

**Ex post evaluation of Cohesion  
Policy programmes 2007-2013,  
financed by the European  
Regional Development Fund  
(ERDF) and Cohesion Fund  
(CF)**

**Work Package Eleven:  
European Territorial  
Cooperation**

**Inception report**

*Final version*

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This report has been prepared by ADE at the request of the European Commission.

The views expressed are those of the Consultant and do not represent the official views of the European Commission.



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## List of acronyms

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AA	Atlantic Area
AIR	Annual Implementation Report
ASDP	Atlantic Spatial Development Perspective
BSR	Baltic Sea Region
CBC	Cross-Border Co-operation (strand “A”)
CF	Cohesion Fund
CT	Core Team
EC	European Commission
EGTC	European Grouping of Territorial Cooperation
ERDF	European Regional Development Fund
ESF	European Social Fund
ESI funds	European Structural and investment funds
ESPON	European Spatial Planning Observation Network
ETC	European Territorial Co-operation
EU	European Union
ICT	Information and Communication Technology
INTERACT	INTERREG Animation, Communication and Transfer
JTS	Joint Technical Secretary
MA	Managing Authorities
M&E	Monitoring and Evaluation
MS	Member States
OECD	Organisation for Economic Co-operation and Development
OP	Operational Programmes
QC	Quality Control
RTD(I)	Research and Technology Development (and Innovation)
SF	Structural Funds
SMART	Specific, Measurable, Achievable, Realistic, Time-related
SME	Small and Medium size Enterprises
SWOT	Strengths, Weaknesses, Opportunities, Threats
TNC	Transnational cooperation (strand “B”)
ToRs	Terms of References
URBACT	European Programme for urban sustainable development
WP	Work Package



# Introduction

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This Inception Report for the ex post evaluation of the European Territorial Cooperation (ETC) Programmes (WP11) presents the methodology that will be used during all phases and tasks of the project.

Following the kick-off meeting with DG Regio - which aimed to clarify expectations and availability of information for this evaluation- a first version of the Inception report was elaborated by ADE Evaluation Core Team. The current document is the final revised version of the report which takes into account oral and written comments from the Steering group meeting, as well as additional comments by the European Commission and two external experts on the first revised version. During the Inception Phase, several activities have been carried out to define this methodology: confirming the composition of the evaluation team and the calendar for the evaluation; initial screening and first use of existing documentation and databases; development of the initial methodological framework for Task 1, piloting and revision; and development of the methodology for Tasks 2 to 5.

The structure of this Report is as follows:

- Section 1 presents the scope of the evaluation through a cursory view on the range of programmes covered and their key features.
- Section 2 reviews the overall structure of the evaluation, indicating respective Tasks, Phases and the schedule, as well as the role of the Key Experts.
- Section 3 details the methodology proposed for Task 1, the overall achievements for each strand of ETC programmes (A, B and C). It includes the results of two pilot exercises for the first two strands.
- Section 4 includes a description of methodologies to be used for the subsequent Tasks, namely Tasks 2, 3 and 4, which involve carrying out case studies for the three Strands of ETC.
- Section 5 provides proposals for the activities under Task 5, namely: the envisaged structure of the Final Report; the organization of a final Stakeholders event.



# 1. Key features of OPs within the scope of the evaluation

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This section defines the scope of the evaluation. It provides a snapshot of programmes covered and their key features: budgets allocated and their split between the three key themes of the study (RTDI, environment, capacity building).

## 1.1 Programmes covered by the evaluation

The scope of the evaluation covers 53 Cross-border programmes (CBC)<sup>1</sup> (“Strand A”) as well as the 13 Transnational co-operation programmes (TNC) (“Strand B”). Under “Strand C”, only the Interregional cooperation programme Interreg IVC falls within the scope of the evaluation<sup>2</sup>. Annex 1 provides the full list of Operational Programmes (OPs) falling within the scope of this evaluation.

## 1.2 Budgets for the Programmes covered by the evaluation

ETC programmes have got a total decided EU budget of €7.67bn (namely, budget adopted in the OPs at the start of the period), of which €7.23bn have been allocated to projects (according to the 2013 Annual Implementation Reports (AIR)).

A first overview of budget decided and allocated to projects for each strand of programmes is presented and summarised in the table below.

**Table 1: Decided and allocated budget to ETC programmes within the scope of the study by strand**

Strand	Nbr. prog.	Total decided amount €m	Total allocated to projects amount €m	% of Decided	Average (alloc.)	Minimum (alloc.)	Maximum (alloc.)
A	53	5524,5	5280,7	96%	99,6	10,1	273,5
B	13	1824,2	1766,2	97%	135,9	32,7	343,4
C	1	321,3	180,1	56%			
Total	67	7670,0	7226,9	94%	107,9	10,1	343,4

Source : ADE, based on DG REGIO database, AIR 2013

<sup>1</sup> Due to their specificities, three operational programmes are not included into the scope of the study - Spain External borders, Hungary-Croatia and Slovenia-Croatia cross border cooperation programmes.

<sup>2</sup> There are three more programmes in Strand C, i.e. ESPON (subject to a specific evaluation conducted by ADE in 2012-2013); URBACT II (dedicated to urban sustainable development and for this reason integrated into the WP10 of the Cohesion policy ex post evaluation) and INTERACT (its contribution and achievements will be taken into account and put into perspective).

- The largest part of the total ETC budget, namely 73%, is dedicated to Strand A, i.e., cross-border cooperation programmes. The average budget by programme within “Strand A” is close to €100m, but it varies from €10m to €273m (the largest programme in budget terms, is España-Portugal cross-border cooperation programme).
- Average “Strand B” programmes’ budget is larger (€136 m), with again strong variations within this Strand (the largest being Nord Ouest Européen with €343 m).
- Concerning Interreg IV C, the total decided budget is €321.3m. The consumption rate of this budget, as mentioned in the 2013 AIR, is only 56%, i.e. €180,1 m of the decided investment is allocated to projects.

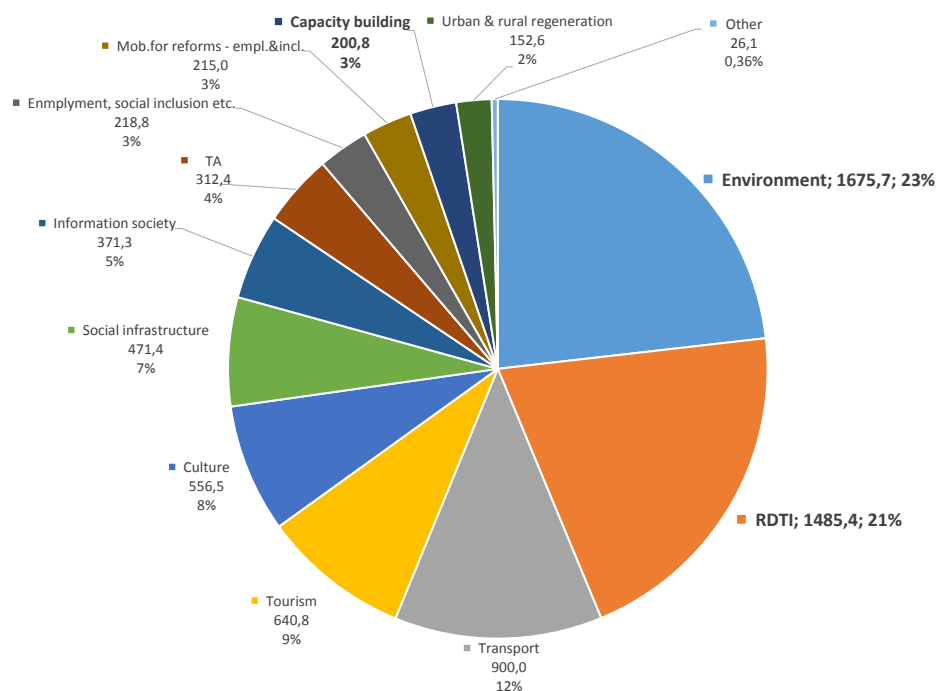
### 1.3 Budget allocations by the Programmes for three priority themes

As required by the ToRs, this ex post evaluation of ETC programmes will focus particularly on three priority themes<sup>3</sup>:

1. Research, technological development and innovation;
2. Environmental protection and enhancement;
3. Capacity-building.

The chart below indicates the percentage of the ETC programmes budget allocated to the various fields of intervention, on average.

**Figure 1: Distribution of the allocated budget (€m and %) to ETC programmes within the scope of the study by thematic priority**



Source: ADE, based on DG REGIO database, AIR 2013

<sup>3</sup> Details on priority themes and their grouping are provided in Annex 1

The analysis of all programmes reveals a large variety in the priority placed on the three selected fields of intervention, behind the average figures of Figure 1:

- Environmental protection (23% of total ETC budget), with a range from 58% (Italy-Malta) to 8% (Latvia-Lithuania) of total budget allocated<sup>4</sup>;
- Research and technological development (21% of total budget), with a range from 54% (Germany-Netherlands) to 1% (Poland-Slovakia) of total budget allocated to projects;
- Capacity building (3% of the total budget), this priority being integrated only in 42 OPs, with a range from 15% (Bayern-Austria) to 1% (Botnia Atlantica, Vlaanderen-Netherlands, Spain-France, Hungary-Romania, France-Switzerland). The low priority placed (in budgetary terms) on the “capacity building” theme, which is one of the focus of this evaluation, should be noticed here.

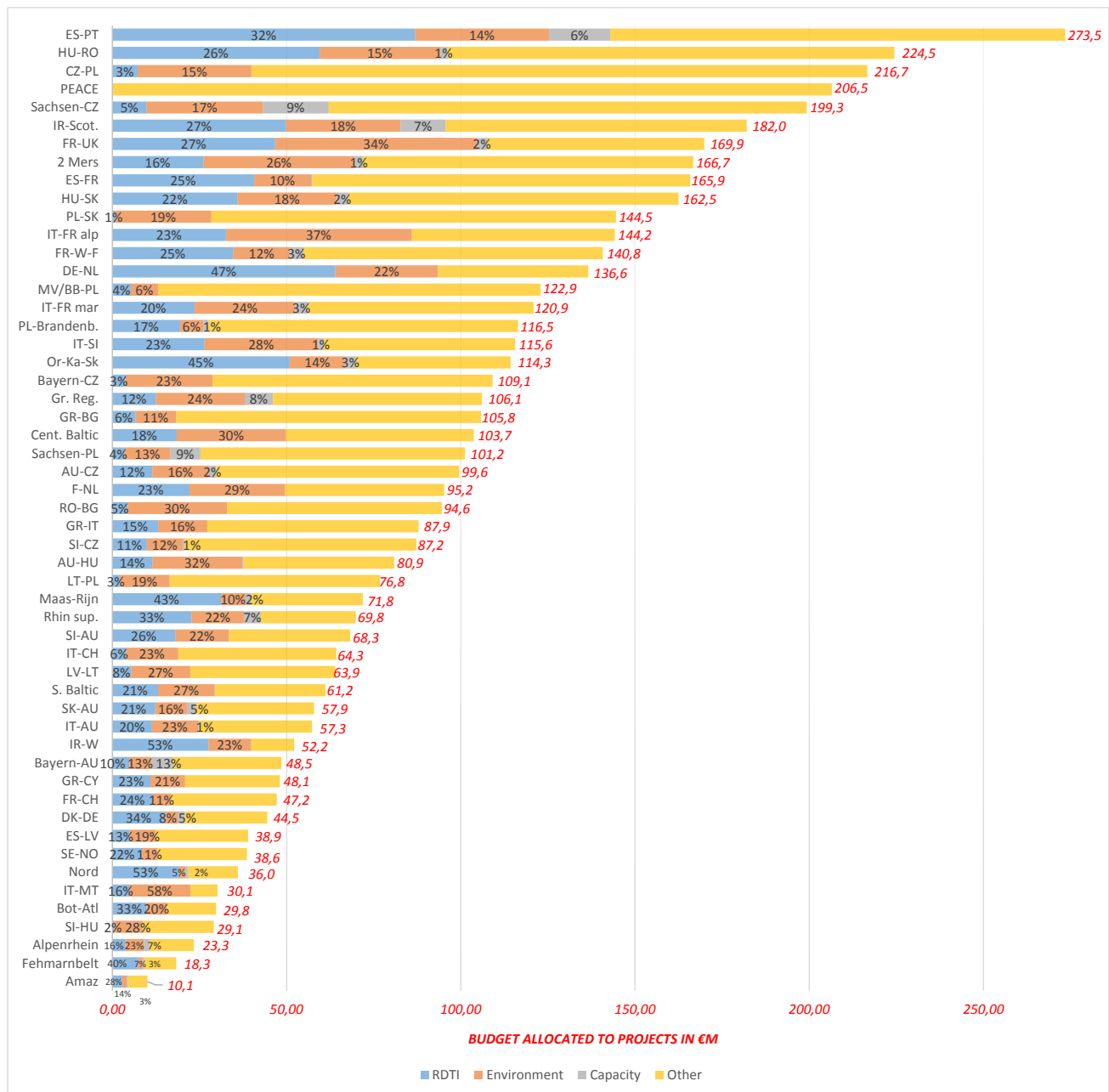
The next two figures provide a view on the priorities placed on the three themes for Strands A and B respectively. In general, there is no relationship between sizes of these programmes and priorities given to any of the three themes. Both absolute and relative budgetary figures need to be considered when assessing priorities placed on the three themes (this will be done notably in section 3.4, which proposes a typology of A programmes).

The next figure provides details on the allocations, by programme to the three selected themes within “Strand A”:

- **The average investment in “Research and technological development” for strand A OPs is about €19 m, i.e. 20% of total budget allocated to this theme within Strand A.** This theme has received a strong budgetary priority (close to 50% or more of the allocated to projects amount) in the case of five CBC programmes during the programming period 2007-2013: *Nord Interreg* (€19,2 m, 53,2%), *Ireland-Wales* (€27,6 m, 52,9%), *Germany-Netherlands* (€64 m, 46,9%) *Öresund-Kattegatt-Skagerrak* (€50,9 m, 44,5%) and also *Maas-Rijn* (€31,2 m, 43,4%). This theme is an important priority also for the following OPs: *Fehmarnbeltregion, Denmark-Germany, Botnia Atlantica, Upper Rhin, Spain-Portugal, Amazonia, France-UK, Ireland-Scotland, Hungary-Romania, Slovenia-Austria, France-Wallonia-Flanders and Spain-France*, which dedicated to RDTI between 40% and 25% of their total budget.
- **Environmental protection and enhancement benefits from an average investment of €18,8 m, i.e. 19% of total budget allocated to projects in this field.** Only one OP (*Italy – Malta*) concentrates more than half (€17,6 m, 58%) of its allocated budget to this theme. Programmes in Top 10 which have allocated to projects more than 25% of their total budget are, by descending order, *Italy-France Alpine Space* (37%), *France-UK* (34%), *Austria-Hungary* (32%), *Central Baltic* (30%), *Romania-Bulgaria* (30%), *Flanders-Netherlands* (29%), *Italy-Slovenia* (28%), *Slovenia-Hungary* (28%), *South Baltic* (27%), *Latvia-Lithuania* (27%), *Two Seas* (26%).
- **Capacity building** is a more marginal investment in CBC programming (26 OPs within Strand A). Bayern-Austria OP puts the largest amount on this theme (€6,1 m, 13% of its total allocated budget) compared to other CBC programmes. The remaining Top 10 OPs, which invest between 10% and 5% are, by descending order: *Sachsen-Czech Republic* (9%), *Sachsen-Poland* (9%), *Great Region* (8%), *Alpenrhein* (7%), *Ireland-Scotland* (7%), *Upper Rhin* (7%), *Spain-Portugal* (6%), *Denmark-Germany and Slovakia-Austria* (5% each).

<sup>4</sup> The CBC programme PEACE III concentrates all investments in the field of Social infrastructure.

