

**Call for tenders by open procedure n°  
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**Study on the contribution of local  
development in delivering interventions  
co-financed by the European Regional  
Development Fund (ERDF) in  
the periods 2000-06 and 2007-13.**

**Inception Report**

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**Prepared for:  
EUROPEAN COMMISSION  
Directorate General Regional Policy  
Policy Development  
Evaluation**

Quotation is authorised as long as the source is acknowledged. The text is not binding for the European Commission

## **Acronyms**

ERDF	European Regional Development Fund
LDA	Local Development Approach
OP	Operational Programme

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## Foreword

IRS and IGOP have been selected for carrying out the “*Study on the contribution of local development in delivering interventions co-financed by the European Regional Development Fund (ERDF) in the period 2000-06 and 2007-13*”.

Following the indications emerged during the kick-off meeting (14<sup>th</sup> of January 2011) the Inception Report reviews and fine-tunes the methodological approach as well as the general project organization drafted in the original proposal.

In particular:

- it clarifies the aim of the study;
- it clearly describes all the tasks to be realized and the way they are going to be carried out (methodology, templates, etc);
- it provides a better focused literature to be reviewed and it indicates the methodology to be used;
- it contains a further refined methodology for the OPs analysis, including the analysis grid;
- it contains a further refined methodology for regional case studies analysis, with a particular focus on how the contractor will deal with an eventual lack of data at the local level;
- it contains the proposed table of contents of the first interim report;
- it clarifies the tasks to be carried out and the members of the team in charge of them (including the number of days allocated);
- it describes the internal quality control system;
- it lists upcoming activities, with reference to the time plan.

# 1 Aim and context of the evaluation

## 1.1 Aim of the evaluation

According to the Terms of Reference, the adoption of the Lisbon Treaty with its new territorial cohesion objectives and the launching of the Europe 2020 strategy which acknowledges the important role of sub-national level authorities have provided a new impetus to the discussion on area-based interventions. Therefore, the evaluation aims to provide credible and sound evidence on the contribution of local development to the effective delivery of Cohesion Policy as well as lessons and recommendations for the future.

As required by the Terms of Reference, the study has to provide an answer to the following questions:

- What are the effects of local development interventions in terms of socio-economic development, better living conditions and territorial balance within regions?
- To what extent can the local development approach contribute to the effective delivery of Cohesion Policy? What are the potentials and limits of the approach?

The study will further provide a clear definition of the local development approaches underlying strengths and weaknesses and lessons/recommendations on how and when local development approaches could be used to deliver Cohesion Policy and how to monitor and evaluate the effects of local development interventions on economic, social and territorial cohesion at regional and national level.

# 2 Fine tuning of the theoretical approach and methodology

## 2.1 Overview of the theoretical approach

The evaluation reflects a number of different purposes to which the methodological approach needs to be sensitive. The evaluation has an *analytic, exploratory and learning* purpose: creating knowledge and improving understanding about the contribution of the local development approach to delivering cohesion policy.

Moving from these considerations and taking into account the different elements and issues to be covered, the theoretical approach to be adopted is based on the policy analysis framework applied to policy evaluation.

The policy analysis framework assumes the concept of public policy as a sum of ideas and actions undertaken by a number of different actors, either public or private as its central element. These ideas and actions are related to the solution of a “public problem”, and

therefore to a need, a demand or an opportunity that, in a given historical context, justifies the intervention of public authorities.

Policy outcomes depend not only on the preliminary definition of the problem, or on the agreed rules and tools to solve it (i.e., the decisional phase) but also on the way decision is implemented. Evaluation of the nature and outcomes of a policy must take into account both phases. Furthermore, it also implies the analysis of the way in which actors' interests, views and resources, together with the changes in the external context influence the policy process, its objectives and its outcomes. A policy analysis approach invites to take into account not only the expected results, but also the unexpected ones, deriving, for example, from programming mistakes or from the impact of intervening variables.

This methodological framework will be applied to the study of local development approach.

The theory on local development<sup>1</sup> states that, for many reasons, the solution to local problems requires the contribution of local actors and local resources: an area-based strategy is essential as it “promotes the supply of integrated goods and services tailored to contexts, and it triggers institutional changes. In a place-based policy, public interventions rely on local knowledge and are verifiable and submitted to scrutiny, while linkages among places are taken into account”<sup>2</sup>.

The economic theoretical grounds of LDA offer various hypothesis of the linkages among territorial resources and local development. First, there are theories rooted in a traditional concern with resource endowments that emphasises the role of generic and specific assets, the competence and capacities of an area's inhabitants and the role of sunk costs (Courlet 2001; Pecqueur 2000; Clark and Wringley, 1997). In many of these cases the emphasis is on the development of the milieu rather than on the development of enterprises. Second, there are theories that emphasise the role of industrial organisation, industrial strategies and inter-firm relationship, focusing on the impact of externalities and spatially and non spatially-dependent inter-firm and inter-agent relationships. Such theories are developed by authors drawing on neoclassical theories of transaction costs (Scott, 1988), or concepts of untraded interdependencies, trust, network organisation and governance, institutional thickness or the degree of local rootedness/embeddedness of social interaction. To these approaches, one can add the more quantitatively-oriented research of some political scientists interested in the impact of institutional performance, characteristics of civil society and social capital on the performance of regional economies (see, for example, Putnam et al, 1993). Third, there are theories that emphasise the role of systems of innovation, knowledge, individual and collective learning and creativity.

Another strand of literature generally refers to the way in which a LDA can influence the decision making processes, and, in particular, add more complexity to the way in which

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<sup>1</sup> Serravalli, G. 2006, *Né Facile, Né impossibile: Economia e Politica dello Sviluppo Locale*, Donzelli, Roma.

<sup>2</sup> Fabrizio Barca (2009), *An agenda for a reformed cohesion policy: a place-based approach to meeting European Union challenges and expectations*, Independent Report.

local problems are represented and dealt with (Bassoli, 2010; Dente, Bobbio and Spada, 2005; Rhodes, 1996; Serravalli, 2004). These theoretical grounds suggest that solving local problems requires the capacity (scarcely available to a single actor, such as a high level institution) to:

- represent problems and their complexity,
- find new solutions to old or new problems,
- implement policies and actions,
- anticipate the existing and possible opponents.

Within this theoretical frame, the LDA is a way to involve people in the policy process. Furthermore, activating local partnerships in a bottom-up strategy, multi-level cooperation, local networking and capacity building are its main tools<sup>3</sup>. Many territorial and social policies promoted by the European Union both during the 2000-2006 and 2007-2013 programming period (i.e., Urban Program, Interreg Program, Leader, Equal and Farnet initiative, Territorial and Employment Pacts together with the integrated projects promoted by the 2000-06 Italian Regional Operational Programmes) adopted a local development approach to better achieve the expected outcomes<sup>4</sup>.

The logics at the basis of the local development approach use can be outlined as follows:

- The citizens' involvement allows a better design of policies, due to the new information acquired. When problems are characterized by a high level of complexity, non-hierarchical forms of decision making can produce more effective solutions than a benevolent dictatorship, as they encourage the circulation of information and take into account a greater quantity of values; moreover, they are more flexible and adaptable<sup>5</sup>;
- The sharing of responsibilities during decision making and implementation processes. As the crucial decision of a community resides on hypotheses of cause-effect scarcely predictable a priori, the future effects are largely unknown. The responsibility for those decisions becomes therefore a heavy burden for a single actor, even when it comes to a public authority. Shared decisions allow to share out responsibilities among various actors<sup>6</sup>;
- Qualitative decisions. The involvement of the policies' and services' beneficiaries is a crucial element for their effectiveness, because it promotes the cooperation among local actors in the delivery and maintenance of public goods.

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<sup>3</sup> European Commission (2009), Territorial cohesion: unleashing the territorial potential, Background document.

<sup>4</sup> Adetef, Notre Europe, AEIDI, City Consult, Cohesion Policy Support for Local development: best practice and future policy options, prepared for European Commission, DG REGIO, April 2010.

<sup>5</sup> Scharpf F., Games Real Actors Play. Actor-Centered Institutionalism in Policy Research. Boulder, CO/Oxford: Westview Press, 1997.

<sup>6</sup> Donolo C. (ed.), 2006, Il futuro delle politiche pubbliche, Bruno Mondadori, Milano.

- Sharing responsibilities for failures both in the choice of the solution, and in its implementation. This is a crucial item in all the infrastructural policies, where widespread benefits are opposed to local costs. The involvement of possible opponents is a strategy for transforming zero-sum games in positive games.
- Finally, it increases mutual control among the actors involved in the policy making, because it allows to “activate sensors” useful for monitoring the quality of the process and anticipating possible side effects<sup>7</sup>; it also has backward effects on public institutions, forcing them to improve quality, rationality and transparency of public procedures.

Summing up, the general hypothesis is that the use of LDA is relevant for achieving better results for area-based policies, through a better description of local problems and a stronger strategy for the implementation of solutions. But it is not a linear, causal effect relationship. In more deprived areas the density of networks and the capacity of actors are lower than requested by local development policies. In other words, we can take for granted that, when the policy arena is characterized by well-trained officers, availability of resources, such as funding or social capital, and so on, the results of the implemented policies will be better than in the absence of all these conditions. In deprived areas, the use of LDA has some intermediate outcomes in terms of governance, i.e.:

- The rising of new actors or leading figures interested in public problems,
- The learning and maintenance of cooperative procedures,
- The strengthening of the capacity to manage people, projects, funds.

This has important conceptual consequences for the study of the contribution of local development in delivering interventions co-financed by ERDF. The contribution of LDA is not to be evaluated just on the side of the obtained socio and economic results, but also on the side of the construction and maintenance of networks of cooperation; and the reinforcement of the local actors’ capacities, including those of institutions. The relevance of the two expected results (achieving of relevant development outcomes, or reinforcement of local governance) is connected to the specific stage of a territorial case and must be carefully taken into account.

In this design, some elements that favour or obstacle the achieving of results are, for example, the previous history of cooperation experienced by local partnership; the visibility and agreement on having common problems; the purposefulness of the projects intended to solve them; the available resources, such as political, financial and expertise. These elements favour interaction among institutions and civil society, and the mutual expectations force the institutions to improve their government capacity. When this process succeed, we can expect a step further in the way in which local problems are defined, deriving from a more complex confrontation among the local partnerships and the

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<sup>7</sup> Mayntz R., 1999, La teoria della governance: sfide e prospettive, in RISP, XXIX, 1.



involvement of experts; an increase in the propensity to collective action and in mutual trust; a growth in the management capacity and in problem solving. All these factors, finally, can be considered as prerequisites to solve complex problems, i.e. to initiate development processes.

A consequence of the reasoning refers to the fact that local development instruments cannot 'be addressed as models (unless for analytical purposes) to be reproduced irrespective of the contexts. This is a shortcoming of the best practices approach frequently underlined in literature<sup>8</sup>. Even though management processes and tools can be learned and shared among various kind of local coalitions, the specific way in which they are combined must be adequate to the characteristics of that territory: type of actors involved, their role and their interests; and risks, opportunities and resources to be exploited. For instance, the technical model of regional reporting is less relevant than the specific way in which some actors use the "feedback effect" as an instrument to achieve their own purposes (confirm their leadership, steer the partnership, sanction the laggards). Moreover, successful strategies for a specific context can be unsuccessful for another due to the characteristics of the context, the actors involved and their stake as some local experiences of the 2000-06 programming period have shown<sup>9</sup>.

Therefore, the contractor will provide an answer to the following evaluation questions indicated by the Terms of Reference:

- To what extent has the local development approach contributed to the improvement of local economic and social conditions? It refers to the success of the interventions co-financed by the ERDF using LDA in terms of social, economic and territorial Cohesion;
- What was the contribution of LDA? It refers to the effectiveness of the LDA at a local level, in terms of construction and maintenance of new partnerships over time, development of new projects, improvement of competencies and capacities both in the planning the managing and implementation phase.
- Has it helped to tailor actions to local needs?
- To what extent, and how, has it exploited synergies between different policies and programmes at local level?

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<sup>8</sup> See Scharpf, F. W. (1986). "Policy Failure and Institutional Reform: Why Should Form Follow Function?" *International Social Science Journal* 38(2): 179-189; Walgenbach, P. e C. Hegele (2001). "What Can an Apple Learn from an Orange? or: What Do Companies Use Benchmarking For?" *Organization* 8(1): 121-144; Brannan, T., C. Durose, et al. (2006). *Assessing Best Practices as a Means of Innovation*. Paper presented at the Conference of the Urban Affairs Association, Montreal, Canada.

<sup>9</sup> These remarks result from the comparison between the results achieved in the Calabria Region by the Territorial Integrated Projects, financed by the Operational Programme 2000-06, and those of the Leader + Initiative in the same Region. See IRS, Resco, Cult, 2005, *Aggiornamento della valutazione intermedia del POR 2000-06 della Regione Calabria*, agosto 2010; IRS, Resco, Cult, 2005, *Aggiornamento della valutazione intermedia del Programma Leader + Calabria*, dicembre 2005.

- What have been the main effects of local development practices on socio-economic development and on territorial balance within the region?
- To what extent, and how, have regional strategies and local development plans been combined to contribute to territorial development? In particular, has the local development approach contributed to overcome underlying problems of fragile areas?"

The analysis of these issues requires specific methodological choices that are detailed in the next part of the report.

## 2.2 Task 1 – Literature review

### Aims

The goal of the literature review is in the first place the definition of the analytical framework and of the research design by a careful analysis of what has been written on local development, with a particular focus on the issues indicated in the terms of reference: definitions of most frequently used local development approaches; strengths and weaknesses of each approach; institutional capacity for an effective implementation of local development; contribution of local actors' involvement in monitoring and evaluations; tools and methods for evaluating local development initiatives; contribution of local development in improving Cohesion policy effectiveness and visibility.

A secondary, but not less important, aim is to contribute to the clarification of a cluster of concepts linked to the notion of local development, in order to strive for a shared and sharper definition of what is and what is not the local development approach. One has to remember that a search for "local development" on Google scholar gives back 3,420,000 hits, the most cited one with only 123 references. The impression, therefore, is that not only it is a very popular notion, but that the concept encompasses very different phenomena, in many different disciplines.

