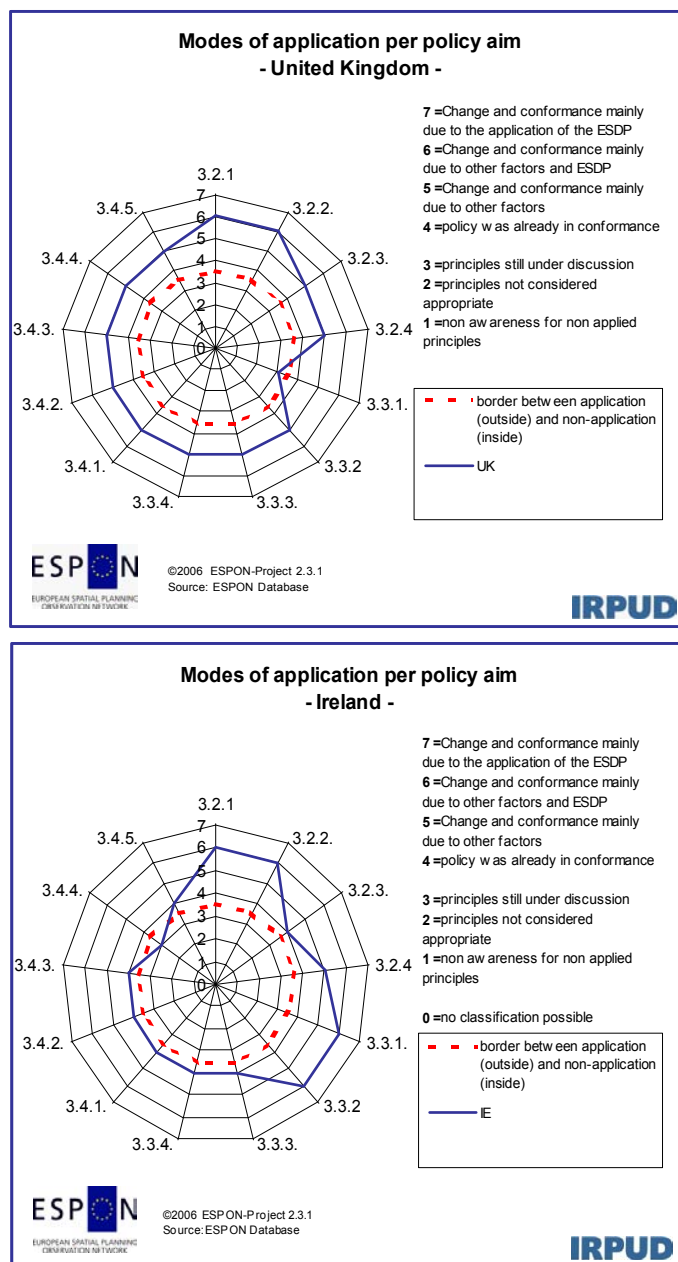
Denmark and Finland are both part of the Nordic perspective that has shown above average degree of application of ESDP policy aims so far. Both countries confirm this, but it becomes visible that application in Denmark is mostly due to implicit application. Application of ESDP policy aims in Finland is in contrast at least partly explicit (cf. figure 26). Both countries are homogeneous regarding their general view on the ESDP: Both are part of the four countries with only one assessment differing from all others.

Figure 27 - Modes of application per policy aim (Sweden and Norway)



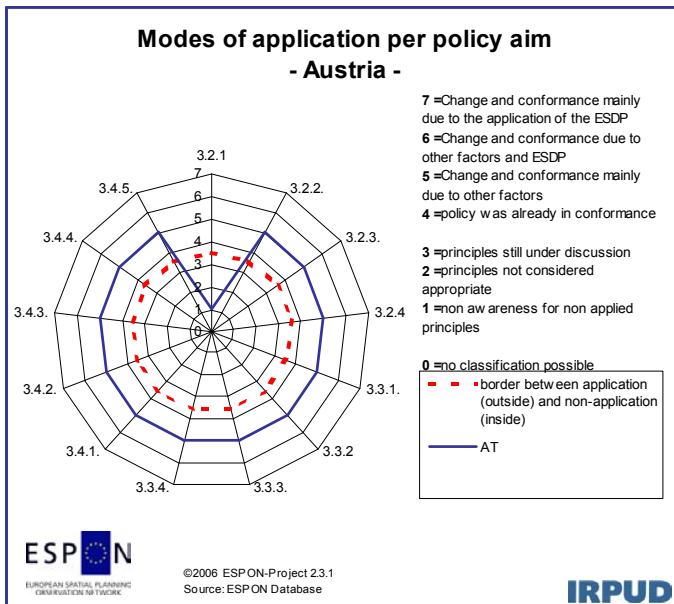
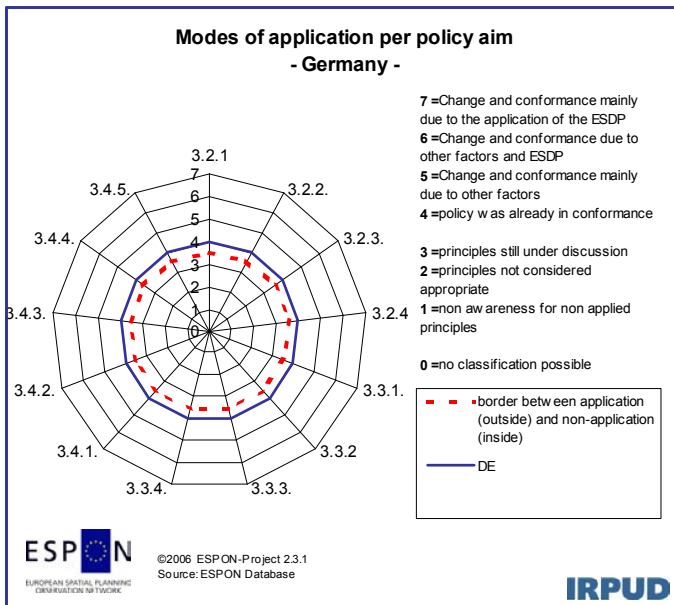
Sweden belongs to the Nordic perspective. In aim 3.2.3 Sweden has the only case of non-application for a Nordic country (cf. figure 27). Norway is not part of the Nordic Perspective. Application of ESDP policy aims is mostly implicit but nonetheless aims are implemented.

Figure 28 - Modes of application per policy aim (United Kingdom and Ireland)



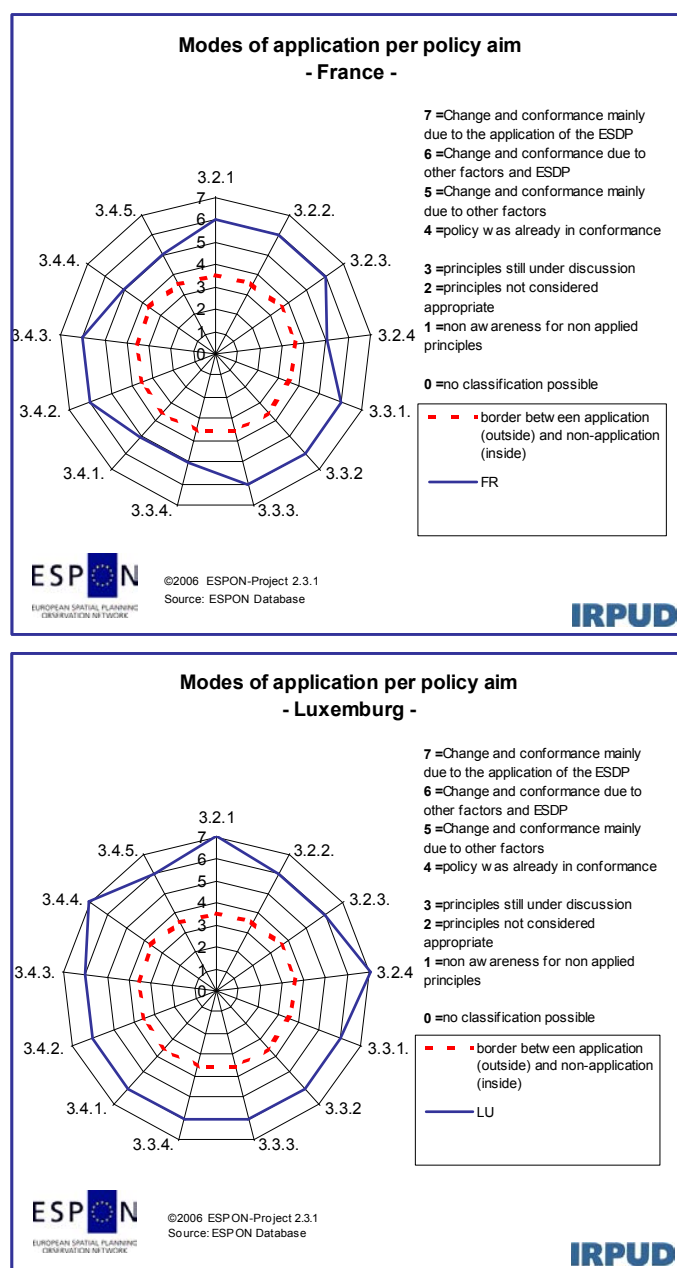
The United Kingdom and Ireland shape the British perspective. Their spider diagrams draw a heterogeneous picture (cf. figure 28). Each country has one case of non-application, some cases of “application due to other factors” and “application due to the ESDP” respectively. However application in the UK seems more explicit than in Ireland due to a larger number of aims applied “due to ESDP and other factors”.

Figure 29 - Modes of application per policy aim (Germany and Austria)



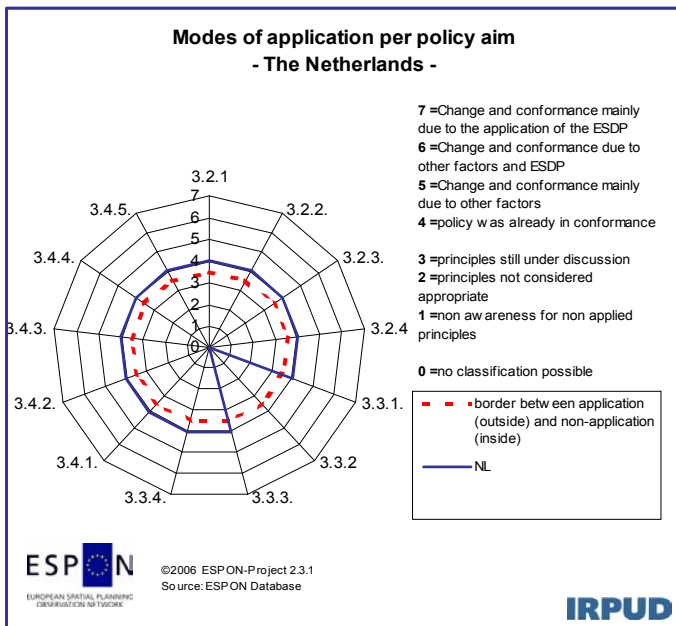
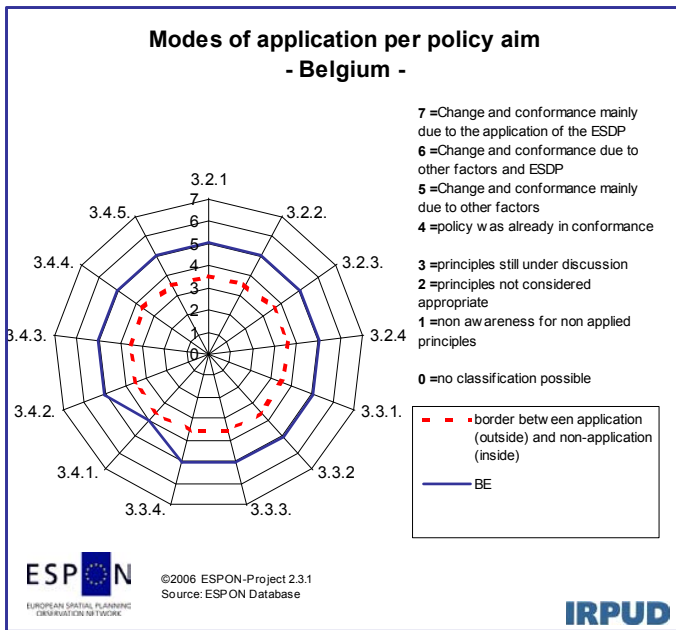
Germany is part of the North-Western perspective, whereas Austria has not been classified. Application in Austria is more explicit than in Germany. Apart from a “non awareness at all” outlier for aim 3.2.1 application in Austria is predominantly “due to ESDP and other factors”, whereas in Germany it is “mainly due to other factors” (cf. figure 29). Both countries are interesting from the homogeneity point of view as Austria is one out of four countries with only one assessment differing from all others. Germany is one out of four countries where all assessments are identical.

Figure 30 - Modes of application per policy aim (France and Luxemburg)



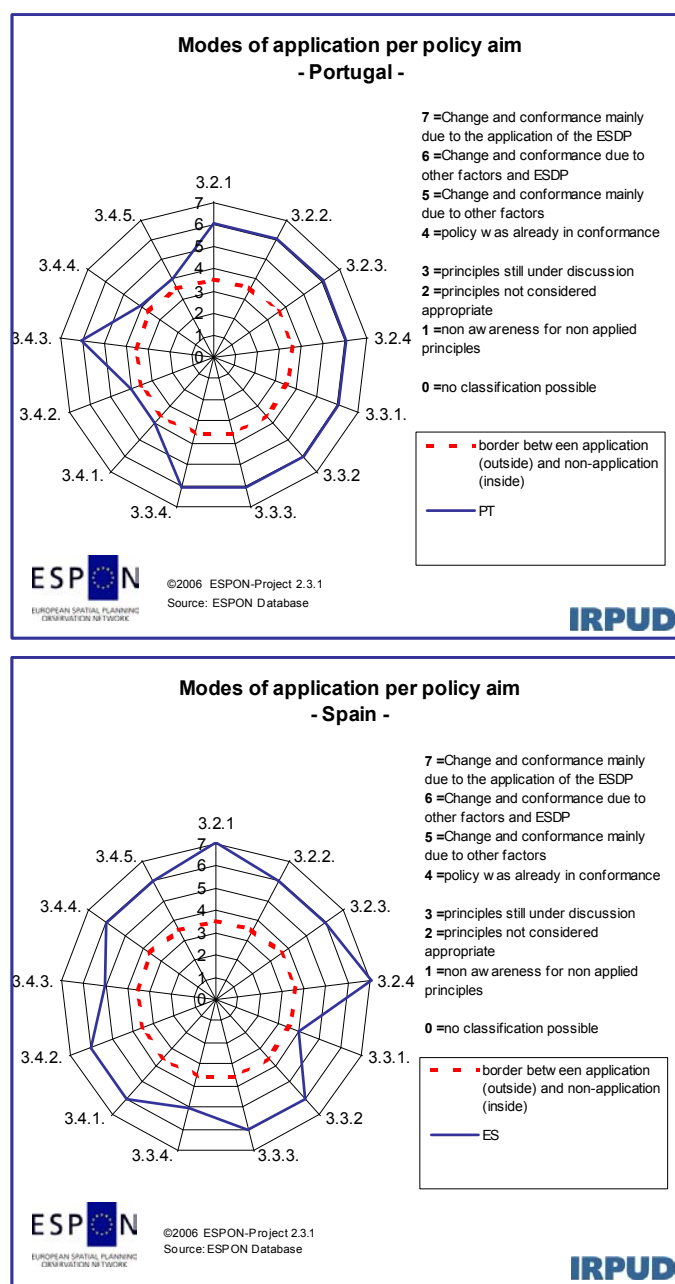
Luxemburg and France are part of the North-Western perspective (together with The Netherlands, Germany and Belgium). Both have a higher quality of application of ESDP policy aims than the other group members. The others are mainly or completely orientated towards implicit application of policy aims. France and Luxembourg however show a high quality of application of ESDP policy aims as they are all explicit (cf. figure 30). This quality applies to only six countries (LU, FR and FI, GR, LT, EE). Luxemburg has the highest single number (three) out of the ten cases in the whole sample, where application of a policy aim is judged "mainly due to the ESDP" (the other countries are ES, HU, SI with two respectively and SK with one).