**Figure 2: Strand A Programmes - relative importance of selected priorities (in %, sorted by size of the total allocated budget)**

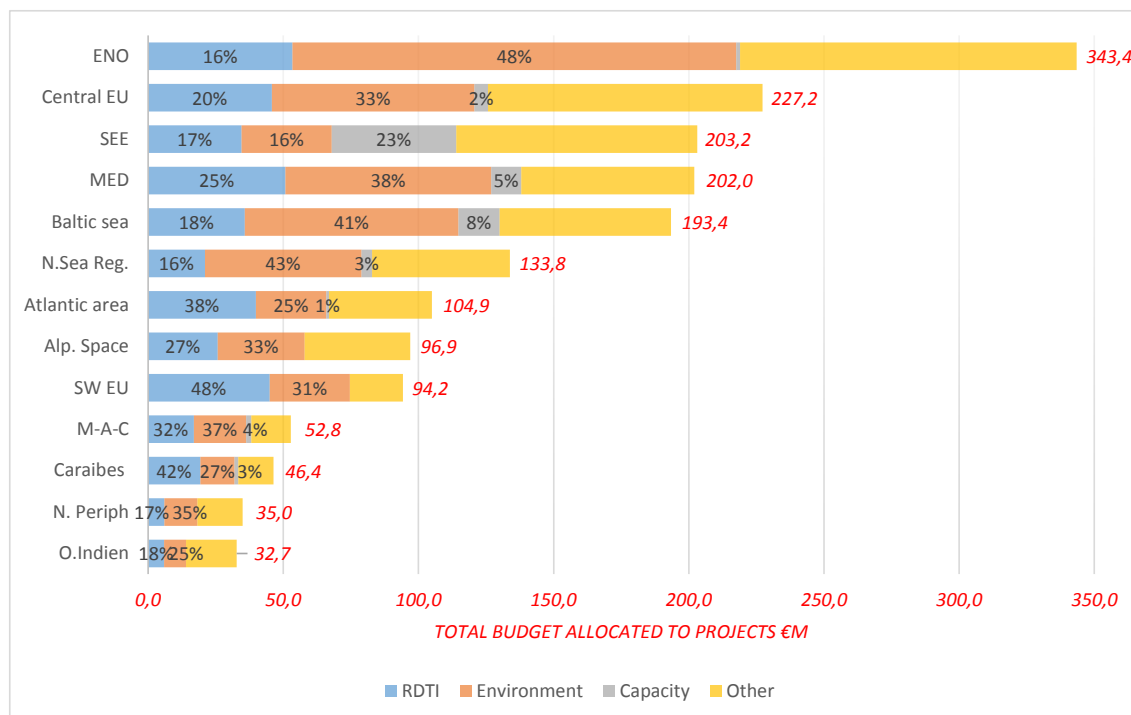


Source: ADE, based on DG REGIO database, AIR 2013



The figure below provides a similar analysis for Strand B programmes.

**Figure 3: Strand B Programmes – relative importance of selected priorities (in%, sorted by size of the total allocated budget)**



Source : ADE, based on DG REGIO database, AIR 2013

TNC programmes dedicate to RDTI between 48% (South-West Europe) and 16% (North Sea Region, ENO) with an average for all the 13 OPs up to 26%. In Top 5 are also OPs which concentrate around one quarter of their total budget to this priority theme (e.g. Caribbean 42%, Atlantic area 38%, Madeira-Acores-Canaries 32%, Alpine Space 27%). Concerning the Environment protection and enhancement as priority, TNC programmes allocate to it between 48% (ENO) and 16% (South-East Europe). There are five OPs ranged above the average of 33% (€48,1 m) invested in the field of the environment by TNC programmes – Nord Sea Region (43% of programme allocated budget), Baltic sea (41%), MED (38%), Madeira-Acores-Canaries (37%) and Northern Periphery (35%). Only 8 OPs within strand B dedicate investment to Capacity building. The leading OPs with 23 % of its total budget dedicated to the capacity building theme is South-East Europe SEE.

Interreg IVC focuses on two themes: RDTI (53% of the total allocated budget) as well as on Environment (39%).

Several OPs have placed very little priority on the three themes of this evaluation. The OPs which invest essentially (from 75% to 100% of their total budget) in other priority areas than selected ones are, by descending order, PEACE (*specific thematic targeting*) and programmes in which basically EU12 countries are involved, i.e. MV/BB – Poland, Greece-Bulgaria, Czech republic-Poland, Poland-Slovakia, Lithuania-Poland, Poland-Brandenbourg, Slovenia-Czech Republic, Sachsen-Poland, Bayern-Czech republic.



## 2. Overall structure of the evaluation

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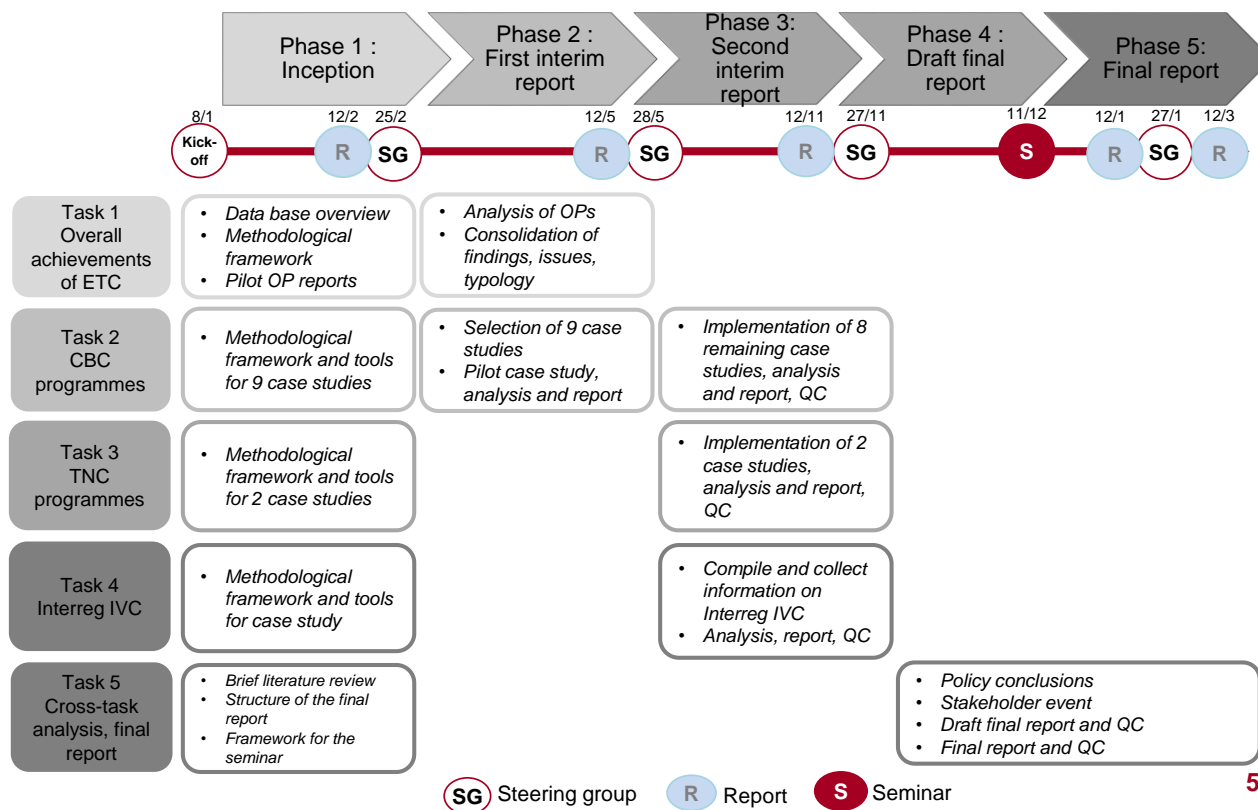
### 2.1 Evaluation tasks and process

The structure of the evaluation follows the details set out in the Terms of Reference. It is based on five main tasks, which are summarized below:

1. *Task 1 “Overall achievements of ETC programmes”* aims to provide a first systematic and comprehensive overview of the main objectives and key achievements across the 67 ETC programmes under review, and on this basis to assess the quality of objective-setting and the extent to which the objectives have been achieved.
2. *Task 2 “Cross-Border Cooperation programmes (CBC) – case studies”* will deepen the analysis under Task 1 for three relevant themes in particular: research and technological development, environment protection and enhancement, and capacity-building.
3. *Task 3 “Transnational Cooperation Programme (TNC) – case studies”* is focused on the analysis of two programmes: the Baltic Sea Region and the Atlantic Area, with the aim of assessing their contribution to territorial development and to the design of macro-regional strategy.
4. *Task 4 “Interregional Co-operation programme (INTERREG IV C) – case study”* will answer the question of knowledge-sharing and transfer of knowledge based on interregional cooperation.
5. *Task 5* will consolidate findings and draw policy conclusions, while using feedback from a Stakeholders event.

These five Tasks will be carried out in five successive Phases, as depicted in the next figure.

**Figure 4: Evaluation process**

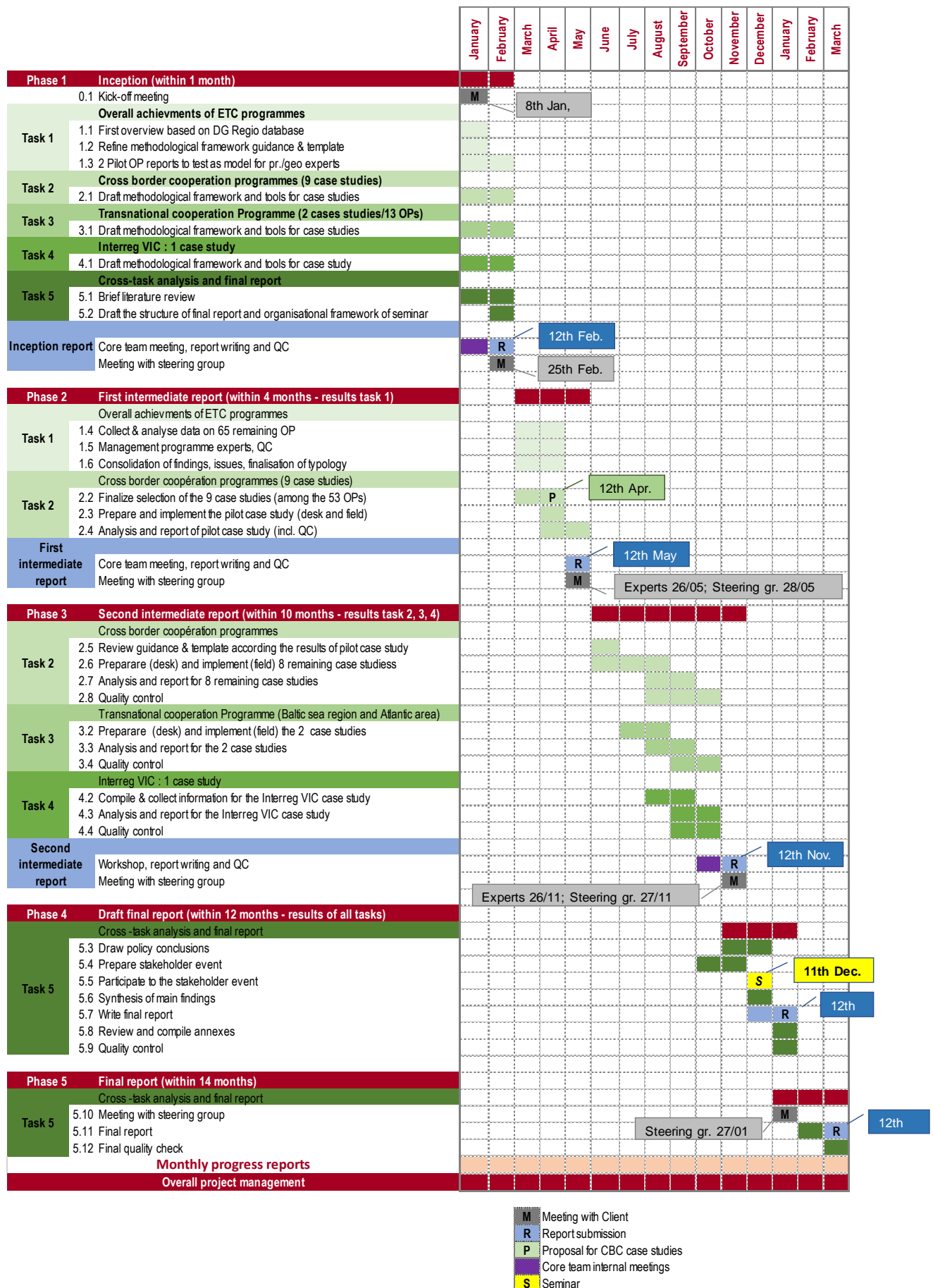


The Figure overleaf shows the activities to be undertaken in each of these Tasks by phase in more detail, as well as deadlines for reporting and timing for meetings agreed with the Evaluation manager (fully detailed presentation of the calendar for the study could be found in Annex 4).

The next section describes briefly the role of two key external experts in the evaluation.

Each of the subsequent sections provide information on the methodologies adopted for the five Tasks of the evaluation.

**Figure 5: Timeline of the study**



## 2.2 Role of key experts in the evaluation process

Two external experts - Lena Tsipouri and Slavo Radosevic - having an in-depth knowledge of Cohesion policy, its objectives, programming and evaluation issues - were proposed by ADE. DG REGIO confirmed and entrusted them to provide additional expert input in to the Study. These experts are presented briefly below:

Brief presentation of the approved key experts	
Lena Tsipouri	<ul style="list-style-type: none"> <li>✓ <b>Associate Professor at the University of Athens, Department of Economic Sciences, PhD</b> in Economics from the University of Paris II, <b>postdoctoral research</b> with a Fulbright Fellowship at <b>MIT, Cambridge</b>, Massachusetts.</li> <li>✓ Teaching activities in: <b>Economic Development, European Economic, Integration, Economics of Technological Change</b> and Theory of the Firm. Her scientific research and publications are in the topics of <b>research and innovation, regional development</b> and corporate governance.</li> <li>✓ Recent publications include <b>macro-regional and comparative studies and lessons learnt</b> putting into perspective the <b>trends of territorial development and RDTI at country specific and EU large-scale levels</b></li> </ul>
Slavo Radosevic	<ul style="list-style-type: none"> <li>✓ Acting <b>Director of School Of Slavonic &amp; East European Studies – SSEES</b> within the University College London, <b>Professor of Industry and Innovation Studies</b></li> <li>✓ Research and teaching activities in the area of <b>economics of technological change and innovation studies in Europe</b> and with special <b>emphasis on countries of central and Eastern Europe</b>. Thematic specialisation on exploring issues of <b>growth and structural change through innovation systems, entrepreneurship, and innovation policy</b> perspectives.</li> <li>✓ The most recent <b>publications are related to R&amp;I strategies for smart specialization, comparative analysis of research and national innovations policies, theory of innovation process and analysis of the innovation systems effectiveness and efficiency</b></li> <li>✓ <b>Multiple key contributions to policy advisory projects and activities</b>, notably for <b>DG Regio</b>, through the <b>assessment of the Smart specialization strategy</b> activities of Slovakia, Slovenia, Bulgaria; review panel of EU funded Network of Excellence; study <b>'Innovation Impact'</b>, etc.</li> </ul>

The role of key experts will be mainly to:

- give advice throughout the evaluation;
- comment on main deliverables;
- contribute to the Stakeholder seminar.

They are expected to provide four main types of input:

- Critically assess the overall quality of main deliverables;
- Suggest specific and constructive changes, improvements or additional analysis to be integrated into deliverables;
- Based on their expertise and experience, provide key information on latest developments in the three fields of the evaluation;
- Help drawing conclusions at the final stage of the study, during the Stakeholder seminar.