To create a bit of order in this mess is therefore a worthwhile attempt, and from this point of view, we conceive the literature review also as a stand-alone exercise, in the form of a review article that can be published on an academic and/or practitioner journal, providing a useful addition to the existing literature.

At the same time, literature review will allow us to answer to the issues identified in the Terms of reference (as indicated above), to support the selection of the 10 regional case studies and refine the case study template.

Moreover, drawing on the literature review findings, the contractor will analyse how theoretical underpinnings are reflected into the operational programmes (38 OPs indicated in the terms of reference).

In order to achieve all these goals we believe that a strong structure should be provided and we propose to read the literature in order to answer three different but interrelated questions:

1. What do we mean by local development?
2. Why should the local development approach work?
3. How should it work?

The starting point, and also the main criterion for the selection of the available literature, is the stipulation that we are interested in local development as an approach, as a way of doing things, and not as a policy instrument or even less as a project in itself.

### ***1. What do we mean by local development?***

The first task will be looking at how the local development approach is defined at European and International level and reflected into different policies and related programmes/initiatives which are/were financed by the ERDF and/or which are/were in some way connected to ERDF topics.

In analyzing this aspect we will take into account the empirical research and evaluations promoted at EU and national/regional level on these policies. This analysis will allow us to present the main streams of local development approaches practiced in Europe and in other situations. The reconstruction of the various approaches of local development will also allow us to pinpoint the main strengths and weaknesses of their implementation. Obviously in this part of the review we will analyze also the relevant academic literature and the different definitions of LDA it provides. The overall goal, and the expected result, is to distil an internally coherent definition able to synthesize many, if not all, of the current ones.

At European level the Consortium will consider, as a starting, the following policies and programmes/initiatives. Considering the importance of “continuity” during time in relation to local development approach, we will consider both programmes still in use and programmes/initiatives that were in use during the last programming period such as for example:

- rural development policies (e.g.: Leader programme, etc);
- urban policies (e.g.: Urban, Jessica Initiative, etc);
- social policies (e.g.: Equal Initiative, etc);
- environmental policies;
- economic development policies (e.g.:, Employment Territorial Pacts, Jeremie Initiative, etc).

Moreover, international programmes will be also considered: OECD Local Economic and Employment Development Programme, World Bank Community Driven Development

programme (promoting capacity building policies), Community Economic Development Initiatives, etc.

Additional policies and programmes/initiatives may be covered during the literature review.

## **2. *Why should local development work?***

This part of the review is basically aimed at clarifying the theoretical reasons why one should expect that the LDA is able to deliver the expected benefits. In analysing this aspect two main strands of academic literature will be considered:

- the first one refers to development and institutional economics: this includes the literature focusing on the resources necessary for development, where resources are not limited to financial ones but include also endowment of economic and infrastructural assets, knowledge brought about by local actors and relational capital. Reference is to: i) *new economics geography*, according to which territory is the space for economic dynamics and the tension between centripetal forces and the set of countervailing centrifugal forces explain agglomerations and cumulative mechanisms at local level (Krugman, 1991); ii) *literature on the impact of contextual socio-cultural conditions on economic development* (Marshall, 1961; Becattini, 1991; Bagnasco, 1977; more in general the *literature on the so-called Third Italy*); iii) *literature focusing on labour market and industrial dynamics*, for instance the birth of innovative clusters, where technological innovation relies on social interaction and knowledge exchange between the actors involved (Trigilia, 2005; Cerase et al. 2005; De Rita and Bonomi, 1998; Garofoli, 2001; Martin and Sunley, Rodriguez-Pose, 2002; Aydalot, 1986; Isaksen and Haug, 2002); milieu/regional innovation systems. Particular attention will be also paid to literature on transaction costs as well as on community economic development.
- The second one deals with literature focusing on the transformation in the decision making process, i.e. on the debate between government and governance. In looking at these debates different issues will be considered: *hierarchical way of decision making versus “diffused decision making responsibility”*; *governance as a value (e.g. deliberative democracy) or as an innovation of the decision making process due to involvement of non traditional participants*; and *governance as a learning process of public and private actors*. These debates underline a shift from state-based public policy to a more pluralistic or polycentric system, as partnership and inclusive strategies are considered the appropriate response when public institutions have to deal with the challenge of desire for participation and the need for public goods not sufficiently covered by the standard decision-making process (Bassoli, 2010). Indeed, governance is conceived as an alternative governing system to the hierarchal and market based ones (Mayntz, 2003; Rhodes 1996), founded on self-organized and inter-organizational networks. Governance is furthermore considered

to be also an end in itself as it is a way of achieving equity, equality and transparency, of exerting good democratic governing by allowing to maximize values such as inclusion, transparency, responsibility. However, the opening of policy processes does not always guarantee the ability to define problems and find the right solutions. This is particularly relevant in weak territories that do not have the competences, resources, and abilities needed in order to find the right solutions to complex problems. In these contexts, multilevel networks characterized by both vertical and horizontal integration, favour innovative solutions to traditional problems (Serravalli, 2004; Dente, Bobbio and Spada, 2005). In looking at the networks of actors particular attention will be paid to analysing the typologies of actors involved (economic, social, institutional political, etc), with a particular focus on non local actors. The institutional capacity required at different governance levels for an effective implementation of local development approaches will be also explored.

### **3. *How it should work?***

In this part the focus of the analysis is on identifying the conditions under which the local development approaches function. The purpose of the literature review is to provide information on the various characteristics and mechanisms that may influence the effectiveness of LDA such as:

- the structural characteristics of the network of actors, focusing in particular on the balance between central and local interventions as well as on the role intermediate institutions - the implementation processes (Arrighetti and Seravalli, 1999; Provasi, 2002);
- the importance of institutional and administrative capacity, as well as the ways in which it can be measured;
- typologies of contracts agreed for the LDA and the role and the importance of the public-private partnership, as well as of the different legal or informal mechanisms through which the contribution of local actors involvement in the monitoring and evaluation process at the program level can be institutionalised;
- tools and methods to evaluate local development initiatives (monitoring of processes, ex ante, intermediate and ex post evaluations, etc);
- the different policy tools and instruments that are used or planned in different experiences. The purpose is not that of identifying “ideal” instruments or tools, but of understanding the mechanisms that allow to those instruments or tools to function effectively.

## Output

The reconstruction of the theoretical frame will allow us not only to describe the different views (and their possible contradictions) on the LDAs but also the specific consequences for designing the evaluation of the local development approach and the contribution of local development in improving Cohesion Policy effectiveness and visibility.

One output of the literature review activity will be a chart in which various types of LDA are grouped and explained. The chart has analytical, not normative, purposes.

### Literature chart

Policies	Local development approach	Features
Describe the policy using the approach	Describe the approach	Focus on strengths and weaknesses

## Methodology

The above analysis is mainly of a qualitative type and is based on secondary sources of information and literature on local development. Besides the sources proposed by the Terms of Reference, the literature taken into account will cover different sources: *academic contributions; empirical research, studies and evaluations*. As mentioned above the literature review will take into account two relevant strands: on the one side economic literature and on the other side literature focusing on government and governance. Furthermore, empirical research and evaluations will also be taken into consideration. A preliminary list of literature to be reviewed is presented below. The list is organised according to the three main questions used to “read” the literature.

1. In order to answer to the question “What do we mean by local development?” the following literature will be reviewed

- Economic literature:

Alburquerque, F. (2002) Desarrollo económico local y cooperación descentralizada Para el desarrollo; in: *Desarrollar lo local para una globalización alternativa*. Ed. Hegoa, Bilbao. (pp. 2-13).

Alburquerque, F. (2008) Innovación, transferencia de conocimientos y desarrollo económico territorial: Una políticapendiente; *ARBOR Ciencia, Pensamiento y Cultura*, CLXXXIV 732 julio-agosto (2008) 687-700.

Barca F. (2009), "An Agenda for a Reformed Cohesion Policy. A Place-based Approach to Meeting European Union Challenges and Expectations", Independent Report.

Calvo, R. (2009) Reflexiones sobre el modelo de desarrollo local: Propuesta de un decálogo de retos de futuro; *Investigaciones Regionales*, Núm. 14, pp. 133-153.

Donzelli Trigilia, C. (2005) Sviluppo locale. Roma-Bari, Ed. Laterza.

García Docampo. M. (Eds.) (2007): Perspectivas teóricas en desarrollo local. Netbiblo.

Garofoli G. (2001) Lo sviluppo locale: modelli teorici e comparazioni internazionali, Mimeo.

Pike A., Rodriguez-Pose A. & Tomaney J. (2006), Local and regional development, London: Routledge.

Rowe, J.E. (Ed.) (2009) Theories of local Economic Development; Ashgate; Farnham (UK).

Sanchis Palacio, J.R. (2005) Dirección Estratégica del Desarrollo Local: la triple dimensión del proceso; Noticias de la Economía Pública, Social y Cooperativa núm. 45, pp. 26-34.

Vázquez Barquero, A. (2009) Desarrollo local, una estrategia para tiempos de crisis; Universitas Forum, Vol. 1, No. 2, May 2009.

- Government and governance

Brugué, Q. i Gomà, R. (Coords.) (1998): Gobiernos locales y políticas públicas. Bienestar social, promoción económica y territorio; Ariel Ciencia Política, Barcelona.

Brugué, Q. Gomà, R. and Subirats, J. (2005) Gobernar ciudades y territorios en la sociedad de las redes, en Reforma y Democracia. Revista del Clad. N. 32 (pp. 5-18).

Donzelli. Bassoli M. (2010) Local governance arrangements and democratic outcomes (with some evidence from the Italian Case) in Governance, volume 23, issue 3, pages 485-508

Denters B., Lawarwence E. Rose (2005), Comparing Local Governance, New York; Palgrave Macmillan

Fleury, S., Subirats, J. i Blanco, I. (Eds.) (2008) Respuestas locales a inseguridades globales, Fundació CIDOB, Barcelona.

Janssen, MA. , Anderies, JM. and Ostrom, E. (2007) Robustness of Social-Ecological Systems to Spatial and Temporal Variability', Society & Natural Resources, 20: 4, PP. 307-322.

Torfin J., Sorensen E., Christensen L.P. (2003) Nine competing definitions of governance, governance networks and meta-governance, Working paper series, Roskilde, Center for Democratic Network Governance.

- Studies and evaluations on policies using local development approaches

ADETEF, Notre Europe, Aeidl, CC (2010), Cohesion Policy support for local development: best practice and future policy options.

Applica, (2010) Ex post evaluation of cohesion policy programmes 2000-2006 co-financed by ERDF Objective 1 and 2.

2. In order to answer to the question “Why should local development work?” the following literature will be reviewed:

- literature referring to development and institutional economics:

Amin, A. (2009) *The Social Economy*. London, Zed Books.

Aydalot, P. (1986) *Milieux innovateur in Europe*. Paris, GREMI.

Bagnasco A. (1977) *Tre Italie. La problematica territoriale dello sviluppo italiano*. Bologna, Il Mulino.

Bagnasco A. et al. (2001) *Il capitale sociale. Istruzioni per l'uso*. Bologna, Il Mulino.

Barca F. (2009), "An Agenda for a Reformed Cohesion Policy. A Place-based Approach to Meeting European Union Challenges and Expectations", Independent Report.

Becattini G. (1991), The industrial district as a creative milieu, In Benko G. e Dunford M. (a cura di) *Industrial Change and Regional Development. The Transformation of New Industrial Spaces*. London, Belhaven.

Cerese, F. et al. (2005) *Lo sviluppo possibile*. Milano, F. Angeli.

Cooke P. and Morgan K. (1998) *The Associational Economy: Firms, Regions and Innovation*. Oxford, Oxford University Press.

Consiglio italiano per le scienze sociali (2005), *Tendenze politiche dello sviluppo locale in Italia. Libro bianco*, Marsilio editore.

De Rita, G. and Bonomi, A. (1998) *Manifesto per lo sviluppo locale*. Torino, Bollati Boringhieri.

Faludi, A. (2004) Territorial Cohesion: Old (French) Wine in New Bottles, *Urban Studies*, 41, 7.

Garofoli G. (2001) *Lo sviluppo locale: modelli teorici e comparazioni internazionali*, Mimeo.

Krugman P. (1991), *Geography and Trade*, Cambridge Press, Mass., Mit Press Isaksen, A. and

Haug, E. (2002) *Regional Clusters in Europe*. EC, SMEs Observatory.

Laville, J.L. (2007) *L'économie solidaire. Une perspective européenne*. Paris, Hachette Pluriels.

Lundvall, B.A (1992) *National Systems of Innovation*. London, Pinter Publishing.

Longworth N. (2007) *Learning Cities, Learning Regions, Learning Communities: Lifelong Learning and Local Government*

Marshall A.(1961) *Principles of Economics: an Introductory Volume*. London, MacMillan.

Martin, R. and Sunley, P. (2003) Deconstructing Clusters: Chaotic Concept or Policy Panacea? *Journal of Economic Geography*, 3, 1.

Maskell P. and Malmberg A. (1999) Localised Learning and Industrial Competitiveness, *Cambridge Journal of Economics*, 23.

Perroux, P. (1956) *Théorie générale du Progrès économique*. Cahiers de l'ISEA.



Persson L. (2003) Local responses to global changes: economic and social development in Northern Europe's countryside

Pike A., Rodriguez-Pose A. & Tomaney J. (2006), Local and regional development, London: Routledge.

Pizzorno, A. (1999) Perché si paga il benzinaio. Nota per una teoria del capitale sociale, Stato e Mercato, n.57.

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3. In order to answer to the question “*how should local development work*” the following literature will be reviewed:

- *evaluations of EU policies using a local development approach:*

Applica, (2010) *Ex post evaluation of cohesion policy programmes 2000-2006 co-financed by ERDF Objective 1 and 2*.

Bernard Brunhes International (2006) *EU wide evaluation of the community initiative EQUAL 2000–2006*.

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Technopolis (2008) Analysing ERDF co-financed innovative projects.