Figure 31 - Modes of application per policy aim (Netherlands and Belgium)



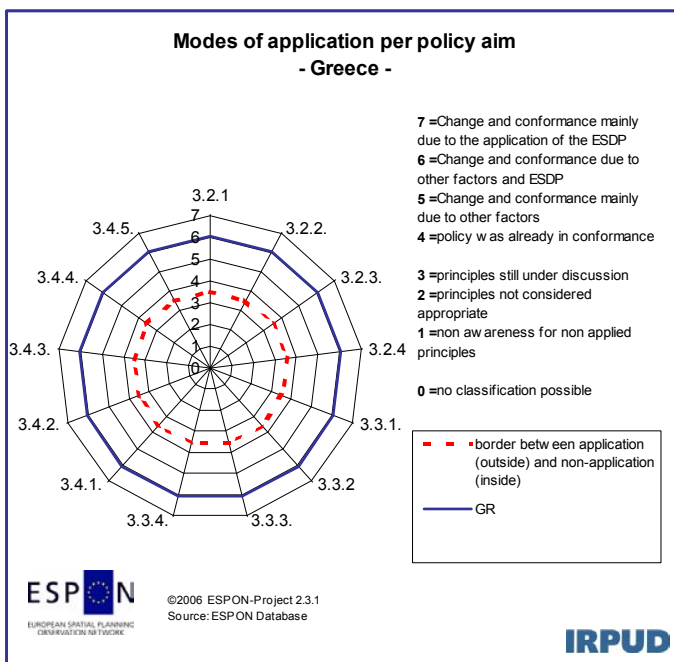
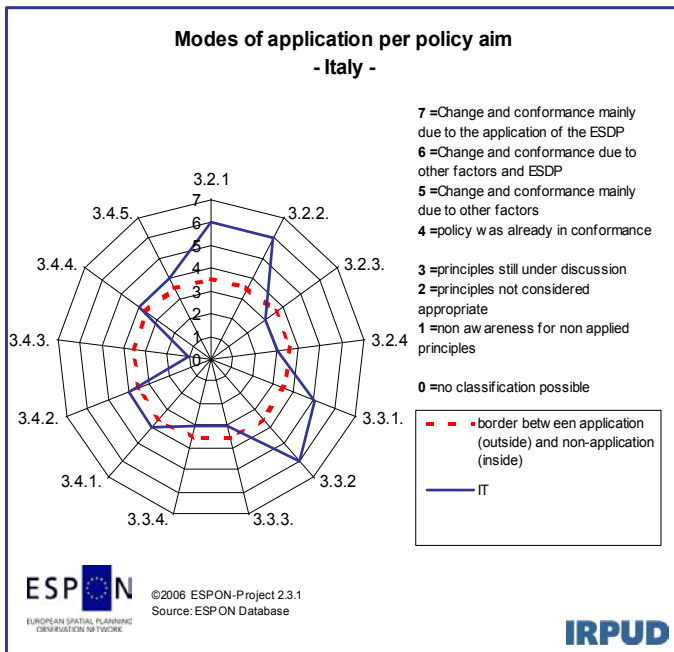
Belgium and The Netherlands are neighbouring countries and both part of the North-Western perspective. Both countries judge application of all policy aims assessed and are thus identical to the neighbouring North-Western Perspective member Germany. The motive implicit application is also the same as in Germany. The Netherlands differ regarding aim 3.3.2 (not assessed) (cf. figure 31).

Figure 32 - Modes of application per policy aim (Portugal and Spain)



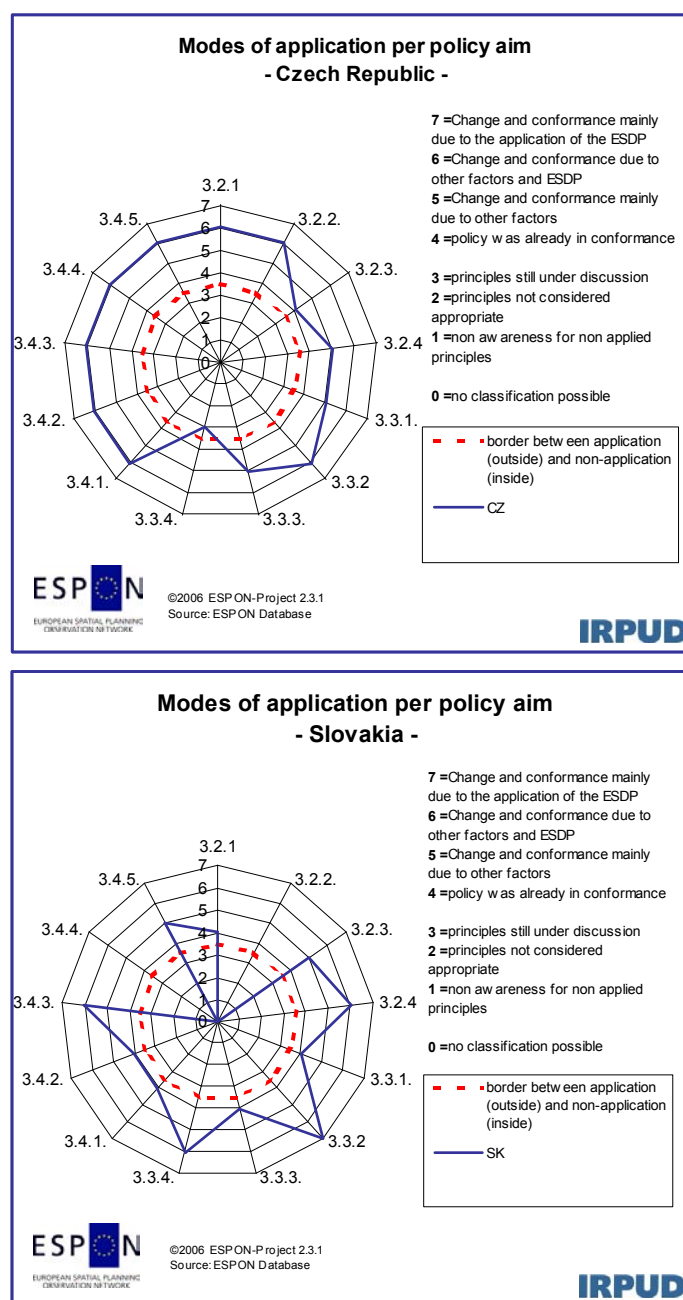
Portugal and Spain shape the Mediterranean perspective together with Italy and Greece. Their mode of application of ESDP policy aims is heterogeneous, but mainly explicit (cf. figure 32). Spain shows two out of the ten cases in the whole sample, where application of a policy aim is judged “mainly due to the ESDP”.

Figure 33 - Modes of application per policy aim (Italy and Greece)



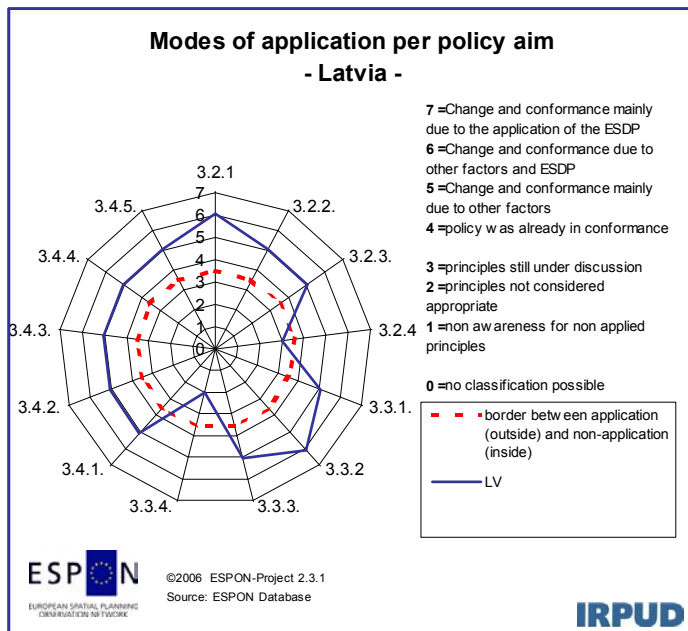
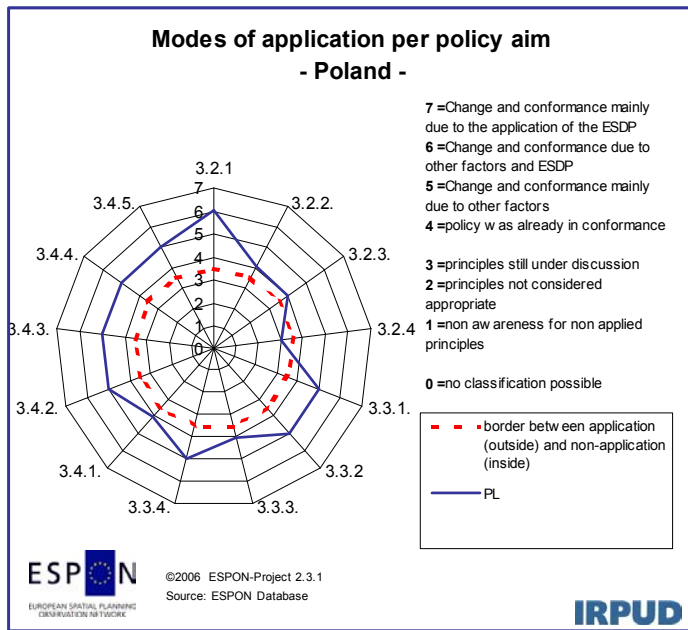
Italy has the highest number of assessments in the range of non-application (five) out of the EU 15 countries (in the EU 25, only Malta has more) and consequently a low degree of general application (cf. figure 33). Greece is one out of four countries with identical assessments for all aims and one out of six countries with all assessments in the range of explicit application.

Figure 34 - Modes of application per policy aim (Czech Republic and Slovakia)



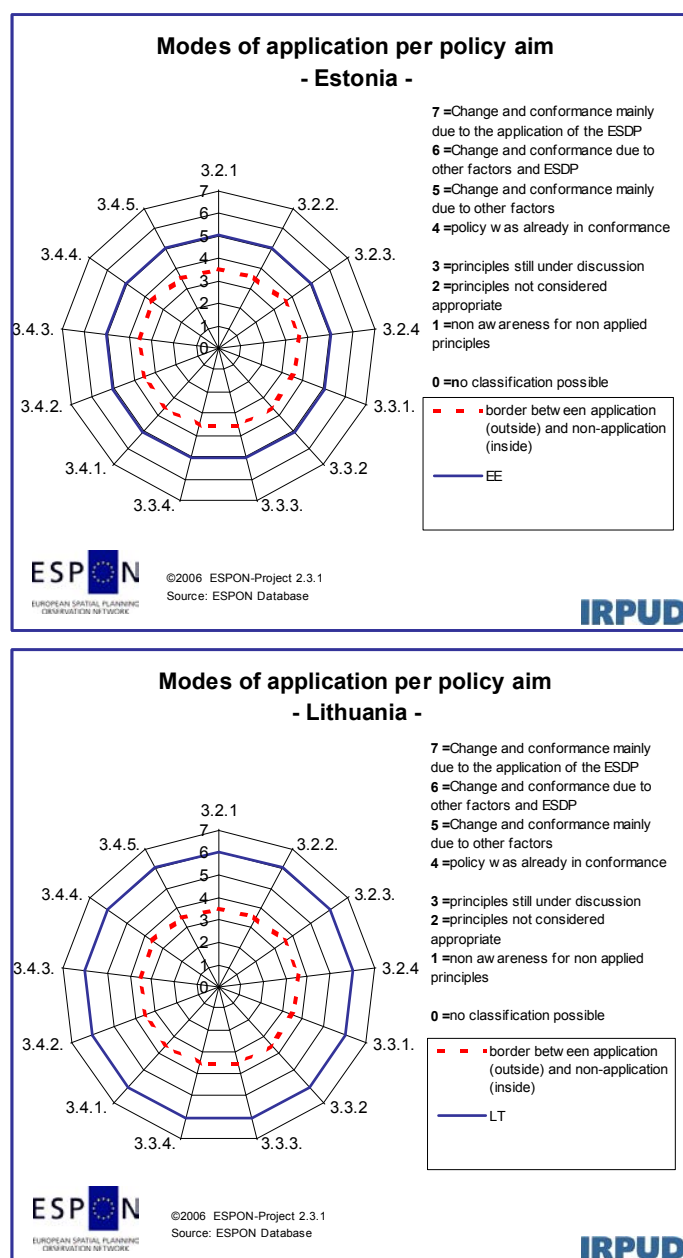
The Czech Republic and Slovakia belong to the group of the new member states. The neighbouring country shows hardly similar forms of application of the ESDP policy aims (cf. figure 34). The Slovak case of application of ESDP policy principles seems especially complex as it is the only country with two non-assessed policy aims. All assessed cases however are in the range of application and aim 3.3.2 "Polycentric development model: a basis for better accessibility" has the highest quality assessment of application "mainly due to the ESDP". The Czech sample acknowledges explicit application for many aims – the only case of non-application is "still under discussion" and thus no definite case of non-application.

Figure 35 - Modes of application per policy aim (Poland and Latvia)



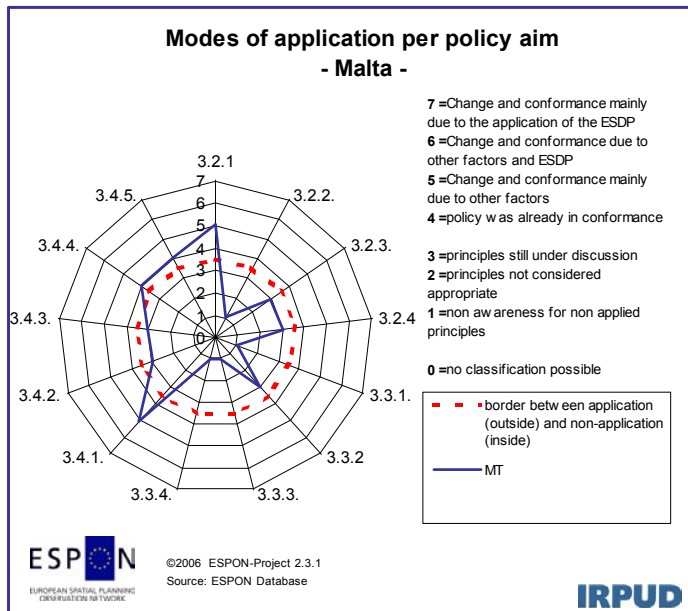
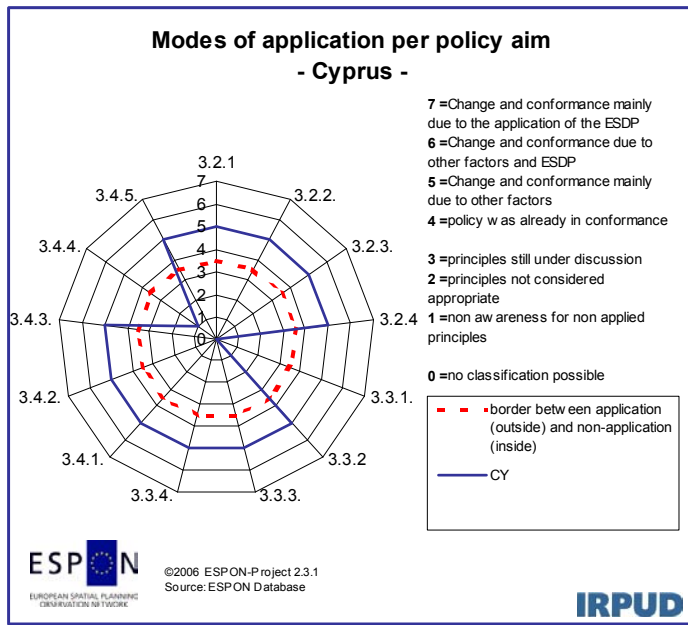
Poland and Latvia are EU member states since 2004 (cf. figure 35). Both assess the policy aim 3.2.4 “Urban-rural partnership” as “still under discussion” (cf. figure 44). So do three other countries (IT, CH, MT), which makes the policy aim the one being most often assessed as being “still under discussion”. Apart from that, there are further peculiar similarities between both countries as they both assess aim 3.2.1 as applied “due to ESDP and other factors” and have most of their “mainly due to other factors” assessments in the field of guideline 3.4. Latvia differs from all other countries in the EU as it is the only one that judges a policy aim as “not considered appropriate for application (policy aim 3.3.4 “Diffusion of innovation and knowledge”).