The following procedure is foreseen for the work with key experts on deliverables:

- **Step 1** - Each finalised main deliverable (Inception, First and Second Intermediate Reports) is communicated to key experts at the same time as DG Regio;
- **Step 2** - Key experts carry out a critical reading of the Report and forward their comments and suggestions for improving their content to ADE, within one week;
- **Step 4** - ADE sends experts' comments to DG Regio at least two days before the Experts Meeting.

**Table 2: Contribution of key experts**

	Expert 1 Lena Tsipouri	Expert 2 Slavo Radosevic
<b>Deliverable 1 Inception report</b>	Written comments	Written comments
<b>Deliverable 2 First intermediate report</b>	Written comments followed by meeting in Brussels	Written comments followed by meeting in Brussels
<b>Deliverable 3 Second intermediate report</b>	Written comments followed by meeting in Brussels	Written comments followed by meeting in Brussels
<b>Stakeholder event</b>	Attend and contribute to the event	Attend and contribute to the event





### **3. Detailed methodology for Task 1 – overall achievements of ETC programmes**

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This section provides a detailed methodology for the first task to be conducted immediately after the inception phase, namely, Task 1: overall achievement of ETC programmes. The aim of this Task is to prepare an one page structured summary for each ETC programme, focusing primarily on the identification of key achievements, and covering also the quality of the objective setting.

The methodology includes a template for the one-page structured summary, to be compiled by the evaluation team experts, based on a semi-structured interview with Managing Authorities and documentary analysis. Guidance to complete the template and to carry out the interview with the Managing Authorities has been developed to ensure quality and consistency in experts' assessments. The initial methodology has been tested on two pilot programmes from Strands A and B, after which the methodology has been refined accordingly, and presented in the first version of the inception report (submitted on 12 February 2015).

The methodology has been further revised after discussion in a Steering Committee meeting on 25 February, with the overarching aim to deepen the “programme achievement” assessment. The approach has been finalised according to subsequent comments received from DG Regio Evaluation unit and the two external experts.

This section presents first, the final methodology, second the structured summaries for the two pilot cases, third, the lessons learned from the piloting exercise and fourth, a first proposal for a typology of “Strand A” operational programmes.

### 3.1 Template for one-page structured summary and Full Review questionnaire

#### 3.1.1 Instructions to experts

##### 1. Objective of programme review

The key objective of your programme review is to provide a **well-argued** assessment on:

1. the quality of objective-setting of the programme
2. the achievements of the programme
3. the link between the achievements and the objectives.

The box below provides explanations for these elements. [Annex 2](#) provides further discussion on how to investigate these questions (references and sub-questions).

**Key questions for the programme review**

1. QUALITY OF OBJECTIVE SETTING  
This covers two dimensions:

- The **quality** of objectives:
  - Are the objectives sufficiently precise and realistic?
  - Do they tackle specific needs of the area that call for cross-border or trans-national cooperation?
- The quality of **process** used for setting the objectives:
  - Were the objective set through sound methods, i.e., using good SWOT analyses and relevant evidence, drawing lessons from past programmes, consulting stakeholders, etc. ?

2. ACHIEVEMENTS OF THE PROGRAMME

- Achievements go beyond outputs (e.g. number of business meetings organised at cross-border level) and concern **results** (e.g. number of cross-border innovation projects generated) and **impacts** (e.g actual changes in propensity to innovate/save energy in the area)
- Achievements should be **substantiated** (using indicators when available or qualitative sources when not available)
- Achievements may be **in line with objectives** or not: some achievements may arise without having been explicitly targeted, some objectives may not be translated in achievements
- The **sustainability** of achievements is an important issue: are the results observed likely to persist after the funding period?

## **2. Output of programme review**

The output of your programme review is the **one-page structured summary** of the programme (see template below). This is the deliverable for the Commission. The main emphasis should be on the section “Main Programme achievements”, which should cover between one-third and one half of the page.

Additionally you should fill a full review questionnaire (see questionnaire below) providing context information and further explaining content of one-page structured summary. This is an internal document for the evaluation team.

## **3. Sources for programme review**

Two types of sources shall be used for the programme review:

1. Key documents on the programme: see list in box below
2. Face-to-face (preferably) or (if impossible) phone/Skype interviews with Programme Managing Authorities/Joint Technical Secretariats (MAs/JTS)

### **Key documents for the programme**

- Operational Programme (OP): budget data, analysis of the needs of the area, description of objectives, indicators
- Most recent Annual Implementation Report (AIR) (2013): main achievements (including a specific one-page summary on programme achievements)
- Evaluations: ex ante 2014-2020, on-going 2007-2013, ex pots 2000-2006 (when available)
- Database of projects: provides a quick snapshot on projects per programme, not fully exhaustive but provides concrete information on activities funded by the programme ([www.territorialcooperation.eu/keep/](http://www.territorialcooperation.eu/keep/))
- Website of the programme: may contain additional information
- Managing Authorities may be prompted to send additional documents during the interviews

### **Aim of interviews with MAs/JTS**

The interviews with MAs/JTS are a key tool for collecting information for the programme review. Your task is to assist MAs/JTS:

- in identifying their key programme achievements
- in identifying the key programme shortcomings and disappointments
- and in providing supporting evidence for those achievements

Both quality of objectives and main achievements should be tackled during those interviews, but the bulk of attention should go to **the discussion on achievements**.

### How to contact MAs/JTs?

It is important to target those people that are in charge of **strategic management** rather than administrative management of the programme. The right persons to be interviewed can be located either at MA or at JTS, depending on how a programme management is structured. A first contact may be useful before the interview, in order to check whether the relevant people will be available for the discussion. The recommendation letter from the Commission should be used when contacting Managing Authorities.

A related issue is timing: many MA/JTS are currently very busy finalizing or launching their Interreg V programme and don't have much time for our evaluation.

Contacting MAs/JTS should be done as follows:

1. Contact the Authorities well before the interview, in order to give sufficient prior notice to decide on the interview time
2. Start with the name found in the latest AIR or on the Commission website. In many cases persons will have changed function: check with the person who is responding whether this will be the right talking partner.
3. If you are located close to the interviewee, please have the face-to-face interview. If you are not, please organize a phone or Skype interview as we only have a very limited budget/programme for travel.
4. Foresee sufficient time to conduct the interview (1.5h or 2h seem necessary).

#### 4. Guidelines for interviews with Managing Authorities

Start with a discussion on what they think the **programme has achieved**:

- Make sure that what is said goes beyond inputs and outputs and captures results
- Clarify:
  - Why they consider something as being an achievement?
  - Why trans-national/cross-border dimension is essential to it?
  - What concrete elements they have to substantiate the achievement?
  - Which facts can be collected to substantiate achievements?
- Discuss types of achievements by type of priority
- Conclude in choosing the most appropriate types of achievements that characterise the programme (see box below)

Discuss the issue of **objectives setting**

- Investigate whether the authorities think that the objectives set were the right ones:
  - Did they aim at answering the needs of the area?
  - Did they aim at cross-border/trans-national value-added?
  - Were they precise enough to provide a clear goal for the programme, and for selecting the projects that contribute to these goals?
- Enquire whether major changes are foreseen in objectives for 2014-2020, based on lessons from 2007-2013
- Explore how the objective setting took place (what kind of evidence was used, how stakeholders contributed, etc.).

Discuss whether achievements reported by Managing Authorities are in line with (or different from) objectives initially set to the programme.

#### Key achievements of programme

- **Critical mass:** Has the programme been able to generate critical mass of activities to create larger labour market or access to wider business and knowledge networks?
- **Political power:** Has the programme increased power of regions to better compete for resources from higher levels of government?
- **Specialised services:** Has the programme improved the availability of business, citizens' or other services that can be more specialised and thus of higher quality?
- **Complementarities:** Has the programme established supply chain linkages among regions and complementarities in business functions among regions?
- **Regional identity:** Has the programme increased internal recognition of the area for greater integration and social capital (including knowledge of the partners on the other side of the border)?
- **Regional branding:** Has the programme increased attractiveness and recognition of the area to firms and skilled labour both within the cross-border area and beyond?
- **Specialised infrastructure:** Has the programme established shared facilities so as to reduce financial costs and risks for the regions or countries involved, and foster better use?
- **Border challenges (people flows):** Has the programme addressed the day-to-day issues associated with flows of people, goods, and services (including public services) across the border for both positive and negative spillovers?
- **Border challenges (environment):** Has the programme increased capacity of the area to cope with environmental challenges?
- **Border challenges (transportation):** Has the programme enabled better transportation links between regions which could facilitate people flows?

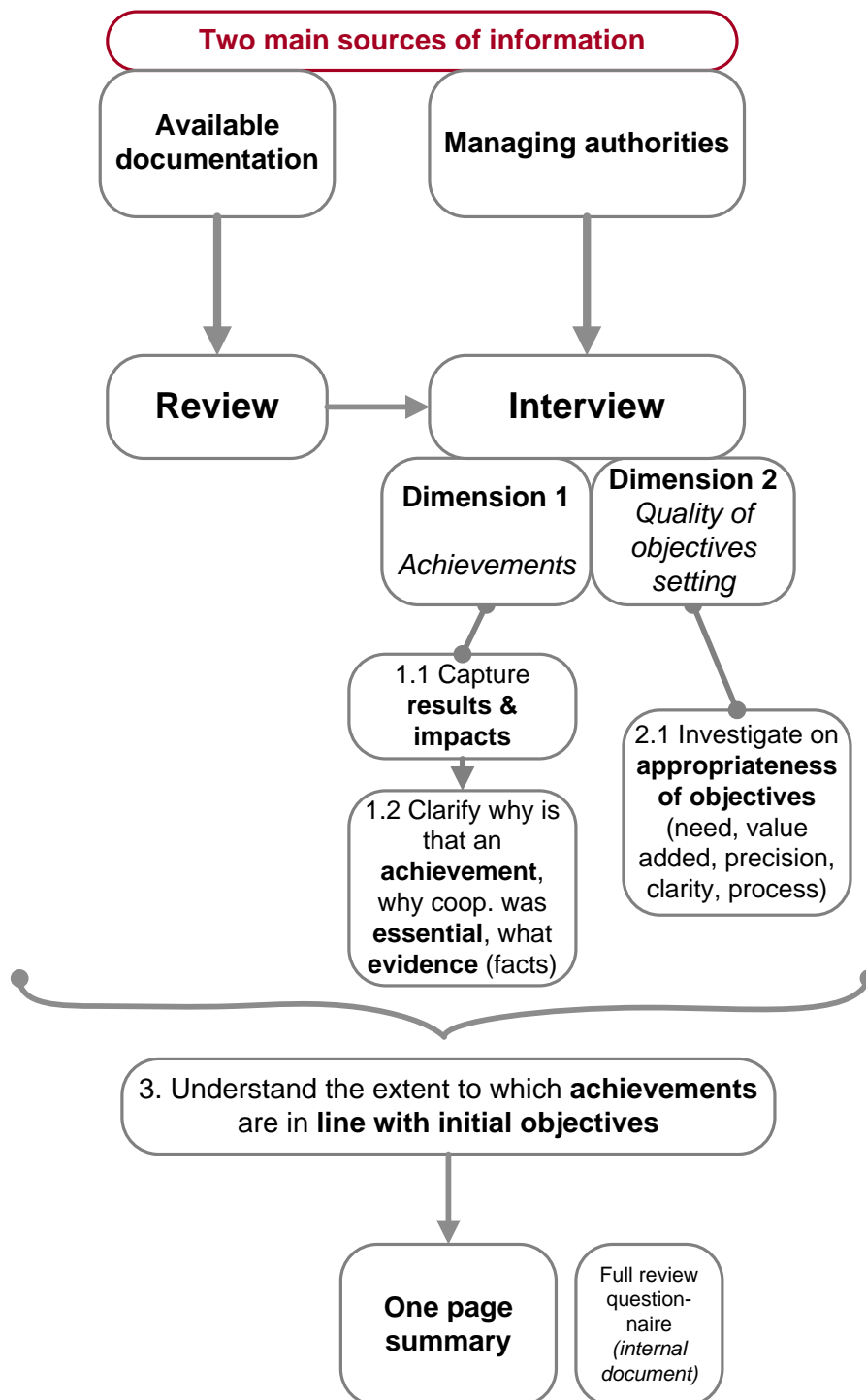
#### 5. Process for programme review

The following steps should be followed for the review.

**Step 1:** Review available documents and prepare questions for interviews with Managing Authorities

**Step 2:** Conduct extensive and in-depth interviews with Managing Authorities (foresee 1.5h), focusing on achievements and objective setting. See guidelines below.

**Step 3:** Write one-page structured summary and full questionnaire.



## **6. Deadlines for programme review**

- Early March: communication of information basis and DG Regio recommendation letter
- Mid March: communication of methodological tools and pilot cases as reference
- March – April : sending completed one-page structured summaries on an ongoing mode, as soon as they are ready, along with filled full review questionnaire
- **17 April**: final deadline for last one-page structured summary and filled full review questionnaire

### **Helpdesk:**

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### 3.1.2 One-page structured summary template

Name of Programme (A or B or C) ( list of Member States)				
EU Budget	Total: €xxm	Priority 1: xx%	Priority 2: xx%	Priority 3: xx%
<b>1. Assessment of the quality of objective setting</b>				
<b>Key priorities and related objectives</b>	1. 2. 3.			
<b>Quality of objective setting</b>	<i>Explanation, covering quality, formulation and indicators</i>			
<b>Adequacy of planned budget</b>	<i>Justification and evidence</i>			
<b>2. Assessment of main achievements</b>				
<b>Main programme achievements</b>	Overall programme achievements: <i>achievements in the context of the area, sources of information (MA or AIR) and link with objectives</i>  Priority 1. <i>achievements and sources of information (MA or AIR)</i>  Priority 2. <i>achievements and sources of information (MA or AIR)</i>  Priority 3. <i>achievements and sources of information (MA or AIR)</i>			
<b>Quality of cooperation</b>	<i>Based on synthetic indicator on depth and intensity of cooperation or other sources</i>			
<b>3. Good practice</b>				
<i>Description and justification</i>				



### 3.1.3 Full Review questionnaire

This questionnaire helps the expert fill the one-page structured summary template, by providing explanations and sub-questions clarifying the meaning of each item. Explanations supporting judgement written in the one-page template, along with the sources used (interviews MA, OP, AIR, evaluations...), should be reported in this questionnaire. The questionnaire will not be published, it will be used as a working document by the Core Evaluation team.

All boxes below should be filled by the expert in addition to those in the one-page template. More detailed questions, explanations and examples are provided in Annex 2.