Summing up the literature review task foresees the following tasks and deliverables:

<b>Literature review</b>		
<b>Research phase</b>	<b>Activities</b>	<b>Deliverable</b>
Preparing the first interim report	Review of main literature on local development approach: economic literature; government and governance literature and studies and evaluations	<b><i>First Interim Report:</i></b> Literature review chapter including the definitions of local development approach; the theoretical reasons for which one should expect that the LDA is able to deliver the expected benefits; and evidence on the conditions under which the local development approach works.

## 2.3 Task 2 Case studies "What happens on the ground?"

### 2.3.1 Subtask 2.1 Overall review

#### Aims

After getting a general overview of local development approaches and drawing on literature findings (Task 1), the Consortium will carry out an **overall review of the 38 Operational Programmes** (see Annex 1 for the complete list of OPs to be analyzed) identified in the Terms of Reference as those which allocated the largest absolute amounts of ERDF resources to categories of expenditure relevant for territorial policy.

As specified in the Terms of reference, the main aims of the overall review are the following:

- assess whether or not they have employed the local development approach as a delivery mechanism for territorial interventions and establish the amount of resources allocated;
- assess whether or not they have employed the local development approach as a delivery mechanism for other areas of interventions and establish the amount of resources allocated;
- review the information on local development approaches implemented on the ground (in particular, assess whether Operational Programmes employed "sub-delegation" under Art. 37 of the General Regulation).

This means that the review will have firstly to understand whether or not these 2007-13 programmes actually used local development approaches contributing to develop a better understanding of how local development *approaches* (mostly documented in Task 1 – Literature review) *have been translated into the regional Operational Programmes*.

The overall overview of the Operational Programmes will constitute the basis to identify a list of 10 interesting regional cases covering a variety of contexts and practices to be considered in deciding the definitive list of cases for examination under subtask 2.2.

### **Methodology**

The analysis implies a careful and close examination of the 38 OPs of the 2007-2013 programming period. The OPs of the 2000-2006 programming period referring to the same country/regional area will be also examined in order to understand LDA evolution if any. Other relevant information may be derived from mid-term evaluations and annual Implementation reports for the 2000-06 period and from ex ante evaluation and annual implementation reports till 2009 for the 2007-2013 period. All these documents were made available by the Commission.

If necessary, the desk review could be combined with some interviews to national/regional stakeholders in order to complete the information deriving from the OPs and other documents analysis.

For the choice of the 10 regional cases, we propose the following steps:

- grouping the 38 OPs in order to identify groups of similar OPs according to the following set of variables: presence/absence of a LDA; different features of local development approaches implemented on the ground; different interventions typologies covered by the Programme.
- Identification, within each group, of one or more regional cases to be proposed in the list.

The main criterion of choice will be related to the fact of having actually used local development approaches.

The identification of the specific cases will be done by taking into consideration, if possible, also the following criteria:

- territorial and geographical coverage: we propose to pay attention to the different European macro-areas (southern, eastern, centre) and to the coverage of new and old member states;
- continuity and history: we propose to pay attention to the presence of a certain continuity between the 2000-2006 and the 2007-2013 programming period in terms of use of LDA as well as a certain “history” of the Region in dealing with local development issues;

- innovative experiences, procedures and delivering mechanisms implemented: this criteria will be particularly important also for the identification of the mini case studies connected to the regional cases.

The examination of the 38 OPs will be carried out by the Consortium Team and by regional/country experts using a common grid.

#### Grid for the analysis of the 2007-2013 Operational Programmes

<b>COUNTRY: OPERATIONAL PROGRAMME: PROGRAMME TOTAL FUNDING:</b>
<b>PRESENCE/ABSENCE OF LOCAL DEVELOPMENT APPROACHES: WHETHER AND HOW THE PROGRAMME PROVIDES FOR THE USE OF LOCAL DEVELOPMENT APPROACHES</b>
<p><i>Has the Operational Programme employed any local development approach? Please, answer this question keeping in mind that for the purpose of this study the Terms of Reference defines local development approach as a "bottom-up methodology implemented at sub regional level that is strategic and multidimensional, based on local partnership, and where networking and capacity building are important building blocks".</i></p> <p><i>If yes, the local development approach previously described is the methodology typically used to implement territorial policy interventions? According to the Terms of Reference, "territorial interventions" refer to the following expenditure categories: Urban and rural regeneration (Integrated projects for urban and rural regeneration); Environmental protection and risk prevention (Rehabilitation of industrial sites and contaminated land, Promotion of biodiversity and nature protection, Promotion of clean urban transport); Tourism (Promotion of natural assets, Protection and development of natural heritage, Other assistance to improve tourist services); Culture (Protection and preservation of the cultural heritage, Development of cultural infrastructure, Other assistance to improve cultural services); Investment in social infrastructure (Education infrastructure, Health infrastructure, Childcare infrastructure, Housing infrastructure, Other social infrastructure). Please, answering to this question, specify Priority Axis, indicative activities and the amount of ERDF and total amount of financial resources dedicated. Please, also specify if for all the interventions identified the local development approach is used or if only for a specific percentage.</i></p> <p><i>If yes, the local development approach previously described is also the methodology used to implement other type of policy interventions?</i></p> <p><i>Has the local development approach a linkage to what was programmed and implemented during the 2000-2006 programming period? Please, in answering this question, make reference to the 2000-2006 Operational programme in order to detect any continuity with the past.</i></p>
<b>DELIVERY MECHANISMS FOR LOCAL DEVELOPMENT APPROACH AND ACTORS INVOLVEMENT</b>
<p><i>Which delivery mechanisms were used for local development approach implemented on the ground? Please, answering to this question, also assess whether Operational Programme employed sub-delegation. According to Article 37 of the General Regulation, the operational programmes</i></p>

*financed by the ERDF may also contain the list of cities chosen for addressing urban issues and the procedures for sub-delegation to urban authorities, possibly by means of a global grant as defined by Article 42 of Regulation (EC) 1083/2006. Please, also assess whether the local actors involvement is part of the implementation of the local development approach.*

***Have local actors been involved in monitoring and evaluation systems at programme level?***

Monitoring of the Operational Programme

Evaluation of the Operational Programme

***Have local actors been involved also at early stage of the Programme definition (planning)?***

### **COMPLEMENTARITY WITH OTHER DEVELOPMENT PLANS/PROGRAMMES AND OTHER EU POLICIES AND FUNDING INSTRUMENTS**

***Has the Operational Programme any complementarity with other planning documents and funding instrument in the territory?***

## **Output**

The outputs of the analysis, part of the first Interim report, are the following:

- *38 short dossiers for each OP* that, according to the above grid, will describe the presence/absence on every items and some qualitative description, besides to general information of the region such as: location, cohesion policy objective, amount of European funds dedicated;
- *A synthesis of the approaches used by the 16 States related to the 38 OPs;*
- *A list of 10 regional cases* made by a 1 page summary sheet for each case, covering: a short description of the approach; a justification for the choices made; the description of evaluation methods to be used for the case study; the analysis of data available and needed; the identification of contact points.
- *The overall methodological approach for case study and mini-case study analysis* including templates of the case studies and of mini case studies under sub task 2.2 besides the clarification of the specific methodological instruments and techniques (interview guides, questionnaires, etc) that will be used by the regional experts.

### **2.3.2 Subtask 2.2 Regional case studies**

#### **Aims**

Task 2.2 will start providing the choice of the final 5 regional case studies to be covered by the analysis. The final choice will be agreed with the Commission and will take into account suggestions and input from Steering Committee and the three external experts.

Once agreed on the 5 case studies, the realization of the case study research could start aiming at:

- giving a complete description of the regional case under analysis;
- deepening the contribution of the LDA to the delivery of interventions co-financed by the ERDF in local contexts and, moreover, to the cohesion policy;
- providing information for operative recommendations deriving from the single cases and useful for the Commission or other relevant actors.

Entering in more details, the regional case studies main objectives are:

- A. to provide a general and comprehensive description of the case under analysis giving information on the regional context features (main regional socio-economic conditions and trends, demographic structure, urbanization level, political and institutional characteristics, with a focus on the autonomy level of the region and on the management authority of ERDF), on the main problems and policies addressing them, focusing on those using the LDA, in the 2000-06 and 2007-13 periods, and specifying the ERDF interventions analysed in the case. The analysis will focus on a selection of interventions financed in the 2000-06 programming period, for whom first and secondary information are already available. Furthermore, it will also consider interventions financed in the 2007-2013 programming period if the implementation stage consents it.
- B. to evaluate the effectiveness of the interventions co-financed by ERDF, in terms of results achieved with respect to the economic, territorial and social cohesion goals set up for the region. It aims, in fact, to evaluate the contribution of the ERDF co-financed initiatives to tackle some of the most relevant territorial problems and to the balance among regions by tailoring actions to local needs. Furthermore sustainability of such interventions will be taken into consideration. In analyzing the ERDF co-financed initiatives, attention will be also paid to how they relate to other local strategy building initiatives as well as with the other national/European funds.
- C. to evaluate the success of the local development plans/strategy, in terms of capacity growth, persistence, more integration and density of policy networks. By using the bottom-up analysis and the network analysis (see later in methodology), this part of the evaluation aims to describe the networks of territorial actors and the evolution of the network form between the two programming periods. It aims also to reconstruct the links between the LDA plans financed during the 2007-13 programming period and previous periods as well as between LDAs plans and other local strategy building initiatives and the spillover effects on other areas of intervention. In this case, the analysis will consider not only interventions co-financed by ERDF, but also by other EU/national/international funds. Interviews to privileged actors will allow us to analyze the changes in the actors' capacity of

programming and implementing projects, including the capacity to manage large funds and networks.

- D. To highlight the mechanisms that link context related features to the design related features and explain the success of the regional LDA approach. This point aims to describe the characteristics of the specific LDA strategy adopted (both in the starting design features and in the following adaptations) searching for the mechanisms (defined as “sometimes true, (partial) theorization of complex temporal phenomena in the social world”<sup>10</sup>) that can explain its functioning and success, compared to other similar strategies. Failure mechanisms should be also identified.

These areas of research will allow the Consortium to answer to the evaluation questions posed by the Commission and to add other relevant questions:

- How well have the local plans been managed in terms such as project selection, project support, monitoring, evaluation, communication/publicity, etc? Have administrative costs been reasonable and proportional? What have been the main factors underlying the performance of the management system? What are the main strengths and weakness of the approach? (In answering these questions the Consortium will analyse the nature of the implementing bodies - public, private, public/private - and whether and how it has influenced the overall performance of the management system)
- To what extent has the local development approach contributed to the improvement of local economic and social conditions? Has it helped to tailor actions to local needs? To what extent, and how, has it exploited synergies between different policies and programmes at local level?
- What have been the main effects of local development practices on socio-economic development and on territorial balance within the region? To what extent, and how, have regional strategies and local development plans been combined to contribute to territorial development? In particular, has the local development approach contributed to overcome underlying problems of fragile areas?
- Has local development improved the capacities of local communities to plan and implement development strategies? How successful have local development been in building the capacity of local partners over the two programming periods? What factors underlie success or failure? (The answer to these questions will focus on issues such as: local mobilisation, active citizenship, information and communication, capacity building actions, animation, networking and exchange of good practices...)
- To what extent has the management and implementation system of local development practices had spill-over effects on the local institutional and administrative culture? Has exchange of good practices been promoted?

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<sup>10</sup> Barzelay, M. (2007), 'Learning from Second-Hand Experience: Methodology for Extrapolation-Oriented Case Research', *Governance* Vol. 20, No. 3, 521-543, 2007.



- To what extent are the impacts of local development likely to prove sustainable beyond the end of the programming period? What are the main factors driving this?<sup>11</sup>

Other research questions could be added.

## **Methodology**

All case studies will be based on description of the socio economic and political context of the region considered and of the main characteristics of the interventions co-financed by the ERDF in the 2000-06 and 2007-13 programming period (types of policies promoted, amounts of funds dedicated, type of LDA approaches involved; continuity/changes between the two programming periods and links between the ERDF interventions and other national/European/international funds).

A complete description of the LDAs will be provided, describing the rationale and the main feature of the approaches (main objective: economic/social/territorial cohesion; integrated/sectoral approach; supporting programmes and funding sources; vertical and horizontal integration of policies; coordination with other European and national funds and other local strategy building initiatives; role of Jessica for funding urban projects), the procedure to select local areas (method by which sub-regional areas were chosen; functional/geographical distribution of funds; exclusion, selection and award criteria such as the size of areas eligible for local development interventions and number of inhabitants involved, geographical coverage, role of partnership, role of institutional capacity to manage local strategies, etc), the kind of actions undertaken (main objectives, areas of intervention, financial allocation, outcomes), the operational structures and procedure activated (key actors involved, with a particular focus on the role of regional, national and European institutions in designing, managing and evaluating local development plans; horizontal and vertical distribution of responsibilities; degree of local partnerships and participation; nature of operational structures – public, private, public/private – and their role; rules to ensure sound financial management; incidence of administrative costs, etc) and the role of capacity building actions, animation and networking.

The research method is articulated referring to the different areas of research in a strict connection. It is clear that this methodology is particularly suited to understanding and handling not only the complexity connected to Cohesion policies, but also the multiplicity of actors involved in programming and implementing these policies. The analysis of the effectiveness of the interventions using LDA in terms of results achieved could be better explained, thus, through an analysis of the different typologies of actors involved in the LDA and the implementation and delivery procedural mechanisms that have been used.

Specific methodological choices are listed below.

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<sup>11</sup> Terms of Reference.

**Analysis of the effectiveness of the interventions co-financed by the ERDF using LDA, in terms of results achieved with regards to the economic and social cohesion goals.**

For any regional case study, the main characteristics of the policies based on a local development approach co-financed by ERDF during the 2000-06 and 2007-13 programming period will be described.

A selection of the most relevant interventions using the LDA for the achievement of socio-economic cohesion goals will be made.

In selecting such interventions the continuity between the two programming periods as well as the complementarity and/or integration with other regional/national/European/international funds and other local strategy building initiatives will be considered.

As to the 2007-13 programming period, we will realize a map of the most relevant local development interventions at works; the map will be used as a basis for the network analysis explained below.

In looking at the effectiveness of the interventions co-financed by ERDF using LDA, in terms of results achieved with regards to economic and social cohesion goals, the contractor will use regional and local data (social, economic and territorial indicators) related to better living, territorial balance and socio-economic development in order to analyse the level of socio and economical development registered since 2000 and changes occurred with respect to the previous period.