Figure 36 - Modes of application per policy aim (Estonia and Lithuania)



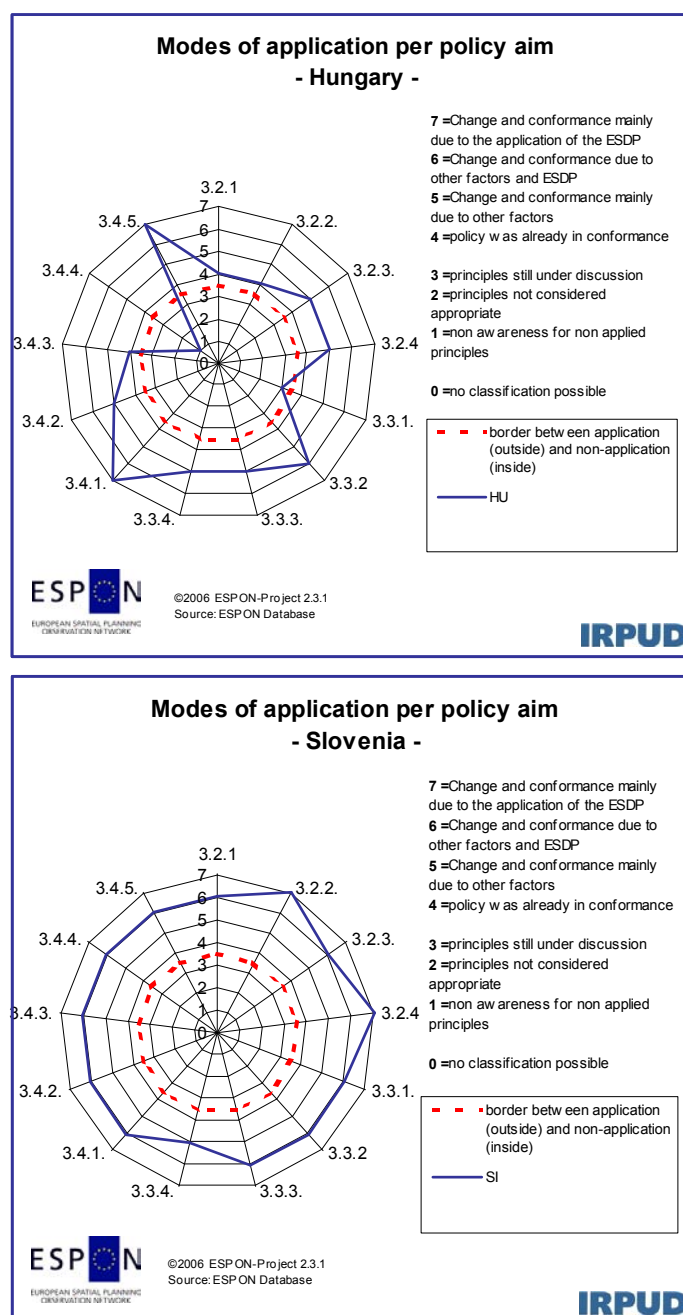
The two Baltic countries of Estonia and Lithuania are part of the four countries with identical assessments for all policy aims. They belong also to the six countries with assessments exclusively in the range of explicit application (the others are GR, FR, FI, LU) (cf. figure 36). The latter is especially remarkable as both countries have only been members of the EU for less than two years.

Figure 37 - Modes of application per policy aim (Malta and Cyprus)



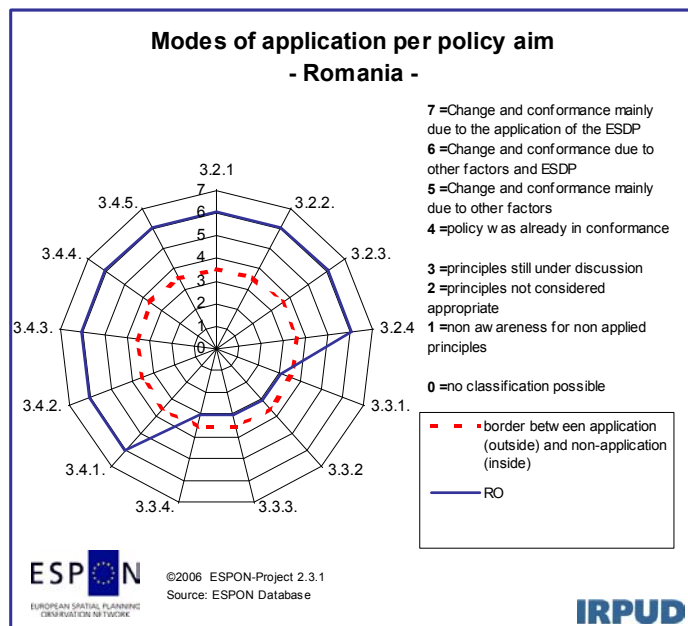
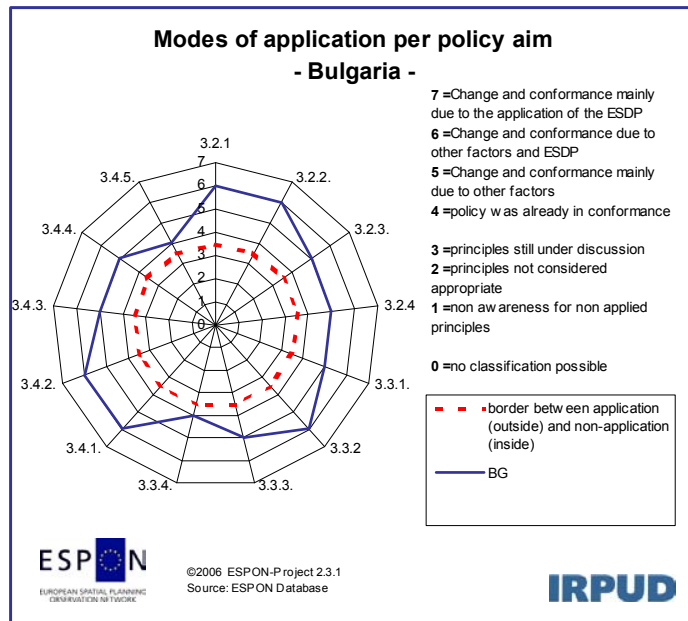
Cyprus and Malta belong to the smallest countries of the EU. The picture of Cyprus is quite clear and positive. Most aims are assessed as application under at least partly awareness of the ESDP, one is negative (policy aim 3.3.4) and another not assessed (policy aim 3.3.1) (cf. figure 37). Malta has the highest amount of policy aims assessed as “non-application”, but three out of its nine are still under discussion. Though mainly negative there are at least two policy aims applied explicitly.

Figure 38 - Modes of application per policy aim (Hungary and Slovenia)



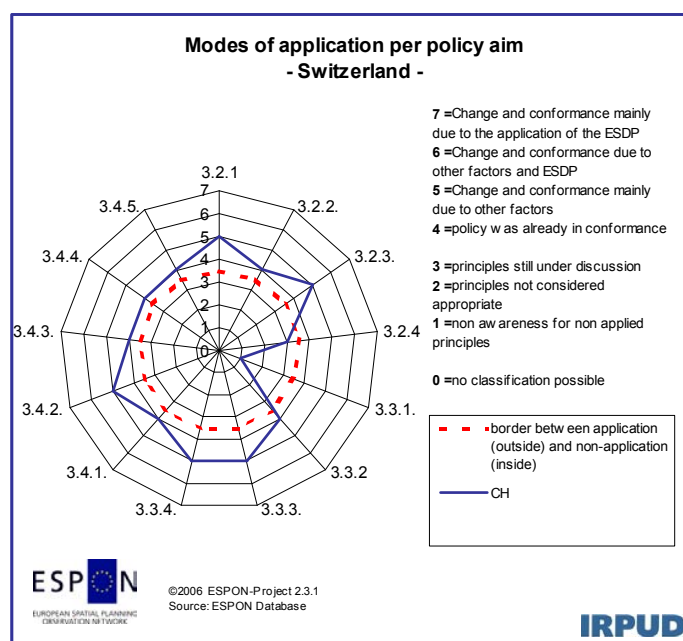
Hungary and Slovenia are (together with Slovakia) the only new member states with assessments in the highest quality class of “application due to the ESDP” (cf. figure 38). Apart from that Slovenia shows a very positive level of application of ESDP principles, being one of the six states (and one of three New Member states) with all policy aims applied explicitly. Hungary in contrary draws a mainly positive picture, but touches nearly all modes of application and non-application (with six different selected classes the most heterogeneous country in the EU).

Figure 39 - Modes of application per policy aim (Bulgaria and Romania)



Though not being part of the EU (yet), Bulgaria and Romania do quite well in applying ESDP policy aims (cf. figure 39). What is instantly visible is the fact that in Romania all policy aims are either already explicitly applied or still under discussion. With the whole policy guideline 3.3 "Parity of access to infrastructure and knowledge" being still under discussion Romania is the most strongly "discussing" country together with Malta and Italy. This is insofar positive as the respective policy aims may be applied explicitly in the end. Bulgaria has assessed all policy aims as "application" with a mixture of implicit and explicit application.

Figure 40 - Modes of application per policy aim (Switzerland)



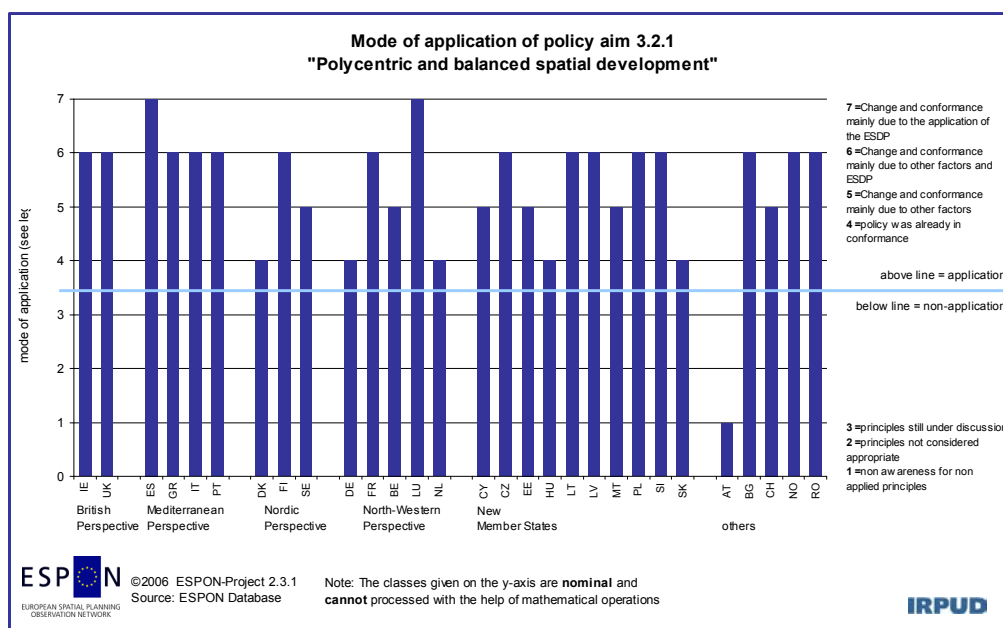
As non EU member state Switzerland is not integrated in one of the European planning perspectives. Switzerland draws a heterogeneous picture, but most assessments are in the range of implicit application of ESDP policy aims. It is one out of six countries with more than one negative assessment (HU and LV: 2, RO: 4, IT: 5, MT: 9) (cf. figure 40).

3.2 ESDP policy aims across countries

For figure 13 and figure 14 we have aggregated countries and policy aims to analyse the application of ESDP policy guidelines per individual item. The same can be done for each policy aim by looking at the mode of application at national level and aggregated for different regions (cf. figure 41 to figure 53).

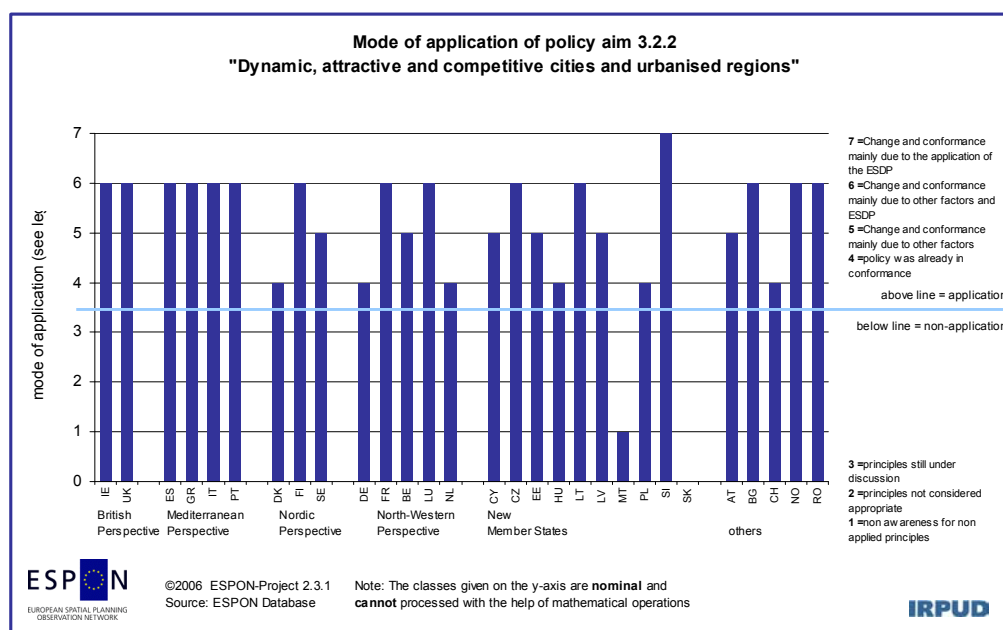
There are two policy aims with all countries in the range of application and three policy aims with all but one country in the range of application. Policy aim 3.2.1 belongs to the latter group and thus shows a high degree of application (cf. figure 41). Apart from that, policy aim 3.2.1 has the highest number (17 countries) of "explicit" application, i.e. national experts assessed that change in national policies happened explicitly or partly to meet ESDP requirements. Policy guidelines 3.2.2 and 3.3.2 also show high numbers in this respect (15 countries respectively), all other aims were applied implicitly. It is instantly visible, that all countries of the British and the Mediterranean perspective show "explicit application", while the other perspectives consist of a mixture of implicit and explicit application. Summarising, polycentric and balanced spatial development seems to be well accepted as part of the ESDP in the analysed countries.

Figure 41 - Mode of application of policy aim 3.2.1



Policy aim 3.2.2 also shows a high degree of application in general and a high degree of explicit application (cf. figure 42). National experts for ten countries assess "explicit application", the second highest value in the survey. As for policy aim 3.2.1 and 3.4.2, all but one country are in the range of application. As for policy aim 3.2.1, the British and the Mediterranean perspective have all countries in the range of explicit application.

Figure 42 - Mode of application of policy aim 3.2.2



Policy aim 3.2.3 regards indigenous development of diverse and productive rural areas. It seems to be well established in the ESPON countries even *before* the ESDP was adopted in 1999 as most countries assess implicit application. It is one out of six aims with no country assessing "change and conformance due to the application of the ESDP" (cf. figure 43). None of the European planning perspectives is completely in the range of explicit application, most countries apply the policy guidelines of the ESDP implicitly. However the Mediterranean perspective shows as very well degree of explicit application.

Policy aim 3.2.3 has the second highest number of non-application countries (three countries; the same value as for 3.3.2 and 3.4.4.).