<b>Context</b>	<p><i>Tick one characteristic on each line and add other context characteristics if necessary</i></p> <p>external - internal border          old - recent - intermediate history          institutionalized - not institutionalized - partly institutionalized          balanced - unbalanced development          decentralized - centralized - mixed institutional powers          high - low - different density          high – low - average connectivity          high - low diversity - average diversity</p>
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<b>Driving force for the programme</b>	<p><i>Write, in your own words, your understanding of the main overall justification for cooperation in the area. The driving forces should refer to the ultimate expected benefits of the cooperation</i></p>
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<b>Quality of objectives</b>	<p><i>Assess the quality of objectives (identification of value-added for cooperation, focus on « joint » actions and projects, concentration in areas with key leverage, links objectives-indicators, quality of indicators, and complementarity with regional policies)</i></p>
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	<p><i>Assess the quality of process for agreeing and deciding on objective setting (incorporation of lessons drawn from previous periods, quality of SWOT analysis, mobilisation of stakeholders, use of appropriate expertise...)</i></p>
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<b>Adequacy of planned budget</b>	<p><i>Correspondence between the identification of key objectives and priorities and ex ante budget allocations between various axes, measures. What are the shifts in budget allocations to various priorities?</i></p>
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<b>Main programme achievements</b>	<p><i>For the whole programme, discuss type of achievements that have been reached, focusing on results rather than outputs when possible, and on cross-border or trans-national value-added. Achievements should be put in the specific context of the area. Figures to be provided when available. Indicate whether the source comes from indicators, or interviews with MA, any contradiction between the two. Ask MA about the following types of achievements:</i></p> <ul style="list-style-type: none"> <li>• <b>Critical mass:</b></li> <li>• <b>Political power:</b></li> <li>• <b>Specialised services:</b></li> <li>• <b>Complementarities:</b></li> <li>• <b>Regional identity:</b></li> <li>• <b>Regional branding:</b></li> <li>• <b>Specialised infrastructure:</b></li> <li>• <b>Border challenges (people flows):</b></li> </ul>
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- **Border challenges (environment):**
- **Border challenges (transportation):**

*Achievements for priority 1, including large projects when relevant, source of information*

*Achievements for priority 2, including large projects when relevant, source of information*

*Achievements for priority 3, including large projects when relevant, source of information*

<b>Quality of cooperation</b>	<i>The evaluation of programmes which were already active in 2000-2006 computed a synthetic indicator measuring the depth and intensity of cooperation in the area. When available, the evolution of this indicator during 2007-2013 should be reported in this question.</i>
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<b>Support from INTERACT</b>	<i>What types of support from INTERACT have been of most practical use?</i>  <i>Are there any areas where MA identify a need for more support?</i>
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**Annex: List of indicators in the programme**

<b>OUTPUT indicators, targets and values achieved</b>			
<b>Theme 1</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
<b>Theme 2</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
<b>Theme 3</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
<b>RESULT indicators, targets and values achieved</b>			
<b>Theme 1</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
<b>Theme 2</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
<b>Theme 3</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value

<b>IMPACT indicators, targets and values achieved</b>			
<b>Theme 1</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
<b>Theme 2</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
<b>Theme 3</b>	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value
	Indicator	Target	Value

### 3.2 Pilot analytical reviews

Northern Ireland, Border region Ireland and Western Scotland (A) (United Kingdom, Ireland)			
EU Budget	Total: €192m	Priority 1: 26%	Priority 2: 69%
<b>1. Assessment of the quality of objective setting</b>			
<b>Key priorities and related objectives</b>	<p><b>1. Cooperation for a more prosperous programme region:</b> diversify and develop the economy by encouraging innovation and competitiveness in enterprises and business development and promoting tourism (“Enterprise” and “Tourism”)</p> <p><b>2. Cooperation for a more sustainable programme region:</b> support cooperation in policy development and improve access to services so as to improve quality of life (“Cooperation” and “Infrastructure”)</p>		
<b>Quality of objective setting</b>	<p>The particular situation of the region is well reflected in the objectives: addressing shared economic and social problems of peripherality exacerbated by conflict (“back-to-back” development syndrome). Cross-border value-added is well identified in fields such as public service provision and infrastructure, less so for economic transformation. The objectives are clearly stated even if they remain generic. The “cooperation” theme in particular is very broad. The benefits brought by extension to Scotland do not yet appear to be fully taken into account. Complementarity with mainstream is credibly addressed thanks to a focus on cross-border value-added.</p> <p>The process of objective setting rests on a well-informed SWOT analysis backed up by numerous studies, inputs from ex ante evaluation, good mobilization of stakeholders with the use of cross-border committees, and appropriate structures. There is evidence of policy learning from the previous programme. Important consideration is placed on ensuring sustainability after EU funding.</p> <p>The programme includes relevant, well-defined, measurable, and logically linked output, results, and impact indicators. Revision took place during the period to fine-tune them. Problems existed in the link between project- and programme-indicators. Targets exist; some have proven unsuitable and have been revised.</p>		
<b>Adequacy of planned budget</b>	Budget shifts are observed due to under-commitment in the “enterprise” objective and over-commitment of the “infrastructure” priority. There seems to be a difficulty to feed the budget lines devoted to innovation in enterprises.		
<b>2. Assessment of main achievements</b>			
<b>Main programme achievements</b>	<p>The programme displays three main types of achievements. First, <b>solving border challenges</b> (people flows and transportation): connecting people over border to reduce the sense of isolation and normalize socio-economic relationships after decades of segregation. Improved road infrastructure and cross-border health services contribute to this achievement. Second, <b>creating specialised infrastructure</b>: i.e. joint initiatives, notably the creation of fast telecoms connection for the whole area with direct connection to US or the creation of a joint database with seabed information. Third, <b>critical mass</b>: i.e. joint courses and business advisory services capitalizing on the resources of several research and training institutions. This achievement is likely to be maintained through continuing cooperation between the organisations involved in projects.</p> <p>The intervention logic gets somewhat diluted, and identification of achievements less clear, for economic development challenges and cooperation with Western Scotland. There is a good but incomplete evolution towards more strategic projects and concentration of action.</p> <p><b>Priority 1.</b> Positive results in “economy”: 295 jobs in companies, 20% of supported businesses entering new markets; fewer results are achieved in innovation. Successful and sustainable projects in: engineering training (38 companies developed new business and 30 jobs, 312 participants accredited), new technology development and commercialization, SME mentoring systems on a cross-border basis (15 businesses developing new processes and 133 innovation action plans adopted), and in joint tourism branding (sailing area). Cross-border value-added is not always clearly identifiable in this priority.</p> <p><b>Priority 2.</b> Cross-border VA is achieved in health care (75.000 people benefitting from services, reduction of 30% of waiting lists, reduction in patients travelling time); road infrastructure (6.8% reduction of accidents, 33% reduction in journey time through improved roads); telecoms (25% reduction of data transmission time, benefitting rural communities, 4% more businesses taking up broadband); joint production of new data on the common seabed with wide applicability; production of a joint regional biodiversity framework, etc.</p>		
<b>Quality of cooperation</b>	Based on an enquiry, the mid-term evaluation emphasizes “soft” achievement in terms of cross-border engagement and collaboration, reduction of marginalisation of border communities, and their lasting character. The “synthetic indicator” is not available but project selection criteria include 4 items “joint development”, “joint implementation”, “joint staffing” and “joint financing” (most projects meet them all).		
<b>3. Good practice</b>			
The project “Knowledge and innovation Transfer in Engineering” fosters key linkages between industry and academia on a cross-border basis, capitalizing on complementary expertise and using e-learning methods, and quantified results are reported in terms of innovation in businesses and new jobs created.			

Name of Programme Atlantic Area (AA), (B) (France; Ireland; Portugal; Spain; UK)				
<b>EU Budget</b>	Total: €104m	Priority 1: 26%	Priority 2: 36%	Priority 3: 18% Priority 4: 14%
<b>4. Assessment of the quality of objective setting</b>				
<b>Key priorities and related objectives</b>	<ol style="list-style-type: none"> <li>1. <b>Promote transnational entrepreneurial and innovation networks;</b></li> <li>2. <b>Protect, secure and enhance marine and coastal environment sustainably;</b></li> <li>3. <b>Improve accessibility and internal links;</b></li> <li>4. <b>Promote transnational synergies in sustainable urban and regional development;</b></li> </ol>			
<b>Quality of objective setting</b>	<p>Clear links are made to the previous programme, particularly the need to move away from studies towards concrete projects which deliver results. The SWOT is well conceived and articulates the territorial and socio-economic diversity of the AA. The objectives are linked to the SWOT analysis but there is little depth about the ways in which they can be measured nor if they are achievable, realistic and will make an impact. A clear rationale is presented about the value of trans national working and the potential to contribute to complement national and regional policies in the AA. Good links are made to strategic EU priorities, particularly Lisbon targets and the need to enhance the knowledge economy in the AA programme area. The indicators lack robustness and recommendations from previous evaluations about the need for better ones was seemingly not actioned. There is a clear lack of targets provided in the OP; this is a serious gap in the programme and makes it very difficult to measure the effectiveness and impact of the AA.</p>			
<b>Adequacy of planned budget</b>	<p>The planned budget was largely adequate with spending targets being met. A total of 71 projects were approved by the end of 2013, with total ERDF committed of €102.4m. Some problems were encountered mid-programme due to the economic crisis, which delayed tendering by the MA in Portugal due to restrictions on this at the national level.</p>			
<b>5. Assessment of main achievements</b>				
<b>Main programme achievements</b>	<p>Given the diverse territorial and socio-economic context of the AA, the programme displays three main types of achievements. First, <b>complementarities and critical mass</b>, through creating sustainable joint problem solving capacities linked to transnational needs; creation of specific knowledge bases and policy making instruments; reinforcement of networks and clusters. Second, tackling <b>border challenges (environment)</b> through joint work towards 'blue growth' and the economy of the sea, which is made easier since relations, networks and common understanding have been established. The MA argues that the evaluation of achievements is rather tricky because of the broadness of the objectives and the non-homogenous data available. The OP indicators are targeted more on outputs than actual achievements which is in part due to the guidelines laid down by the EC which are not really applicable to TNC programmes. Overall, by the end of 2013, 71 projects were approved, involving 662 partners and 135 associated partners. A total of 206 direct jobs have been created, of which 114 are posts filled by a woman. In addition, a total of 14423 institutions and 43190 people met in transnational events; a total of 3662 publications have been produced, of which 253 are final study reports and 1763 articles in the press and specialised magazines.</p> <p><b>Priority 1:</b> 28 projects approved, worth €33m, 51 direct jobs created and a total of 4635 institutions and 12673 people met in transnational events. Several networks were funded including NETALGAE to promote sustainable development in the marine algal industry and SHAREBIOTECH focusing on life science infrastructure and skills in the AA.</p> <p><b>Priority 2:</b> 24 projects approved, worth €39m, 93 direct jobs created and a total of 6964 institutions and 11804 people met in transnational events. Several networks were funded including ARCOPOL on improving maritime safety and tackling and SPRES on oil spill prevention and response at local scales;</p> <p><b>Priority 3:</b> 7 projects approved, worth €16m, 28 direct jobs created, a total of 680 institutions and 2379 people met in transnational events. Several networks were funded including the ATLANTIC POWER CLUSTER focusing on renewable energy;</p> <p><b>Priority 4:</b> 12 projects approved, worth €14m, 34 direct jobs created, a total of 2144 institutions and 14107 people met in transnational events. Several networks were funded including AARC on integrated water management.</p>			
<b>Quality of cooperation</b>	<p>The synthetic indicator is not available. The strategy is well conceived with priorities that are well suited to the diverse territorial context but the indicators are inadequate to assess fully the socio-economic impacts that the programme has had.</p>			
<b>6. Good practice</b>				
<p>Good SWOT development in the OP. Good engagement across the five Member States in the AA. Good use of previous evaluations to inform the programme strategy and objectives (but not the indicators).</p>				



### **3.3 Lessons from Pilot cases**

The testing of the methodology on pilot cases generated the following observations.

First, the pilot exercises started with an analysis of the **documentary base**.

Overall the guidance was found useful to exploit the documents to fill the structured summary page. The key sources of information were the OP and the 2013 AIR, including the one-page summary of achievements. It is time consuming to work through the documents, which contain lots of information and certain sections are more relevant than others to complete the summary page. The major difficulty experienced with the two initial pilots was the weakness of existing indicators to capture key achievements of the programmes (lack of result indicators, weakly defined output indicators). In both cases, the one page summary of achievements present in the 2013 AIR proved also insufficient to this purpose, as they did not add new information. Additional sources, such as evaluations, and documents listing project selection criteria, were useful to screen: some of those were obtained as a follow-up of the interviews. Providing a complete information base to the experts will reduce the time required to search for the right documents and help them complete the work in the 3 days allocated to them. These relevant documents will be provided by the Evaluation Core team and will be made easily accessible to the experts.

Second, the pilot cases involved **interviews with Managing Authorities**.

The interviews, carried out on the basis of a list of questions adapted in each case to the specific programmes, provided some additional material and in-depth insights that really helped to better understand the documentary evidence. Interviews with the MAs/JTS helped both to question and/or clarify some of the points extracted from the OPs and AIRs. A challenge was to link directly the interviews with the Managing Authorities with the 1 page summary to help contextualise the documentary evidence and also to reveal any key points that are difficult to ascertain from the OP and AIR. The interviews proved notably important to better understand the programme's intervention logic and get insights into programmes' achievements which are not recorded in the documents. It is difficult to calibrate the interview guidelines since their focus depends a lot on the available documentation studied before the interview. Each expert should consider the guidelines as a menu to fine-tune according to the specific case under analysis. The questionnaire initially used for the pilot cases was further refined in light of the discussions with the study Steering Group, in order to focus it even more on the issue of programme's achievements.

In the final version of the structured summary pages, more space has been given to explanations of achievements, at the expense of the descriptive part. The descriptive elements will still be prepared by the experts for the use of the overall analysis by the Core Team and in view of selection of case studies, but do not appear on the one-page summary anymore. In addition, the scoring of various issues in the summary page, initially foreseen, has also been abandoned, in view of the expected difficulties to align expert's appraisals around an agreed scale, in a situation of wide diversity of programme's contexts, goals and types of achievements.

### 3.4 First proposal for typology of strand A Operational programmes

The 53 ETC programmes in Strand A display a large diversity along many characteristics that shape their profile, types of objectives and achievements. The aim of this section is to propose a typology of these programmes, in view of the selection of 9 cases which capture this diversity.

A list of ten important criteria is proposed below: they relate to the cross-border area, on the one hand, and to the programme itself, on the other hand.

#### Cross-border area criteria

1. **Border:** old internal border (the area includes only old EU Member States); new internal border (the area does include old and new EU Member States); external border (the area includes non- EU Member States).
2. **Economic development:** balanced development (similar level of development across the area, key indicator GDP); unbalanced development (significant differences in levels of economic development).
3. **History:** old history (more than 20 years of cross-border cooperation); recent history (less than 10 years); intermediate history (10-20 years).
4. **Diversity:** high diversity (the various parts of the area show a large variety in culture, language, economic specialization, etc.); low diversity (the various parts of the area show little variety in culture, language, economic specialization, etc.); average diversity (some variety across the area).
5. **Institutional position:** decentralized powers (all regions involved possess significant responsibilities in socio-economic development policies); centralized powers (most socio-economic development policies are in the hands of national authorities); mixed powers (some regions belong to centralized states while others enjoy important powers).
6. **Density:** high density (all parts of the area are densely populated); low density (most parts of the area have a low population density); different density (mix of the two previous).
7. **Connectivity:** high connectivity (all parts of the area are easily reached); low connectivity (there are major accessibility barriers within the area); average connectivity (there are some accessibility barriers within the area).

### Programme criteria

8. **Size of Budget:** big if the EU decided budget allocated to the programme exceeds €150m; small if the budget is smaller than €75m, and average if it is between these values.
9. **Intensity and depth of cooperation:** high if the synthetic index computed in the 2000-2006 evaluation is higher than 80; low if this synthetic index is lower than 70; and average if it is between these values<sup>5</sup>.
10. **Institutionalisation:** institutionalized (formal cooperation structures exist that adequately cover the whole area and topics); not institutionalized (no formal cooperation structures do exist that adequately cover the whole area and topics); partly institutionalized (some cooperation structures do exist but they do not cover the whole area and topics).

It is suggested to identify the sample of OPs subject to case studies in two steps:

1. **Creation of 5 types of programmes:** Table 3 lists all A programmes along with three of the ten criteria (type of border, size of EU budget, intensity and depth of cooperation). These criteria were retained for their relevance for capturing key dimensions along which the programmes differ, and for their direct availability. In Table 4, CBC programmes are classified into five broad types, using these three criteria. Each type of programme will be represented in the selection of 9 cases;
2. **Selection within the 5 types:** the further selection will place a focus on thematic priorities (RDTI and entrepreneurship, Environment and climate, Capacity building). The retained programmes should belong to the “top 10” programmes giving priority to one of these themes, either in absolute or relative terms (or both), see Tables 5 to 7<sup>6</sup>. Next, the selection will screen the other seven criteria and the results of Task 1 investigation, principally on the question of key achievements (one-page structured summaries) The list of achievements will be screened in order to feed the results of Task 1 into the selection of case studies. A final check will be made to ensure a good balance of areas in North, South, East and West of Europe.

