ESPON ARTS Workshop for the Committee of Regions

Presentation of the ESPON ARTS TIA quick check

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The use of the TIA quick check at the COR-workshop

The standardised TIA quick check, which had been developed within the ESPON ARTS project, was presented at a workshop for the Committee of Regions (hereinafter referred to as: CoR) in September 2013 in Brussels.

Basis and starting point of the workshop was the regulation establishing a framework on market access to port services and financial transparency of ports [COM(2013) 296 final][1]. The regulation deals with challenges such as sub-optimal port services and operations as well as port governance frameworks and is already in operation. Therefore, the general aim of the workshop had been an ex-post assessment of the regulation.

The following documentation illustrates a summary of the workshop results and the application of the TIA quick check in the field of the regulation. The presentation, providing an introduction into the ESPON ARTS project, its methodology and into the topic of the workshop, is available in the annex.

The following elaborations are reflecting the statements and discussions of the participating stakeholders, which came up. Generally, the document strictly follows the structure of the TIA quick check documentation standard.

In general, the opinions of the participating stakeholders were rather critical towards the regulation on port services. The findings of the TIA quick check and this report therefore reflect only these opinions and are solely based on the elaborations during the workshop.

(0) Some comments beforehand

The participants discussed, that the issue of storage – as one main service of ports – is not targeted in the regulation at all[2]. Due to the economic importance of storage, this constitutes a major weakness of the regulation on port services. This means that some rather fundamental objections vis-à-vis the scope of the regulation have been put forward, which cannot be fully captured by a TIA quick-check and would be subject to a broader policy discussion.

(1) The conceptual model: How does a policy influence the development of regions?

In a first step, it was necessary to detect the potential effects of the regulation. The experts and participating stakeholder have drawn a conceptual model that translates the text of the regulation into cause/effect relations (the intervention logic). Not only intended effects, but also unintended and indirect effects have been considered.

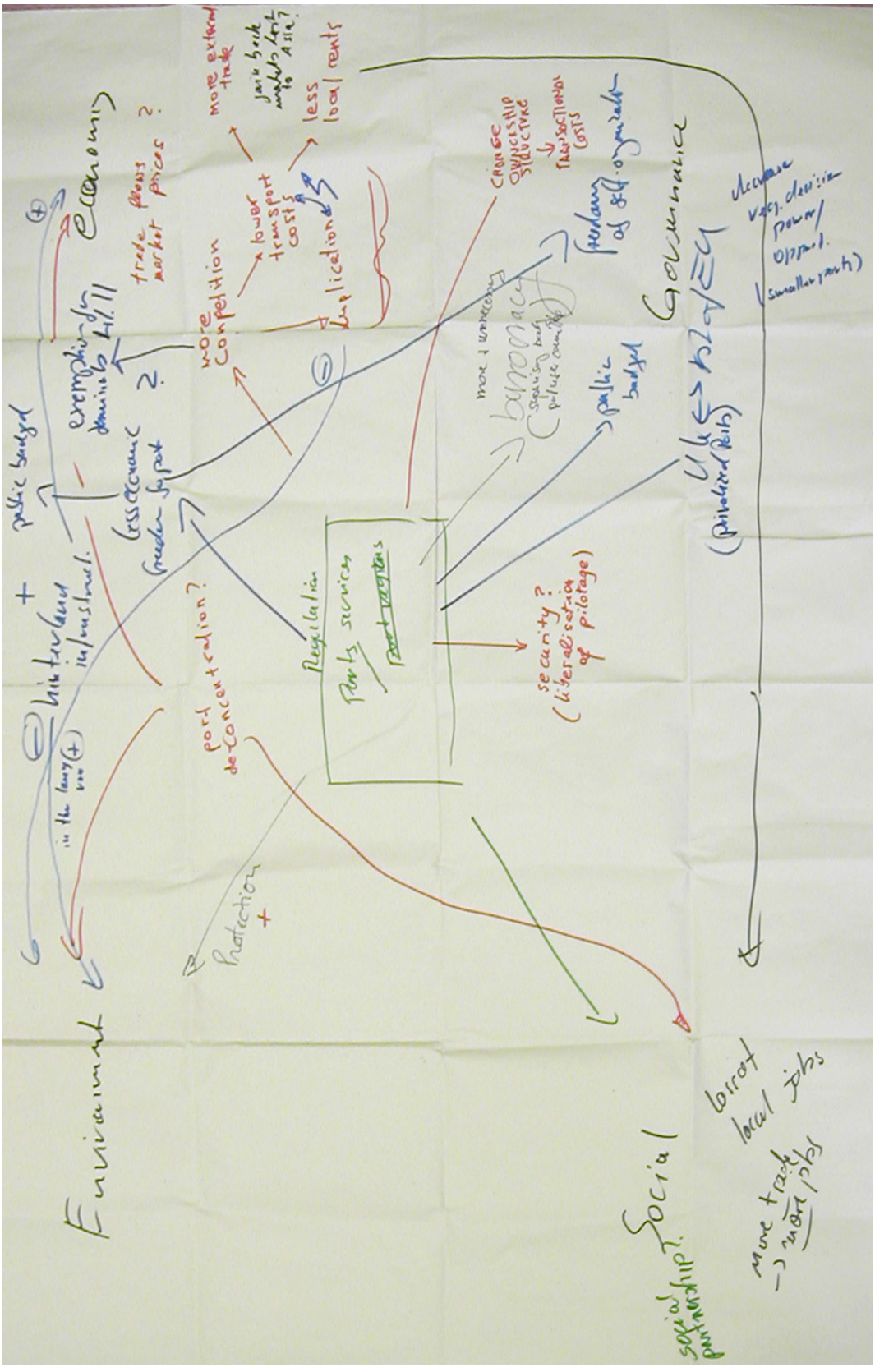
The following figures show, that the stakeholders have also drawn links between all the effects deriving from the regulation and the receptive capacity of a region have been made explicit. The result was a systemic picture showing the conceptual model of the regulation according to its intervention logic and potential effects.

[1] EU COM (2013): Proposal for a regulation of the European parliament and of the council establishing a framework on market access to port services and financial transparency of ports. Brussels, 23.5.2013, cf. http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2013:0296:FIN:EN:PDF (29/10/2013)

[2] The regulation includes bunkering, cargo handling, dredging, mooring, passenger services, port reception facilities, pilotage and towage (cf. EU COM, 2013: 16).