Figure 43 - Mode of application of policy aim 3.2.3

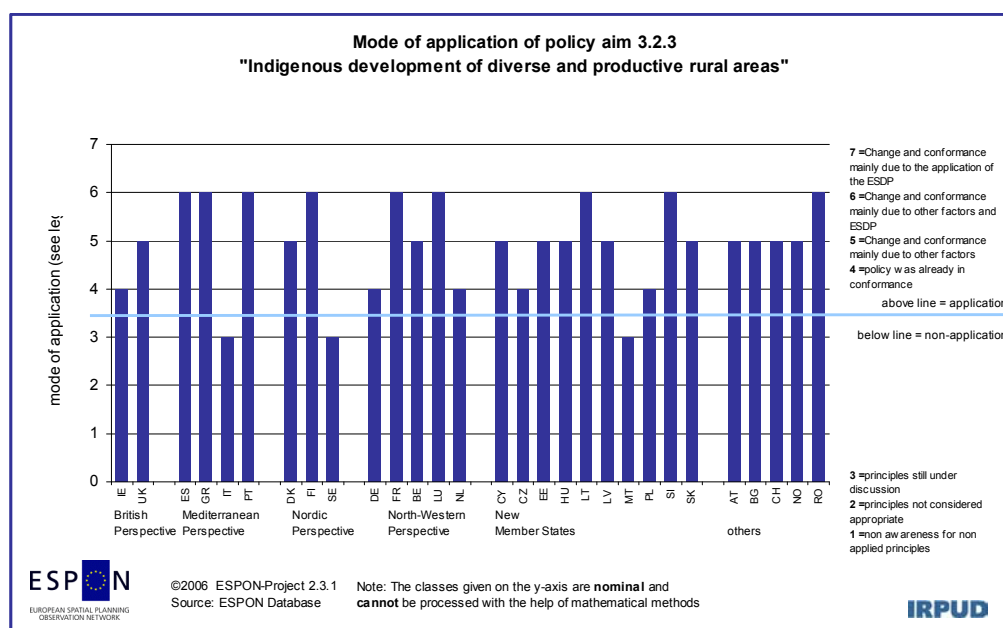
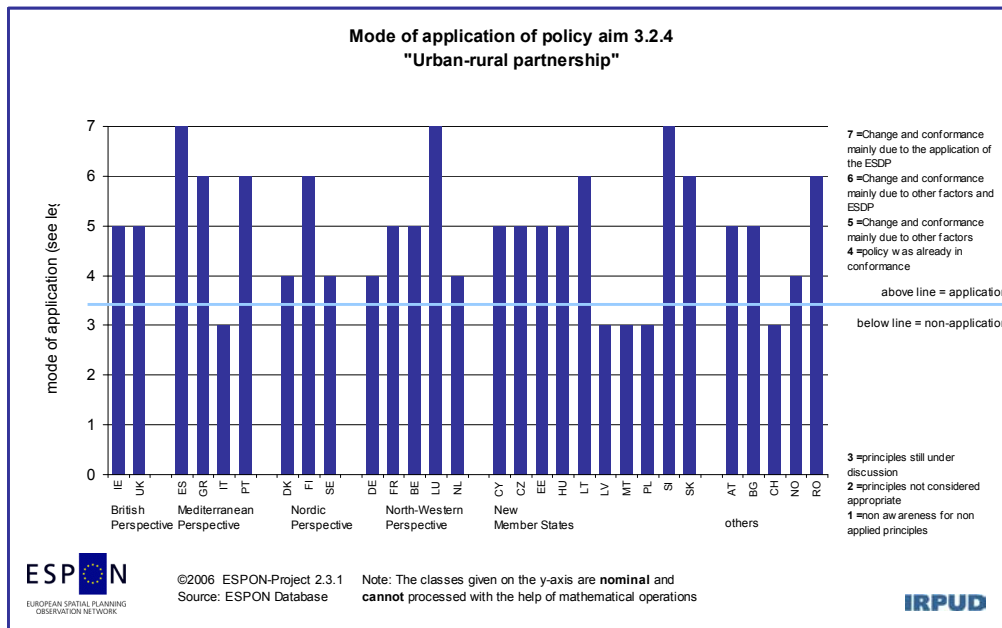
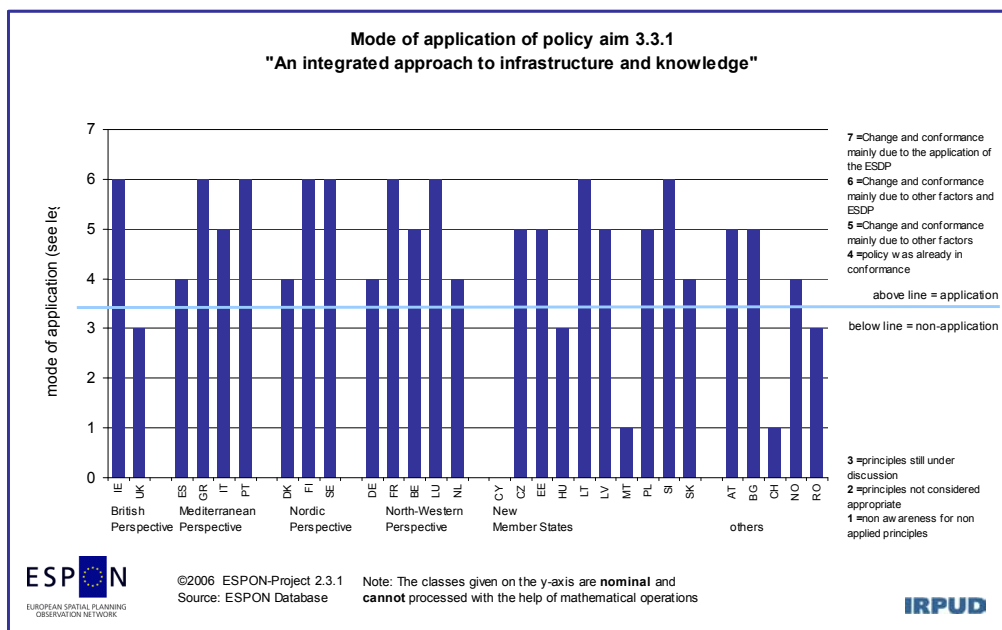


Figure 44 - Mode of application of policy aim 3.2.4



Policy aim 3.2.4 "urban-rural partnership" polarises the ESPON countries (cf. figure 44). The policy aim is both holding the highest number of countries assessing "change and conformance mainly due to the application of the ESDP" (three countries) *and* the highest number of countries assessing non-application (five countries, together with policy aim 3.3.4). Consequently, it is one of the three aims with the lowest degree of application of a policy aim (cf. figure 11). As all cases of non-application are "still under discussion", this opens promising opportunities for a potentially positive assessment in the near future. It also suggests that the issue of urban-rural partnership was introduced primarily by the ESDP and has not historical roots in the countries.

Figure 45 - Mode of application of policy aim 3.3.1

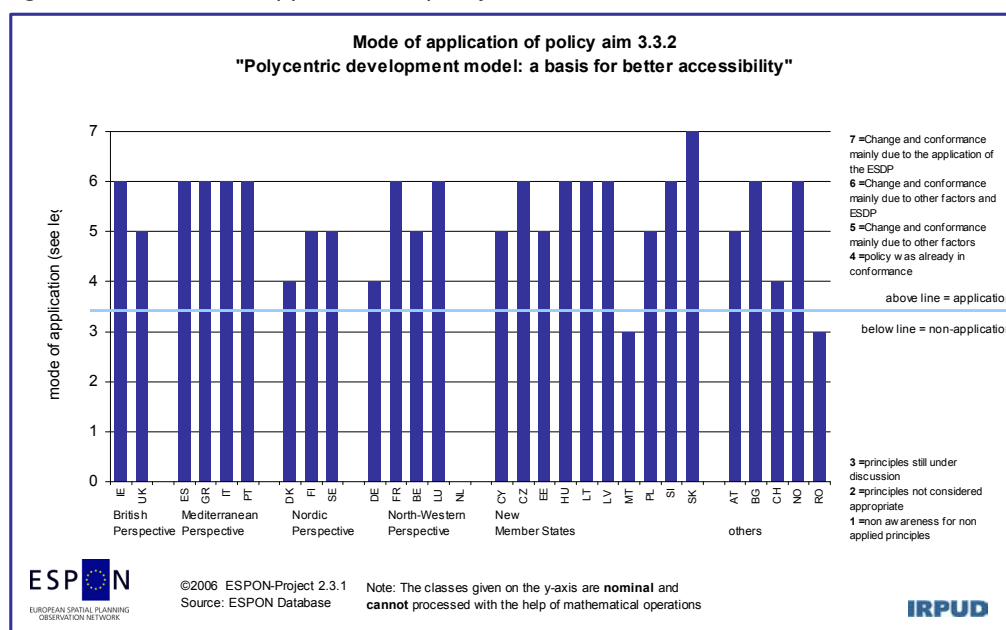


Policy aim 3.3.1 opens policy guideline 3.3 “parity of access to infrastructure and knowledge” which is applied to a lesser degree to the ESPON countries than the other policy guidelines (cf. figure 11). Figure 45 illustrates this as it shows the highest number of countries (five cases) stating non-application (together with policy aim 3.2.4 and 3.3.4). What is remarkable, is the fact that two countries observe no awareness of the national policy at all for the issue (the highest value in this class together with policy aim 3.4.4).

On the application side, all European planning perspectives and the new member states draw a mixed picture, with some explicitly applying countries and some implicitly applying countries. Apart from its being mixed the “integrated approach to infrastructure and knowledge” is not characterised by a clear line.

The existence of the ESDP has had major impact in applying the “polycentric development model” to national policies in the ESPON countries. Policy aim 3.3.2 is one of the three policy aims (together with 3.2.1 and 3.2.2) with the highest number of cases of explicit application (cf. figure 46). As under policy guideline 3.2, the Mediterranean perspective does very well regarding explicit application, and so do the new member states. The missing bar above “NL” means that no assessment was possible.

Figure 46 - Mode of application of policy aim 3.3.2



Efficient and sustainable use of the infrastructure (policy aim 3.3.3) is a policy aim mainly judged as applied according implicitly (cf. figure 47). Together with policy aim 3.3.4 and 3.4.4. it is in fact the policy aim with the highest number of implicit application cases. With three cases of non-application, policy aim 3.3.3 is also one of the five countries with the highest number of non application.

The Mediterranean perspective is again very strong in explicit application. Only for Italy non-application is frequently assessed, while all other apply the principle due to the existence of the ESDP.

Figure 47 - Mode of application of policy aim 3.3.3

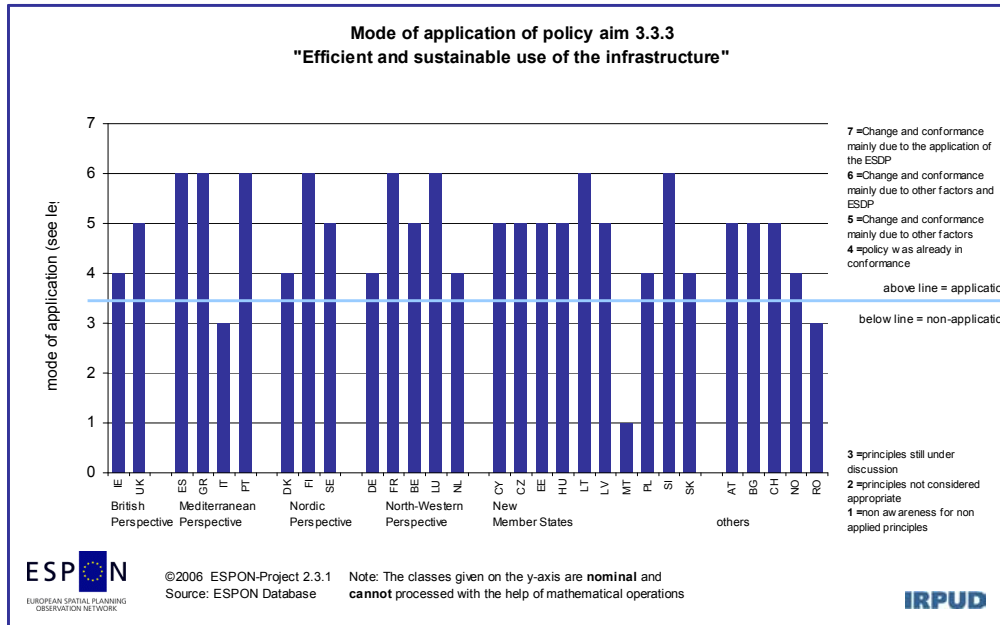
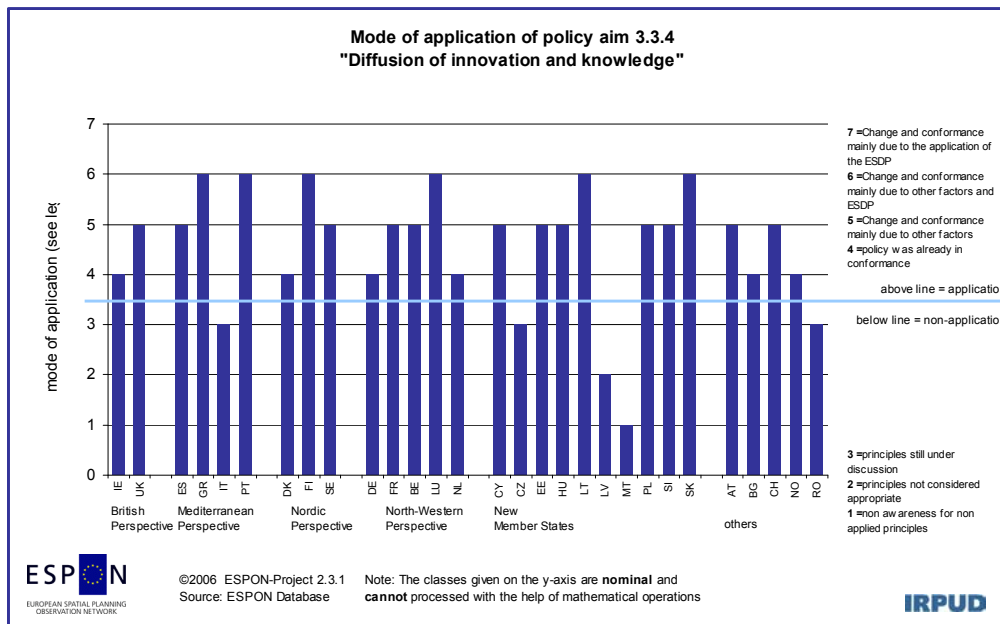


Figure 48 - Mode of application of policy aim 3.3.4



Policy aim 3.3.4 has the lowest number of countries (only six) stating explicit application (cf. figure 48). Accordingly it is one out of three policy aims with the weakest degree of application (cf. figure 11). "Diffusion of innovation and knowledge" seems to be especially hard to convert into national policy in the new member states where three out of the five cases of non-application can be found. Consequently, the EU 15 states as a whole do better than the new member states. The Mediterranean

It is interesting to note that half of EU 15 countries judged partly explicit application ("change and conformance due to other factors *and* ESDP") and conformance even before the ESDP was adopted respectively. This mixture applies to all European planning perspectives. In the new member states application "due to other factors" prevails. It is plausible to assume that for many EU 15 countries preserving the natural heritage is a historically established policy aim and was thus not influenced by the adoption of the ESDP.