The selection should also consider the list of programmes that have been already subject to a case study in the 2000-2006 evaluation. Those are: Spain-Portugal, Ireland-Northern Ireland, Latvia-Lithuania-Belarus, Finland-Estonia, Italy-Slovenia, Austria-Slovakia, Vlaanderen –Nederland, Pamina, Karelia, Oresund, Czech Republic-Poland. The advantage of conducting new case study on one or more of them could be to understand the extent to which a policy change would be observed between programming periods (drivers for change, enhanced partnership, strengthen strategic capacity, etc.). However, the final list should not be too redundant with the 2000-2006 list.

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<sup>5</sup> The definition of some programme areas have been modified between 2000-2006 and 2007-2013: cases with large modifications have been marked with \*. A few 2007-2014 programmes do not have a corresponding programme in 2000-2006, hence the index is missing for these.

<sup>6</sup> It has been noted in Section 1 that a number of programmes including EU12 Member States placed little priority on the three themes. Those are: MV/BB – Poland, Greece-Bulgaria, Czech republic-Poland, Poland-Slovakia, Lithuania-Poland, Poland-Brandenbourg, Slovenia-Czech Republic, Sachsen-Poland, Bayern-Czech republic. Some of these programmes should also be included in the selection in order to understand this pattern.

It is proposed to conduct the pilot case study on the **OP Northern Ireland- Border region of Ireland and the Western Coast of Scotland**. This OP belongs to Type 1 (Old internal borders, High degree of cooperation) with big budget. It has a strong focus on the Capacity Building theme (both in absolute and relative terms).

**Table 3: Characteristics of 53 OPs in strand A**

CCI	Name	Border	Size budget	Depth & intensity coop
1	Euregio Maas Rijn	Old internal	small	high
2	Austria - Czech Republic	New internal	average	medium
3	Slovakia-Austria	New internal	small	medium
4	Deutschland/Bayern - Österreich	Old internal	small	high
5	España-Portugal	Old internal	big	high
6	España-Francia	Old internal	big	medium
9	Freistaat Bayern-Tschechische Republik	New internal	small	high
10	Austria - Hungary	New internal	average	medium
11	Polska (Woj. Lubuskie) -Brandenburgia	New internal	average	low
12	Poland-Slovakia	New internal	big	low
13	South Baltic	New internal	small	
16	Sweden - Norway	External	small	high
17	Sachsen - Tschechien	New internal	big	low
18	Sachsen - Polen	New internal	average	low
19	MV/BB - Polen	New internal	big	medium
21	Romania-Bulgaria	New internal	big	low
23	Deutschland-Niederlande	Old internal	big	high
24	Alpenrhein-Bodensee-Hochrhein	External	small	high
25	Česká republika - Polsko	New internal	big	low
26	Öresund-Kattegatt-Skagerrak	Old internal	average	high*
28	Botnia-Atlantica	Old internal	small	high
30	Slovenská republika - Česká republika	New internal	average	medium
31	Lithuania - Poland	New internal	small	low*
32	Nord	Old internal	small	high*
33	Italia-Francia frontiera marittima	Old internal	average	low
34	Italia-Francia Alpi (ALCOTRA)	Old internal	average	high
35	Italia - Svizzera	External	small	medium
36	Italia-Slovenia	New internal	average	low
37	Italia-Malta	New internal	small	medium
38	Programme des 2 mers	Old internal	big	medium
39	Rhin supérieur	External	small	high
40	France (Manche) - Angleterre	Old internal	big	medium*
41	France-Suisse	External	small	medium
47	Northern Ireland, the Border Region of Ireland and the West Coast of Scotland	Old internal	big	high*
49	(PEACE III) - Northern Ireland and the Border Region of Ireland	Old internal	big	
50	Estonia-Latvia	New internal	small	medium*
51	Amazonie	External	small	
52	Italia-Austria	Old internal	small	medium
53	Slovenia-Hungary	New internal	small	low*
54	Slovenia-Austria	New internal	small	medium
56	Syddanmark-Schleswig-K.E.R.N.	Old internal	small	high
57	"Fehmarnbeltregion" (Sjælland-Ostholstein-Lübeck-Plön)	Old internal	small	medium
58	Greece-Cyprus	New internal	small	
59	Greece-Bulgaria	New internal	average	
60	Greece-Italia	New internal	average	
62	Ireland-Wales	Old internal	small	medium
63	France-Wallonie-Vlaanderen	Old internal	average	high
64	Grande Région	Old internal	average	medium*
65	Vlaanderen - Nederland	Old internal	average	medium
66	Central Baltic	New internal	average	low
67	Hungary-Romania	New internal	big	low*
68	Hungary-Slovakia	New internal	big	low*
70	Latvia - Lithuania	New internal	small	medium*

**Table 4: Five types of Strand A programmes**

Types	Programmes by size of EU budget <sup>7</sup>
<p>Type 1 Old internal borders High degree of cooperation</p>	<p><b>Big:</b> España-Portugal, Deutschland-Niederlande, Northern Ireland, the Border Region of Ireland and the West Coast of Scotland, (PEACE III)</p> <p><b>Average:</b> Öresund-Kattegatt-Skagerrak, Italia-Francia Alpi -ALCOTRA, France-Wallonie-Vlaanderen</p> <p><b>Small:</b> Euregio Maas Rijn, Deutschland/Bayern – Österreich, Botnia-Atlantica, Nord, Syddanmark-Schleswig-K.E.R.N.</p>
<p>Type 2 Old internal borders Medium - low degree of cooperation</p>	<p><b>Big:</b> España-Francia, Programme des 2 mers, France - Manche – Angleterre, (PEACE III)</p> <p><b>Average:</b> Italia-Francia frontiera marittima, Grande Région, Grensregio Vlaanderen - Nederland</p> <p><b>Small:</b> Italia/Austria, "Fehmarnbeltregion", Ireland Wales</p>
<p>Type 3 New internal borders High - medium degree of cooperation</p>	<p><b>Big:</b> MV/BB - Polen</p> <p><b>Average:</b> Austria - Czech Republic, Austria – Hungary, Slovenská republika - Česká republika, (Greece-Bulgaria), (Greece-Italia)</p> <p><b>Small:</b> Slovakia-Austria, Freistaat Bayern-Tschechische Republik, (South Baltic), Italia-Malta, Estonia-Latvia, Slovenia-Austria, Latvia – Lithuania, (Greece-Cyprus)</p>
<p>Type 4 New internal borders Low degree of cooperation</p>	<p><b>Big:</b> Polska-Słowacja, Sachsen – Tschechien, Romania–Bulgaria, Česká republika – Polsko, Hungary-Romania, Hungary-Slovakia</p> <p><b>Average:</b> Polska -Woj. Lubuskie –Brandenburgia, Sachsen – Polen, Italia-Slovenia, (Greece-Bulgaria), (Greece-Italia), Central Baltic</p> <p><b>Small:</b> (South Baltic), Lithuania – Poland, Slovenia-Hungary, (Greece-Cyprus)</p>
<p>Type 5 External borders</p>	<p><b>Small:</b> Sweden – Norway, Alpenrhein-Bodensee-Hochrhein, Italia – Svizzera, Rhin supérieur, France-Suisse, Amazonie</p>

<sup>7</sup> Those programmes for which there is no synthetic indicator available are mentioned within brackets under two types.

**Table 5: Top 10 OPs that allocated the highest amount and share of budget on RTDI + entrepreneurship**

TOP10	Programme title	EURO million	Programme title	% in total allocated budget
1	España-Portugal	86,9	Nord	53,2%
2	Deutschland-Niederlande	64,0	Ireland Wales	52,9%
3	Hungary-Romania	59,5	Deutschland-Niederlande	46,9%
4	Öresund-Kattegatt-Skagerrak	50,9	Öresund-Kattegatt-Skagerrak	44,5%
5	Northern Ireland, the Border Region of Ireland and the West Coast of Scotland	49,8	Euregio Maas Rijn	43,4%
6	France (Manche) – Angleterre	46,7	"Fehmarnbeltregion" (Sjælland-Ostholstein-Lüt)	40,4%
7	España-Francia	40,7	Syddanmark-Schleswig-K.E.R.N	34,0%
8	Hungary-Slovakia	35,9	Botnia-Atlantica	32,8%
9	France-Wallonie-Vlaanderen	34,7	Rhin supérieur	32,6%
10	Italia-Francia Alpi	32,6	España-Portugal	31,8%
Average budget 53 OP Strand A		19	Average share in budget 53 OP Strand A	18,7%

**Table 6: Top 10 OPs that allocated the highest amount and share of budget on Environment and climate change**

TOP10	Programme title	EURO million	Programme title	% in total allocated budget
1	France (Manche) – Angleterre	58,0	Italia-Malta	58,4%
2	Italia-Francia Alpi (ALCOTRA)	53,3	Italia-Francia Alpi (ALCOTRA)	37,0%
3	Programme des 2 mers	43,5	France (Manche) – Angleterre	34,1%
4	España-Portugal	38,4	Austria – Hungary	32,0%
5	Hungary-Romania	34,6	Central Baltic	30,3%
6	Sachsen – Tschechien	33,4	Romania–Bulgaria	30,2%
7	Northern Ireland, the Border Region of Ireland and the West Coast of Scotland	33,0	Grensregio Vlaanderen - Nederland	28,9%
8	Česká republika – Polsko	32,7	Italia-Slovenia	28,2%
9	Italia-Slovenia	32,6	Slovenia-Hungary	28,2%
10	Central Baltic	31,4	South Baltic	26,6%
Average budget 53 OP Strand A		18,8	Average share in budget 53 OP Strand A	18,6%

**Table 7: Top 10 programmes that allocated the highest amount and share of budget on Capacity building**

TOP10	Programme title	EURO million	Programme title	% in total allocated budget
1	Sachsen - Tschechien	18,9	Deutschland/Bayern – Österreich	12,6%
2	España-Portugal	17,6	Sachsen - Tschechien	9,5%
3	Northern Ireland, the Border Region of Ireland and the West Coast of Scotland	12,9	Sachsen - Polen	8,5%
4	Sachsen - Polen	8,6	Grande Région	7,6%
5	Grande Région	8,1	Alpenrhein-Bodensee-Hochrhein	7,1%
6	Deutschland/Bayern – Österreich	6,1	Northern Ireland, the Border Region of Ireland and the West Coast of Scotland	7,1%
7	Rhin supérieur	4,8	Rhin supérieur	6,8%
8	France-Wallonie-Vlaanderen	3,8	España-Portugal	6,4%
9	Italia-Francia frontiera marittima	3,5	Syddanmark-Schleswig-K.E.R.N	4,5%
10	Hungary-Slovakia	3,3	Slovakia-Austria	4,5%
Average budget 53 OP Strand A		3,9	Average share in budget 53 OP Strand A	2,2%



## 4. Methodology for Task 2, Task 3 and Task 4

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### 4.1 Detailed methodology for the implementation of 9 case studies on Cross border cooperation programmes:

#### 4.1.1 Objective

The purpose of the case studies is to deepen the analysis on the contribution of cross-border programmes to co-operation and to economic and social integration. The case studies should provide better insights of the programmes' main achievements, the cooperation mechanisms put in place, their effects in terms of reducing barriers to co-operation and taking advantage of common opportunities as well as to identify more precisely the added value of such modality in comparison with other regional/national/EU programmes. The questions to be addressed are summarized in the box below.

#### Summary of the ToR relating to task 2

Carry-out nine case studies, three on each of the following themes: (i) Research, Technology and Innovation, (ii) Environment protection and enhancement, (iii) Capacity-building

Main issues to be addressed by the case studies are :

- Deepening the analysis of the allocation of resources spent, the types of activities supported and of the results achieved under the three themes.
- To what extent has co-operation been enhanced? What barriers to co-operation have been removed? What evidence is there on the contribution of ETC OPs?
- What has been delivered *via* co-operation, and what is its impact?
- What learning has been generated? To what extent and how far have knowledge and capacity been transferred? Who has benefited? From which stakeholders to which other stakeholders has knowledge and capacity been transferred?
- What is the sustainability of such learning and co-operation mechanisms? How far does it depend on EU financing?
- If there were no prior CBC programmes, would the projects co-financed through the programme have happened without the existence of EU funding?
- What is the quality of monitoring systems?
- What has been the added value of the INTERACT to the effective functioning of the programme?
- To what extent were the programme objectives coordinated with those of national and regional programmes? Can synergies be objectively evaluated?
- How does the programme differ from a programme financed from national/regional budgets? What is the difference with respect to their impact on the theme and on cooperation?

As mentioned in the ToRs, the case studies will focus on the results achieved in three main fields of intervention: 1) R&D, innovation and entrepreneurship; 2) environmental protection and 3) capacity building. In order to gather different approaches/contexts, 3 case studies will be undertaken for each theme.

The approach is designed for analysing the contribution of CBC in one of the three fields under review more than at a general level (except for the issue of learning and monitoring systems). It is of course based on the review of each programme made under Task 1 which will provide findings on the quality of objective setting and the main results achieved, using the typology of achievements.

#### 4.1.2 Proposed approach for case studies

The proposed approach for conducting the case studies is detailed in the subsequent sections. The first section presents the main questions that will drive the evaluation of the 9 selected CBC programmes and the judgement criteria to use in order to answer those questions. For each criterion, themes and indicators as well as related sources that will back up the analysis have been identified. The approach is a mix of macro analysis (at regional/programme level) and micro perspective (entering into specific projects funded by the CBC programmes) as well as a mix of statistical analysis and qualitative analysis based on interviews and existing documents/studies.

The second section gives an overview of the organisation of a field visit and an initial list of stakeholders to interview. The last section provides an outline of the content of the case study report.

The methodology has been developed based on a hypothesis that the quality of indicators in the OPs and AIRs will be insufficient to robustly assess achievements in a significant number of programmes. The main way to tackle this challenge lies in collecting additional qualitative information both from Managing Authorities/JTS and from stakeholders involved in projects. Stakeholders to be interviewed are not only the organised representatives but also actual and potential beneficiaries of the programmes. Those types of voices are very interesting to hear from. The analysis of projects database will also help in forming such a picture. This will help create a qualitative picture on results achieved by programmes, in the form of a narrative rather than (or in addition to) verified indicators.