As a conclusion it has become visible, that issues being discussed the most include the topics of governance, economy and social effects.

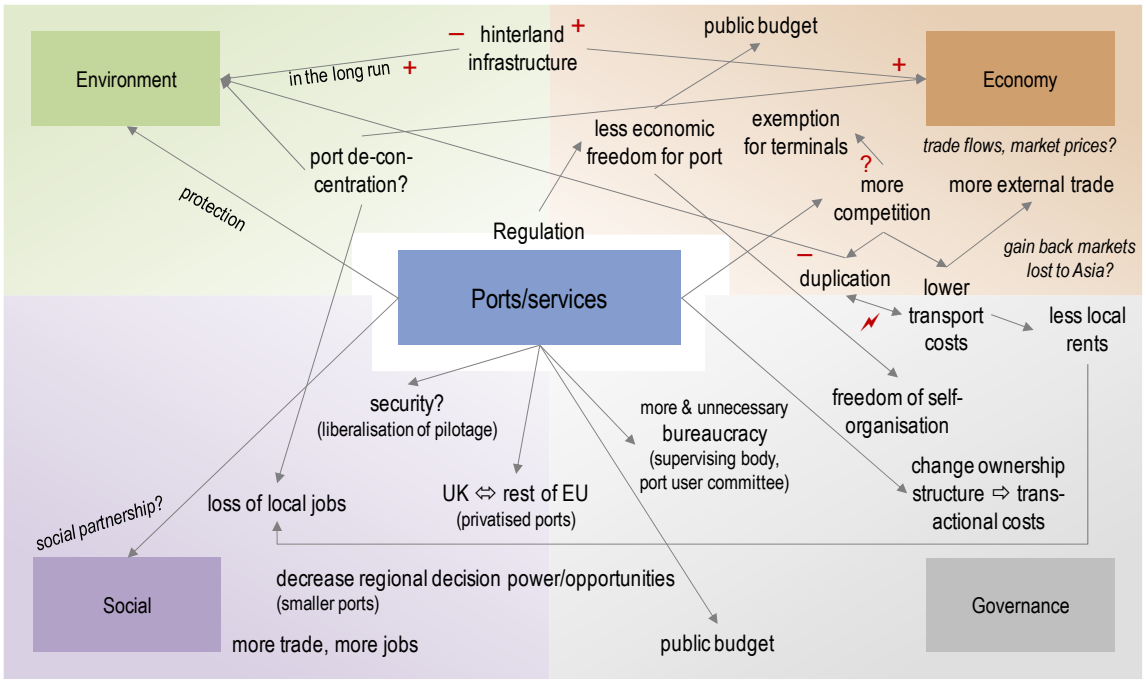
Figure 1 Workshop findings: Conceptual model of the regulation COM(2013) 296 final/establishing a framework on market access to port services and financial transparency of ports



Source: Documentation CoR-Workshop, Brussels, 25th September.

Generally, a vivid discussion took place, targeting among others bureaucracy and economic effects, competition, freedom of self-organisation and social security (in the field of pilotage). In general, there existed some concern towards increasing bureaucracy due to the new regulation on ports, although diverse opinions existed between the participating stakeholders. Stakeholders coming from the northern ports (e.g. in Germany) expressed their concern towards increasing bureaucratic efforts, whereas stakeholders coming from southern parts (e.g. in Italy) have rather welcomed the idea.

Figure 2 Scheme: Conceptual model of the regulation COM(2013) 296 final/establishing a framework on market access to port services and financial transparency of ports



Source: ÖIR, 2013 based on: CoR-Workshop, Brussels, 25th September.

(2) Dealing with discrete cause/effect chains (branching)

The regulation at hand establishes a) a clear framework for access to the market of port services and b) common rules on the financial transparency and charges to be applied by managing bodies or providers of port services (cf. EU COM, 2013: 16). The CoR-workshop's discussion focused on port services only (part a). However it has been pointed out by the moderators and agreed by the participants that part b may be treated as second branch in the analysis maybe leading to different territorial effects.

(3) Which types of regions are affected? (regional exposure)

The typology, which had been proposed for the TIA quick check, was not useful for the exercise at hand. Therefore, the existing typology had been adapted, following the regulation: *"the regulation only covers TEN-T seaports. (...). The scope has not been further limited to the core ports in order not to risk creating distortions of competition between core ports and other TEN-T ports. Moreover an efficient functioning of the network requires both core port (typically hub) and non-core TEN-T ports for the regional distribution"* (EU COM, 2013: 9).

(4) What is the intensity of exposure on different fields? (exposure matrix)

In the following step, the conceptual model had been translated into a set of indicators that describe the intensity of regulation exposure. This had been done using a predefined set of thematic fields such as natural environment, regional economy as well as society and people. To do this, the ESPON ARTS project had produced a Directive-Exposure Matrix (DEM) Excel tool which allows data to be entered according to each field.

Table 1 Filling in the Directive Exposure Matrix (DEM)

		Natural environment				
LPD on *'name'*		Soil			Water	
		erosion	pollutants in soil	share of arti-ficial areas/ soil sealing	water consumption	pollutants in ground/surface water
branch	**affected region**	F1	F2	F3	F4	F5
	Agglomerated					
b	All regions	no/minor effect		increase	no/minor effect	
	Areas at highest technological/ environmental risk					
	Chemical industries					
	Densely populated					
	Forest					
a	Harbour regions	no/minor effect	no/minor effect	increase	no/minor effect	no/minor effect
	High density of rail					
c	High density of road					
	Highest density of rail and road network					
	Highest share of employment in automotive					
	Industrial regions					

Source: ÖIR, 2013, based on CoR-Workshop, Brussels, 25th September.