Figure 50 - Mode of application of policy aim 3.4.2

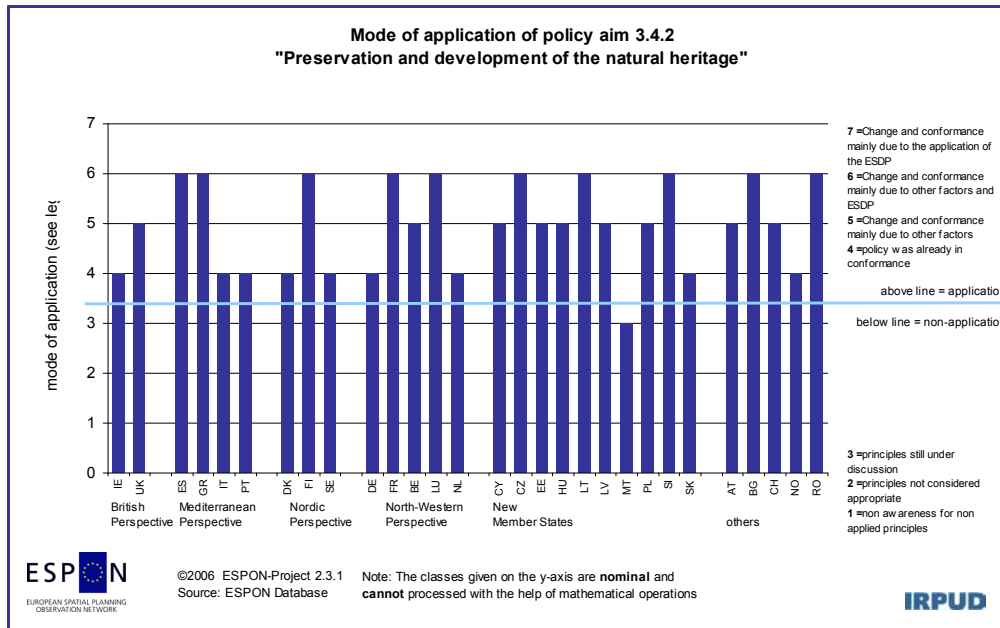
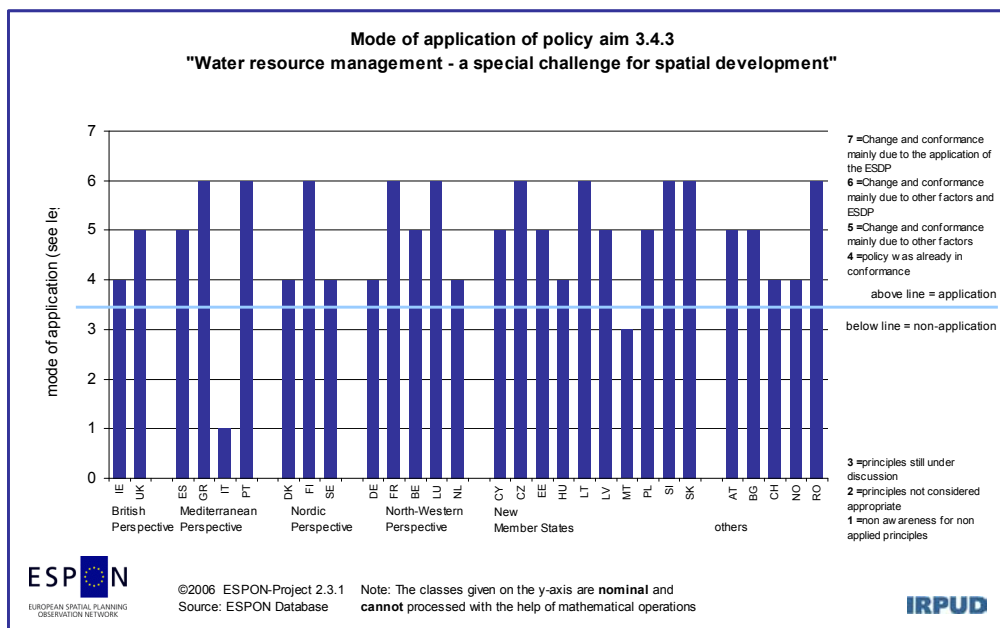


Figure 51 - Mode of application of policy aim 3.4.3

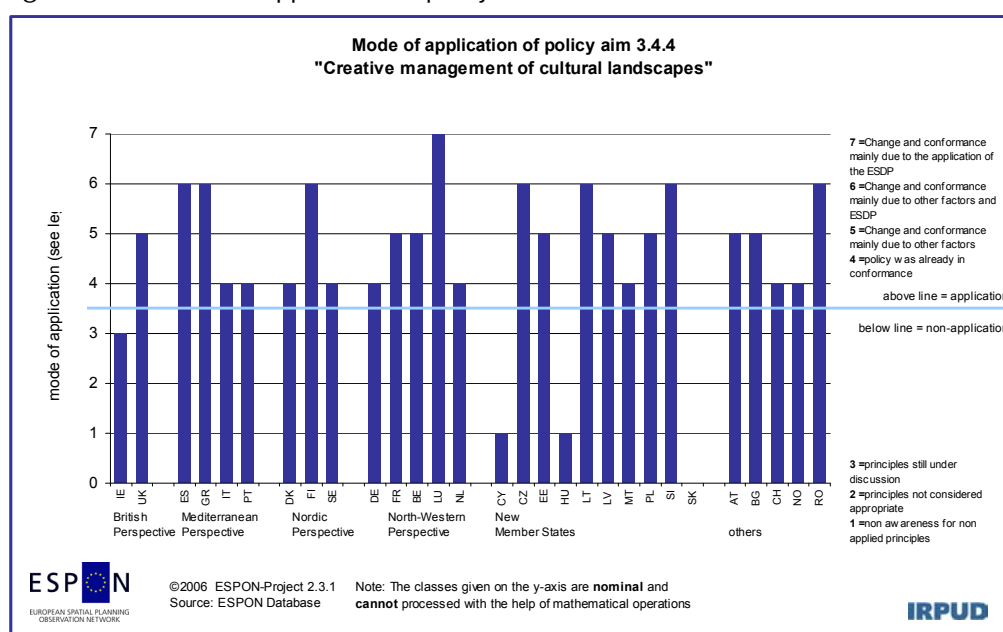


Policy aim 3.4.3 deals with water resource management. All European planning perspectives and the new member states show a mixture of

implicit and explicit application, but implicit application prevails (cf. figure 51). The Mediterranean perspective and the new member states have a stronger orientation towards explicit application though both groups contain one case of non-application.

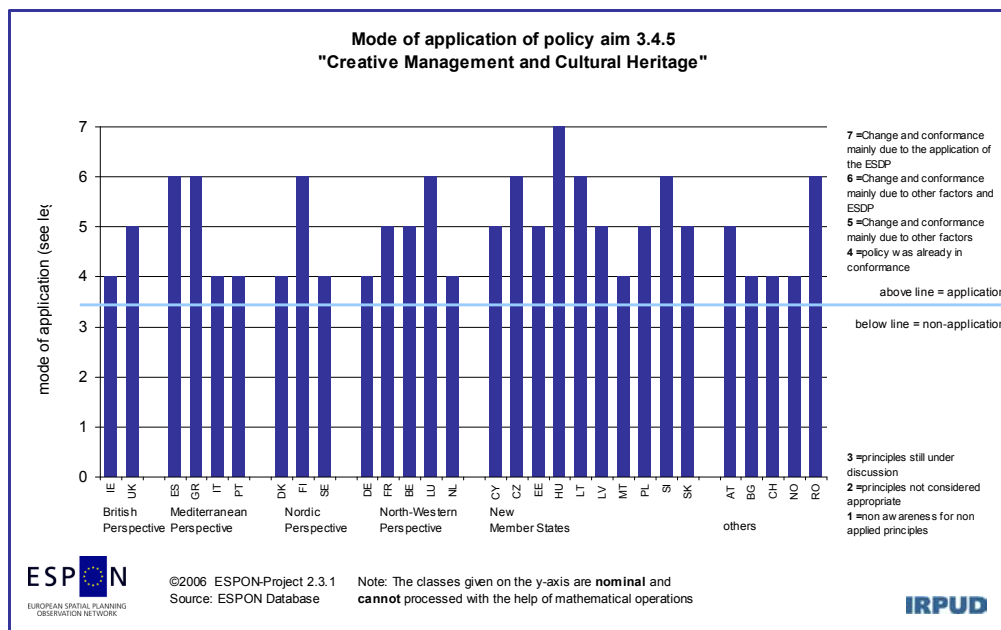
One of the weakest policy aims regarding explicit application is policy aim 3.4.4 "creative management of cultural landscapes" (cf. figure 52). Only eight country state explicit application (other implicit application dominated policy aims: 3.3.3 and 3.3.4). It is also obvious that a relatively high number of countries state non-application (one out of the six lowest level applied policy aims). Thus, there is no "consensus" on implicit application as for other policy aims in guideline 3.4. In contrary, creative management of cultural landscape seems to be a difficult issue from the point of view of national policies. Furthermore, this policy aim is the weakest in guideline 3.4. All European planning perspectives but the British have at least one country in the range of explicit application, the Mediterranean perspective does very well in this respect.

Figure 52 - Mode of application of policy aim 3.4.4



With 20 countries in the range of implicit application, policy aim 3.4.5 "Creative management and cultural heritage" has the highest amount of countries in stating *implicit* application (cf. figure 53). It is the same mode of "consensus" as for policy aim 3.4.1 and consequently a field of policy that is historically well considered. Simultaneously it is one out of only two aims (also together with policy aim 3.4.1) with all countries within the range of application. All European planning perspectives but the British have at least one country in the range of explicit application, the Mediterranean perspective and the New Member states do rather well in this respect.

Figure 53 - Mode of application of policy aim 3.4.5



4 Conclusions

It has become visible that there is a very strong tendency towards the *application* of ESDP policy aims .

Policy guideline 3.4 has the highest degree of application – drawing mainly on the constant level of strong implicit application in most subsequent policy aims.

Policy guideline 3.2 shows the highest numbers regarding explicit application - but it also shows the highest degree of polarity, though explicit application dominates.

Policy guideline 3.3. is judged weaker than the two others.

When looking at the European planning perspectives, the Mediterranean Perspective was frequently named as the one with a strong tendency towards explicit application. At the same time, the Mediterranean perspective seems to be contradictory as it is the perspective with the weakest overall degree of application of ESDP principles among the EU 15 countries. But this is mainly due to five non-application assessments of the same country (IT), while the rest of the perspective is entirely in the range of application.

All other perspectives also show a high average level of explicit application.

The North-Western perspective has the highest overall degree of application in the whole sample.

The new member states are characterised by both, peaks of non-application on the one hand and peaks of explicit application on the other.

Part 4 ESDP Web Based Questionnaire

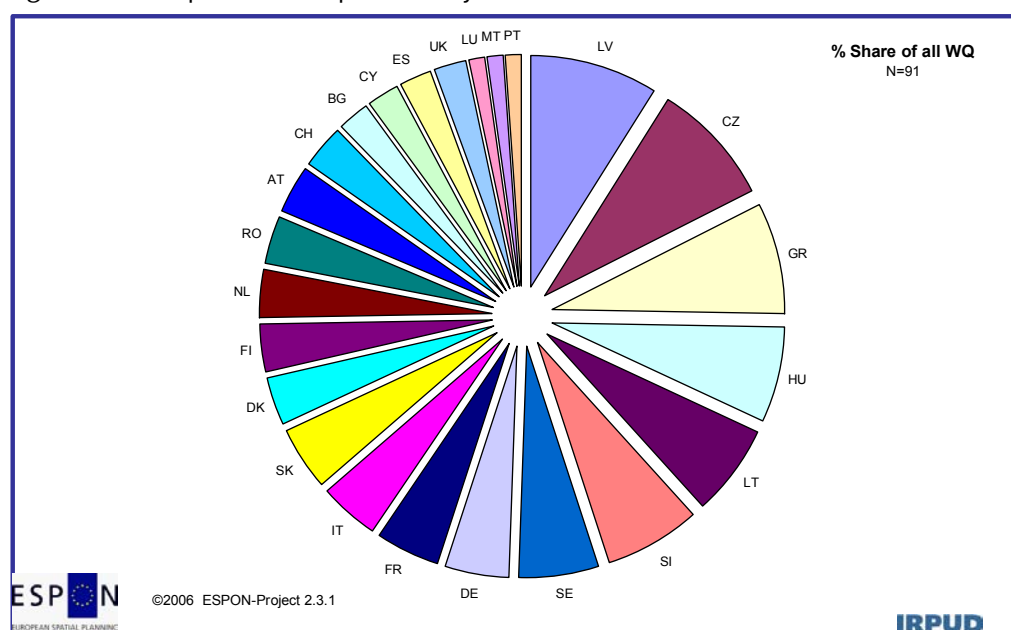
1. Introduction

Before presenting the results of the Web based Questionnaire (hence WQ) in detail, a general word of precaution needs to be stated here. The following passages frequently speak about 'application' of aspects related to the ESDP, especially regarding policy aims and options set out in the ESDP document. This has not to be confused with the 'application' of the ESDP as such.

Rather, what becomes obvious is a degree of conformance or non-conformance with specific aims and options, promoted by the ESDP but also by other discussions in the professional field.

As the data and indicator problem was obvious from the beginning of the project, IRPUD and the project team discussed therefore how appropriate the application of a web based questionnaire (WQ) and 'numeric parts' in national overviews or case studies would be (p. 211, FIR). A decision was finally made about it and IRPUD designed the tool (see figure 55).

Figure 54 - Representation per Country



244 experts are included in the control file for the survey, of which about 218 experts are external to the project. Not all national experts of the

project team were able to identify a matching set of external experts. The questionnaire has been tested before putting it on the web. For someone working in the field of spatial development, all answers should have been reasonably accessible, down to a straight forward rejection of listed categories or items.

107 experts submitted their WQ. This results in a return quota of almost 50%. 24 out of 29 countries are represented in the WQ (see Figure). In terms of countries, Belgium, Estonia, Ireland, Poland and Norway are missing. On average and over all seventeen questions, 84% of all WQ provided answers⁹.

In what follows, the complete results for the WQ will be presented. The results will be represented question by question, occasionally grouped according to overarching topics.

Figure 55 - Web based Questionnaire

The figure displays two screenshots of a web-based questionnaire interface for ESPON Project 2.3.1. The interface is shown in a Microsoft Internet Explorer browser window.

Top Screenshot (Page 4):

- Status:** Logged in, Last login: 16.09.2005, 15:06:35
- Progress:** 0 (indicated by a progress bar)
- Options:** Discard & Logout | Save & Logout | Submit & Logout (2)
- Question 9:** Does the influence of the ESDP vary within the nation/state?
 - Yes/No: yes no
 - If yes, how?
 - NUTS0: strong moderate little
 - NUTS1: strong moderate little
 - NUTS2: strong moderate little
 - NUTS3: strong moderate little
 - LAU1: strong moderate little
 - LAU2: strong moderate little
- Question 10:** Assess the awareness of the ESDP contents among professionals at the different levels (2 = good knowledge about the whole document, 1 = some awareness to 0 = total unawareness).
 - National Level:
 - Regional Level:
 - Local Level:
- Buttons:** Clear, Enter

Bottom Screenshot (Page 1):

- Status:** Logged in, Last login: 16.09.2005, 15:06:35
- Progress:** 0
- Options:** Discard & Logout | Save & Logout | Submit & Logout (2)
- Question 1:**
 - a) How many ~~action~~ planning levels exist in your country? (2)
 - b) On which level is the main planning competence located?
 - NUTS0 N1 N2 N3 LAU1 LAU2 (?)
- Question 2:** Please rate the position of spatial planning versus sector policies.
 - weak neutral strong (7)
- Question 3:** How would you rate the general attitude towards the ESDP in your professional field?
 - negative neutral positive (2)
- Question 4:** Please rank the level where the application of the ESDP has been most relevant (only consider applicable levels)? (1 = least important to 6 = most important)
 - NUTS0: N1: N2: N3: LAU1: LAU2: (2)
- Buttons:** Clear, Enter

ESPN Project 2.3.1 - Web-based questionnaire - Microsoft Internet Explorer

Status: Logged in Last login: 16.09.2005, 15:06:35

Progress: 0 1 2 3 4 5 6 7 8 9

Options: [Discard & Logout](#) | [Save & Logout](#) | [Submit & Logout \(2\)](#)

11. Please, rank the means of application according to their importance for the application of the ESPD in your country (1 = the least important to 6 = the most important or 0 = no importance).