#### *Evaluation questions and criteria to address them*

**Question 1: To what extent has cross-border cooperation been enhanced? What barriers to cooperation have been removed? What is the evidence for the contribution of ETC programmes?**

<b>Criterion 1.1:</b> Existing barriers to cooperation and issues at stakes in the main field under review have been well covered in the OP	
<b>Themes/Indicators</b>	<b>Main sources</b>
Context analysis in the field under review during formulation phase	Regional indicators of R&D/environment protection Discussion with managing authorities Task 1 review
SWOT analysis	OP Task 1 review

Analysis of main barriers	Existing studies/work on the main constraints faced by regions Interviews with stakeholders
<b>Criterion 1.2:</b> The logic of intervention is relevant according the needs analysis in the main field under review	
Relevance of the logic of intervention	OP Task 1 review
Appropriateness of programme structures for the definition of intervention logic	Discussion with managing authorities
<b>Criterion 1.3 :</b> Projects funded demonstrate a clear joint character (joint design, joint funding,...) and were based on an assessment of main barriers/opportunities for cooperation	
<b>Themes/Indicators</b>	<b>Main sources</b>
Process put in place to launch projects	Interviews of managing authorities Interviews with stakeholders
Review of main projects funded in the field of innovation/environment/capacity building in terms of actors involved during formulation, financial contribution of stakeholders, ...	Interviews of managing authorities, AIRs Evaluation report, Analysis of projects documentation and KEEP database
Review of projects' expected benefits from working on a cross border basis	AIRs Evaluation report, Analysis of projects documentation Field visits
<b>Criterion 1.4:</b> Process to select the project is transparent/ based on clear criteria catching the potential added value in terms of CBC and contributes to allocate funds according to priorities setting	
Analysis of the modalities set up for selecting projects	Discussion with managing authorities, field visits, analysis of projects documentation
<b>Criterion 1.5:</b> Activities carried out through CBC projects in the field under review have effectively contributed to enhance integration as expected in the OP or in an unexpected way	
Barriers successfully alleviated during the programming period (barriers for the programme and barriers in a broader sense)	OP indicators Evaluation reports Discussion with managing authorities, project visits
Key steps in terms of cooperation achieved during this programme period: <ul style="list-style-type: none"> <li>• Results achieved in terms of R&amp;D (enhanced partnerships, joint R&amp;D programmes, Shared access to research facilities, sharing of knowledge and information, networking of innovative actors,...)</li> <li>• Results achieved in terms of environmental protection</li> <li>• Results achieved in terms of enhancing institutional capacities</li> </ul>	OP indicators Evaluation reports Discussion with managing authorities, project visits Analysis of projects database

**Question 2: What has been delivered via co-operation and what is the impact (under the three themes)?**

<b>Criterion 2.1:</b> During the programming period, the situation of the regions under the area has improved in terms of R&D indicators/environment protection/ capacity building	
<b>Themes/Indicators</b>	<b>Main sources</b>
Evolution of the performance of the different regions and of the area in terms of R&D/ environmental protection/ enhanced capacities	Regional indicators (Eurostat database) Qualitative assessment OP indicators Existing studies
<b>Criterion 2.2:</b> A link can be established between regional performances in the field under review and the achievements of CBC programmes	
Additionality of the CBC programme in achieving results	Qualitative assessment based on discussion with regional authorities, main stakeholders involved in projects, regional studies
<b>Criterion 2.3:</b> Allocations and spending are in line with programmes general priorities and specific priorities identified in each of the three fields of intervention	
<b>Themes/Indicators</b>	<b>Main sources</b>
Amounts allocated and spent by main priorities	Database (commitments and spending) Task 1 review
Amounts allocated and spent to relevant codes (see annex)	Database (commitments and spending) Task 1 review
Specific budget lines related to the field under review	Managing authorities

**Question 3: What learning has been generated? To what extent and how far have knowledge and capacity been transferred? Who has benefited? From which stakeholders to which other stakeholders has knowledge and capacity been transferred?**

<b>Criterion 3.1:</b> Learning has been generated during the implementation of the CBC programme	
<b>Themes/Indicators</b>	<b>Main sources</b>
Existing mechanisms to generate learning and to transfer knowledge and capacity	OP Interviews of managing authorities and main stakeholders
Use of lessons from past programmes	Ex post and ex ante evaluation reports and OP
Types of learning generated during implementation	AIRs Interviews of managing authorities
Appropriateness of programme management structures to support learning	Interviews of managing authorities and main stakeholders
Contribution of projects under the “capacity building” theme	OP

	Interviews of managing authorities and main stakeholders
<b>Criterion 3.2:</b> Stakeholders have benefited from knowledge and capacity transfers	
Stakeholders having a better knowledge of CBC issues	Interviews of managing authorities Interviews of main stakeholders in the field under review
Stakeholders having better capacities to implement cross border actions within or outside CBC programme	Interviews of managing authorities Interviews of main stakeholders in the field under review

**Question 4: What is the likely future for learning mechanisms and cooperation? Will its sustainability depend on future EU financing?**

<b>Criterion 4.1:</b> CBC offers sustainability of achievements in terms of cross border cooperation	
Future and sustainability of cooperation enhancement (without EU funding)	Evaluation reports Interviews with stakeholders Field visits
<b>Criterion 4.2:</b> Learning mechanisms and knowledge/capacity transfer mechanisms are well integrated in regional institutions and do not depend exclusively on CBC programme	
Institutional set up	Interviews with managing authorities and regional authorities
Main sources of funding	Interviews with managing authorities and regional authorities

**Question 5: If there were no prior CBC programmes, would the projects co-financed through the programme have happened without the existence of EU funding?**

<b>Criterion 5.1:</b> Activities carried out through CBC projects have effectively promoted joint action and synergies across borders that would not have been possible under other funding modalities	
Types of activities/initiatives supported in each field	Annual report, evaluation report Analysis of projects database Discussion with managing authorities, field visits, analysis of projects documentation
Assessment of main initiatives undertaken in each field	Annual report, evaluation report Analysis of projects database Discussion with managing authorities, field visits, analysis of projects documentation
Appropriateness of programme management structures for promoting joint actions across borders	Discussion with managing authorities, field visits, analysis of projects documentation

**Question 6: Are the monitoring systems adequate ?**

<b>Criterion 6.1:</b> Indicators are relevant, regularly measured and regularly used for assessing the effectiveness of the programme	
<b>Themes/Indicators</b>	<b>Main sources</b>
Quality, relevance and use of indicators (and communication between programme and project level)	OP AIRs Indicators Database Interviews with managing authorities Field visits
<b>Criterion 6.2:</b> The monitoring system contributes to raise the quality of formulation/ implementation of the programme and projects	
Effectiveness of the monitoring systems	Ex ante and ex post Evaluation reports AIRs Interviews with managing authorities
Use of evaluation results for raising programme quality	Ex ante and ex post Evaluation reports AIRs Interviews with managing authorities

**Question 7: What has been the added value of the INTERACT programme to the effective functioning of the programme**

<b>Criterion 7.1:</b> The INTERACT programme has contributed to improve the functioning of the CBC programme	
INTERACT supports are known and considered as useful	Interviews of managing authorities
Added value of INTERACT support to the effective functioning of the programme and its effectiveness	Interviews of managing authorities

**Question 8: To what extent were the programmes objectives coordinated with those of national and regional programmes and searched to exploit complementarities/ synergies ?**

<b>Criterion 8.1:</b> CBC programme objectives are complementary with those of national/regional programmes	
<b>Themes/Indicators</b>	<b>Main sources</b>
Rationale and added value of supporting interventions through CBC rather than mainstream	Qualitative assessment Interviews with managing authorities
Mechanisms used to ensure synergies with regional/national policies/ ERDF programmes at different stages (formulation, implementation, evaluation)	Discussion with CBC managing authorities and regional authorities in the field under review Interviews of main stakeholders Field visits
Evidence of synergies/complementarities	AIRs of related programmes

	Evaluation reports Field visits
Appropriateness of programme management structures to ensure synergies	Discussion with CBC managing authorities and regional authorities in the field under review
<b>Criterion 8.2 : Programmes under strands A, B and C are well coordinated</b>	
Existence of linkages between programmes funded under strands A, B and C	Interviews of managing authorities Links with case studies under strand B and C Interviews with stakeholders
Awareness of and type of use of Interreg IVC results experiments and knowledge	Interviews of managing authorities Links with the case study of Interreg IVC

**Question 9: To what extent were CBC programmes complementary to one of the main ERDF programmes?**

<b>Criterion 9.1:</b> CBC programme objectives were coordinated and complementary with those of the ERDF programme	
<b>Themes/Indicators</b>	<b>Main sources</b>
Differences/complementarities/expected synergies between both programmes in terms of objectives, expected results and types of projects in the field under review	ERDF Ops CBC OP
Existing interactions during formulation and implementation process	Interviews of both managing authorities
Volume and types of expenditures dedicated to the theme in the ERDF mainstream and in CBC	Database analysis ERDF budget CBC budget
Evidence of synergies/complementarities	AIRs Evaluation reports Interviews of the managing authorities and key stakeholders involved in both programmes

**4.1.3 Proposed organisation for case study and stakeholders to interview**

*Organisation*

The case studies will be carried out by a Core Team member and a local expert. The Core Team expert will be in charge of coordinating the work and writing the report. The role of the local expert is mainly to: (i) organise the visit; (ii) identify stakeholders to interview, (iii) collect any additional information needed, (iv) contribute to the analysis of respective programmes as well as (v) to help overcome language barriers.

A field visit of 5 days (including journeys) will take place in order to collect additional documents and data, to interview Managing Authorities from CBC programmes and from one ERDF programme (regional or national OP depending on the situation), as well as some of the main stakeholders (public and private actors) involved in the field under review. The visit will also provide the opportunity to get a more detailed understanding of a sample of main projects carried out. The selection of projects will be done before the visit through an analysis of the project database and documentation from the programme in question.

Further to field visits, 3 days are scheduled, home-based, for writing the report and drafting the main conclusions. Each of the 9 case study reports will be reviewed by the Project Manager in charge of quality control before sending them to the client.

### *Stakeholders to interview during the 5-day visits*

DAY 1	Interviews with Managing Authorities Collection of missing figures and data verification
DAY 2	Focus group with regional authorities involved in the field under review Meeting with regional authorities in charge of the selected ERDF programme to be analysed jointly
DAY 3	Visits of 2 relevant projects in the field under review
DAY 4	Meeting with main private/public stakeholders involved in CBC and in the ERDF programme in the field under review
DAY 5	Meeting with main private/public stakeholders involved in CBC and in the ERDF programme in the field under review Synthesis with managing authorities of the CBC programme

### *Outline of case study report*

<p>Executive Summary</p> <ol style="list-style-type: none"> <li>1. Introduction</li> <li>2. Main policy context, key features and evolution of the programme</li> <li>3. Evaluation questions and methodology</li> <li>4. Relevance of CBC inputs in the field under review:             <ol style="list-style-type: none"> <li>a. quality of the intervention logic</li> <li>b. coordination/synergy of the CBC programme objectives with those of other national/regional/ETC programmes</li> <li>c. Internal coherence in terms of budget allocation</li> </ol> </li> <li>5. Main achievements of the programme in the field under review</li> <li>6. Specificities of CBC impact/results compared to mainstream ERDF programmes</li> <li>7. Sustainability of achievements</li> <li>8. Strategic management capacity, monitoring and evaluation practices</li> <li>9. Conclusions and recommendations for the programme and for ETC</li> </ol>
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## 4.2 Detailed methodology for the implementation of 2 case studies on Transnational cooperation programs (Task 3): Baltic Sea Region (BSR) and Atlantic Area (AA)

### 4.2.1. Objective and scope

#### Summary of the ToR relating to Task 3

Of the 13 TNC programmes two will be analysed in depth via in-depth case studies, namely the Baltic Sea Region (BSR) and the Atlantic Area (AA). Key questions are:

**For both the Baltic Sea Region and the Atlantic Area:** *What evidence is there of the achievements of these programmes (in quantitative and qualitative terms)? To what extent have the programmes strengthened territorial development linked to EU priorities?*

**For the Baltic Sea region:** *To what extent are their objectives and achievements in line with the strategic objectives defined in the relevant macro-regional strategy?*

**For the Atlantic Area:** *To what extent has the Atlantic programme contributed to supporting the design of a possible new territorial/ sea basin strategy, and in particular what needs has it usefully addressed?*

The aim of Task 3 is to provide in-depth case study analysis that can “tell the story” of the Baltic Sea and Atlantic Area programmes, which goes beyond the secondary data to explore the dynamics and interrelationships underpinning the management, implementation and overall added value that they have had in the respective territorial contexts. Whilst the findings from the case studies are not generalisable to all 13 TNC programmes, the aim is to shed some light on what worked well (and not so well) in order to identify some of the key issues and challenges at stake. The methodological framework presented here will be improved taking into account the results but also shortcomings experienced with the work that will be carried out in Task 1.

The case studies, therefore, will explore three main issues:

- 1) the achievements of the two selected programmes (*in terms of specific outputs and outcomes but also in terms of more qualitative outcomes, using the typology of achievements from Task 1*);
- 2) how far the selected programmes have contributed to strengthen territorial development in EU priority areas;
- 3) how far transnational co-operation has been integrated into or in line with a wider common strategy, in the case of the Baltic Sea in the framework of the macro-regional strategy and, in the case of the Atlantic Area, in the framework of a new expected basin strategy.

Transnational cooperation arguably adds a European dimension to regional development. It aims to facilitate a coordinated, strategic and common response in strategic matters as well as to making strategic investment possible using regional policy funds and leveraged financial instruments. Themes covered include:

- innovation, especially networks of universities, research institutions, SMEs;
- environment, especially water resources, rivers, lakes, the sea;
- accessibility, including telecommunications, and in particular completion of networks;
- sustainable urban development, especially polycentric development.

Both the BSR and AA programmes cover a range of themes aimed at promoting greater socio-economic development. A summary of the two programmes is provided below.

### Framework of the BSR programme

The eligible area for the Baltic Sea Programme 2007-13 includes EU Member States Denmark, Estonia, Finland, Latvia, Lithuania, Poland, Sweden and northern parts of Germany, as well as the neighbouring countries of Norway, and the north-west regions of Russia and Belarus. The Baltic Sea TNC is unique in the policy landscape for two main reasons.

First, it is the only one of 13 transnational co-operation programme with a unique integration of two EU budget lines, namely ERDF (Objective 3) and ENPI, in terms of eligible area, co-operation priorities and implementation rules.

Second, the adoption of the EU Strategy for the Baltic Sea Region, initiated by the European Parliament and coordinated by the European Commission, provides a clear strategic framework for how EU funding, including implementation of transnational projects in the Baltic Sea Programme, should be used in support of its aims of saving the sea, improving connections in the region and increasing prosperity.

During the programming period the priorities adopted for the funding of transnational projects consisted of the following:

- **Priority 1: Fostering innovations**
- **Priority 2: Internal and external accessibility**
- **Priority 3: Baltic Sea as a common resource**
- **Priority 4: Attractive and competitive cities and regions**

The Programme also features horizontal actions that will underpin coherence in terms of the objectives and expected impacts of the transnational projects funded, through:

- promotion of innovative approaches,
- ensuring sustainable environment,
- strengthening territorial cohesion,
- ensuring equal opportunities, including the gender perspective,
- public participation in transnational territorial development actions

The operational aspects also have an important weight in the **transferability** of the results and outcomes from individual projects to the wider policy community of the BSR. The Programme also identifies a set of **Strategic Projects** that are regarded as crucial to achieving the Programme's objectives and targets.

### Framework of the Atlantic Area programme

The roots of the Atlantic Area programme are at the very outset of the transnational cooperation history under Structural Funds support in Europe. As a “programming laboratory”, the pilot project in this area has played a key role in pioneering the launch of TNC co-financed by the Structural Funds – it was a basis for the launch of a set of TNC programmes under INTERREG II (1998-1999). Over time, better structuring of the programme and related financed projects was obtained - the period 2000-2006 was marked by a significant increase in the budget allocated, determining the ambitiousness and quality of projects on the one hand, and improvements in the management capabilities and cooperation of stakeholders on the other.

The overall objective of the 2007-2013 Programme is “to achieve significant and tangible progress in transnational cooperation geared towards cohesive, sustainable and balanced territorial development of the Atlantic Area and its maritime heritage”. The current programming focuses more on tangible project results with a view to more intense cooperation, notably by going beyond exchanges of experience, and combining transfer of know-how, pooling of a critical mass of means and addressing transnational issues (and not concentrating solely on the first as previously). The aim is to finance initiatives yielding operational achievements and clear transnational impact.

The OP Atlantic area identifies several issues and needs described in details in the SWOT analysis. The four key issues concerning the cooperation area are:

1. Cohesive development of the knowledge economy – to confront the anticipated decline of regions which cannot count only on their endogenous potential in the future, there is a need to build international openings and diversification via close and sustainable cooperation with dynamic and economically diversified regions.
2. Enhancement of the Atlantic maritime heritage – the area has to address various threats and risks (oil spills, degradations of environment, overexploitation of fish resources, biodiversity, water quality, erosion and coast-lines denaturation). The targeted instruments are research, know-how transfer for the development of niche markets of excellence in the marine economy, landscape preservation and valorization through sustainable tourism, etc.
3. Balanced polycentric development – to address the long-term polarization of regions around capital cities resulting in mediocre accessibility, low international influence and marginalization, accessibility has to be improved (interconnection between transport networks, multimodality for passengers and goods), and inter-regional exchanges intensified (increase in the relationships between urban centers, promotion of sustainable development, international influence and attractiveness).
4. More ambitious cooperation through consolidation of the existing arrangements and structures, cross-fertilization and tangible operational results.