For each field, the level of exposure had been defined by expert judgement according to the following classes:

++ strong advantageous effect on territorial welfare (strong increase)

+ weak advantageous effect on territorial welfare (increase)

O no effect

- weak disadvantageous effect on territorial welfare (decrease)

- - strong disadvantageous effect on territorial welfare (strong decrease)

? Unknown effect/effect cannot be specified

+/- direction cannot be specified (diverse effects)

1. **Increase**, had been identified for the following fields, e.g.:
   - Natural environment/soil: share of artificial areas/soil sealing
   - Natural environment/air: pollutants in ground/pollutants in air
   - Natural environment/climatic factors: emissions of CO2
   - Regional economy/economic development: economic growth (GDP/capita)
   - Regional economy/economic development: innovation
   - Regional economy/economic development: entrepreneurship (share of private enterprises)

2. **Decrease,** had been identified for the following fields, e.g.:
   - Regional economy/economic development: market barriers (change of share of self-employment on employment)
   - Society and people/governance: duration or complexity of planning procedures (introduction of new administrative tasks/mechanisms/units/structure)

(5-7) Territorial impact, plausibility and quality check, mapping

After the Directive Exposure Matrix in the previous step had been filled in, the impact values have been calculated using predefined sensitivity adjustments. These are determined for each field and are called the Regional Sensitivity Matrix. The Territorial Impact Matrix (TIM) calculates the impact for each thematic exposure field and for each NUTS 2 region (= 42 fields x 287 NUTS 2 regions) and sorts the results into 9 classes:

Table 3 Territorial Impact Matrix (TIM)

Code	Name	F1	F2	F3	F4	F5	F6	F7	F8	F9	F10	F11	F12	F13	F14
AT11	Burgenland	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
AT12	Niederösterreich	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
AT13	Wien	0,00	0,00	-1,06	0,00	0,00	-0,93	-0,97	0,00	0,00	0,00	0,00	0,78	1,17	1,19
AT21	Kärnten	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
AT22	Steiermark	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
AT31	Oberösterreich	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
AT32	Salzburg	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
AT33	Tirol	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
AT34	Vorarlberg	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BE10	Région de Bruxelle	na	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BE21	Prov. Antwerpen	0,00	0,00	-0,91	0,00	0,00	-0,98	-0,79	0,00	0,00	0,00	0,00	0,80	1,06	1,16
BE22	Prov. Limburg (B)	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BE23	Prov. Oost-Vlaande	0,00	0,00	-0,88	0,00	0,00	-0,97	-0,78	0,00	0,00	0,00	0,00	0,83	1,03	1,15
BE24	Prov. Vlaams Braba	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BE25	Prov. West-Vlaande	0,00	0,00	-0,85	0,00	0,00	-0,94	-0,77	0,00	0,00	0,00	0,00	0,82	1,01	1,11
BE31	Prov. Brabant Wallo	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BE32	Prov. Hainaut	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BE33	Prov. Liège	0,00	0,00	-0,84	0,00	0,00	-0,91	-0,77	0,00	0,00	0,00	0,00	0,85	0,99	1,15
BE34	Prov. Luxembourg (B	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BE35	Prov. Namur	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
BG31	Severozapaden	0,00	0,00	-0,77	0,00	0,00	-0,89	-0,75	0,00	0,00	0,00	0,00	1,20	0,77	1,21
BG32	Severen tsentralen	0,00	0,00	-0,78	0,00	0,00	-0,92	-0,75	0,00	0,00	0,00	0,00	1,18	0,81	1,15
BG33	Severoiztochen	0,00	0,00	-0,78	0,00	0,00	-0,93	-0,75	0,00	0,00	0,00	0,00	1,14	0,80	1,17
BG34	Yugoiztochen	0,00	0,00	-0,77	0,00	0,00	-0,91	-0,75	0,00	0,00	0,00	0,00	1,11	0,89	1,18

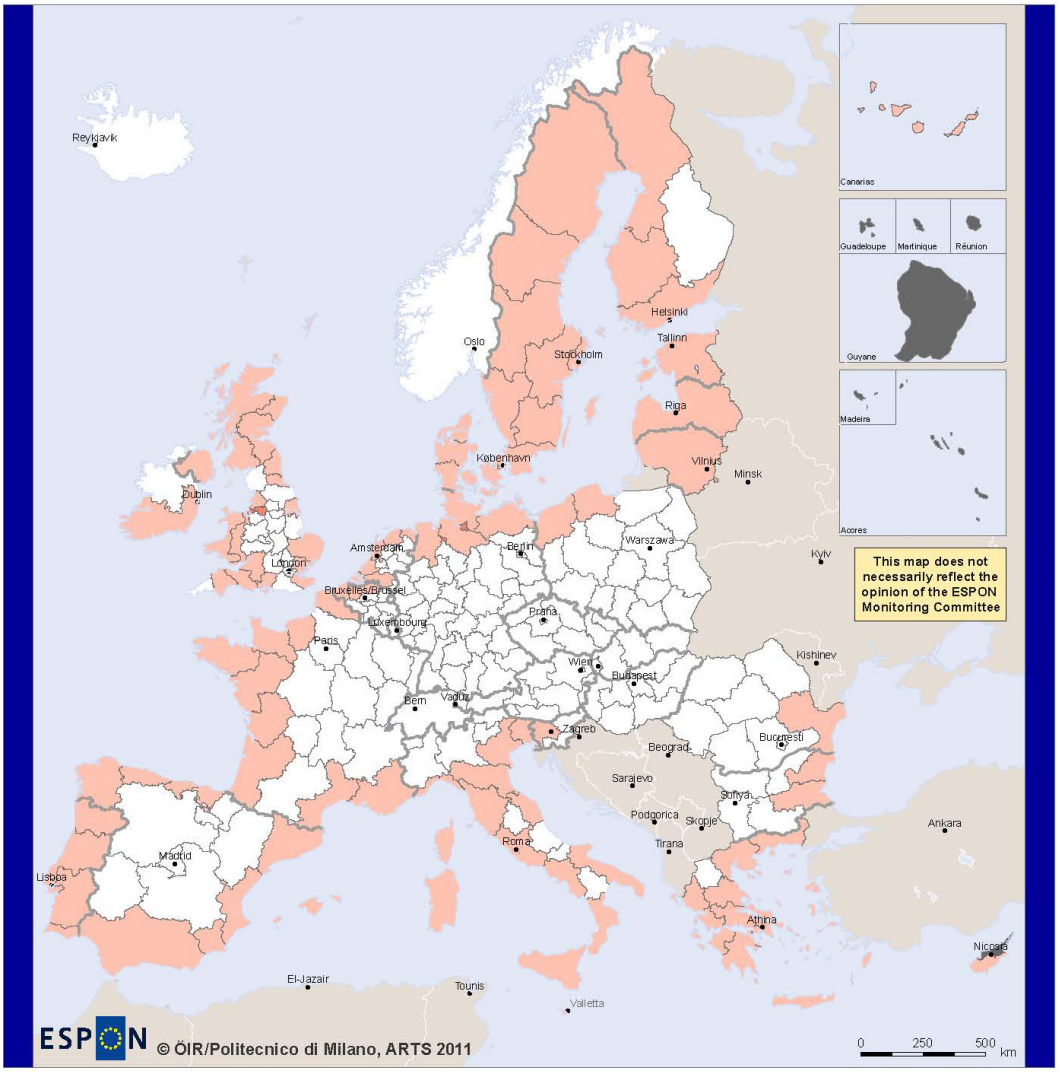
F1	erosion	F11	conservation of culture heritage
F2	pollutions in soil	F12	economic growth
F3	soil sealing	F13	innovation
F10	landscape diversity	F14	entrepreneurship