Tampere ESPD Action-Programme	Rank
Cross-border co-operation	6
Transnational co-operation	5
Structural Funds	2
Urban Exchange Initiative	1
Other means	1

Clear Enter

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ESPN Project 2.3.1 - Web-based questionnaire - Microsoft Internet Explorer

Status: Logged in Last login: 16.09.2005, 15:06:35

Progress: 0 1 2 3 4 5 6 7 8 9

Options: [Discard & Logout](#) | [Save & Logout](#) | [Submit & Logout \(2\)](#)

5. a) Were the objectives or goals of the national planning system, organisation and programme consistent with the ESPD before the publication of the ESPD? yes no (1)

b) Were the objectives or goals of the national planning system, organisation and programmes moving in the general direction of those of the ESPD before the publication of the ESPD? yes no (1)

6. Please rank the different sectors on each NUTS level in terms of their importance for the application of the ESPD (only consider applicable levels). (1 = least important to 4 = most important)

NUTS	Spatial Planning	Regional Policy	Transport	Other
N0	4	3	2	
N1	4	3	2	
N2	4	3	2	
N3	3	4	2	
LAU1				
LAU2				

Clear Enter

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ESPN Project 2.3.1 - Web-based questionnaire - Microsoft Internet Explorer

Status: Logged in Last login: 16.09.2005, 15:06:35

Progress: 0 1 2 3 4 5 6 7 8 9

Options: [Discard & Logout](#) | [Save & Logout](#) | [Submit & Logout \(2\)](#)

12. Cross-border and transnational co-operation (Interreg and other)

a) Have local cross-border cooperation and arrangements concerning spatial development for cities and regions in the country been affected by the ESPD? yes no

b) Have joint planning agencies, joint plans, and joint committees for cross border cooperation come into being since the beginning of the ESPD process? yes no

c) Have local transnational and cooperation arrangements concerning spatial development for cities and regions in the country been affected by the ESPD? yes no

d) Have joint planning agencies, joint plans, and joint committees for transnational cooperation come into being since the beginning of the ESPD process? yes no

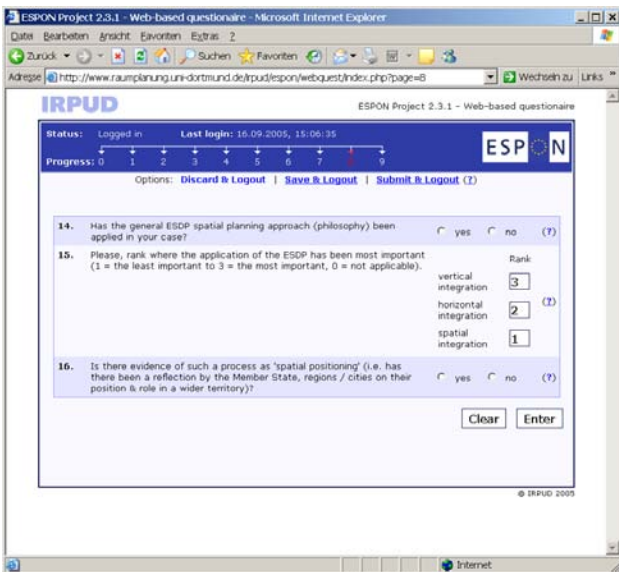
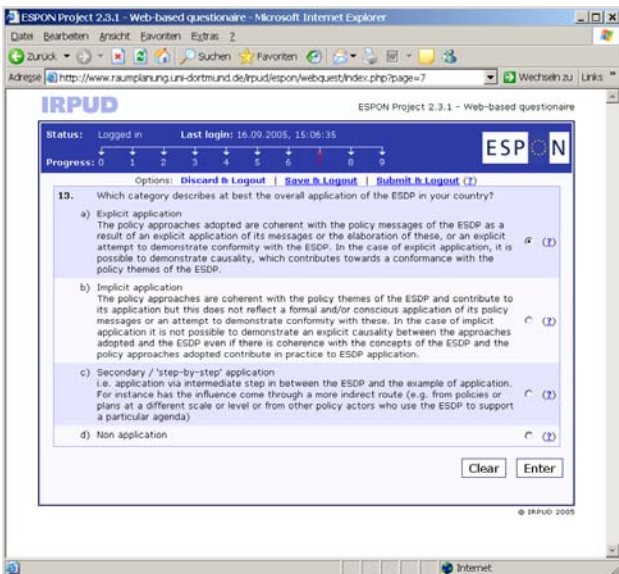
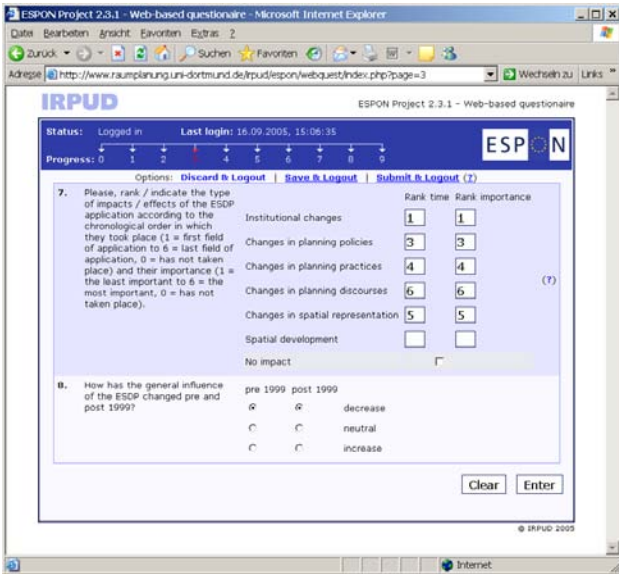
e) Have the Structural Funds programmes played a role for the ESPD application in your country? yes no

f) Has the Urban exchange initiative (1998-2000) had any influence/impact on the ESPD application in your country? yes no

g) Indicate whether other means have been used for applying the ESPD. yes no

Clear Enter

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ESDP policy aims	Application			Non application		
	Change & conformance mainly due to the application of the ESDP	Change & conformance due to ESDP and other factors	Change & conformance due to other factors	No change as policy was already in conformity with ESDP	No change and / or conformance as issue / policy still under discussion	No change and / or conformance as the issue / policy is not considered appropriate
Polycentric & Balanced Spatial Development in the UE (3.2.1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dynamic, Attractive & Competitive Cities & Urbanised Regions (3.2.2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Indigenous Development, Diverse and productive Rural Areas (3.2.3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

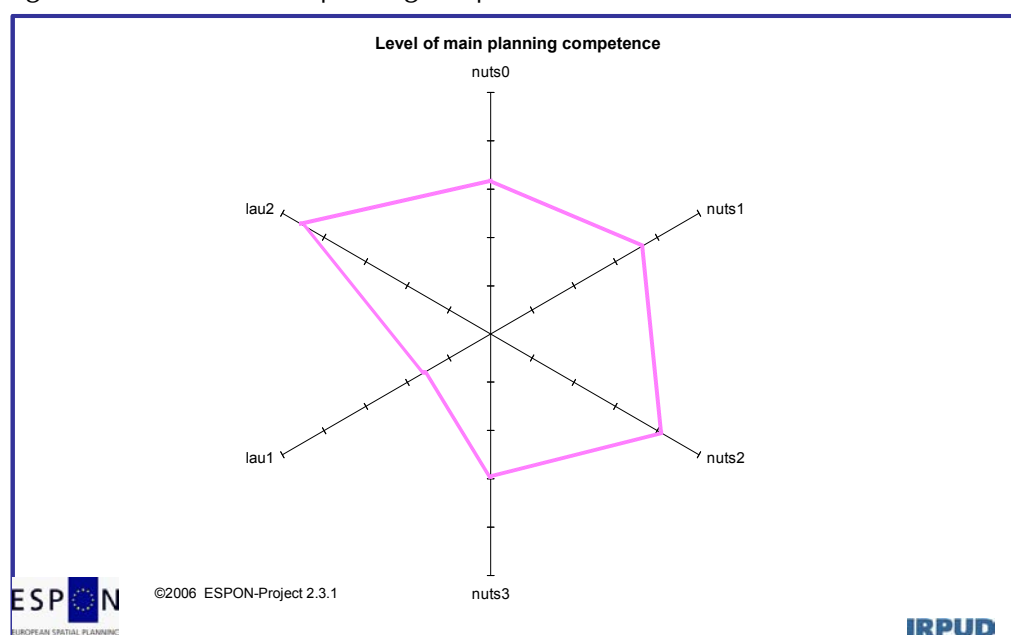
2. Institutional setting

Q1a and Q1b can be interpreted as capturing the existing institutional structure in which respondents work and see the ESDP as embedded or interacting with. Figure 56 can be used to identify this aspect of the institutional setting¹⁰.

(Q1a) The majority of WQ provides an assessment on the background of a planning system with three active tiers.

(Q1b) Figure demonstrates that LAU2 holds the main planning competence, followed by NUTS2 and NUTS3.

Figure 56 - Level of main planning competence



Overall, the institutional setting in which the ESDP operates is therefore one, which is dominated by three-tier-systems, with a strong competence

on the level of local communities (LAU2), and with a complementary regional layer at NUTS3, NUTS2 level.

(Q2) Another aspect of the institutional structure is reflected in the level of influence, which planning has in the overall system of territorially relevant policies. 47% of all WQ see the position of spatial planning vs. sector planning as 'weak'. 34% speak of a 'neutral' position. Only 19% see a strong position for spatial planning.

3. ESDP

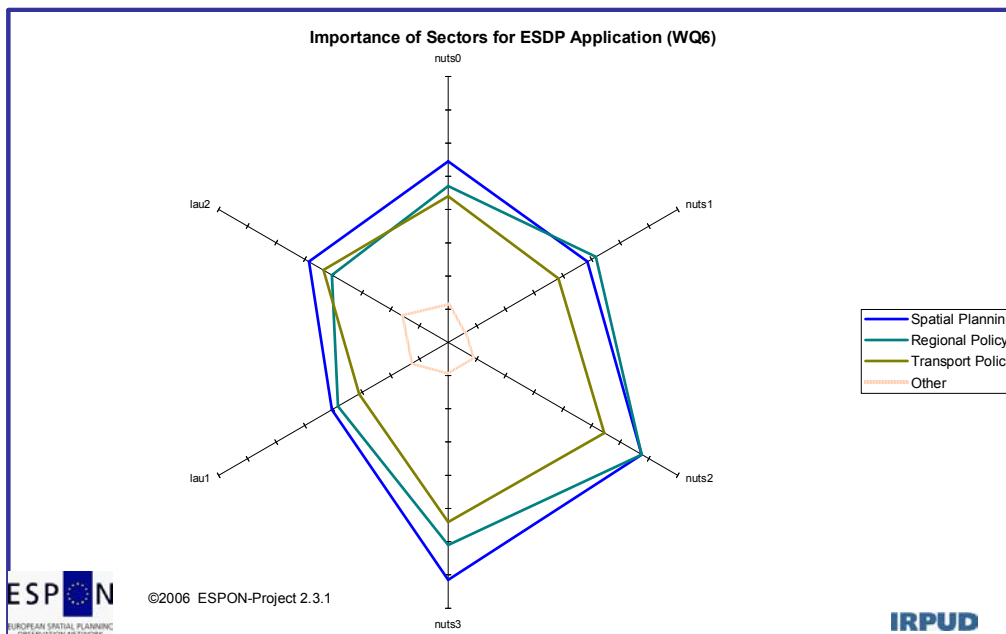
(Q3) When it comes to an assessment of the attitude regarding the ESDP, 52% of all answers detect a 'positive' attitude and 45% choose a 'neutral' attitude. Only 3% of respondents see a 'negative' attitude.

(Q5a) Regarding the development over time, 60% of respondents see national planning systems (and the goals and objectives built into these) as consistent before the publication of the ESDP. However, 40% see it as non-consistent.

(Q5b) Objectives and goals as moving into the direction expressed by the ESDP was seen by 80% of all answers.

Both indicate a high consistency with ESDP, but a consistency existing mostly before the final version of the ESDP.

Figure 57 - Importance of Sectors for ESDP Application



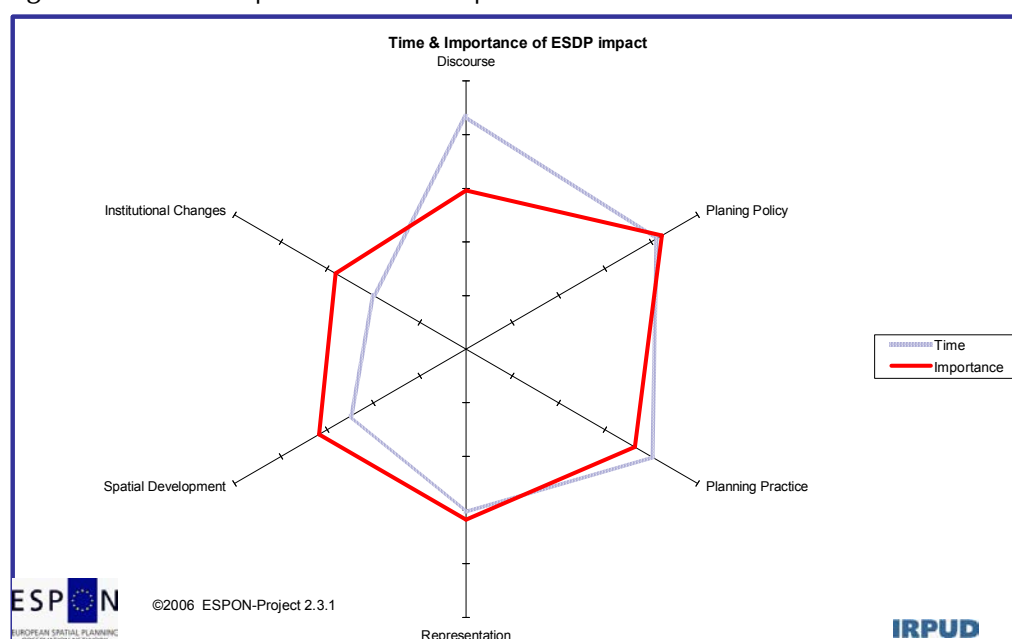
(Q6) What can be seen in Figure is the assessment of the importance of the different sectors for the application of the ESDP according to different NUTS levels ¹¹.

The strongest impact per policy sector is expected on NUTS3 and NUTS2 levels. In order of the ranking, Spatial Policy precedes in importance Regional Policy and Transport Policy.

The application of the ESDP via sector policies seems to be less important at NUTS1 level and the levels LAU1 and LAU2.

Regarding the policy sectors, as can be expected spatial planning is considered more important than regional policy or transport policy. The latter two frequently change ranks. On NUTS1 level, regional policy slightly overtakes the importance of spatial planning.

Figure 58 - ESDP impact - Time and Importance



(Q7a and Q7b) The answers regarding the time of impact and the importance of the impact are quite consistent: 85% identify a timing of the impact. 89% clearly identify an impact! (see figure 58)

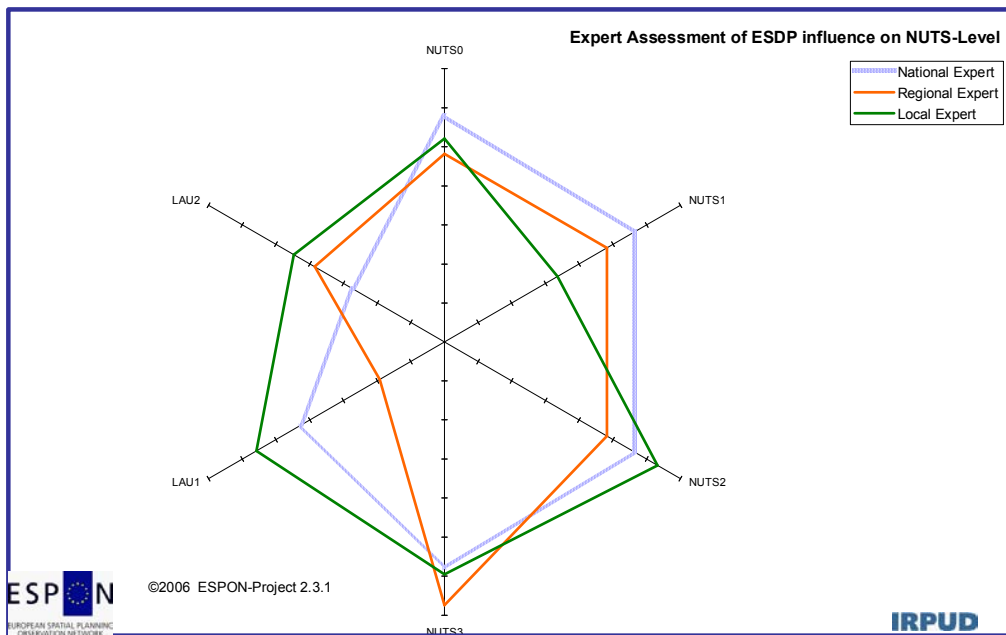
With respect to the time of the impact, changes in planning discourse were seen as first, closely followed by changes in planning policies and changes in planning practice. Changes in spatial representation and spatial development follow with a clear distance.

With respect to the importance of the impact, changes in planning policy are considered most important, followed by changes in planning practice. The dimensions 'discourse', 'representation', and 'spatial development' follow with a distance.

This assessment is however open for interpretation. The importance for changes can be valued being 'high' precisely to achieve changes in favour of the ESDP. It does not imply that changes actually happened in the respective fields.