The programme defines four priorities, defined as specific objectives such as :

**Priority 1: Promote transnational entrepreneurial and innovation networks;**

**Priority 2: Protect, secure and enhance marine and coastal environment sustainably;**

**Priority 3: Improve accessibility and internal links;**

**Priority 4: Promote transnational synergies in sustainable urban and regional development;**

## 4.2.2. Proposed approach to address the main issues

### 1. Achievements of the programmes (*in quantitative and qualitative terms*)

The achievements will be examined step by step in order to gather evidence, starting from what is expected (*in the intervention logic*) to then considering outputs and results before assessing, as far as possible, estimated impact. Two consecutive steps will be implemented in this purpose:

1. Documentary analysis
2. Field analysis

#### **Documents analysis**

First, existing secondary data will be collected and compiled, covering:

- financial progress of the OP - breakdown by programme priority and objectives (if possible) as well as by thematic priority, economic sector and territory concerned (under the ERDF definition), with details of public and private funds;
- physical progress of the OP, by priority and objectives (if possible) – output indicators and result indicators are defined for each priority so if there is no a breakdown by objective, physical progress will be commented on and qualified (cf. Qualification);
- Evaluations: ex post 2000-2006, ex ante 2007-2013 and 2014-2020, intermediate and updated mid-term 2007-2013;
- the final report on the programme, using information from the monitoring system, including an analysis of the indicators and the extent to which targets were met etc.

Additional desk research activity will review additional sources, including:

- Database of projects and good practices on the respective case study websites of BSR and AA regions;
- Macro-regional strategy documents including EUSBSR and Atlantic Spatial Development Perspective;
- Material from relevant stakeholder groups such as CPMR, Atlantic Arc, CoR and relevant policy and academic documents including ESPON, Regional Studies etc.;

This analysis will build on the work carried out in Task 1 to produce the 1 page analytical summaries for both of the BSR and AA programmes. In particular, it will provide an important comparison, using the available secondary data, of the nature and extent of the achievements attained and it will reveal the ways in which the two programmes are similar or different in terms of their respective achievements.

#### **Field analysis**

Second, building on this documentary analysis of the programmes, a detailed qualitative assessment will be carried out to explore in the more detail the dynamics and mechanisms through which the respective achievements were obtained. This qualitative analysis will involve several interrelated elements:

- an **e-questionnaire** will be sent to the project coordinators of all funded projects. This contact data will be collected (if possible) from lists provided by the respective MA and the focus is on the achievements generated. The proposed structure of the e-questionnaire is listed below. It will include a restricted set of closed questions in order to facilitate analysis of responses, as well as additional space for open questions. The typology of achievements used in Task 1 will be used in this questionnaire;

### E-questionnaire to projects from BSR and AA programmes

Project title and budget	
Project Summary	
Project lead and partners	
Main project achievements – Outputs	
Project results and impacts	
Main contribution to TNC cooperation in the programme area	
Specific areas of good practice	

- a series of **semi-structured interviews** (by phone and/or face-to-face) with a selection of **project coordinators** concerning the consistency between project objectives, expected and actual impacts will be carried out. A selection of projects both from different OP priorities and from different Member States and regions involved will be done in order to get a decent balance of inputs from across the respective programme areas;
- a series of **semi-structured interviews** (by phone and/or face-to-face) will be held with **Managing Authority** staff for an assessment of the extent of programme achievements based on the sum of, and cross-fertilization between, project outcomes (*based on the three aspects of transnationality, territorial approach and quality*);
- a series of **semi-structured interviews** will be carried out **with relevant stakeholders** from other Member States and regions involved in the delivery and implementation of the selected programmes.

Prior experience shows that it is important to have a clear framework and interview schedule for case studies especially when they are carried out in different Member States. The schedule is designed in order to facilitate the process of gathering the relevant information, both quantitative and qualitative, as well as to ensure a high degree of consistency in approach, results and reporting. The interview schedule will be refined prior to the commencement of Task 3 building on the findings gathered from the previous ones as well as getting feedback from the respective local Expert that will carry out the interviews with a member of the Core team.

The interview schedule will focus on what the programmes have achieved and a proposed list of questions is listed below. The aim is go further in-depth in the issues that will already have been partly covered during Task 1:

<i>Interview Schedule for Atlantic Area/Baltic Sea region</i>
<b>Question 1: Assessment of main achievements</b>
<ul style="list-style-type: none"> <li>▪ What are the main achievements produced by the programme?</li> <li>▪ What are the reasons behind differences in achievements between the various priorities?</li> <li>▪ Which projects do you consider as most successful and/or most representative of the value-added of the programme? Why and for which reasons?</li> <li>▪ How do you measure trans-national value-added? Do you think your programme really contributed to trans-national cooperation and in what ways?</li> <li>▪ Did the programme achieve some results which were not foreseen at the beginning or which go beyond the pre-determined objectives?</li> <li>▪ Which of the achievements reveal the real added value of the programme and allow it to be distinguished from the mainstream ERDF programmes?</li> <li>▪ What lessons did you learn from the previous programmes and evaluations to help increase the achievements of the programme?</li> <li>▪ What aspects did you do differently for this programme which you would consider helped to increase the achievements?</li> <li>▪ What barriers did you encounter in implementing the programme which hindered the achievements of the programme?</li> <li>▪ To what extent did external factors influence the achievements made by the programme?</li> <li>▪ What are the achievements of the programme in terms of strengthening and enhancing the quality and intensity of the cooperation in the area? How do you measure these achievements?</li> <li>▪ What are the achievements of the programme which are not captured by the ERDF monitoring process? For example, improvements in ‘good’ governance, partnership working, learning and sharing of experience?</li> </ul>

## **2. Contribution to strengthening territorial development linked to EU priorities**

The second main area that will be explored is the extent to which the respective programmes have strengthened territorial development linked to EU priorities, namely:

- improving the physical interconnection of territories;
- improving prevention of natural risks, water management;
- promoting sustainable urban development and R&D innovation networks;
- improving ‘intangible’ linkages via the sharing of ‘good practice’, thematic joint working etc.

The aim is to explore the effectiveness of the two OPs in terms of their strategic EU priorities and the ways in which they align with the Lisbon and Gothenburg Strategies. In addition, linkages with other policies and initiatives in regards to those EU priorities will also be examined. Synergies and complementarities with other funds and programmes will be analysed in terms of (i) their clear identification and definition in the programming

document, (ii) their specific aim and supporting objectives (*the rationale behind the synergies and complementarities*), as well as (iii) their actual implementation as described in the implementation and evaluation reports as well witnessed by the stakeholders concerned. The interview schedule below will be used during the semi-structured interviews (as outlined above) to explore the extent to which the respective programmes have strengthened territorial cooperation linked to EU priorities:

<i>Interview Schedule for Atlantic Area/Baltic Sea region</i>
<b>Question 2: Extent to which the programmes have strengthened territorial development linked to EU priorities</b>
<ul style="list-style-type: none"> <li>▪</li> <li>▪ What are the main results and impacts achieved by the programme (related to the typology of achievements)?</li> <li>▪ Did the expected benefits from working on a trans-national co-operation basis for the various priorities materialize?</li> <li>▪ Are key priorities and related objectives targeted on key challenges and/or opportunities of the TNC area?</li> <li>▪ Does the programme demonstrate an intention to fund actions and projects that demonstrate a clear “trans-national” character (joint design, joint management, joint funding etc)? How is the trans-national effect appraised?</li> <li>▪ Is there a concentration of interventions in socio-economic domains where the area can develop competitive advantages and strengthen territorial development?</li> <li>▪ Are the interventions likely to lead to sustainable results that strengthen territorial development, which are then likely to be maintained beyond the funding period?</li> <li>▪ Does the objective setting demonstrate linkages and synergies with other OPs under the Structural Funds in the various regions in the area (or other relevant regional/national policies)?</li> <li>▪ Has the definition of objectives mobilised a wide range of stakeholders from the TNC area and do the objectives take into account the contribution of these stakeholders?</li> <li>▪ Are Managing Authorities from the mainstream programmes associated to the design of the programme in view of ensuring complementarity?</li> <li>▪ How were other funding streams (EU, domestic) integrated and aligned with the Programme in order to strengthen territorial development?</li> </ul>

### 3. Contribution to wider macro-regional strategies: case study specific questions

Whilst the two questions discussed above are applicable for the two selected programmes, this section focuses on two distinct issues that will be addressed in the research carried out on the BSR and AA respectively. The two main questions that will be asked are listed below:

<i>Interview Schedule for Atlantic Area/Baltic Sea region</i>
<b>Question 3: For the Baltic Sea region (BSR)</b>
To what extent are objectives and achievements in line with the strategic objectives defined in the relevant macro-regional strategy?

### Question 3: For the Atlantic Area (AA)

To what extent has the Atlantic programme contributed to supporting the notion and design of a possible new territorial/sea basin strategy, and in particular to the needs it has effectively addressed?

The key question to explore for the BSR, therefore, is that of consistency with the respective macro-regional strategy, exploring the extent to which there is alignment between Programme objectives and achievements and this strategy. In the case of the BSR, the reference is the EUSBSR, which is the first so-called macro-regional strategy<sup>8</sup> in Europe. A summary of the EUSBSR is provided below:

#### What is the EUSBSR ?

The European Union Strategy for the Baltic Sea Region (EUSBSR) is the first macro-regional strategy in Europe. It aims at reinforcing cooperation within this large region in order to face several challenges by working together as well as promoting a more balanced development in the area. The Strategy also contributes to major EU policies and reinforces the integration within the area.

The EU Baltic Sea region counts 85 million inhabitants (17 percent of EU population) and eight countries (Sweden, Denmark, Estonia, Finland, Germany, Latvia, Lithuania and Poland) which share common features and challenges. Hence there is a clear need for joining forces and working in cooperation. Against this background, the Strategy intends to increase the levels of environmental sustainability, prosperity, accessibility and attractiveness and safety and security.

The Strategy was approved by the European Council in 2009 following a communication from the European Commission. In this respect, it provides an integrated framework for improving the environmental condition of the sea, transport bottlenecks and energy interconnections as well as facilitating the development of competitive markets across borders and common networks for research and innovation.

Now well into the implementation phase, the Strategy shows the commitment of partners at different levels. According to the European Commission's assessment, "the Strategy is already contributing positively to enhance cooperation in the Region".

#### How does it work in practice?

The Strategy aims at bringing together initiatives in different sectors (growth, sustainable development etc) as well as promoting cooperation between stakeholders in the Baltic Sea Region.

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<sup>8</sup> The macroregional strategy is an integrated framework endorsed by the European Council, which may be supported by the European Structural and Investment Funds among others, to address common challenges faced by a defined geographical area relating to Member States and third countries located in the same geographical area which thereby benefit from strengthened cooperation contributing to achievement of economic, social and territorial cohesion.



The Strategy also promotes Flagship Projects and contributing projects funded in the Baltic Sea Region. These projects have a macro-regional impact and start from joint initiatives involving partnership from different countries.

Implementation of the Strategy requires active participation by all the actors and stakeholders implicated in the process not only at a national level but at a macro-regional level.

### **Country participation**

The EU member states involved in the EUSBSR are Sweden, Denmark, Estonia, Finland, Germany, Latvia, Lithuania and Poland. The Strategy is welcoming cooperation also with EU neighbouring countries (Russia, Norway and Belarus).

### **Priority Areas and Horizontal Actions**

The Strategy is divided into three objectives (previously in 4 pillars) which represent the three key challenges of the Strategy: saving the sea, connecting the region and increasing prosperity. Each objective relates to a wide range of policies and has an impact on the other objectives.

The objectives guide an array of Priority Areas which are specific areas for macro-regional cooperation that address the key challenges and opportunities in the Region. Examples include promoting clean shipping and supporting SME growth. The Priority Areas are implemented by regional stakeholders through detailed actions and Flagship Projects.

The Strategy also includes Horizontal Actions which function in parallel with the Priority Areas and a cross-cutting approach on objectives, sub-objectives, priority areas, horizontal actions and flagship projects. Examples include boosting joint promotion and regional identity building actions. The Horizontal Actions complement the objectives and Priority Areas.

Specific information about the Priority Areas and Horizontal Actions can be also found in the EUSBSR Action Plan.

*Source: <http://www.balticsea-region-strategy.eu/about>*

In the case of the Atlantic Area, there have been a number of strategies developed from a range of stakeholders including the Atlantic Arc Commission, the CPMR and others, which focus on promoting territorial cohesion and cooperation within and between the regions and countries in the Atlantic Area. In particular, for the purposes of this project, the development of the Atlantic Spatial Development Perspective, ASDP is particularly relevant because it has the dual purpose of establishing an analytical review of progress on as well as a strategic outlook for the Atlantic Area. As regards the latter point, it is important to consider the relationship between the OP and ASDP, especially in relation to the question of the programme's contribution to the design and implementation of concrete strategic cooperation guidelines.

### **4.2.3. Organisation of the case studies**

The organisation of the two case studies is a challenge as by their very nature the selected programmes cover several countries. A senior analyst from the Core Team team will carry

out each case study together with Geographical expert, who has good knowledge of the socio-economic and territorial context as well as relevant linguistic abilities.

A total of 18 days have been scheduled for each case study:

- **3 days** to prepare the field visits, the online survey and to deepen the desk analysis undertaken in Task 1 by the Core Team expert in charge together with the Geographical correspondent;
- **5 days** for an expert of the Core Team and **5 days** for the Programme/Geographical correspondent to visit the Managing Authorities, a selection of national and regional authorities (to be selected according to the main activities implemented) and some project coordinators and/or beneficiaries. A series of semi-structured interviews will be carried out with the key stakeholders exploring the key questions outlined;
- **5 days** for writing the case study report.

As discussed earlier, standard interview schedules will be used in each of the case studies to make sure that the questions asked are organised in a coherent way to ensure, as far as possible, consistency in approach. The interview schedule will be finalised prior to conducting the field work building on the findings from earlier completed Tasks in the project, documentary analysis, as well as relevant local knowledge and expertise of the Geographical expert.

#### 4.2.4. Case study report

The material collected from the documentary analysis, combined with the e-questionnaire results, and the variety of interviews will be combined and presented in a format that is digestible and clear. Below is a proposed format for the case study report.

##### Format of the TNC case study report

###### Executive Summary

1. Introduction
2. Main policy context for TNC programmes, key features and evolution
3. Evaluation questions and methodology
4. The Baltic Sea region or Atlantic Area programme:
  - 4.1. Main priorities and achievements
  - 4.2. Contribution to strengthening territorial development linked to EU priorities
  - 4.3. Contribution to the macro-regional strategy (BSR) or to design of a possible new territorial/sea basin strategy (AA)
5. Conclusions and recommendations for the programmes and for ETC

### **4.3 Detailed methodology for the implementation of the case study on Interregional cooperation programme Interreg IVC**

#### **4.3.1 Objective**

The aim of the case study covering the Interreg IVC programme is to investigate the extent to which this programme has achieved its main goal, namely improving the effectiveness of regional policies through interregional cooperation and learning.

This raises two questions for the case study:

- Whether the programme has developed the capacity and structures to make knowledge and concepts gained in their projects available to other regions (“knowledge capitalisation”);
- Whether other regions have used this knowledge, and who are the key partners for implementation in Member States and at EU level, in which sectors and geographic areas.

The challenge of the programme is to support **policy learning** with wide applicability, rather than funding a range of on-off exchange of experience projects with limited application (ref. second evaluation question which focuses on *use* of the knowledge). The quality of learning, the intensity and relevance of the lessons learned, and their transfer into practice are at the core of the evaluation.