Furthermore, the contractor will analyse the direct and indirect results of these interventions in terms of achieving economic and social cohesion as well as better living conditions and territorial balance within the region. Starting point of the analysis of the contribution of ERDF co-financed interventions using LDA will be a series of interviews with the responsible of interventions and other relevant actors involved in order to evidence the local development features and its achievements. The general hypothesis is that LDA improved the effectiveness of ERDF interventions in delivering economic and social cohesion by activating more complex, dense and centrally steered networks<sup>12</sup>. In fact, more complex and dense the network of actors in charge of the different policies is in a given

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<sup>12</sup> The complexity of the network refers to the different nature (politicians, bureaucracies, economic actors, social actors, experts) and intervention level (local, regional, national, international) of the actors involved. As knowledge and resources available for solving problems or taking opportunities through public policy intervention are dispersed among a multiplicity of actors, more different actors (both of a different type and level) are involved at all stages of the policy process, higher are the possibility to find innovative solutions to problems/opportunities. However, it is not enough to involve different types of actors, but there is also a need for the actor network to be tight. This means that interactions should occur not only between bureaucracies and/or economic/social/expert actors, but also directly between these actors. In fact, tightness refers to the concept of social capital existing in a given context. Furthermore, centrality refers to the capacity of ensuring the direction of the network of actors, i.e leadership. Moreover, a complex and tight network of actors characterized by both horizontal and vertical cooperation, consists in the capacity of each actor to take into charge the other actors' problems, indifferently of the level or nature of the actor. The output of this type of cooperation put into place at all stages of the policy making process refers to the creation of a policy community in a given territory, which develops interaction modes based on sharing resources in order to reach common aims.

period of time, the probability to achieve effectiveness and relevance of the policies implemented is higher (Bobbio, Dente and Spada, “*Government or Governance of urban innovation?*”). Data coming from regional monitoring systems will complement qualitative data and information. In the likely event that few or no result indicators are contained in the monitoring system, an alternative quantitative assessment will be made on the basis of surveys focusing on relevant projects (see later in Source of information).

**Analysis of the local development strategy success, in terms of improvement of the actors’ capacity, integration and density of policy networks.**

This part of the research aims to:

- analyze the local development plans/strategies adopted at the local level and their main characteristics, as well as their degree of continuity and change over time; The analysis of local development strategies adopted at the local level will be carried out by means of qualitative research tools. It will reconstruct the explicit and implicit choices adopted and changes occurred over time. Information sources consist in Operational Programmes, detailed projects and interviews to relevant actors. Each case study will include an analysis of the local development strategy adopted, of the main actors’ roles, of the managements structures foreseen as well as of the main changes occurred over time.
- evaluate the impact of local development strategies on the territorial governance networks, on the local actors’ capacities (in terms of planning, partnerships and processes management, and implementation of designed initiatives) and on the strengthening of the cooperation level between actors.

As underlined above the general hypothesis is that LDA operates through the involvement of relevant actors in all policy phases (programming, implementation and evaluation), and, thus, the strengthening of the complexity, density and centrality of the network of actors both in the programming and implementation phases. Therefore changes occurred in the networks of actors since 2000 in terms of increased complexity, density and centrality shows the way through which LDA has been used.

In evaluating the effect of LDA on territorial governance, the network analysis will be used.

***The network analysis*** will start with the analysis of the main interventions using LDA (financed both by ERDF and other types of funds) implemented at the moment. The purpose is to reconstruct the relations and causal links with the previous programming period<sup>13</sup>. In particular we intend to evaluate how the 2007-2013 programming period continues or not the previous local development initiatives. This evaluation will be carried out through the bottom-up analysis methodology, as it allows to check the unintended consequences of a policy, to analyze phenomena that are highly contextualized and difficult

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<sup>13</sup> Elmore, R. F. (1985), Forward and Bacward mapping: Reversible Logic in the Analysis of Public Policy, in Hanf e Toonen (eds), Policy Implementation in federal and UNitary Systems, Martinus Nijhoff, pp.33-70.

to generalize and to understand the result of the interaction between different causal elements<sup>14</sup>. The analysis will focus in particular on the continuity, in terms of:

- Territorial continuity, namely maintenance or changes occurred in the territorial unit during the entire policy cycle; in case of changes, these will be analyzed in depth (coincidence, inclusion, heterogeneity);
- Strategic continuity in order to evaluate if initiatives intervening on a certain territory have the same development objectives or/and how they change;
- Organizational continuity in order to evaluate if the structures created for the project management continue to function even after the end of the project. Here we intend to evaluate the institutionalization of the organizational structures;
- Continuity of the networks of actors. The analysis will allow us to evaluate if local development networks strengthen and reproduce themselves over time, creating a relational capital (both in terms of horizontal and vertical cooperation) to be “spent” in future experiences. Furthermore, the analysis will outline which actors maintain a role in the entire policy cycle and changes occurred in the project coalitions.

***The identification of the actors involved*** will allow us to analyze their main features and the configuration of the network created through the network analysis methodology. Firstly, the actors will be subdivided on the basis of their stake (politicians, bureaucrats, economical and social actors) and the action level (local, regional, national, international). This method has been experimented in a research granted by the Italian Ministry of Universities and Scientific research, on social capital, governance and innovations, under the coordination of the IRS scientific director<sup>15</sup>.

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<sup>14</sup> Sabatier, P. (1986), Top down and Bottom-up Approaches to Implementation Research: a Critical Analysis and Suggested Synthesis”, *Journal of Public Policy*, 6:1, pp.21-48.

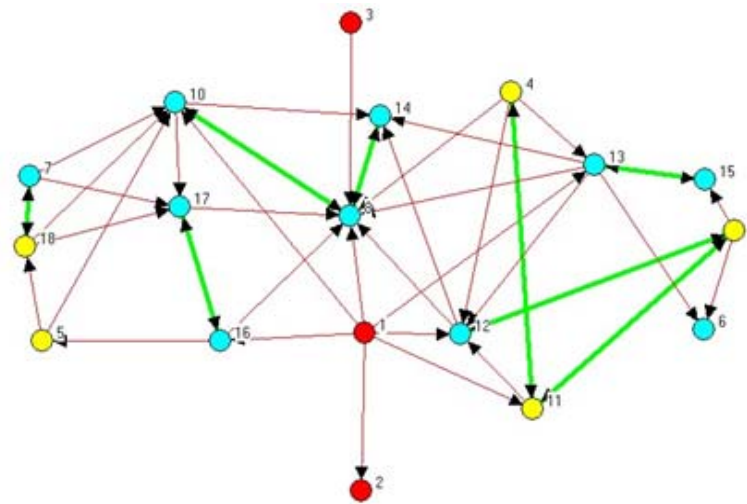
<sup>15</sup> MIUR/COFIN, “Capitale sociale, reti di governance e innovatività nelle politiche a scala metropolitana”. See also: B. Dente, L. Bobbio, A. Spada, Government or Governance of Urban Innovation? A tale of two cities, in *disP* 162, 3/2005, pp.41-52.

**Table 1 The model for the actors analysis**

Level	Type of actors <sup>16</sup> , based on the modes of rationality				
	Political	Bureaucratic	Experts	Special interests	General interests
International	–	–	–	–	–
National	–	–	–	–	–
Regional	–	–	–	–	–
Local	–	–	–	–	–

Secondly, the networks of actors will be analyzed by using the **network analysis**.

**Fig. 1 – An exemplar graph realized through the network analysis**



This type of analysis maps and measures the relationships and flows between people, groups, organizations, etc. The node in the network represents people and groups while the links show relationships or flows between the nodes. Other variables can be represented by the colour and thickness of the lines and nodes. Network analysis has emerged as a key technique in various sciences (e.g. sociology, anthropology, geography, social psychology, economics, biology, etc) to represent the relationships between members belonging to a particular social system/group/organization/etc. Research in this field has shown that social networks play a critical role in determining the way problems are solved, organizations are

<sup>16</sup> Bureaucratic actors are those actors that base the legitimacy of their intervention in the policy process on the claim that formal rules and procedures confer them a specific responsibility in the process; political actors are those actors that base the legitimacy of their intervention on the fact of representing citizens as they enjoy citizens’ consensus; experts are those actors that base the legitimacy of their intervention in the policy process on the claim of having the knowledge needed in order to solve the problem; special interest actors are those actors that base the legitimacy of their intervention on the fact that they are directly affected by the policy decision, meaning that they will conceptualise the problem in terms of maximizing the benefit/cost ratio from their specific point of view; general interests actors are those actors that base the legitimacy of their intervention in the policy process on the fact that the interests they represent are general (e.g. environmentalist, NGOs, etc) and on the fact that they represent groups that cannot defend their interests by themselves.

run, and the degree to which individuals succeed in achieving their goals. The utility of the network analysis stems from its difference from traditional social scientific studies, which assume that it is the attributes of individual actors that matter. Social network analysis produces an alternate view, where the attributes of individuals are less important than their relationships and ties with other actors within the network.

**Identification of mechanisms that explain the success of local development strategies adopted in relation to the context and actors**

This phase consists in a description of the key processes that brought to significant results both from the point of view of outcomes and relations with other actors. This description will also take into account information deriving from the previous tasks. Within these processes, we will individuate the mechanisms that can explain the achievement of results and that can be a useful reference for the planning of local development initiatives. Mechanisms that explain failure will also be considered. According to the extrapolative research programme proposed by M. Barzelay, the mechanisms are considered to be the elements that link process design features to process context factors. For instance, some examples of mechanisms are: the process of “actor’s certification”, “performance feedback”, “attribution of opportunity”, as shown in the figure below<sup>17</sup>. These mechanisms or others<sup>18</sup> will be identified in the cases described and further analyzed. At the same time, particular attention will be devoted to all those procedural mechanism that have been activated in the implementation and delivery phase and more in general to the mechanisms that can be transferred elsewhere through specific processes.

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<sup>17</sup> Barzelay (2007), cit.; McAdam, Doug, Sidney Tarrow, and Charles Tilly (2001) *Dynamics of Contention*, Cambridge University Press, 2001

<sup>18</sup> Various social mechanisms are cited in literature. The list is too vast to be reported in this report, but is worth noticing some other examples: the “mutual control” cited by Bentham (1931, the theory of legislation, London, Routledge); public disclosure and naming and shaming (Pawson, Ray, *Evidence and Policy and Naming and Shaming. Policy*. ESRC UK Centre for Evidence Based Policy and Practice. London, 2001); reciprocity (Barbera, Filippo. *Meccanismi sociali*. Bologna: Il Mulino, 2004); Certification and decertification (McAdam, Doug, Sidney Tarrow, and Charles Tilly (2001) *Dynamics of Contention*, Cambridge University Press, 2001).

**Fig. 2 An example of extrapolatory case study using social mechanism (Barzelay, 2007, 536)**

**Structure of the Case Explanation**

Social Mechanism	Process Design Features	Process Context Factors
Actor certification	<p><i>Guiding ideas:</i> presidential priorities, management system for core public sector, project management approach, project managers' responsibilities, results orientation in government, theory of constraints</p> <p><i>Governance arrangements:</i> structural positions of planning secretariat and managers in sectoral ministries</p> <p><i>Structured events:</i> Appointing program directors, selecting project managers, public release of manager names, socialization occasions</p>	<p><i>Institutions:</i> presidency, central coordinating agencies, sectoral ministries, state-owned enterprises; career systems within economic area of Federal government, personnel rules</p> <p><i>Ideas:</i> Project management, national process of development</p> <p><i>Related policy developments:</i> managerial reform of the state</p> <p><i>Political stream:</i> sustained media interest in the program</p>
Attribution of opportunity	<p><i>Guiding ideas:</i> presidential priorities, "guaranteed" funding for projects, pilot project in results-oriented public management</p> <p><i>Governance arrangements:</i> planning secretariat as clearance point for release of budgeted funds, presidency as venue for resolving disputes</p>	<p><i>Ideas:</i> Development agenda can be pursued, given macroeconomic stability attained</p> <p><i>Related policy developments:</i> selection of infrastructure as a priority area, closure on qualities of the management system and on actual project priorities</p> <p><i>Political stream:</i> president's attentiveness to program symbols and substance, program seen as source of presidential popularity, prospect of reelection, presidential quota includes central coordinating agencies</p>
Performance feedback	<p><i>Guiding ideas:</i> managers responsible for projects, management system's operation is important to president,</p> <p><i>Governance arrangements:</i> roles and responsibilities for management information system</p> <p><i>Structured events:</i> defining projects, negotiating targets, monitoring project status, reporting formally and informally, identifying constraints, taking corrective action, disseminating information to media, sending progress reports to president on monthly basis, replacing nonperforming managers, annual review of program and project performance</p> <p><i>Cognitive techniques:</i> various quality and project management techniques</p>	<p><i>Institutions:</i> presidency, central coordinating agencies, sectoral ministries, state-owned enterprises, career systems within economic area of Federal government</p> <p><i>Ideas:</i> Project management, national process of development</p> <p><i>Political stream:</i> sustained media interest in the program</p>

**Sources of information**

The main information sources are the monitoring systems of the regional programs, secondary sources such as intermediate evaluations, programme documentations, sub-regional development plans, and direct interviews to relevant actors.

Priority will be placed on qualitative data in order to describe the case analyzed. The main source of information will consist mainly in a series of semi-structured interviews conducted during site-visits<sup>19</sup>. In order to obtain information pertinent to the results achieved by the programme being examined, external observers and beneficiaries (evaluators, experts, representatives of stakeholders' associations) will be prioritised for interview; to the extent possible, officers in charge of the implementation of the programme<sup>20</sup> will be interviewed. These semi-structured interviews will also be useful in order to identify and select relevant projects or approaches which could be the objects of further research either through focused surveys, or in the context of the "mini-case studies".

In addition, other sources of information will be considered: official programme documents, grey literature, evaluation reports.

<sup>19</sup> At the moment, it is not possible to further specify how many days will be used for case-visits. It is expected that up to 5 days could be used for this for each case study.