(Q8) The timing of the impact was addressed in a second question, using the presentation of the ESDP in 1999 as a point of reference. The situation before 1999 has mainly been characterized as a neutral assessment. After 1999 the importance of the ESDP is clearly increasing. However, taking other results of ESPON 2.3.1 reports into account, at the moment the attractiveness of the ESDP seems to be quite low.

Figure 59 - ESDP influence - most important Level



(Q9) What can be seen from above figure 59 is the assessment of the territorial level, which is considered mainly influenced by the ESDP. In addition, the figure differentiates between the level for which the expert works¹².

The 'national' experts locate the dominating level between NUTS0 and NUTS3. The local levels follow with a clear distance.

The 'regional' experts locate the main importance at NUTS3 level. Here, NUTS0-NUTS2, and LAU1 and LAU2 follow with a distance.

'Local' experts generally see the groups as being closer together and locate the NUTS1 level at a lower scale.

It needs to be said, that NUTS definitions e.g. in terms of addressed administrative levels vary between countries. Therefore, a direct relation to specific territorial levels can not be made here.

From the perspective of NUTS levels, NUTS3 and NUTS2 seem to be mainly influenced by the ESDP, also pointing to a clear impact at 'regional' or sub-national level.

(Q10) There is a correspondence between the most important level with respect to ESDP influence and the awareness of actors. Out of all answers, 43% see the national level, 31% the regional, and 26% the local level as well informed. When looking at the different scores the national level scores highest having a 'good knowledge' about the whole document. At the regional level 'some awareness' is mainly detected. 'Total unawareness' characterises the local level. The ESDP clearly has to be communicated with the local level.

(Q11) In terms of 'means' to apply the ESDP, i.e. the range of instruments from Tampere Action Programme to Urban Exchange Initiative and other initiatives, the following can be found in the WQ: With respect to importance (cumulated scores) the Structural Funds lead (25%), over 'transnational' (23.3%) and cross border (23%) cooperation. Each of the

before are about 10 percent points away from urban exchange initiative, tampere action programme, and other means. Between 'transnational' and 'cross border' consists the highest correlation (none with SF though). (see Figure)

Figure 60 - ESDP and means of application

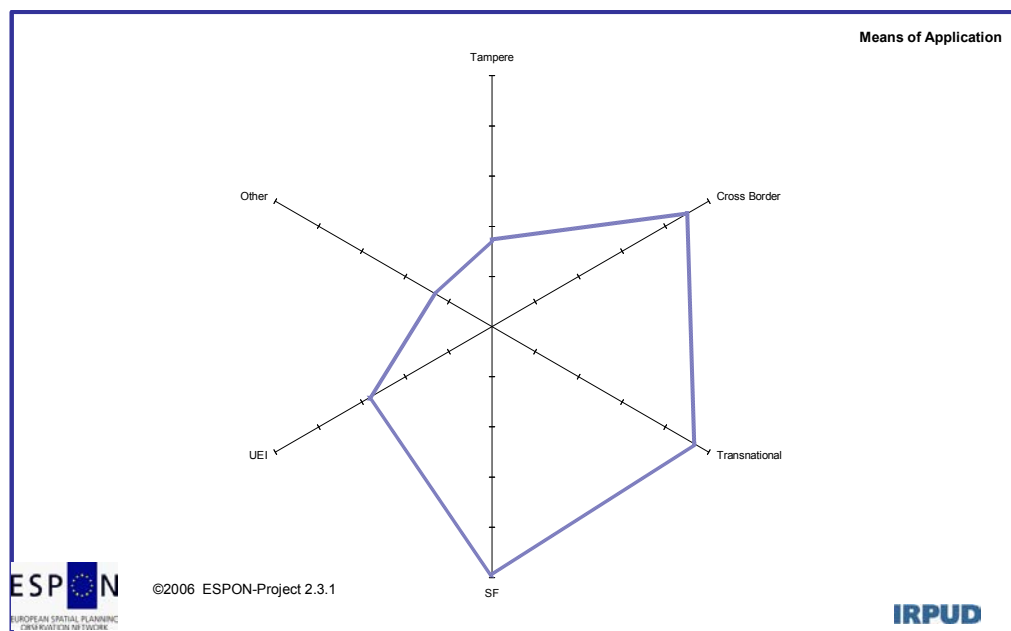


Figure 61 - Cross-border and transnational co-operation

IRPUD ESPON Project 2.3.1 - Web-based questionnaire

Status: Logged in Last login: 16.09.2005, 15:06:35

Progress: 0 1 2 3 4 5 6 7 8 9

Options: [Discard & Logout](#) | [Save & Logout](#) | [Submit & Logout \(?\)](#)

12. Cross-border and transnational co-operation (Interreg and other)

a) Have local cross-border cooperation and arrangements concerning spatial development for cities and regions in the country been affected by the ESDP? yes no

b) Have joint planning agencies, joint plans, and joint committees for cross border cooperation come into being since the beginning of the ESDP process? yes no

c) Have local transnational and cooperation arrangements concerning spatial development for cities and regions in the country been affected by the ESDP? yes no

d) Have joint planning agencies, joint plans, and joint committees for transnational cooperation come into being since the beginning of the ESDP process? yes no

e) Have the Structural Funds programmes played a role for the ESDP application in your country? yes no

f) Has the Urban exchange initiative (1998-2000) had any influence/impact on the ESDP application in your country? yes no

g) Indicate whether other means have been used for applying the ESDP. yes no

(Q12) The WQ tried to find out more about the relation between cross border & transnational cooperation and various real changes in local institutional structures or the practice of cooperation in border regions. Given the relative high importance of both aspects as expressed in Q11, it is not surprising that also with respect to Q12 both forms lead to high results. In particular answers a) & c) and b) & d) (see Figure) correlate much.

4. Application of the ESDP

(Q13) Regarding the overall application, the WQ shows a rather implicit or secondary pattern. Explicit application was seen by only 10% of WQ as given. Non-application was seen in less than 10% of the WQ.

(Q14) The 'philosophy' of the ESDP is clearly seen as being 'applied', as can be seen from slightly more than two thirds of all answers to this question. (Q15) Regarding the different further elements, the answer is less clear: All aspects from vertical integration, to horizontal integration, and spatial integration can be considered as equal in weight.

5. Policy Aims

One general result in advance, generated from the 91 completed WQ: 78% of the WQ indicate that policy aims have been applied. 22% of all WQ do see the non-application case prevail.

As can be seen from figure 62 for the 'application'-cases, the majority falls into categories 2 & 3 (39% and 38% respectively). This implies that 'change and conformance' are rather due the ESDP in combination with other factors. Out of all 'application' cases, only 2% at all see the application of principles explicitly due to the ESDP!

As can be seen from figure 63 the majority of 'non-application' answers falls into category 5 (56%), i.e. issues are still under discussion. About 10% of all answers see the policy aim as 'not appropriate'. Slightly more than 30% of all answers identify a 'lack of awareness of the ESDP'.

From figure 62 and figure 63 the following can be interpreted: The dominant mode of applying the principles outlined in the ESDP is rather indirect in nature. What can also be derived is that there is scope to influence the obviously ongoing discussion about policy aims (figure 63, score 5).

Figure 62 - Application of Policy Aims (Frequency of Scores)

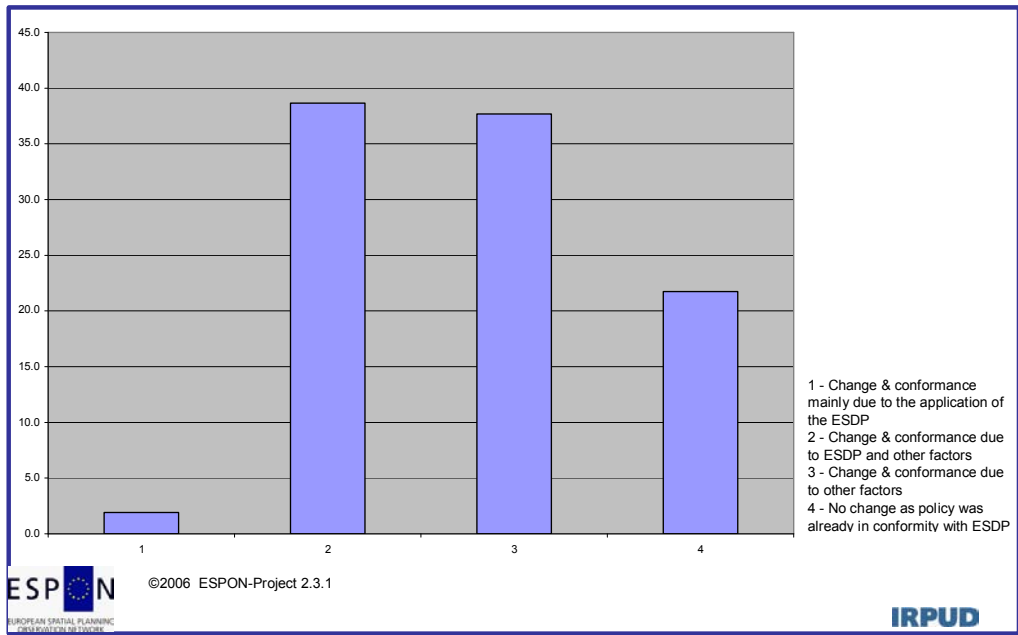


Figure 63 - Non-Application of Policy Aims (Frequency of Scores)

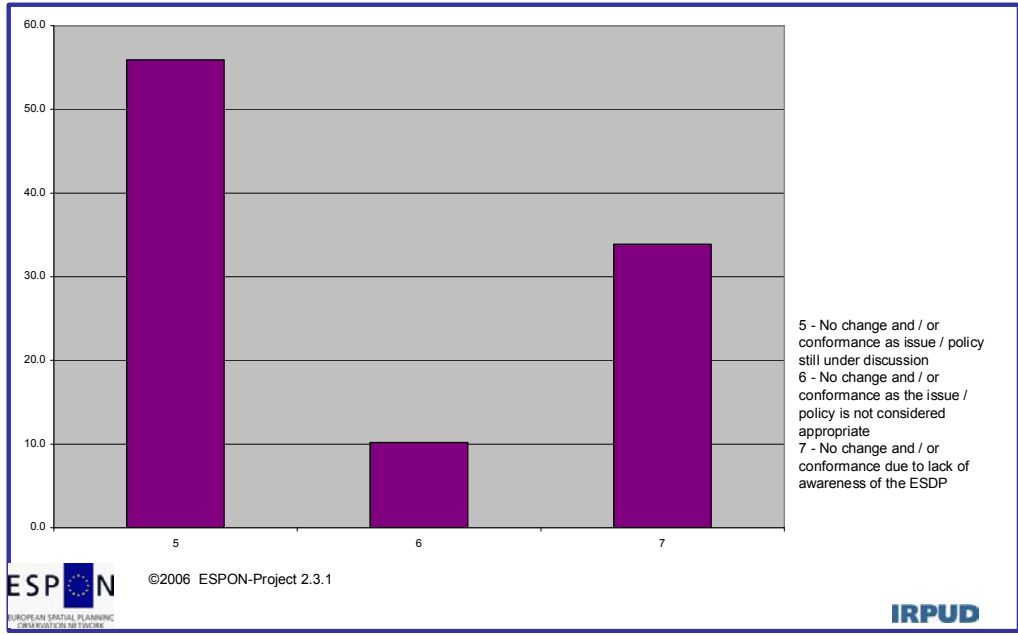


Figure 64 - Policy Aims (Application scores against mean value, MV=100)

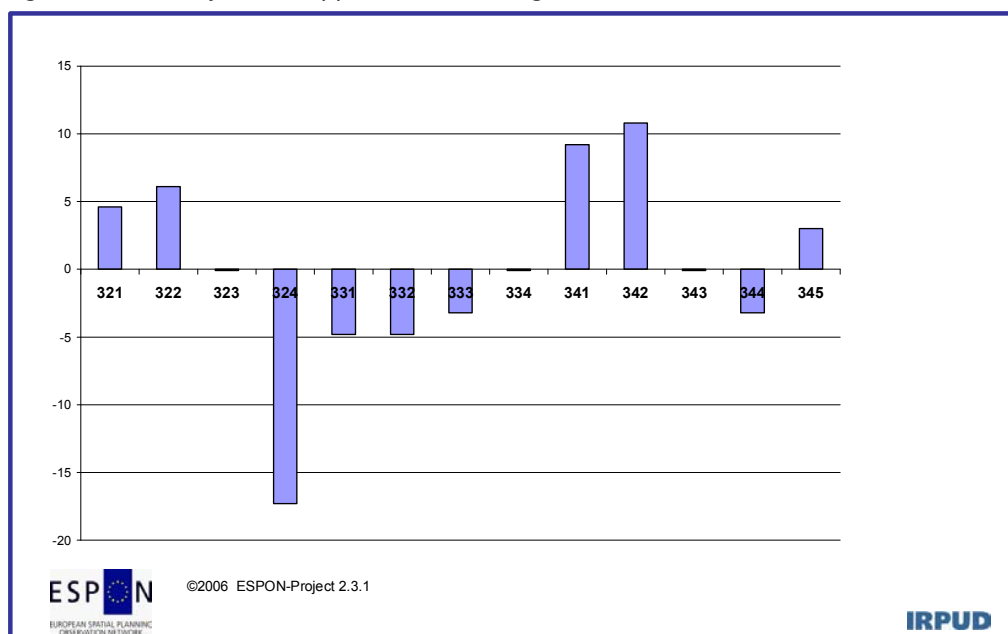


Figure 64 shows the different scoring for all policy aims when compared against the mean value (equalling 100).

A positive difference points to a higher degree of application, i.e. a larger number of answers falls into scores 1-4. This applies to policy aims 3.2.1, 3.2.2, 3.4.1, 3.4.2, 3.4.5. Policy aims 3.4.1 (Natural and Cultural Heritage as a Development asset) and 3.4.2 (Preservation & Development of the Natural Heritage) are seen as clearly more applied.

A negative difference points towards a lower degree of application, i.e. fewer answers have been placed under scores 1-4. This assessment is visible for policy aims 3.2.3, 3.2.4, 3.3.1, 3.3.2, 3.3.3, 3.3.4, 3.4.3, 3.4.4. In particular policy aims 3.2.4 (Urban-Rural Partnership) seems to receive a less positive assessment in terms of 'application'.

Figure 65 shows further information for all non-application cases. It is the mirror image of figure 66 and provides a rather consistent picture in this respect.

Policy aim 3.2.4 (Urban-Rural Partnership) predominantly falls into the non-application category.