Table 4 Scale of potential territorial impact

very high positive impact	minor negative impact
high positive impact	moderate negative impact
moderate positive impact	high negative impact
minor positive impact	very high negative impact
no exposure	

The following five maps illustrate the main findings of the workshop and target soil sealing, pollutants in air, innovation, market barriers and employment in the tertiary sector.

Map 1 Regions affected by the Regulation establishing a framework on market access to port services and financial transparency of ports – share of artificial areas/soil sealing

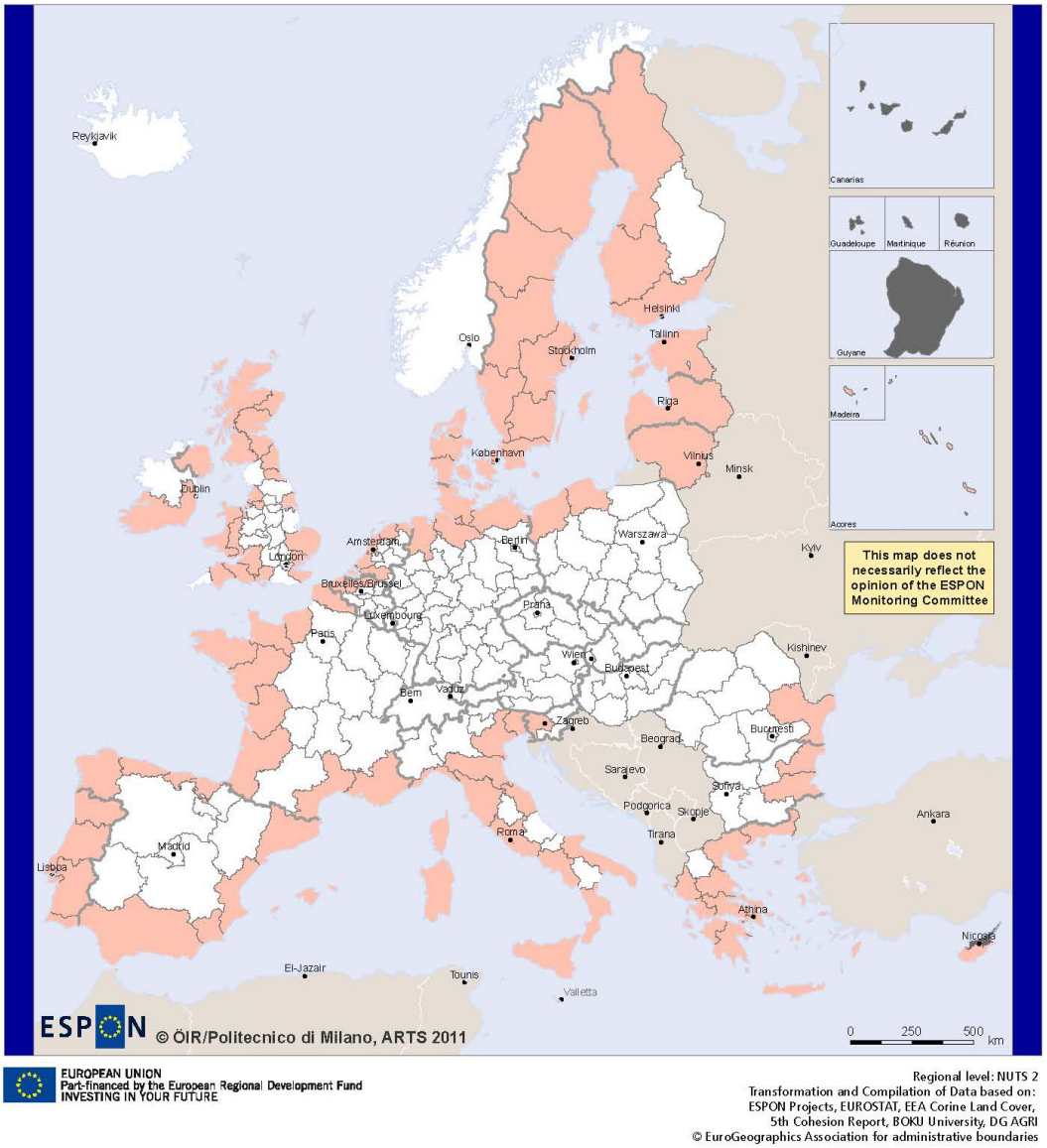


Source: ÖIR, 2013.

The first map shows that most of the regions, which are adjacent to the sea, show mainly a moderate negative impact concerning soil sealing. Just Hamburg and Bremen in Germany as well as the NUTS 2 statistical regions Greater Manchester and Merseyside of the United

Kingdom, show high negative impact. This differentiation is caused by a higher regional sensitivity (e.g. through an already high share of artificial land cover) of these areas.