<sup>20</sup> They are likely to be more concerned by management issues and less with the impacts eventually achieved. In addition, they might occupy different positions at present, preventing them to have an accurate view of long term effects of past interventions.

Qualitative data will be integrated by quantitative data on outputs and results coming from the monitoring systems accessible from the Managing Authorities responsible during the programming period. Furthermore, evaluations could also contain quantitative data on outputs and results.

If such data proves insufficient to describe the hypothesis at the basis of the case selection, additional sources of information will be considered. In this case, it is expected that focused surveys of beneficiaries may be conducted in the context of the regional case studies. These surveys will concentrate on specific projects identified by the country expert as particularly relevant with respect to LDA and may survey both beneficiaries and project managers, and/or key local representatives (e.g. local business chambers of commerce). At the moment, it is not possible to further specify if this task will be necessary and which its main characteristics could be. In any case, any beneficiary surveys will need to be few in number, carefully selected and properly resourced.

**Overall, factual evidence** shall be acquired on the basis of:

a) Qualitative analysis:

- *Desk research* on relevant regional programming and managing documents, subregional documents (i.e., for example, local development plans and guides) and, when deemed important national policy and/or programming documents<sup>21</sup>;
- *Actor analysis*;
- *Network analysis*.

b) Semi-structured interviews with:

- Regional policy makers and stakeholders;
- main official(s) at the Managing Authority in charge of the management of ERDF interventions;
- representatives from beneficiaries;
- members of the partnerships.

It is expected that up to 15-20 interviews will be realised for each case study. Interviews will be chosen through a snow ball method. An interview guide will be provided with the first Interim Report.

c) Quantitative desk analysis of:

- *monitoring data*: either presented in the managing documents and / or through direct access to the monitoring system;
- *complementary regional and national statistical and administrative data*.

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<sup>21</sup> Documents to be analysed will be identified on a case by case basis by the regional experts and the Consortium team in order to include in the desk analysis all the documents considered important for the regional case studies to be undertaken.



- d) Focused Surveys of beneficiaries and project managers of a restricted number of relevant projects if necessary:

In case the data and information collected in the previously steps prove insufficient for explaining the case analyzed, beneficiaries and project managers surveys will be carried out for selected projects, which are considered relevant. Design and methodology will be defined on a case by case basis, depending on the project(s) selected.

- e) Territorial workshops:

A workshop with stakeholders will be organized at the end of every case study in order to present, discuss and diffuse conclusions. The final version of case studies will take into account the conclusions of the workshops.

**A pilot case study** will be realized with in order to test the research methodology proposed and to bring the necessary adjustments.

A possible regional pilot case study is proposed in the box below.

*Proposed regional pilot case study: 2007ES161PO008 Programa Operativo FEDER de Andalucía (Spain)*

In Spain, the local development approach has been present in the implementation of the regional development policies since their beginning. After the profound economic crisis of the mid seventies to mid eighties hit severely the whole country, with unemployment rates high-rocketing to 20%, most Spanish municipalities adopted policy initiatives based on a local development approach.

This was specially remarkable in Andalusia, as Gutiérrez noted in 1991, when the first wave of European funds was being deployed: “...*la movilización del potencial endógeno se ha transformado en un objetivo estratégico del desarrollo local, habiendo adoptado numerosas corporaciones locales, políticas específicas dirigidas a la consecución de este objetivo (the mobilization of the endogenous potential has become a strategic objective of the local development, having involved many local institutions and policies specifically addressed to the achievement of this objective)*”<sup>22</sup>.

Andalusia is the second largest (87.598 Km<sup>2</sup>) and the most populated (8.285.692 inhabitants in 2009) region (NUTS2) of Spain. It is also one of its least developed regions, measured in economic terms, and traditionally it has had a very high level of unemployment. Given this, the use of European funds in Andalusia has been increasingly anchored to a strategy based on sustainability on the broadest sense. In account of the fact that Andalusia is peripheral region, which traditionally has been very vulnerable to economic shifts, due to its low levels of industrial activity and economic diversification generally, the **main objective of the Andalusian strategy seems to be helping Andalusian municipalities to gain “resilience” through effective systems of participation of all the concerned actors**. Resilience is understood as the capacity to endure changes (economic, social and territorial, at local, national and global level) making the best use of

<sup>22</sup> Gutiérrez Fernández, A.: “Las corporaciones locales en Andalucía: experiencias de los cambios en la política municipal”, Actas de las X Jornadas de Andalucía y América, 1992.

their own resources –albeit often quite limited- for the production of economic and social value, thus keeping or even enhancing their capacity to provide for the basic needs of the people living in them..

The approach to economic development followed by Andalusian cities and towns has been coherent with the one followed by the regional institutions, parliament and government, which have enjoyed a very high degree of institutional stability since their creation and first election in 1982. The social democratic PSOE has held the control of the regional government (Junta de Andalucía) throughout this period, most of the time as a single party government, and most of the time with the leadership of the same president: Manuel Chaves (1990-2009). This has obviously provided for a **remarkable degree of continuity in public policies, among which the regional development policy – including the allocation of ERDF-**, which in Spain is, for the main part, decided and managed at regional level.

**Andalusia is thus an interesting regional study which may allow to detect how the use of a local development approach – especially with cities active involvement in projects implementation – has contributed to the effectiveness of Cohesion policy at regional level.**

The Operational Programme Objective 1 Andalucía 2000-2006 was embodied in the Regional Local Development Plan which was prepared and implemented in a strict connection and complementarity with both Structural Funds Programme and regional and local development policies.

The 2007-2013 ERDF Operational Programme (*Programa Operativo FEDER de Andalucía*), that is in **strict continuity to the previous programming period 2000-2006**, has seven strategic lines, one of them, accounting for 7,98% of the total budget, being “*local and urban sustainable development*”. In the OP the actions related to local and urban development are implemented through **integrated plans and program agreements** and are considered to have “*a certain cross-cutting character*” in relation to all other strategic lines, because many of the projects financed by ERDF will be carried on in a specific local setting, and the cities and urban areas are considered “*the centre and the engine of development*”, articulating the territory through innovation, the attraction of capitals and the creation of employment. Therefore the Program foresees a **stronger local and urban development strategy**, following European cohesion policy guidelines. The strategic objective of the sustainable local and urban development policy is to develop the system of Andalusian cities, towns and villages, enhancing its capacity to generate, in a sustainable way, activity and wealth, through the consolidation of the basic infrastructures, the commerce, the culture and the tourism, improving the social cohesion and the territorial equilibrium. The three specific objectives derived from this strategy are: 1. to foster a more sustainable urban development; 2. to push forward the Andalusian touristic sector, based on differentiation and quality and 3. to assess the historic heritage and the natural resources of Andalusia. The following are two examples of projects which have been financed by the ERDF Programme:

- The "De Cal y Canto" project in the province of Málaga aims at the enhancement of the urban centers of the municipalities in the region of the Sierra de las Nieves, by improving their habitability, accessibility and mobility following the parameters of sustainability and

preserving the ecological and cultural values of the region. The project hinges on the following actions: 1. Development of consultancy specialized in the rehabilitation of urban areas; 2. Improvements in mobility and accessibility; 3. Implementation of a common graphic language that identifies all members of the district municipalities; 4. Boosting the tourism values of urban areas, through the recovery of the historic streets; 5. Fixation in the territory of traditional activities and revitalization of the commercial fabric of historic centers, recovering public spaces. 6. Restoration of buildings and environments that are unique; 7 Actions for the general embellishment of the physical urban environment and 8. Awareness program towards the values of the local architecture and other cultural features.

- The socioeconomic regeneration project of the Nuestra Señora del Loreto neighborhood in San Juan de Alfarache (Sevilla). This project takes on culture, education and participation as keys to local development. It is structured in five actions which are connected to each other. 1. Creation of a Local Economic Development Center of Culture (LODEC), to encourage the development of the Culture Industry, through the availability of facilities that are crucial for creators and culture service companies; 2. Creation of business incubator in the audiovisual field, as well as complementary retail and restoration services, through the conversion of a public building. This will go with a specific program designed to attract entrepreneurs to the new facility; 3. Improvement of the audiovisual facilities of the archaeological interpretation center; 4. Project "Television for education and participation". It is devised as a space of innovation, linking participation, culture (LODEC) and education for the generation of alternative uses of the digital TV. Specifically, there would be three workshops (called "laboratories for educational TV"), each focused in specific topics, such as education, gender equality, new media and participation, job seeking, minority groups, intergenerational communication or environmental awareness (energy, water, waste recycling, etc.) and 5. Center for Citizen Participation. Expansion of an existing public cultural facility to incorporate in it the headquarters of the neighborhood associations, an office to coordinate associations, social assistance and time bank, spaces for shows, meetings, recreation and training shared by all associations.

The Andalusia pilot case study is also of particular interest because of the **complementarity with other development Plans/Programmes and other EU Policies and Funding Instruments**.

The local development approach has also been adopted by the Spanish government. The National Strategic Reference Framework (Marco Estratégico Nacional de Referencia) of Spain for ERDF, MENR 2007-2013 has a chapter entirely devoted to local and urban development: (Convergence Priority 5. Infrastructure Competitiveness Priority 4 Social: Axis 6 Convergence), in which significant references to the Local Development Approach can be found, as for instance in page 69: "The local development priority within the ERDF funding is a central aspect of this MENR" (...) "The local and urban development is configured as a main focus of the ERDF 2007-2013 programming, following the EU guidelines on cohesion policy, in which cities and urban areas take on special significance, because they are the centre and the motor of development, articulating the territory through innovation and the attraction of capital and jobs in each region". In the discourse

around Local Development Approach, the similarities between the Andalusian Operational Programme and the Spanish Strategic Reference Framework are striking, showing the use of different Plans and Programmes to implement local development strategies in the same territories. This is a clear sign of the expansivity of the approach.

Case studies will be drafted based on a common template to be used by all regional experts. A template for the case-study is proposed below, but a final version will be refined by the contractor in the light of the results of task I and of the pilot case study.

### **Proposed table of contents**

The case study table of contents sums up and contains the analysis carried out by using the above methodology.

Even though regional experts are asked to realize an in depth analysis, the case study should not exceed 25 pages. More details will be included in the annex.

The table of contents presented below is divided into nine sections and aims to answer to the main issues envisaged by the Terms of Reference:

- the nature of development strategies and rationale;
- the procedure to select local areas;
- the nature of the actions undertaken;
- operational structures and procedures;
- the role of capacity building actions, animation and networking;
- eventual changes occurred in the approach between the two programming periods.

**Table 2 Case studies table of contents on local development approach in the ERDF interventions**

	<i>Executive summary</i> This part of the case study summarizes the main findings of the case study analysed
<b>1.</b>	<i>Introduction</i> This part of the case study focuses on describing the main rationales at the basis of the case study selection, the nature of local development approach adopted and its main characteristics, relevance conferred to the actors involved.
<b>2.</b>	<i>Context related features</i> In this part of the case study we will focus on describing the main characteristics of the regional context in which the intervention was designed (i.e. socio economic trends, institutional and political characteristics).
<b>3.</b>	<i>Main interventions using LDA and their connection to the past</i> This part will focus on presenting a map of the main interventions using an LDA approach within the 2007-2013 programming period. Furthermore the analysis will take into account the way in which these interventions continue the previous programming period and/or other

	programmes previously implemented at regional level; are complementary with other European/national/international funds and/or other local strategy building initiatives in place
4.	<b><i>Effectiveness of the interventions co-financed by the ERDF</i></b> This part of the case study will focus in particular on outputs and results of the case analyzed.
5.	<b><i>The use of LDA in the Region. Chronology and main events</i></b> The purpose is to retrace the story of the analyzed intervention from its programming until its evaluation. The focus is on the identification of the main events, phases and actors involved and will take into account any changes occurred in the approach between the two programming period.
6.	<b><i>Analysis of the actors involved</i></b> This part is focused on analysing the type, role and level of the main actors as well as their objectives and resources mobilized, the role of capacity building actions, animations and networking. Furthermore, we will investigate the characteristics of the network of actors such as density and integration.
7.	<b><i>Process design features of the local development strategy</i></b> This part describes the features of the local development strategy design, focusing on guiding ideas, governance arrangements, tools and techniques, monitoring systems.
8.	<b><i>Evaluation of the effect of the local development strategy on the local governance and on the growth of local capacities</i></b> The analysis will consider the effects of the local development strategy implemented on the growth of local institutional capacities and local governance.
9.	<b><i>What works? The mechanism that links process design features to the process context factors</i></b> Within this part we will identify the concrete mechanisms, structures and procedures that can explain (in positive and/or in negative) the achievement of results and that can be a useful reference for the planning of local development initiatives, such as: the process of actors' certification, performance feedback, attribution of and opportunity.

## Output

The output of the case studies will be presented and discussed in **case study reports**.

While the pilot case study report will be included in the second interim report, a synthesis analysis of the regional case studies results will be drafted and included in the third interim report.

The synthesis analysis will provide answers to the main evaluation questions:

- How well have the local plans been managed in terms such as projects selection, support, monitoring, evaluation, communication, etc? Have administrative costs been reasonable and proportional? What have been the main factors underlying the performance of the management system? What are the main strengths and weakness of the approach? (In answering these questions the contractor will analyse the nature of the implementing bodies - public, private, public/private - and whether and how it has influenced the overall performance of the management system)

- To what extent has the LDA contributed to the improvement of local economic and social conditions? Has it helped to tailor actions to local needs?
- To what extent, and how, has it exploited synergies between different policies and programmes at local level? To what extent, and how, has it exploited synergies between different policies and programmes at local level?
- What have been the main effects of local development practices on socio-economic development and on territorial balance within the region? To what extent, and how, have regional strategies and local development plans been combined to contribute to territorial development? In particular, has the local development approach contributed to overcome underlying problems of fragile areas? Has local development improved the capacities of local communities to plan and implement development strategies? How successful have local development been in building the capacity of local partners over the two programming periods? What factors underlie success or failure? (the answer to these questions will focus on issues such as: local mobilisation, active citizenship, information and communication, capacity building actions, animation, networking and exchange of good practices...)
- To what extent has the management and implementation system of local development practices had spill-over effects on the local institutional and administrative culture? Has exchange of good practices been promoted?
- To what extent are the impacts of local development likely to prove sustainable beyond the end of the programming period? What are the main factors driving this?