Figure 65 - Policy Aims (Non-application scores against mean value, MV=100)

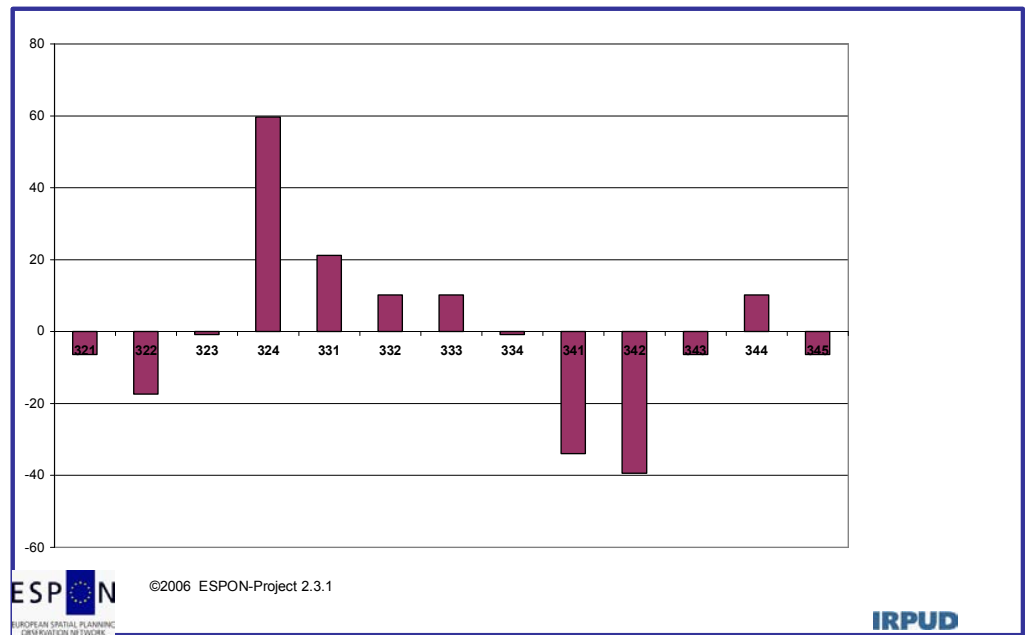
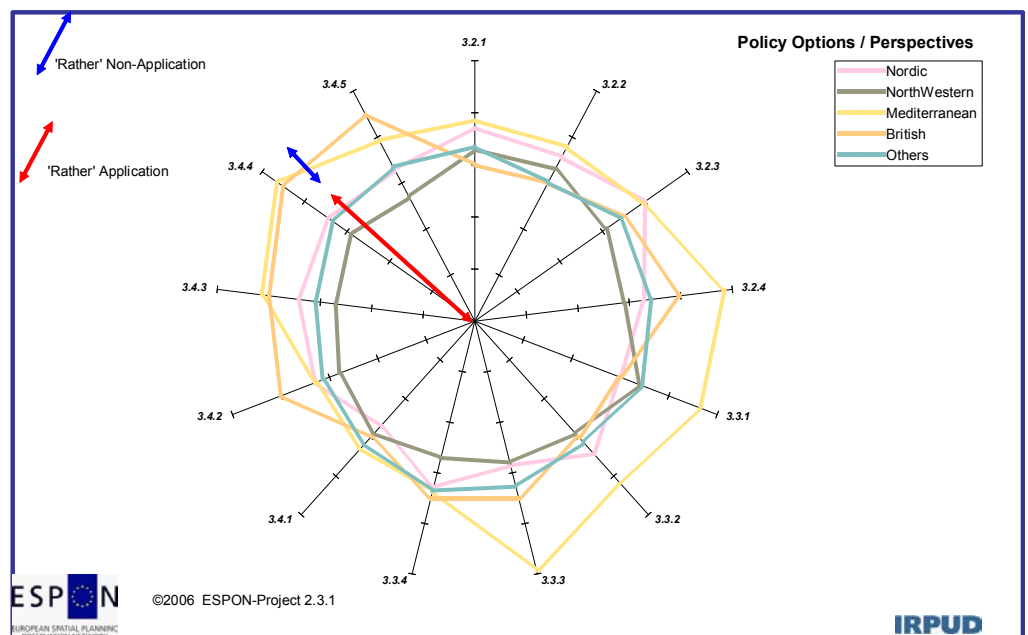


Figure 66 charts the policy aims per country perspectives ¹³. An interpretation according to country perspectives can only be done when accepting distinct limitations ¹⁴:

The Nordic, North-Western-Perspective, and the group of 'Other'-countries rather tend to 'apply' all policy aims. But, as has been said before, the way of application falls into category 2, i.e. 'Change & conformance due to ESDP and other factors'.

Figure 66 - Country Groups (Perspectives) and Policy Aims



The other two perspectives, i.e. the Mediterranean, British, are different in that respect that for some of the policy aims answer category 4 has been chosen, i.e. 'no change as policy *was already in conformity* with ESDP'.

When looking at specific policy aims, this assessment applies in particular for policy aims (cf.

Table)

- 3.2.4, 3.3.1, 3.3.2, 3.3.3, 3.4.3, 3.4.4, 3.4.5 for the Mediterranean, and
- 3.4.3, 3.4.4 and 3.4.5 in the British case.

Table 13 - Policy Aims

ESDP policy option policy aims
3.2.1 Polycentric and balanced spatial development
3.2.2 Dynamic, attractive and competitive cities and urbanised regions
3.2.3 Indigenous development of diverse and productive rural areas
3.2.4 Urban-rural partnership
3.3.1 an integrated approach to infrastructure and knowledge
3.3.2 Polycentric development model: a basis for better accessibility
3.3.3 efficient and sustainable use of the infrastructure
3.3.4 Diffusion of innovation and knowledge
3.4.1 natural and cultural development as development asset
3.4.2 Preservation and development of the natural heritage
3.4.3. water resource management - a special challenge for spatial development
3.4.4 Creative management of cultural landscapes
3.4.5 Creative Management and Cultural Heritage

6. Conclusions

From the assessment provided by over 100 experts in the Web based Questionnaire the following can be concluded regarding 'impacts' of the ESDP:

Overall it is obvious that national planning rather is in 'conformity' with the ESDP and that the case of an explicit application is a rare occurrence. A straight forward 'non-application' is however also not the case.

The majority of experts rather have a positive attitude towards the ESDP and even see national planning goals and objectives as moving into the direction of the ESDP. Especially for all open debates about planning objectives this seems to create a window of influence for the ESDP. This was re-emphasised from the time-perspective, as the main influence was seen in shaping discourses and the wider planning policy.

The ESDP clearly operates in three-tier-systems, centred on the level of local communities (in terms of strongest competence regarding planning). The regional tier complements this system. Planning is still considered weak vs. sector policies. But particularly the coordination between sector policies and planning is central for the application of aims and objectives expressed in the ESDP – at best on the regional level.

It is no surprise, that the best knowledge about the ESDP can be seen at the national level of experts. The ESDP needs to be much more communicated with regional and especially local levels.

Part 5: Maps on ESDP policy aim application

Map 1 - Assessment of the Conformance of ESDP policy aim "Polycentric and balanced spatial development"

Assessment of the conformance of ESDP policy aim 'Polycentric and balanced spatial development'



Assessment of the conformance (3.2.1)

Source: ESPON 2.3.1 National Reports

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

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

Map 2 - Assessment of the Conformance of ESDP policy aim "Dynamic, attractive and competitive cities and urbanised regions"

**Assessment of the conformance of ESDP policy aim
'Dynamic, attractive and competitive cities and urbanised regions'**



Source: ESPON 2.3.1 National Reports

Assessment of the conformance (3.2.2)

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

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

Map 3 - Assessment of the Conformance of ESDP policy aim "Indigenous development of diverse and productive rural areas"

**Assessment of the conformance of ESDP policy aim
'Indigenous development of diverse and productive rural areas'**



Assessment of the conformance (3.2.3)

Source: ESPON 2.3.1 National Reports

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

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

Map 4 - Assessment of the Conformance of ESDP policy aim "Urban-rural partnership"

Assessment of the conformance of ESDP policy aim 'Urban-rural partnership'



Assessment of the conformance (3.2.4)

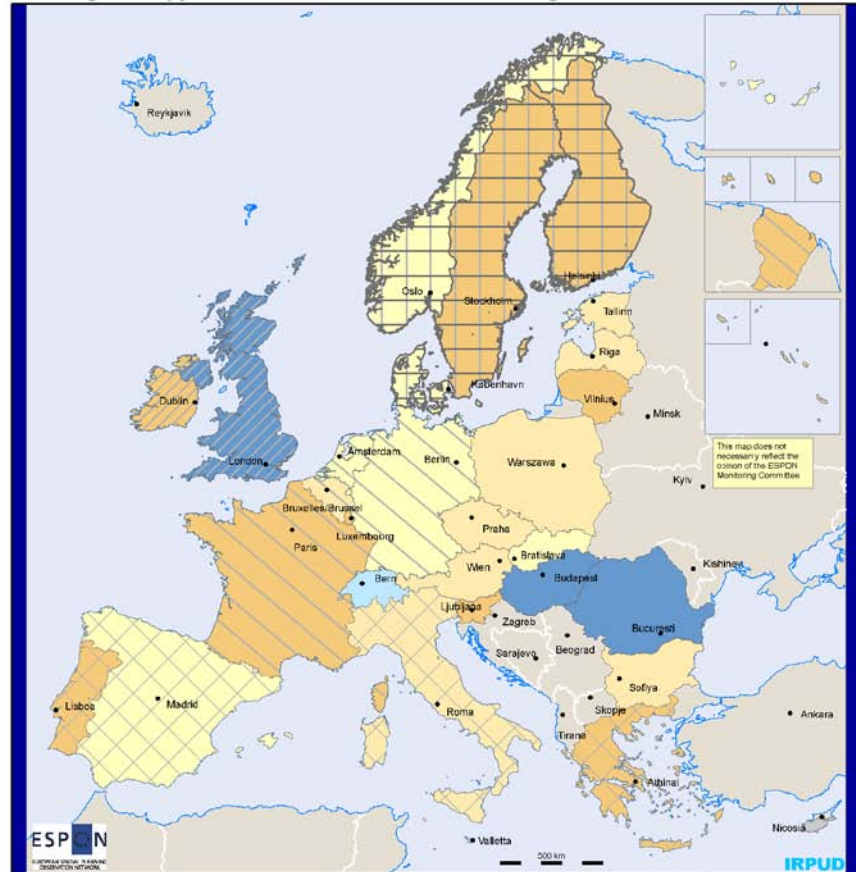
Source: ESPON 2.3.1 National Reports

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

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

Map 5 - Assessment of the Conformance of ESDP policy aim "an integrated approach to infrastructure and knowledge"

**Assessment of the conformance of ESDP policy aim
'An integrated approach to infrastructure and knowledge'**



Assessment of the conformance (3.3.1)

Source: ESPON 2.3.1 National Reports

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

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

Map 6 - Assessment of the Conformance of ESDP policy aim "Polycentric development model: a basis for better accessibility"

**Assessment of the conformance of ESDP policy aim
'Polycentric development model: a basis for better accessibility'**



Assessment of the conformance (3.3.2)

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

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

Source: ESPON 2.3.1 National Reports

Map 7 - Assessment of the Conformance of ESDP policy aim "efficient and sustainable use of the infrastructure"

Assessment of the conformance of ESDP policy aim 'Efficient and sustainable use of the infrastructure'



Assessment of the conformance (3.3.3)

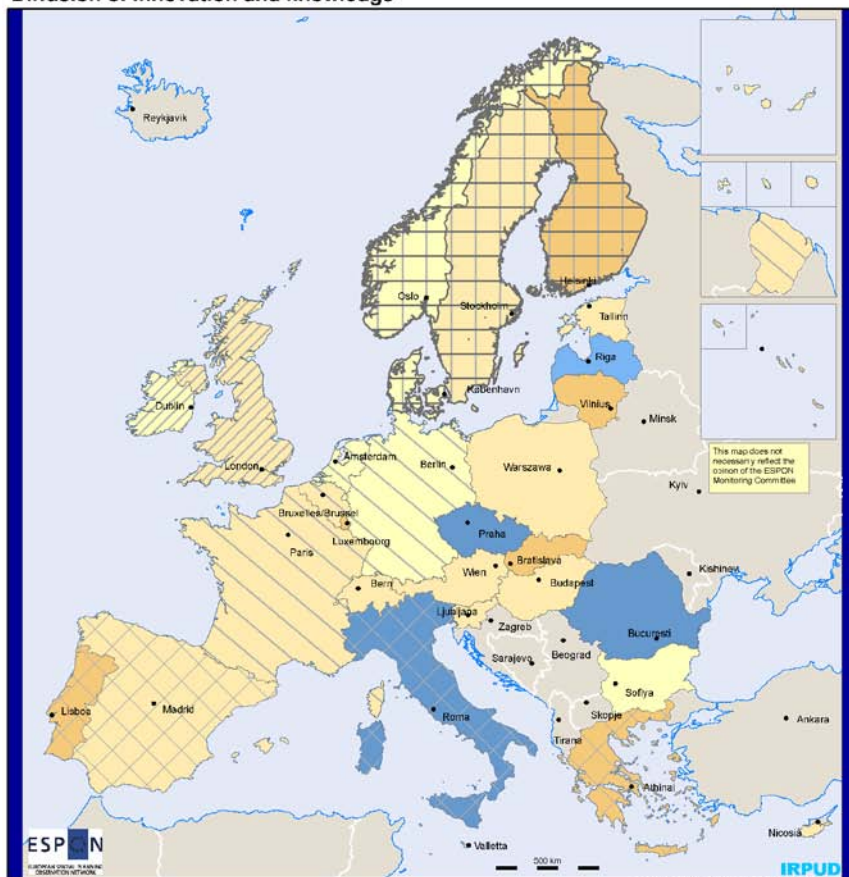
Source: ESPON 2.3.1 National Reports

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

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

Map 8 - Assessment of the Conformance of ESDP policy aim "Diffusion of innovation and knowledge"

Assessment of the conformance of ESDP policy aim 'Diffusion of innovation and knowledge'



Assessment of the conformance (3.3.4)

Source: ESPON 2.3.1 National Reports

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

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

Map 9 - Assessment of the Conformance of ESDP policy aim "natural and cultural development as development asset"

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



Assessment of the conformance (3.4.1)

Source: ESPON 2.3.1 National Reports

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

Map 10 - Assessment of the Conformance of ESDP policy aim "Preservation and development of the natural heritage"

Assessment of the conformance of ESDP policy aim 'Preservation and development of the natural heritage'



Assessment of the conformance (3.4.2)

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

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

Source: ESPON 2.3.1 National Reports

Map 11 - Assessment of the Conformance of ESDP policy aim "water resource management - a special challenge for spatial development"

**Assessment of the conformance of ESDP policy aim
'Water resource management - a special challenge for spatial development'**



Assessment of the conformance (3.4.3)

Source: ESPON 2.3.1 National Reports

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

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

Map 12 - Assessment of the Conformance of ESDP policy aim "Creative management of cultural landscapes"

Assessment of the conformance of ESDP policy aim 'Creative management of cultural landscapes'



Assessment of the conformance (3.4.4)

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

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

Source: ESPON 2.3.1 National Reports

Map 13 - Assessment of the Conformance of ESDP policy aim "Creative Management and Cultural Heritage"

Assessment of the conformance of ESDP policy aim 'Creative management and cultural heritage'



Assessment of the conformance (3.4.5)

Source: ESPON 2.3.1 National Reports

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

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

Part 6: Annex

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Endnotes

- ¹ The guideline average was calculated as weighted average, considering the number of policy options for each policy aim, i.e. a policy aim with 6 principles was considered with the double weight of policy aim with 3 options. In the above case, the weighted average differs from the arithmetic average by 1%. Empty cells were ignored.
- ² The weight of a single vote may differ as some countries were unable to assess all ESDP policy guidelines (four guidelines received 28 votes, the other nine received 29). The sum of all assessments was set as 100%, irrespective of the number votes.
- ³ For technical reasons, the following numbers are no longer weighted by the number of policy options per policy aim, i.e., the guideline average differs from that in table 17 by 1%.
- ⁴ Please note that the number of assessments in this figure can be very low as only policy aims assessed as application are considered: MT n=4, IT n=8, RO n=9, for all other countries n=11-13.
- ⁵ For the typology of explicit and implicit application of ESDP policy options also see ESPON 2.3.1 FIR, pp. 191-192.
- ⁶ This is due to a change order of countries, as the Mediterranean perspective exclusively contains countries from the Napoleonic family, but leaves out countries not supporting this motive.
- ⁷ As Luxemburg changes from the Napoleonic family to the North-Western perspective, the motive "Change and conformance mainly due to the application of the ESDP" is relevant for 6% of the North-Western perspective application options.
- ⁸ Denmark also states that it already has high conformity before the ESPD has been released. This must be seen with caution as the Danish sample is incomplete.
- ⁹ The number of assessable answers per main question varied from 6 to 91 answers, which explains the pre-caution. The WQ results partly from 'small numbers', which make an assessment only possible in terms of description of tendencies and features.
- ¹⁰ Again, the information is based on 91 WQ which have been completed by the same number of experts coming from 23 countries. The information can only be used as the complete set. A differentiation according to countries is due to small size of the sample not possible.
- ¹¹ Percentage share of all answers (weighted). % of all answers per NUTS/LAU level:
NUTS0 - 16 NUTS1 - 13 NUTS2 - 19 NUTS3 - 20 LAU1 - 14 LAU2 - 17
- ¹² Experts were labelled according to their self assessment. (24) experts at the 'national' level; (17) experts at the 'regional' level; (11) experts at the 'local' level. Scores have been enhanced to proliferate the differences. Dimension: %-share of all answers, which agree that a regional differentiation of impact is observable.
- ¹³ The calculation is based on simple addition of categories and division by number of nominations. Therefore, the metric scale has been supplanted by the two arrows, indicating the application or non-application range.
- ¹⁴ This interpretation is based on rather few values per group of countries (cf. Figure). E.g. the British perspective is based on only two WQ.