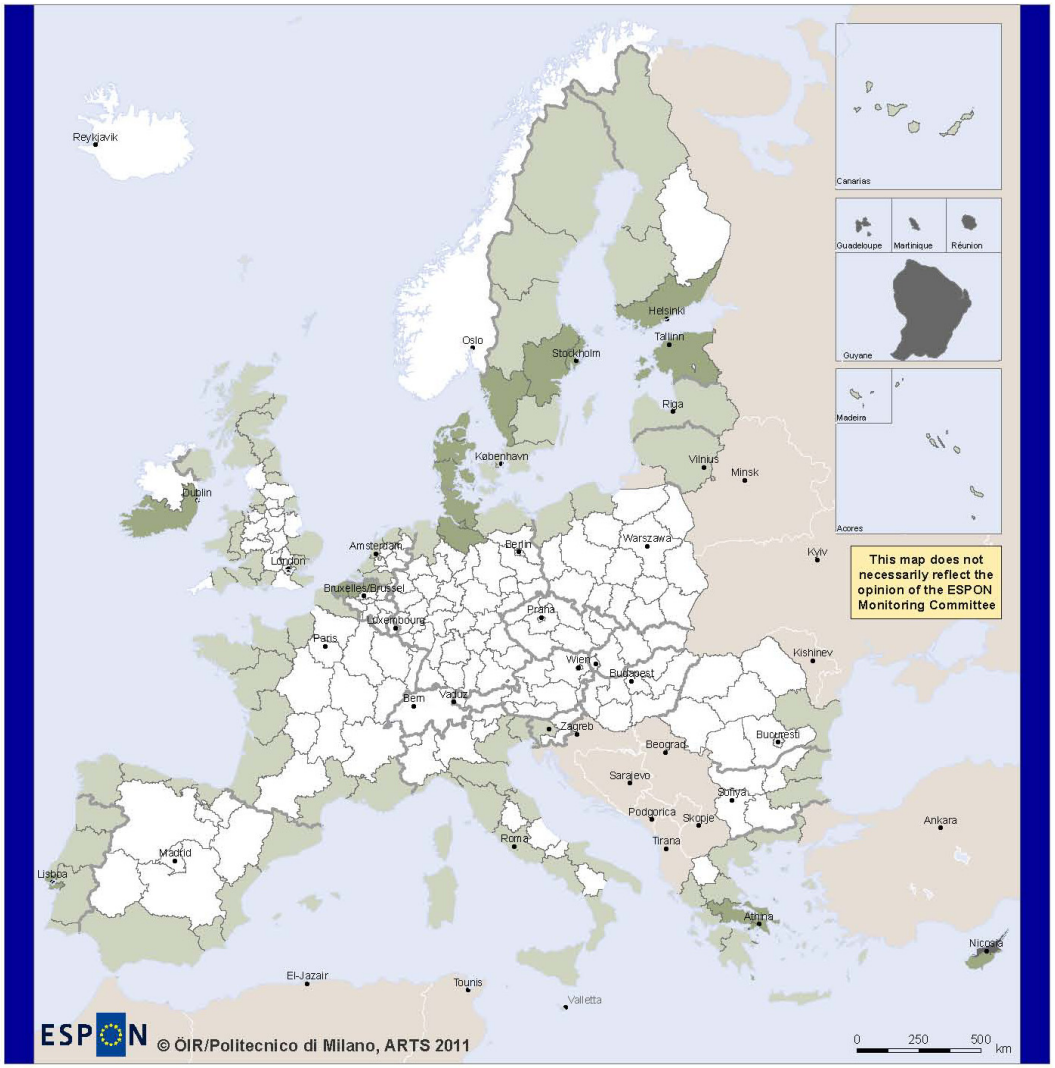
Map 2 Regions affected by the Regulation establishing a framework on market access to port services and financial transparency of ports – pollutants in air



Source: ÖIR, 2013.

Taking into account the pollutants in air shows that most of the regions, which are adjacent to the sea, show mainly a moderate negative impact. As already visible in the first map, some regions being adjacent to the sea, such as e.g. Warmian-Masurian Voivodeship in north-eastern Poland, are not affected by the regulation at all.

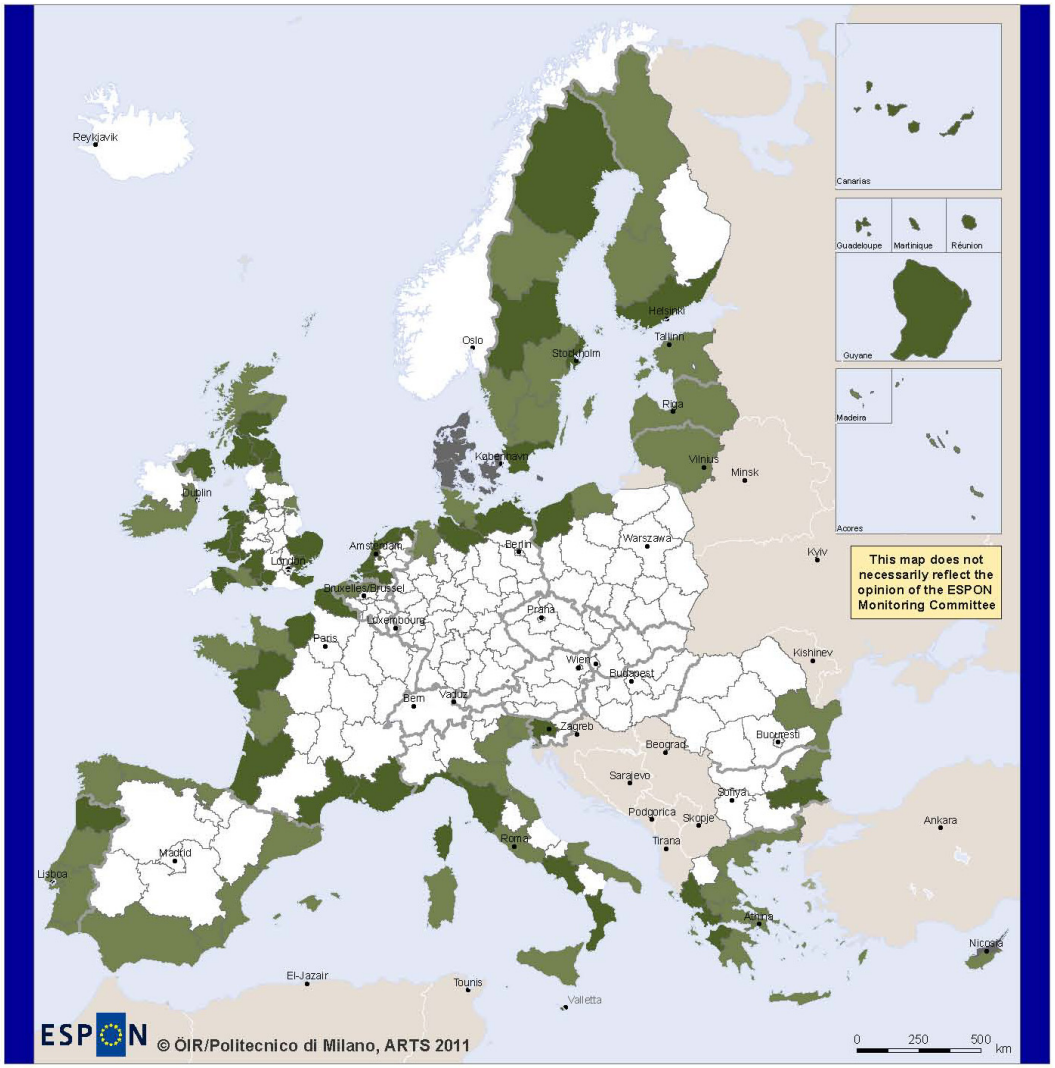
Map 3 Regions affected by the Regulation establishing a framework on market access to port services and financial transparency of ports – innovation



Source: ÖIR, 2013.