In addition, a synthesis of the five regional stakeholder workshops will be as well realized.

The Third interim report will present in annex a detailed analysis of each regional case study and mini case study, including the final versions of the pilot regional case study and mini case study, and a summary of each regional stakeholder workshop. Furthermore the Third interim report will also include a draft table of contents of the draft final report.

### 2.3.3 Subtask 2.2 - Mini case studies

#### **Aim**

The objective of the “mini case studies” is to identify examples of good practices. The mini-case studies will pay particular attention to the outputs and results of the selected practices and to the conditions under which the practices considered could be replicated in different contexts, and thus ensures the relevance of the cases from a policy perspective. However, it is from a dissemination perspective that the cases draw their main value. Their overall objective is indeed to increase public awareness about the achievements of ERDF interventions with respect to local development.

## Methodology

For the selection of the mini case studies country experts when beginning their work on regional case studies, will propose possible cases.

The Consortium team will pool together country experts' proposals and select a short list of cases on the basis of their representativeness in terms of typologies of projects and approaches, and regions concerned (e.g. no more than one example per country). The list will be proposed to the Commission, and 5 cases will be selected. Mini case studies will be conducted together with the regional case studies.

The mini case studies will be carried out by regional experts. The core team will provide them with methodological guidelines and tools for the field research. For the analysis of the mini-cases the following research methods will be applied:

- Desk research.
- Semi-structured interviews with 3-4 key players.
- Focus-group with other stakeholders (if necessary to get a complete picture of the case).

## Output

The results of each mini case study will be structured by a template containing the following items:

### *Mini case study template*

0. *Project title*
1. *Synthesis* (short description of the project objectives; information on where and who -core partnership- implemented the project; key project activities and their beneficiaries; links between the project objectives and the regional context explaining the specific challenges and needs addressed by the project; description of the results – with specific reference to any innovative aspect - and impacts; explanation on what were the success factors and main lessons learnt; short information on current developments –sustainability).
2. *Background information* (Country, region, programme type, duration of project, funding and ERDF objective).
3. *Project description* (overall objectives and purpose, beneficiaries, description of activities, project main results, expected impact and community value added).
4. *Political and strategic context* (This section will “set the scene for the story of the project”. It places the project in a wider context providing a description of these elements, of the regional economy and governance system, which are especially relevant for the project's development. It provides information on the role and importance of the project in the context of regional (or national) strategies and policies).
5. *Implementation* (Project design and planning, management, monitoring and evaluation system, governance – partnership and leadership, innovative elements and novel approaches to implementation, implementation obstacles and problem-solving practices).

6. *Key results* (focuses on identifying, explaining and assessing the results and –if evidence exists- impacts of the described project. Emphasis will be given to any results that may be considered innovative).
7. *Sustainability and transferability*.
8. *Conclusions: key success factors and lessons learnt* (this section presents key factors of the project based on the material presented in the previous chapters and discusses factors learnt to be of key importance for the project during its final stages or after its finalization).
9. *Contact details*.

Summing up the main activities and deliverables foreseen by task 2 are:

<b>Research phase</b>	<b>Activities</b>	<b>Deliverables</b>
Preparing the first interim report	Mapping of 38 Operational Programmes	<p><b><i>First interim report:</i></b></p> <p>38 short OP dossiers;</p> <p>An analysis of the approaches used by the 16 States related to the 38 OPs investigated</p> <p>A list of 10 interesting regional cases</p> <p>The overall methodological approach for case study and mini-case study analysis including templates of the case studies and mini case studies under sub task 2.2.</p>
	Drafting the final template of the regional case study and mini case study	
Preparing the second interim report	Carrying out one pilot case study and mini case study	<p><b><i>Second interim report:</i></b></p> <p>Pilot case study report and related mini case study report</p>
Preparing the third interim report	Carrying out 5 regional case studies	<p><b><i>Third interim report:</i></b></p> <p>A synthesis analysis of the regional case studies results, providing answers to the main evaluation questions; analysis of the main results of the mini case studies and of the five regional stakeholder workshops; annex containing a detailed analysis of each regional case study and mini case study, including the final versions of the pilot regional case study and mini case study, and a summary of each regional stakeholder workshop.</p>
	Carrying out 5 mini case studies	
	Carrying out 5 regional workshops	
	Drafting the table of contents of the final report.	<b><i>Draft table of contents of the draft final report</i></b>



## 2.4 Task 3 Conclusions and lessons for the future

### Aim

This task draws together the results of the previous activities in order to: (i) analyse and synthesise results; (ii) draw conclusions on the basis of these results; (iii) put forward recommendations on the basis of the research results and (iv) contribute to the validation and dissemination of the results after approval of the final report.

Conclusions will lead to a common and clear definition of local development approach(es) which have been used/are in use analysing and synthesising:

- different meanings of the local development concept and different characteristics of the local development approaches in use at regional levels;
- macro thematic areas where LDAs are typically used.

The results of the different analyses will be oriented to identify:

- effectiveness of the local development strategies in terms of increasing capacity building of the actors involved (considering both governance and institutional capacity dimensions) and with reference to economic, social and territorial cohesion objectives;
- and in particular process and context related factors that might condition the success of local development strategies.

The summary of results will not aim at providing an “ideal type” of local development approach suitable for all contexts, but rather will pinpoint, using mostly the information deriving from cases studies, a set of causal mechanisms that could explain the success of the local development strategies adopted at different levels and operational recommendations on how to enhance the use of local development approaches at national/regional and local levels.

On this basis, recommendations will provide answers to both questions provided in the ToR:

- i. how and when local development could be used to deliver Cohesion Policy;
- ii. how to monitor and evaluate the effects of local development interventions on economic, social and territorial cohesion at regional and national level.

Both conclusions and recommendations will be drafted in a way to address the two fundamental questions of the study:

- 1) What are the effects of local development interventions in terms of socioeconomic development, better living conditions and territorial balance within regions?
- 2) To what extent can the local development approach contribute to the effective delivery of Cohesion Policy? What are the potentials and limits of the approach?

## Methodology

The main research methodology adopted in this part of the research consists in desk analysis (analysis of the results obtained in the previous research phases and drawing conclusions and recommendations).

## Output

The output of this phase will consist in a final synthesis report of maximum 100 pages. The Final report will contain the revised version of the Draft Final report, taking into account the observations and comments of the Commission and the external experts on the Draft report. It will be completed by an Executive Summary and a short document (1-2 pages) of Key Findings. The Executive Summary will be in English, French and German.

The report will include a thorough analysis of the information collected; a revalidation of the preliminary findings from the regional case studies, stakeholder workshops and mini case studies analysis; a synthesis of the overall findings and lessons learnt; conclusions and operation recommendations.

Summing up the main activities and deliverables of this phase are:

Research phase	Activities	Deliverables
Preparing the final report	analysis of the results obtained in the previous research phases and drawing conclusions and recommendations	<i>Draft final report</i> <i>Final report</i>
	Integrating comments from external experts	
	Meeting with the Steering Group and the external experts	

## 3 Organisation and management

Project responsibilities are divided among the partner organizations.

The lead organization will guarantee an efficient project management to ensure:

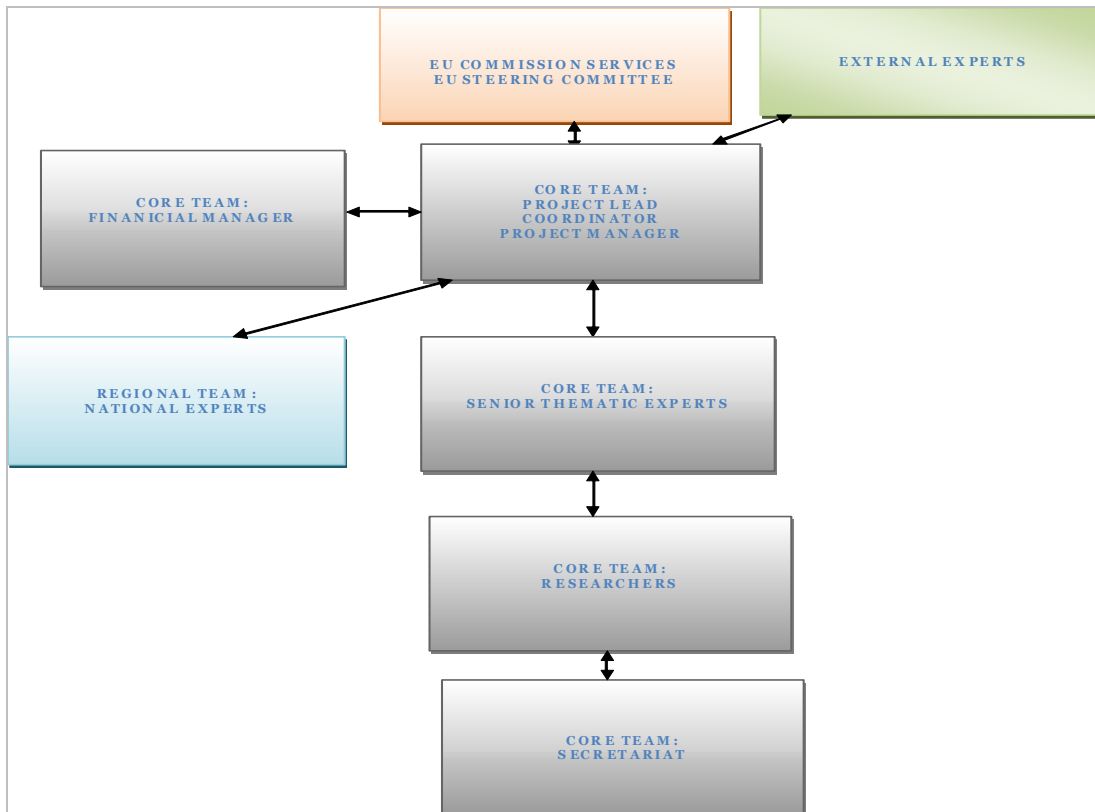
- Central coordination (detailed and holistic) of the work streams and tasks;
- Reliable service integrity and continuity;
- Services delivered to highest quality professional standards (Quality assurance).

Research activities and communication of the project, including the regional stakeholder workshops and presentation of project results, involve both partners of the Consortium.

The management of the project includes:

- a **Core team**, made of: a project leader (Bruno Dente); a project operative coordinator (Flavia Pesce); senior thematic experts in the field of EU cohesion policy, local and regional development, urban development, public governance and public management, capacity building, labour market, training and education policies as well as in evaluation of public policies/programmes and projects at the European, national, regional and local level, with a particular focus on EU structural funds (Claudio Calvaresi, Manuela Samek, Joan Subirats); researchers with national and international experience in the evaluation of public policies territorial development policies, capacity building policies, labour market policies, social inclusion policies and in particular of EU structural funds, and in EU policies (Davide Barbieri, Linda Cossa, Lidia Greco, Erica Melloni, Sandra Naaf, and Cristina Vasilescu); a financial administrator (Nadia Naldi); an administrative secretariat to support the core team in handling logistic issues and in the editing of the reports (Rosa Rainieri);
- a **Regional team** made of national experts in cohesion policy and territorial development: Dmitrij Svec, Anelia Damianova, Anna-Kaisa Lähteenmäki-Smit, Petri Uusikylä, François de Lavergne, Karl Helmut, Victoria Chorafa, Kézy Béla, Giancarlo Vecchi, Tomasz Komornicki, Heitor José Rocha Gomes, Cristina Vasilescu, James Twomey, Quim Bruguè;
- **Three external experts** with high level experience at both national and international level on EU cohesion policy, structural funds, local development, evaluation of public policies: Harvey Armstrong, Peter Batey, Gianfranco Viesti.

Links between the members of the core team, regional team, independent experts and the Commission services and the Steering Group are described in the diagram bellow:



### 3.1 Roles

The Core team will be in charge of:

- undertaking the activities foreseen by task 1 (literature review);
- analyzing the 38 OPs with the regional team support and drafting a synthesis analysis of the findings deriving from the analysis of the Ops;
- supporting the regional team in the carrying out the regional case studies by providing them with the methodological framework and guide to research tools. Furthermore, the core team will support the country experts in drafting the analysis by supervising the analytical part and drafting the case studies interpretation. In fact case studies will be carried out by mixed teams made of country experts and core team experts. While country experts will be in charge of carrying out on site research (desk analysis, interviews with the main stakeholders), the core team experts will be responsible for supervising the drafting of the case studies reports and will elaborate the case studies conclusions.
- undertaking the research activities included in Task 3 (conclusions and operational recommendations);

- preparing all the reports foreseen by the Terms of Reference: inception, first, second, third interim reports, draft final report, final report and progress reports; participating to meetings with the Commission services;
- carrying out three presentations of project results;
- ensuring efficient management of the project and a quality service.

The Regional team will be responsible for:

- supporting the Core team in carrying out the analysis of the OPs foreseen by the Terms of Reference;
- carrying out the regional case studies with the support of the Core team (Task 2); carrying out the mini case studies;
- commenting and providing insights to the Core team during the preparation of the first, second, third interim reports, draft final report and final report.

External experts will be in charge of commenting on the reports (inception, first interim, second interim, third interim, draft final and final report) and will take part to meetings in Brussels.

The table bellow presents in details the role of each member of the consortium and the foreseen working days.

**Table with the number of days for each member of the working team**

<b>Name</b>	<b>Category<sup>23</sup></b>	<b>Expertise</b>	<b>Role</b>	<b>Tasks</b>	<b>Working days</b>
<b>Bruno Dente</b>	I	Public policy analysis; policy evaluation; administrative reform; local government planning, territorial development	<b>Project Lead Co-ordinator</b>	Coordination and supervision of all the project's activities; assessment of the feasibility of project evaluation proposals; specific direct supervision of the analysis and definition of the analytical framework; ensure consistency and coherence of the analytical framework; ensure consistency and coherence of regional case studies and mini case studies; ensure that Consortium & Commission's quality standards are fully achieved; ensure the service integrity and continuity by efficient management and planning of the evaluation; responsible with the Commission services for all the project activities; represents the Consortium to the meetings of the Steering Group; represents the Consortium at the international level, in presenting the results of the project.	40
<b>Flavia Pesce</b>	I	Evaluation of structural funds, social inclusion and gender policy; equal opportunities; consultancy	<b>Project manager</b>	Operational coordination of the core team experts and regional team experts; ensure efficiency and effectiveness in the implementation of the work plan organized over the 3 research tasks; assists regional experts team and core team senior experts/researchers in the collection and processing of information on the basis of the conceptual framework; technical and organizational contact point for the Commission Services, external independent experts and other third parties involved; contact point for the organization of regional cases, meetings with the Commission services, Steering Group and stakeholders' workshop; liaises with the external experts for comments on the reports.	35
<b>Harvey Armstrong</b>	I	Evaluation of regional policy programmes, monitoring and evaluation for community economic development initiatives, 2007-2013 Cohesion Policy	<b>External Expert</b>	Provides written comments on the reports and participates to three meetings with the Commission services and the working team	10

<sup>23</sup> In the fields of the Terms of Reference, Category I experts should have proven min. 15 years expertise and experience - Category II experts should have proven min. 10 years expertise and experience - Category III experts should have proven min. 5 years expertise and experience - Category IV experts should hold a university degree or equivalent training related to the professional sectors covered by the Terms of Reference.

Name	Category <sup>23</sup>	Expertise	Role	Tasks	Working days
		strategic guidelines			
<b>Peter Batey</b>	I	European structural funds, town and regional planning, Local government planning, regional science; economics; planning; economic geography, spatial planning	<b>External Expert</b>	Provides written comments on the reports and participates to three meetings with the Commission services and the working team	10
<b>Gianfranco Viesti</b>	I	EU economics and regional policies; foreign investment in Europe, technology transfer; industrial and local development; industrial districts	<b>International Expert</b>	Provides written comments on the reports and participates to three meetings with the Commission services and the working team	10
<b>Manuela Samek Lodovici</b>	I	European labour markets; monitoring and evaluation of EU labour market policy; gender equality and social inclusion; survey methodology	<b>Senior Thematic experts</b>	Participates to the definition of the conceptual framework and methodologies for the research tasks together with the project leader; contributes to the realization of the first interim, third interim reports, draft final report and final report.	15
<b>Joan Subirats</b>	I	Public policy analysis, policy evaluation, participation, local development	<b>Senior Thematic experts</b>	Participates to the definition of the conceptual framework and methodologies for the research tasks together with the project leader; contributes to the realization of the second interim, third interim reports, draft final report and final report; participates to the meetings with the Steering Committee and external experts; carries out oral presentation on project results together with the lead coordinator; supervises the realization of one pilot case study; takes part to regional workshops.	25
<b>Claudio Calvaresi</b>	I	Urban regeneration, strategic planning, community planning and evaluation of territorial policies, territorial development programmes and policies	<b>Senior Thematic experts</b>	Participates to the definition of the conceptual framework and methodologies for the research tasks together with the project leader; contributes to the realization of the first interim, second interim, third interim reports, draft final report and final report; supports the country experts in carrying out the regional case studies and the regional workshops	15
<b>Lidia Greco</b>	I	Urban and Regional Development,	<b>Senior</b>	Responsible for the literature review; contributes to the realization of	7

Name	Category <sup>23</sup>	Expertise	Role	Tasks	Working days
		Sociology, Geography	<b>Thematic experts</b>	the first interim report	
<b>Davide Barbieri</b>	II	Gender Mainstreaming, analysis and evaluation of effectiveness, efficiency and quality of the public policies, vocational educational and training/labour market	<b>Researcher</b>	Assist the senior experts in the drafting of the first interim, second interim, third interim, draft final report and final report	15
<b>Monica Patrizio</b>	II	Statistical analysis in the field of labour market, comparative social research studies, analysis of quantitative data	<b>Researcher</b>	Support to fieldwork (regional case studies) by carrying out the network analysis., assist the senior thematic experts in drafting the second interim and the third interim reports	6
<b>Cristina Vasilescu</b>	III	Public policy evaluation, and in particular territorial development policies; institution building; and gender equality	<b>Researcher</b>	Assist the senior thematic experts and the project leader in desk research on literature review; carries out the analysis of the Romanian OPs; support to fieldwork (regional case studies and mini case studies good practices); assistance to the lead coordinator in ensuring coherence and consistency of the regional cases studies and mini case studies and assistance to the senior thematic experts in data analysis and synthesis; assist the senior experts in the drafting of the inception, first interim, second interim, third interim, draft final report and final report;	10
<b>Erica Melloni</b>	II	Innovation and quality of public administration, governance and local development	<b>Researcher</b>	Support the senior thematic experts and the project leader in desk research on literature review; support to fieldwork (regional case studies and mini case studies good practices); assistance to the lead coordinator in ensuring coherence and consistency of the regional cases studies and mini case studies and assistance to the senior thematic experts in data analysis and synthesis; assist the senior experts in the drafting of the inception, first interim, second interim, third interim, draft final report and final report	15
<b>Sandra Naaf</b>	III	Migration; social inclusion and gender equality	<b>Researcher</b>	OPs analysis with the country expert support, and in particular of the German and Portuguese OPs; assist the senior thematic experts in drafting the first interim report	10
<b>Linda Cossa</b>	III	Urban development, local	<b>Researcher</b>	OPs analysis with the country expert support; assist the senior	10



Name	Category <sup>23</sup>	Expertise	Role	Tasks	Working days
		development, local territorial planning		thematic experts in drafting the first interim report; support to fieldwork (regional case studies); assistance to the lead coordinator in ensuring coherence and consistency of the regional cases studies and assistance to the senior thematic experts in data analysis and synthesis; assist the senior experts in the drafting of the first interim and the third interim reports	
<b>Nadia Naldi</b>	I	Accounting, balance sheets, balance sheet analysis, income-tax returns and other fiscal requirements, financial reports	<b>Financial manager</b>	Financial management of the contract; DG REGIO financial and administrative counterpart	8
<b>Rosa Rainieri</b>	I	Secretariat, editing	<b>Secretariat</b>	Administrative and logistic issues; editing of the reports	10
<b>Anelia Damianova (Bulgaria)</b>	I	Regional policy and local governance – strategies for economic development of municipalities, developing partnerships for better local governance, economic development,	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be carried out in the country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Dmitrij Svec (Czech Republic, Slovakia Republic)</b>	I	Regional development, Evaluation (ex-ante, mid-term and ongoing of Phare and SF programmes)	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be carried out in country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Anna-Kaisa Lähteenmäki-Smit (Estonia, Latvia, Lithuania)</b>	II	Development and implementation of R&D and evaluation activities e.g. in the area of regional development, territorial governance and innovation policy, Spatial Development	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be carried out in the country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Petri Uusikylä (Estonia, Latvia,</b>	II	Development and innovation activity, project management, evaluation projects and quality	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be selected in the country; eventual support to the core team in the OPs analysis	Maximum 30

Name	Category <sup>23</sup>	Expertise	Role	Tasks	Working days
<b>Lithuania)</b>		projects			
<b>François de Lavergne (France)</b>	I	European employment and training policies, Evaluation of the ESF, professional training policies the development of competences and in regional development	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be selected in the country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Karl Helmut (Germany)</b>	I	Ex-ante and Mid-term Evaluation on the Implementation of the European Structural Funds, Phare Programme, regional policy, Economics, agricultural policy	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be selected in the country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Victoria Chorafa (Greece)</b>	I	Design, implementation, management and evaluation of EU Cohesion policy and regional /local development, EU Programmes of the Community Support Frameworks, regional and local development studies	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be selected in the country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Kézy Béla (Hungary)</b>	I	Specific technical assistance projects, mainly in the fields of programming, evaluating programmes with Structural Fund support, cohesion policy interventions, Evaluation specialist	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be selected in the country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Giancarlo Vecchi (Italy)</b>	I	Public policy analysis, evaluation of public policies, urban and territorial innovation, local development policies; institution and capacity building policies; organizational analysis; planning and programming methods and instruments; partnership	<b>Country Expert</b>	regional case study analysis and regional workshop if a case study will be selected in the country; eventual support to the core team in the OPs analysis	Maximum 30

Name	Category <sup>23</sup>	Expertise	Role	Tasks	Working days
		development			
<b>Tomasz Komornicki (Poland)</b>	I	Regional development and regional policies, social-economic geography and spatial planning, ESPON, evaluation of transport projects co-financed by the EU	<b>Country Expert</b>	regional case study and regional workshop if a case study will be selected in the country; eventual support to the core team in the OPs analysis	Maximum 30
<b>Heitor José Rocha Gomes (Portugal)</b>	I	Evaluation of cohesion policy, evaluation of Regional Operational Programme, Monitoring and Evaluation of Development Territorial Programme, Tourism Development, Evaluation of Impacts of Structural Funds	<b>Country Expert</b>	regional case study and regional workshop if a case study will be selected in the country; eventual support to the Core team in the OPs analysis	Maximum 30
<b>Cristina Vasilescu (Romania)</b>	III	Public policy evaluation, and in particular territorial development policies; institution building; and gender equality	<b>Country Expert</b>	regional case study and regional workshop if a case study will be selected in the country; eventual support to the Core team in the OPs analysis	Maximum 30
<b>James Twomey (The UK)</b>	I	Policy evaluation, Regional Policy, Public Sector Economics	<b>Country Expert</b>	regional case study and regional workshop if a case study will be selected in the country; eventual support to the OPs analysis	Maximum 30
<b>Quim Bruguè</b>	I	Public policy analysis, public policy evaluation, local development, local government, participation, social exclusion	<b>Country Expert</b>	regional pilot case study and regional workshop if approved; eventual support to the OPs analysis	Maximum 30

In addition the table below presents the working days allocated per task and the experts involved:

	Working days/task											
	Literature review	Overall review	Pilot case study and mini case study	Regional case studies, mini case studies, regional stakeholders workshops	Progress reporting	Meetings with the Commission services and/or external experts	Peer review of the report	Dissemination	Drafting reports: inception, first interim report, second interim report, third interim report,	Drafting reports: draft final report, final report	Administrative support	Total
<b>Persons involved</b>												
<b>Bruno Dente<sup>24</sup></b>	1	2	3	4		7		3	10	10		40
<b>Flavia Pesce<sup>25</sup></b>	1	1	1	2		7		3	10	10		35
<b>Harvey Armstrong</b>						3	7					10
<b>Peter Batey</b>						3	7					10
<b>Gianfranco Viesti</b>						3	7					10
<b>Manuela Samek Lodovici</b>	2			2					5	6		15
<b>Joan Subirats</b>	2		2			2		3	8	8		25
<b>Claudio Calvaresi</b>	2			2					5	6		15
<b>Lidia Greco</b>	7											7
<b>Davide Barbieri</b>									10	5		15
<b>Monica Patrizio</b>									6			6
<b>Cristina Vasilescu</b>	5	2							3			10
<b>Erica Melloni</b>									10	5		15
<b>Sandra Naaf</b>		3							7			10
<b>Linda Cossa</b>		3							7			10
<b>Nadia Naldi</b>					4						4	8
<b>Rosa Rainieri</b>					4						6	10

<sup>24</sup> Scientific coordinator of the whole study.

<sup>25</sup> Project manager of the whole study.

	Working days/task											
	Literature review	Overall review	Pilot case study and mini case study	Regional case studies, mini case studies, regional stakeholders workshops	Progress reporting	Meetings with the Commission services and/or external experts	Peer review of the report	Dissemination	Drafting reports: inception, first interim report, second interim report, third interim report,	Drafting reports: draft final report, final report	Administrative support	Total
<b>Country experts</b>				104 <sup>26</sup>								104
<b>Anelia Damianova (Bulgaria)</b>		4										4
<b>Dmitrij Svec (Czech Republic, Slovakia Republic)</b>		4										4
<b>Anna-Kaisa Lähteenmäki-Smit (Estonia, Latvia, Lithuania)</b>		2										2
<b>Petri Uusikylä (Estonia, Latvia, Lithuania)</b>		2										2
<b>François de Lavergne (France)</b>		4										4
<b>Karl Helmut (Germany)</b>		4										4
<b>Victoria Chorafa (Greece)</b>		4										4
<b>Kézy Béla (Hungary)</b>		4										4
<b>Giancarlo Vecchi (Italy)</b>		4										4
<b>Tomasz Komornicki (Poland)</b>		4										4

<sup>26</sup> This number of days are obtained multiplying 26 days for 4 case studies and will be allocated to the four country experts which will be in charge of the case studies once they will be selected.

	Working days/task											
	Literature review	Overall review	Pilot case study and mini case study	Regional case studies, mini case studies, regional stakeholders workshops	Progress reporting	Meetings with the Commission services and/or external experts	Peer review of the report	Dissemination	Drafting reports: inception, first interim report, second interim report, third interim report,	Drafting reports: draft final report, final report	Administrative support	Total
<b>Heitor José Rocha Gomes (Portugal)</b>		4										4
<b>Cristina Vasilescu (Romania)</b>		4										4
<b>James Twomey (The UK)</b>		4										4
<b>Quim Bruguè</b>		4	26									30
<b>Total days/task</b>	<b>20</b>	<b>63</b>	<b>32</b>	<b>114<sup>27</sup></b>	<b>8</b>	<b>25</b>	<b>21</b>	<b>9</b>	<b>81</b>	<b>50</b>	<b>10</b>	<b>433</b>

<sup>27</sup> This total number of days has been achieved multiplying the 26 days allocated to the country experts for the 4 regional case studies (including mini case studies and regional workshops) plus the number of days for this task of the Consortium team.

### 3.2 The quality control system

To ensure that the services provided under the contract meet the highest professional standards, the following quality plan is proposed to be adopted for the purposes of this contract. The quality plan specifies the Consortium approach to quality assurance and how it intends to control and ensure high quality and effective monitoring of the services supplied to the Commission services in the execution of this contract.