On closer consideration of innovation, it gets visible that most of the regions being adjacent to the sea show a moderate impact (positive) of the regulation. Especially a number of Irish, German, Danish, Finish, Swedish, Estonia and Greek regions show a high positive impact in the field of innovation, reflecting their comparably favourable preconditions in this respect.

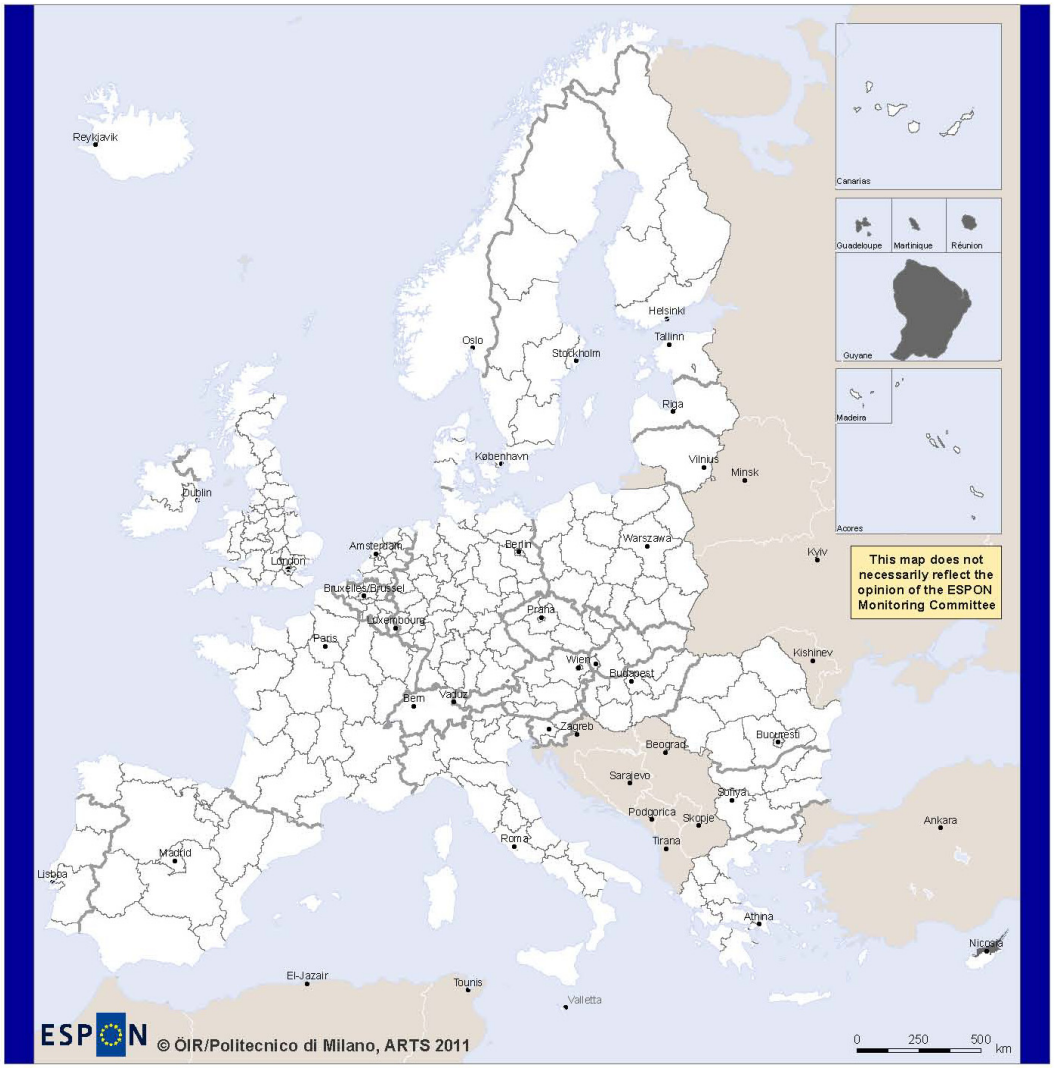
Map 4 Regions affected by the Regulation establishing a framework on market access to port services and financial transparency of ports – market barriers



Source: ÖIR, 2013.

Taking into account market barriers illuminates that most of the regions show a high or at least moderate impact. Very high impact gets visible in the regions of Upper Norrland (Övre Norrland) and North Middle Sweden (Norra Mellansverige) in Sweden, Northumberland and Tyne and Wear, Eastern Scotland and South Western Scotland in the United Kingdom. When interpreting this picture the principal aim of the regulation seems to be underlined. – I.e. the liberalisation of markets and the reduction of market barriers through the regulation seems to be safeguarded in almost all harbour regions.

Map 5 Regions affected by the Regulation establishing a framework on market access to port services and financial transparency of ports – employment in tertiary sector



Source: ÖIR, 2013.

The final maps shows, that none of the regions is affected by an increase/decrease in employment in the tertiary sector. Neither positive nor negative impacts can be identified.