The quality plan covers the following areas:

- The procedures the Consortium intends to implement and the indicators to be used to ensure the quality of the services provided;
- Personnel policy, management and training, including the mechanisms for notification to the Commission, and timely and full replacement of any reduction in capacity, in order to ensure the committed level of expertise and resources throughout the whole duration of the contract;
- The structure set up for coordinating the work between the different members of the Consortium, including working criteria for the distribution of assignments between the members of the consortium;
- The procedures it intends to use for quality control, assurance of client satisfaction and complaint management;
- The procedure for updating and adapting the quality plan, taking into account that any such updating and adaptation must have the Commission's prior approval.

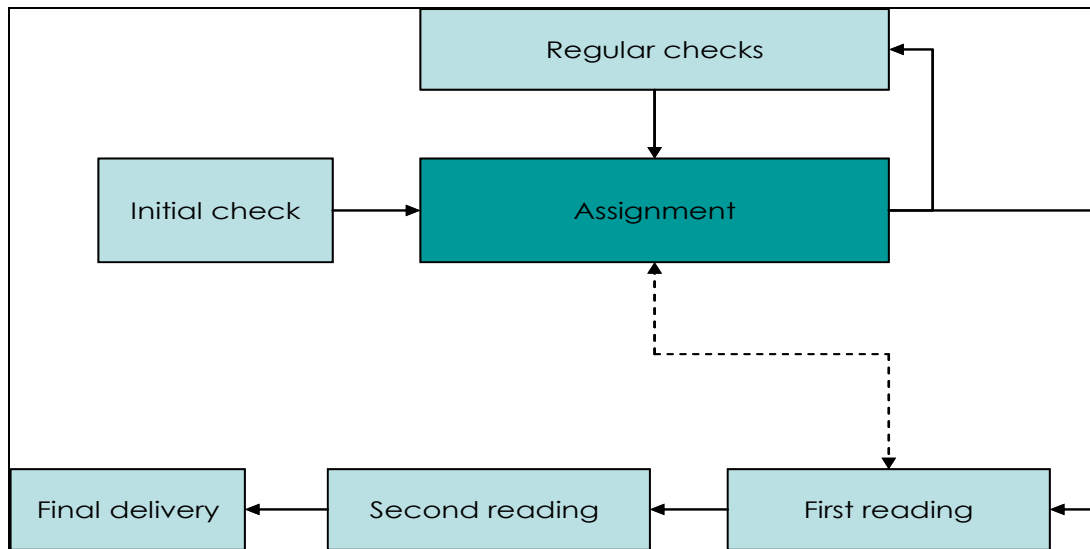
Each of these issues is considered below.

In order to have an effective management of the Contract and ensure quality at all times, the Consortium will pay particular attention to the aspect of managing the projects and having guidelines for quality assurance of the work to be undertaken.

In order to ensure a high standard of work to be performed under the Contract, all deliverables will be reviewed and checked on the basis of the internal quality control systems of the partners. Each assignment will be subject to an initial check, as well as ongoing regular checks, in terms of quality and accuracy of content. In addition, prior to delivery of the assignment, a Consortium member, other than that leading the assignment concerned, will conduct a 'second review' for accuracy, timeliness, adequacy of information and presentation. This second reading will supplement and add value to the review that will automatically be undertaken by the staff delivering the assignment. Furthermore, all the reports will be proofread by an English mother tongue.

The Project Lead Coordinator supported by the operative coordinator will have the overall responsibility for delivering the contract and reviewing and monitoring the quality of outputs. They will review and advise on the quality of deliverables.

**Fig. 3 Diagram of the checks and reviews of the assignment**



In addition, several measures will be followed strictly during the whole process of an assignment to increase the quality provided:

- Close coordination between both the members of the core team and the regional expert team– to ensure full understanding of the requirements of Commission Services.
- Customised project teams – to ensure that the most appropriate sets of skills are brought to bear given the specifics of the individual assignments.
- Second reader – to review and comment on final deliverables.
- Joint working by the Consortium partners especially on longer term and larger assignments – ensuring access to the full breadth of partner skills and experience.
- Formal sign off procedures – securing feedback and learning.
- The quality of individual assignments will be monitored on the basis of: specific indicators which will assess the timing and quality of individual assignments;
- coordination of work within the consortium and assurance of quality and issue management.

The quality plan will specify the quality indicators to be adopted in the execution of the contract. The service has been divided into main activities to be carried out within each work package. Each activity and work package will comprise a few indicators that, for now, are:

- a. timing (planned-realised);
- b. person-days (working days planned – working days spent);



- c. interim checks (papers review; client's satisfaction; information and data reliability; consistency between work done and the specifications).

## 4 Time plan and upcoming activities

During the kick-off meeting all the deadlines of the study have been discussed and agreed with the Commission Services.

The starting point is the kick-off meeting and the resulting time plan for the deliverables and meetings is here presented below.

All the future activities will proceed as planned, taking into consideration the indications emerged during the kick-off meeting.

The following table presents the updated timeframe of the foreseen activities and deliverables.

<b>Deliverables/activities</b>	<b>Date</b>
Inception Report	8 <sup>th</sup> of February 2011
Steering Committee meeting	18 <sup>th</sup> of February 2011
Progress report	March 2011
First Interim Report	14 <sup>th</sup> of April 2011
Steering Committee meeting	3 <sup>rd</sup> of May 2011
Second Interim Report	30 <sup>th</sup> of May 2011
Expert meeting	9 <sup>th</sup> of June 2011
Workshop with country experts	15 <sup>th</sup> of June 2011
Progress report	June 2011
Progress report	July 2011
Progress report	August 2011
Progress report	September 2011
5 regional workshops	Beginning of September 2011
Third Interim Report	14 <sup>th</sup> of October 2011
Expert and Steering Committee meetings	24 <sup>th</sup> of October 2011
Progress report	November 2011
Draft Final Report	5 <sup>th</sup> of December 2011
Expert and Steering Committee meetings	15 <sup>th</sup> of December 2011
Final report	2 <sup>nd</sup> of January 2012
Three presentations	Dates to be agreed during the contract



Phase	2011												2012
	1	2	3	4	5	6	7	8	9	10	11	12	1
• External experts feedback													
• Delivery of the draft												5/12/11	
Expert and Steering group committee												15/12/11	
• Drafting Final report													
• Delivery of the final report													02/1/12
<b>Dissemination</b>													
• 3 presentations of the research results												<i>Date to be defined</i>	
<b>Project monitoring</b>													
• Progress reports			31/3	30/4	31/5	30/5	31/7	31/8	30/9	31/10	30/11	31/12	

After a better focus of the academic and applied literature on local development and the elaboration of the grid for the its analysis during the inception phase, the implementation of task 1 will continue with the analysis of the chosen literature.

In parallel, an analysis of the 38 OPs indicated by the Terms of Reference will be carried out. The main results of the literature review and 38 short dossiers for each OP together with a synthesis for the approaches used by the 16 States related to the 38 OPs and the list of the ten proposed case studies (including a one page summary sheet, covering: a short description of the approach; a justification for the choices made; the description of evaluation methods to be used for the case study; the analysis of data available and needed; the identification of contact points), the selection criteria of the 5 regional case studies, the methodology and the guide to the research tools to be used during the case study elaboration will constitute the first interim report.

The proposed *table of contents of the first interim report* is:

<i>First interim report table of contents</i>
<b>1. Literature review</b>
1.1 Cohesion policy concept over time
1.2 Overview of the theoretical grounds and main definitions of local development
1.3 Review of the main policies using local development approaches
1.4 Defining the success hypothesis of projects using the local development approaches
1.5 Methods and tools for measuring outputs and outcomes of projects using local development approaches
1.6 Main results achieved and effects of local development approaches in terms of local capacity building and their added value
1.7 Synthesis of the main strengths and weaknesses of the local development approaches
<b>2. Results of the OPs analysis</b>
2.1 Presence/absence of local development approaches: whether and how the Programmes provide for the use of local development approaches
2.2 Policy areas and types of interventions covered by LDAs
2.3 Delivery mechanisms for local development approach
2.4 Actors involved and their role
2.5 Continuity with the 2000-2006 programming period and complementarity with other development plans/programmes and other EU/national policies and funding instruments
<b>3. Regional case studies</b>
3.1 Proposed case studies
3.2 Refined overall methodological approach for regional case studies and mini case studies
3.3 Template of the regional case study and mini case study
3.4 Guide to research tools to be used
<b>4. Work plan and deliverables</b>
<b>5. Annexes</b>

Once with the approval of the first interim report, the contractor will focus on case studies activities. In the first part of this task, one pilot case studies will be realized in Spain (Andalusia). The results of the pilot case study will constitute the second interim report that is due by the end of May 2011. After the approval of the report a meeting with the external experts will be carried out as well as a meeting with the country

experts and Commission services in order to discuss the case study methodology and the research tools to be used.

Case studies and mini case studies will be realized between June and the end of September. The foreseen activities in this phase include desk analysis, on site interviews, focus surveys (where information on projects results is insufficient) and 5 regional workshops with regional/local stakeholders. The workshops will involve both regional and local levels, public authorities and private actors, as well as direct beneficiaries of ERDF interventions in the last and current programming period. The workshops are aimed at debating the results of the regional case studies, as well as getting the views of all the actors on the local development approach and its contribution to cohesion policy, and on mechanisms favouring its use to deliver Cohesion policy.

Case studies and mini case studies results together with the conclusions of the regional stakeholder workshops will constitute the third interim report due to the Commission by the 14<sup>th</sup> of October.

Between the end of October and the beginning of December the contractor will prepare the draft final report to be presented to the Commission by the 5<sup>th</sup> of December. In this phase activities will regard a thorough analysis of the information collected; a revalidation of the preliminary findings from the regional case studies, stakeholder workshops and mini case studies analysis; a synthesis of the overall findings and lessons learnt; the elaboration of conclusions and operation recommendations.

Following the meeting with the Steering Committee and the external experts, the contractor will carry out the final report taking into account the Commission's and external experts' comments. The final report is due by the 2<sup>nd</sup> of January 2012.

Furthermore the contractor will elaborate monthly progress report in order to monitor the advancement of the project from both physical realization (activities carried out and related outputs) and spending (resources used) point of views. The progress report will also provide details on human resources employed for each activity and future planned tasks.

The contractor will also carry out three presentations on the projects results during the project. Two representatives of the Consortium, together with the three external experts, will attend three meetings in Brussels aimed at presenting the results of the evaluation to the Member States and Commission services. However, the exact dates have still to be decided with the Commission services.

## 5 Annexes

### 5.1 Annex 1 – Programmes to be analysed

#### List of operational programmes

	<b>Amount allocated to territorial policy interventions</b>	<b>Operational Programmes</b>		<b>Amount allocated to territorial policy interventions</b>
Polska	8.402.301.148	2007PL161PO002	Program Operacyjny Infrastruktura i Srodowisko	3.271.902.063
		2007PL161PO003	Program Operacyjny Rozwoj Polski Wschodniej 2007-2013	615.067.351
		2007PL161PO019	Regionalny Program Operacyjny Wojewodztwa Slaskiego	565.648.495
Magyarország	6.261.438.947	2007HU161PO007	Operational Programme for Transport	1.558.804.069
		2007HU161PO008	Operational Programme for Social Infrastructure	1.300.884.124
		2007HU162PO001	Operational Programme for Central Hungary	654.344.000
Italia	4.779.227.023	2007111 61PO01 1	Por Sicilia FESR	1.022.256.657
		20071T161PO009	Por Campania FESR	1.000.000.000
		20071T161PO010	Programma Operativo FESR Puglia 2007-2013	698.750.000
Ceska Republika	4.547.978.560	2007CZ161PO006	OP Zivotni prostredi	898.123.262
		2007CZ16UPO002	Integrovaný operacni program	825.271.311
		2007CZ161PO008	ROP NUTS II Severozápad	455.579.084
España	3.753.585.278	2007ES161PO008	Programa Operativo FEDER de Andalucia	1.482.466.640
		2007ES161PO006	Programa Operativo FEDER de Extremadura	432.303.458
		2007ESI6IPO005	Programa Operativo FEDER de Galicia	407.110.640
Ellada	3.618.763.927	2007GR161PO008	Macedonia – Orake	1.100.450.000
		2007GR161PO006	Attica	668.560.000
		20070R161PO007	Peloponneso-Ionio	405.911.927
Portugal	3.009.135.497	200719161 PO002	PO Regional do Norte 2007 - 2013	884.971.750
		2007PT16UPO001	PO Temático Valorização do Território 2007 - 2013	844.000.000
		2007PTI61PO003	PO Regional do Centro 2007-2013	521.810.215
Deutschland	2.555.044.924	2007DE161PO004	Operationelles Programm EFRE Sachsen 2007 - 2013	453.400.904
		2007DE161PO007	Operationelles Programm EFRE Sachsen-Anhalt 2007 - 2013	357.670.898
		2007DE162PO004	Operationelles Programm	253.758.000

	<b>Amount allocated to territorial policy interventions</b>	<b>Operational Programmes</b>		<b>Amount allocated to territorial policy interventions</b>
			EFRE Berlin 2007 - 2013	
Romania	2.503.451.968	2007RO161PO001	Regional Operational Programme	2.190.081.068
		2007RO161PO004	Sectoral Operational Programme Environment	313.370.900
Slovenska Republica	1.878.782.661	2007SK161PO003	Regional Operational Programme	1.059.400.000
		2007SK161PO005	Operational Programme Health	242.175.000
		2007SKI6UPO001	OP Research and Development	200.000.000
France	1.541.328.473	2007FR161PO004	Programme opérationnel FEDER Réunion	247.800.000
		2007FR162PO017	Programme opérationnel FEDER NORD PAS- DE- CALAIS	175.500.000
		2007FR161PO002	Programme opérationnel FEDER Guadeloupe	113.599.065
Lietuva	1.475.494.375	2007LT161PO001	2007-2013 m. Sanglaudos skatinimo veiksmu programa	1.475.494.375
Latvija	948.914.941	2007LV161PO002	Infrastructure and Services	948.914.941
United Kingdom	878.348.575	2007UK161PO002	West Wales and the Valleys ERDF Convergence programme	309.955.948
		2007UK162PO008	North West England ERDF Regional Competitiveness and Employment Operational Programme	187.382.989
Eesti	866.304.626	2007EE161PO002	Operational Programme for the Development of Living Environment	792.397.197
Balgarija	856.774.429	2007BG161PO001	Operational Programme Regional Development	773.285.604