Annex: Presentation ESPON ARTS Methodology

Supporting TIA of policy proposals - the ARTS quick-scan methodology

ARTS – Assessment of Regional and Territorial Sensitivity

Erich Dallhammer, Bernd Schuh (ÖIR)

Brussels, 25th September 2013

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The Challenge

- EU policy proposals influence development of regions
- with often territorial effects

Task ESPON ARTS

- Develop a simplified, evidence-based procedure of an ex ante Territorial Impact Assessment (TIA)

Our approach

- To develop a "quick and dirty" TIA-check
- To combine expert knowledge
  + an Excel tool and standardised indicators
- To show results in maps (NUTS 2 level)

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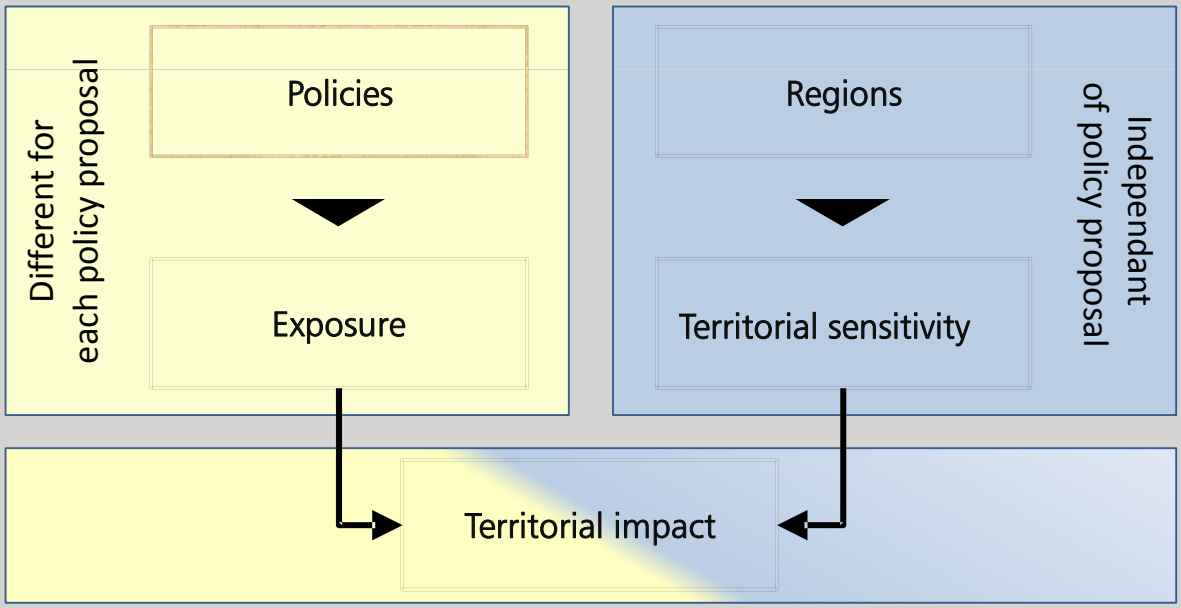
The vulnerability concept



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TIA quick check in 9 Steps

(1) Brainstorming for the conceptual model:
How does a policy proposal affect the development of regions?

(2) Dealing with discrete cause/effect chains

(3) Which types of regions are affected?

(4) What is the intensity of exposure on different fields?

(5) What is the territorial impact on regions?

(6) Do the results make sense?

(7) Which regions are affected in which fields? (maps)

(8) What are the policy implications?

(9) How to communicate the results?

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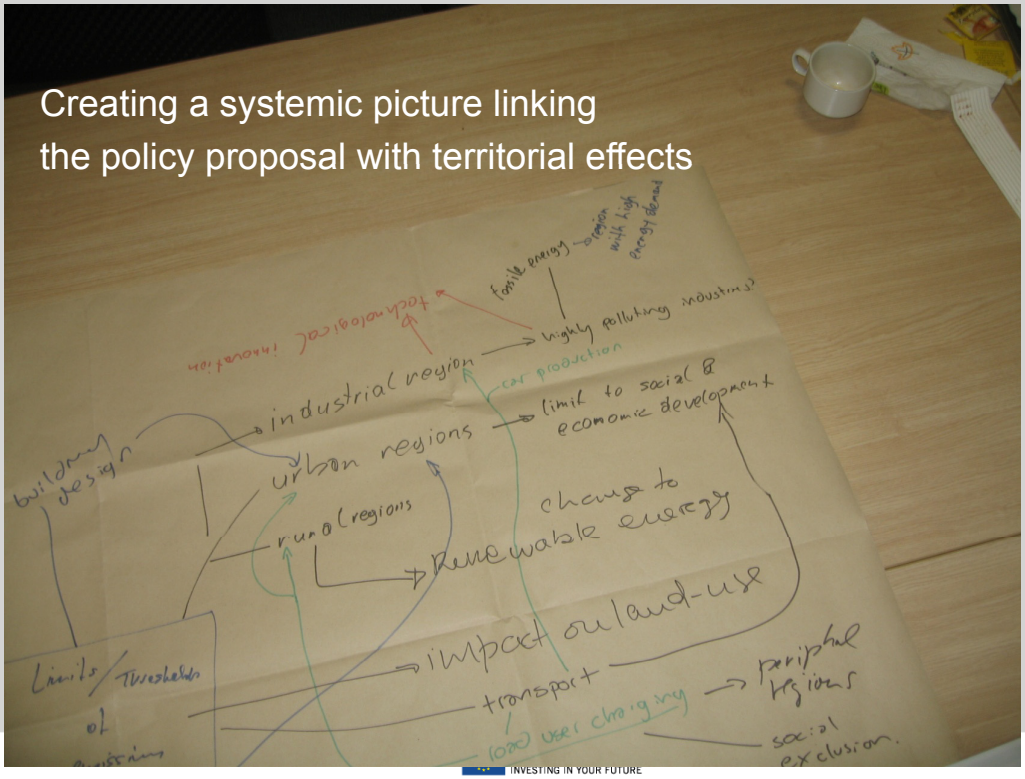
(1) Conceptual model: Brainstorming



ESPON

TIA quick check in 9 Steps

(1) Brainstorming for the conceptual model:
How does a directive affect the development of regions?

(2) Dealing with discrete cause/effect chains (branching)

(3) Which types of regions are affected? (regional exposure)

(4) What is the intensity of exposure on different fields?

(5) What is the territorial impact on regions?

(6) Do the results make sense?

(7) Which regions are affected in which fields?

(8) What are the policy implications?

(9) How to communicate the results?

(3) Expert judgment: types of regions exposed

Directive XX affected region	
	Agglomerated
	All regions
	Chemical industries
	Harbour regions
	High density of rail
	High density of road
a	Industrial regions
	Major airport location
	Natural areas
b	Rural
	Shrinking regions
	Unprofitable farming
	Urban

Provided:
20 types of regions (NUTS2) to be selected

TIA quick check in 9 Steps

(1) Brainstorming for the conceptual model:
How does a directive affect the development of regions?

(2) Dealing with discrete cause/effect chains

(3) Which types of regions are affected?

(4) What is the intensity of exposure on different fields?
(exposure matrix)

(5) What is the territorial impact on regions?

(6) Do the results make sense?

(7) Which regions are affected in which fields?

(8) What are the policy implications?

(9) How to communicate the results?

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(4) Expert judgment: exposure caused by Directive

	A	B	D	E	F	G
2			Soil			Water
3	**Directive on Air quality**		erosion	pollutants in soil	share of artificial areas / soil sealing	water consumption
4	**Directive XX**	**affected region**	F1	F2	F3	F4
16	a	Industrial regions	no/minor effect	decrease	unknown	nknown
17		Major airport location				
18		Natural areas				
19	b	Rural				
20		Shrinking regions				
21		Unprofitable farming				
22		Urban				
23		Wealthy regions				
24		PM10				

strong increase
increase
no/minor effect
decrease
strong decrease
unknown

41 thematic fields

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TIA quick check in 9 Steps

(1) Brainstorming for the conceptual model:
How does a directive affect the development of regions?

(2) Dealing with discrete cause/effect chains

(3) Which types of regions are affected?

(4) What is the intensity of exposure on different fields?

(5) What is the territorial impact on regions?

(6) Do the results make sense?

(7) Which regions are affected in which fields?

(8) What are the policy implications?

(9) How to communicate the results? (write-up)

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(5) What is the territorial impact on regions?

Result of the Excel tool

		E1	E2	E3	E10	E11	E12	E13	E14
AT11	Burgenland	0,00	0,00	0,00	0,00	0,00	0,00	na	0,00
AT12	Niederösterreich	0,00	0,00	0,00	0,00	0,00	0,00	na	0,00
AT13	Wien	0,00	0,00	-1,06	-0,77	0,00	0,78	na	1,79
AT21	Kärnten	0,00	0,00	0,00	0,00	0,00	0,00	na	0,00
AT22	Steiermark	0,00	0,00	0,00	0,00	0,00	0,00	na	0,00
AT31	Oberösterreich	0,00	0,00	-0,77	-0,78	0,00	0,81	na	1,78
AT32	Salzburg	0,00	0,00	-0,76	-0,99	0,00	0,80	na	1,74
AT33	Tirol								
AT34	Vorarlberg								
BE10	Région de Bruxelles-Ca								
BE21	Prov. Antwerpen								
BE22	Prov. Limburg (B)								
BE23	Prov. Oost-Vlaanderen								
BE24	Prov. Vlaams Brabant								

very high positive impact
high positive impact
moderate positive impact
minor positive impact
no exposure
minor negative impact
moderate negative impact
high negative impact
very high negative impact

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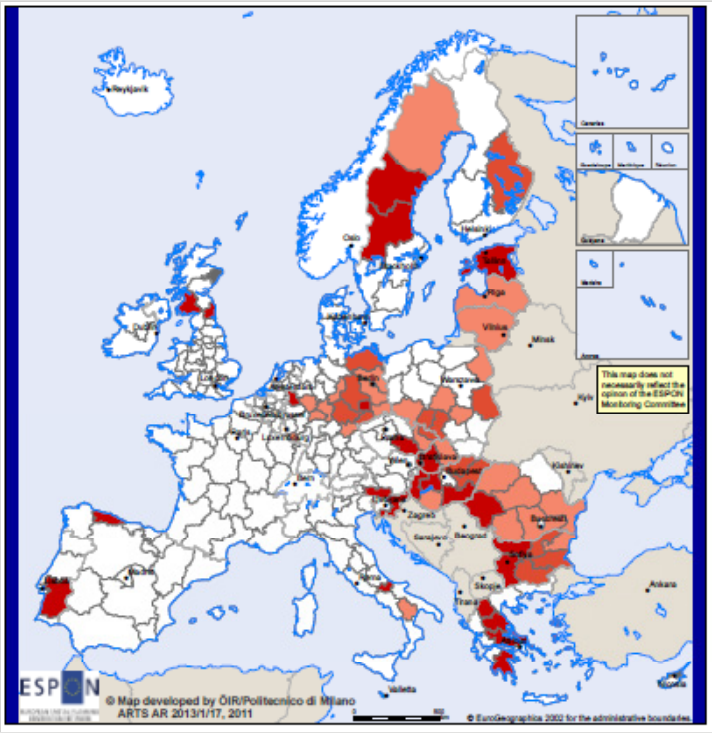
(7) Result: Map for each indicator



Effects of Directive on recognition of qualification on migration balance in countries of origin

Negative Impact
Very high impact
High impact
Moderate impact
Minor impact
Not affected

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TIA quick check in 9 Steps

(1) Brainstorming for the conceptual model:
How does a directive affect the development of regions?

(2) Dealing with discrete cause/effect chains (branching)

(3) Which types of regions are affected? (regional exposure)

(4) What is the intensity of exposure on different fields?

(5) What is the territorial impact on regions? (Territorial Impact Matrix)

(6) Do the results make sense? (plausibility and quality check)

(7) Which regions are affected in which fields? (mapping the results)

(8) What are the policy implications?

(9) How to communicate the results? (write-up)

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Options to facilitate a Commission (T)IA

The ESPON ARTS TIA quick-check can contribute to …

- develop a conceptual model about potential effects of an EU regulation on the development of regions
- analyze systematically all relevant thematic fields that are potentially affected
- get an impression about the potentially affected regions (map)
- use special indicators for analyszng territorial impacts

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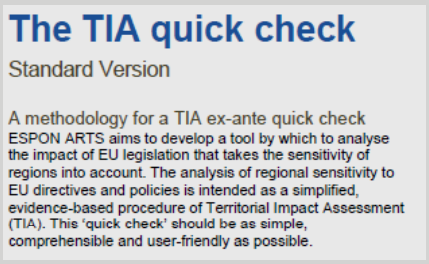
The tool: TIA Quick Check in 2 versions

A standard version and an advanced version

The standard TIA quick check:

- Helps to identify the relevant fields
- Shows NUTS2 regions with a potentially high impact
- Helps to set a focus for more detailed impact analysis.



The advanced TIA quick check

- Provides the technical framework
- Allows users to define special indicators
- Can be used also for NUTS3 regions and beyond

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Getting access and support

Support can be given by …

- The ESPON website:
  http://www.espon.eu
  -> projects
  -> Applied Research
  -> EU Directives: ARTS

- The lead partner of the developers
  e.g. dallhammer@oir.at, schuh@oir.at

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