The present methodological framework is a draft developed before completion of Task 1. The final version of this methodology will take into account results but also shortcomings experienced with the work carried out in Task 1. That Task addresses two main questions, based on a documentary analysis and a phone interview with the Managing Authority: 1) Quality of objectives setting and 2) Main achievements of the programme. It is likely that many of the key questions for the evaluation will need to be covered by the in-depth case study analysis due to insufficient information in the available documentation; and Task 1 investigations will also in all likelihood generate new, more detailed questions that will have to be addressed through the case study.

#### **4.3.2 Background to INTERREG IVC and policy learning concept**

The goal of INTERREG IVC is to improve the effectiveness of regional policies through interregional cooperation and learning. Thanks to the funding of projects with an interregional character, INTERREG IVC provides a framework in which local and regional institutions from different Member States can exchange experience and good practice in relation to the challenges they face (mainly economic challenges). Hence the programme funds “soft” actions (exchange of experience) complementary to the projects funded from the two other strands of ETC and the mainstream Cohesion programmes.

The programme targets actors in the whole of the EU as well as in Switzerland and Norway. An ERDF contribution of €321 million has been allocated to the programme. The programme funds three types of projects: “Regional Initiative Projects” (Type 1) and “Capitalisation Projects” including “Fast Track” (Type 2) and “Thematic Programme Capitalization Projects” (Type 3). The programme funds policy learning actions targeting:

- exchanges of experience between regional policy-makers across Europe;
- identification and diffusion of good practices between regional stakeholders;
- integration of good practice in mainstream Cohesion policy programmes.

The **concept of policy learning** present in INTERREG IVC points towards three levels:

1. **Level 1: Transfer of policy knowledge:** this consists in the transfer, in certain regions, of information on a policy practice developed in other regions, with all those regions forming a partnership dedicated to this goal. This is the first, immediate aim of the projects supported under the programme. The key challenge here is to “de-contextualise” the lessons learned in a region, and “re-contextualise” them in the specific context of other regions, so as to facilitate the transfer.
2. **Level 2: Joint development of policy knowledge,** leading to new approaches or new policy instruments, applicable beyond the project partnership. This is the second type of action, more demanding in terms of policy learning capacity. The new practices take on board lessons from diverse practices in a variety of regional environments. This implies an in-depth understanding of the context and conditions for success of the practice, the further development of “de-contextualisation” capacity, and efforts to diffuse lessons learned outside the project partnership. The establishment of capitalization projects in the middle of the INTERREG IVC period represents a first attempt in this direction.
3. **Level 3: Adoption of new policy knowledge in policy practice:** while the above two types of activity target creation of new knowledge useful for policies, the latter type targets the *absorption* of the knowledge into actual policies. This requires actual implementation of lessons learned, beyond identification and dissemination of good practices.

Ideally, projects funded by INTERREG IVC should combine all the above dimensions. Existing evaluations, as well as debates on the successor of INTERREG IVC in 2014-2020 (*Interreg Europe*), point towards difficulties in moving beyond the identification and diffusion stage within project partnerships to securing actual adoption and improved policies in a wider range of regions. A main challenge for the inter-regional projects funded by INTERREG IVC is therefore to go beyond pure exchange of experience towards concrete implementation in policies. This is reflected in the two questions of the evaluation focusing respectively on *transfer* and *use* of knowledge.

### 4.3.3 Detailed evaluation questions

The above fundamental evaluation questions give rise to a series of more detailed evaluation questions.

1. **The target group** for INTERREG IVC is an important strategic issue for the programme. The 2012 Annual Report indicates that policy impacts are mostly felt in areas of responsibility of local, rather than regional, authorities. This is explained by the fact that decision processes at that level involve a more restricted set of actors than at regional level. This situation is however likely to undermine the transfer of lessons towards mainstream Cohesion Funds, in which regional authorities are key players. Concerning the Managing Authorities of ESIF, the INTERREG IVC interim and updated evaluations (*Panteia 2010b and Ecorys 2013*) mentioned that no specific communication channels existed towards this target audience, and that they were only slightly involved in the projects. This is likely to hinder the sustainability of policy learning, as it depends on a good connection between learning-oriented projects funded under INTERREG IVC and funding sources for application of the results. Weak access to funding sources by actors involved in the projects was identified as one reason for the difficulty in moving from Level 1 to Level 3 in policy learning. The evaluation will analyse the participation and roles of authorities at different levels and draw conclusions on the influence of this participation on the effectiveness of the programme. Another issue concerns the way in which private actors have been informed about and involved in the programme. What strategies have been deployed to reach this audience and how effective have they been in ensuring this type of participation?
2. **Programme scope definition:** during the 2007-2013 period the programme became more targeted than in the previous period, focusing on thematic priorities such as innovation, environment, accessibility and sustainable urban development, in line with the Lisbon and Göteborg strategies. Nevertheless implementation of the programme was still characterized by wide dispersion of projects within these themes: evaluations found that there has been a tendency to fund a set of disconnected projects, with little sustainability. Which domains have been most/least successful in terms of achievement? Which areas provide the best potential for “mainstreaming” results into national/regional programmes? INTERREG IVC was drastically over-subscribed, a situation that resulted in slow procedures and a high rate of turned-down projects. Overall as few as 15% of the projects submitted to this programme could be accepted (*Ecorys 2013*). This situation raises the question of the need to narrow down the programme to fewer and clearer objectives in order to raise programme effectiveness, decrease the number of submissions, and avoid discouraging potential applicants. The evaluation will investigate the reasons for the oversubscription problem.
3. **Programme content definition:** are both types of project (“Regional Initiative Projects” (Type 1) and “Capitalisation Projects” including “Fast Track” Projects” (Type 2)) relevant to the purpose of the programme? The programme funds a range of typical activities such as thematic workshops, seminars, conferences, surveys and

study visits as tools for supporting identification and transferring good practices between project partners. Typical project outcomes are case study collections, policy recommendations, strategic guidelines, good practice manuals and action plans. Which of those instruments are most effective in achieving the intended goals of the programme? What are the methods used to get information on the actual use of those outputs by 1) project partners and 2) relevant actors outside of the partnership?

4. **Programme management:** have the changes in structure (*one central secretariat in Lille*) had a positive influence on management of the programme? Are selection criteria appropriate for the goals of the programme? Are procedures effective? What is the perception and use of the Programme Manual elaborated by the Secretariat?
5. **Monitoring and evaluation:** the achievements of INTERREG IVC are to be monitored and assessed through an adequate set of indicators, along with appropriate targets, integrated in sound monitoring and evaluation systems. Is the practice adequate for this purpose? Do the indicators and evaluations capture the real added value brought by INTERREG IVC to policy-making, including qualitative aspects such as:
  - quality of policy learning;
  - sustainability of learning practices;
  - changes in regional policy frameworks induced by inter-regional cooperation;
  - presence of joint initiatives/policies as a result of inter-regional exchanges;
  - extent of diffusion of project results outside the initial partnerships;
  - increased capacity in policy circles;
  - extent of mainstreaming results from policy learning activities into wider regional policies.

#### 4.3.4 Methodology for the case study

The case study will be implemented according to the following three steps:

- **Step 1 : Compiling already collected information and conducting additional desk research activities**

Key documents on Interreg IVC will already have been collected and screened during Task 1 of the evaluation. These include:

- Operational Programme (OP)
- Annual Implementation Reports (AIR) (2013)
- Key data on the programme: decided budget (total), decided and allocated by key theme
- Evaluations: ex ante 2007-2013 and 2014-2020, intermediate and updated mid-term 2007-2013

Additional desk research activity will investigate the following more detailed additional sources:

- Database of projects and good practices on website of the programme
- Database of the programme with output and result indicators

- Capitalization Reports
- Consultation document for Interreg Europe

A third source comes from Task 1: the overview analysis of all A and B programmes included a question of the interactions with Interreg IVC. The result of this overview will be used in this first step of the case study.

▪ **Step 2 : Implementing specific field activities**

Two senior analysts from the evaluation team will carry out three types of field analyses to complete the information gathered in Step 1.

1. **Interviews** will be conducted with key stakeholders of the programme and members of other policy learning platforms active in similar fields as Interreg IVC. Some are identified below, but their involvement depends on their availability and willingness to participate.

Type of stakeholders according to their involvement in the programme	Identification of the stakeholder	Type of interview
Closely linked to Interreg IVC	Joint Technical Secretariat	<i>Face-to-face interview</i>
	Evaluators (Panteia, Ecorys)	<i>Phone interviews</i>
	Team in charge of the study on exchange of experience processes (“EureConsult S.A.” (LU) and “Spatial Foresight” (LU-DE), “t33 S.r.l.” (IT))	<i>Common phone conference</i>
Linked to Interreg IVC and of particular importance in the field of shared policy learning	Euro-Institute for cross-border cooperation	<i>Phone interview</i>
	Authors of the Capitalization reports	<i>Phone interview</i>
	ERRIN, the network of innovative regions in Europe	<i>Face-to-face interview</i>
	EURADA, the network of regional development agencies.	<i>Face-to-face interview</i>
	The IPTS S3 Platform, which organizes exchanges of experience in the field of innovation policy.	<i>Face-to-face interview</i>

2. **Field visits** will be organized to project leaders for a selection of key projects, reflecting the diversity of the interventions financed under INTERREG IVC and will deepen the analysis of those cases. These projects will be selected in Step 1. Depending on their location, 3 or 4 projects will be covered by the on-site visits.
3. **A focus group**, involving the Joint Technical Secretariat of INTERREG IVC as well as project leaders, will be organized. The aim of the focus group is to:
  - discuss and consolidate all the findings of the case study;
  - debrief on the evidence and findings, putting them into perspective;
  - propose paths of investigation leading to formulation of the case study conclusions.

▪ **Step 3 : Analysing the collected information and answering the Evaluation Questions**

**Box 1 Format of case study report**

Once all the necessary information is collected and structured, the members of the team will proceed to the analysis of findings. Conclusions will be presented in the case study report of approximately 25 pages, the quality of which will be verified by the Quality Controller.

Executive Summary

1. Introduction
2. Main policy context for Interreg IVC, key features and evolution of the programme
3. Evaluation questions and methodology
4. Intervention logic of the programme: quality of objective setting and of policy learning concept embedded in the programme
5. Main achievements of the programme
6. Sustainability of achievements
7. Strategic management capacity, monitoring and evaluation practices
8. Conclusions and recommendations



## 5. Approach for implementing Task 5

### 5.1 Proposed structured for the Final report of the study

Abstract (200 words)

Executive Summary (6 pages, EN, FR, DE)

#### 1. Introduction

- 1.1. Aim and scope of the evaluation
- 1.2. Overall policy context: European Cohesion Policy and the objective of European Territorial Cooperation Programmes in 2007-2013
- 1.3. Overview of the three Strands of ETC programmes: key data with a particular focus on RDTI, environment and capacity building
- 1.4. Evaluation methods and sources

#### 2. Strand A: Cross-border cooperation programmes (Task 2)

- 2.1. Key achievements and challenges of the programmes
- 2.2. Quality of objective setting
- 2.3. Results obtained in terms of cooperation enhancement, removal of cooperation barriers and role of CBC programmes (in RDTI and entrepreneurship, Environment and Capacity Building)
- 2.4. Activities funded and results achieved by the programmes (in RDTI and entrepreneurship, Environment and Capacity Building)
- 2.5. Learning and knowledge and capacity building in programme implementation
- 2.6. Sustainability of learning and cooperation
- 2.7. Value-added of CBC programmes from a project perspective
- 2.8. Quality of monitoring systems
- 2.9. Value-added of INTERACT for CBC programme
- 2.10. Synergies with national and regional programmes
- 2.11. Comparison between CBC and mainstream programmes (in terms of impacts on RDTI and entrepreneurship, Environment and Capacity Building)
- 2.12. Success factors, barriers and good practices of CBC programmes
- 2.13. Policy implications for future CBC programmes

#### 3. Strand B: Transnational cooperation programmes (Task 3)

- 3.1. Key achievements and challenges of the programmes
- 3.2. Quality of objective setting
- 3.3. Main achievements of the programmes (qualitative and quantitative)
- 3.4. Contribution of the programmes to territorial development in line with EU priorities
- 3.5. Baltic Sea Region: alignment with objectives of the macro-regional strategy
- 3.6. Atlantic Area: contribution to the development of a new territorial strategy
- 3.7. Policy implications for future programmes

#### 4. Strand C: Interregional cooperation programme Interreg IVC

- 4.1. Key achievements and challenges of the programmes
- 4.2. Quality of objective setting
- 4.3. Achievements in terms of knowledge capitalization
- 4.4. Achievements in terms of use of knowledge gained from the programme
- 4.5. Success factors, barriers and good practices for Interreg IVC
- 4.6. Policy implications for future programmes

## 5. Conclusions

- 5.1. Results achieved through ETC programmes
- 5.2. Contribution of the ETC programmes to the EU Growth and Jobs agenda
- 5.3. Overall recommendations for ETC programmes

### Annexes

- One-page overviews for 67 ETC programmes
- Case studies (9 CBC, 2 TNC and Interreg IVC)
- Agenda and conclusions from the Stakeholders event
- References

## 5.2 Organisation of the stakeholder event

### 5.2.1 Proposal for a Stakeholder event at final stage of the evaluation study

**Purpose:** the purpose of the one-day Stakeholder event is to get feedback on the results achieved from the first four Tasks of the evaluation. This feedback on emerging findings of the evaluation, and the lessons learned from exchanges with participants will help draw the final conclusions and recommendations of the study. They will directly feed into the final report of the evaluation.

**Time and Place:** the Stakeholder event will take place on 11 December 2015, i.e., after production of the Second Interim Report and before the delivery of the Final Report. The Stakeholder event will take place in Brussels in a suitable European Commission building.

**Organization and roles:** the WP11 evaluation team is responsible for the organization of the Stakeholder event, in close coordination with the Commission services. It will also coordinate with the representatives of WP1, who will cover travel and accommodation costs for participants, and fees for participants that are not representatives of public authorities.

Members of the WP11 evaluation team, including the two external experts, will present the emerging findings of the evaluation, moderate the various sessions during the event, and draw conclusions from the exchanges.

**Documentation and deliverables:** the WP11 evaluation team will prepare a synthesis paper of approximately 10 pages, gathering key preliminary findings of the evaluation. This document will be distributed on-site to the participants. In addition, a presentation of these key findings will be prepared and presented during the Stakeholder event.

A synthesis paper of the discussion that took place during the event will be prepared by the Core evaluation team, forwarded to the Commission for comments, used for the preparation of the Final Report, and appended to that report.

**Target audience:** the Stakeholder event will gather approximately 60 participants. They will belong to the following types:

- European Commission representatives;
- WP11 evaluation team members: 5 members of the Core team and the 2 external experts agreed by the Commission;
- Academic experts active in the following fields: regional development, economic geography, Structural Funds evaluation;
- Regional and local authorities that are not directly involved in managing ETC programmes;
- If possible, enterprises participating to ETC programmes;
- Managing Authorities of mainstream programmes (national and regional levels);
- Managing Authorities in charge of the 9 cross-border programmes covered by case studies in the evaluation, the 13 Trans-national programmes and Interreg IVC.

### **5.2.2 Schedule for preparation**

- End September 2015: confirmation of the location of the Stakeholder event by the European Commission;
- October 2015: invitations to speakers and the target audience sent by the WP11 evaluation team. Potential participants from the case study programmes will already have been informed about the date of the event during the case study work, taking place during Summer 2015;
- October-November 2015: confirmation of participants selected for first reactions/short statements in each session (see programme);
- Participants will be invited to register and contact WP11 in relation to travel and accommodation costs (until the end of November 2015);
- November 2015: draft versions of the agenda will be produced and shared with the Commission;
- 4 December 2015: final version of the agenda;
- 11 December 2015: stakeholder event in Brussels;
- 18 December 2015: feedback report on the Stakeholder event.

### 5.2.3 Draft agenda for the Stakeholder event

9.30-9.50: **Welcome and address** by the European Commission on the role of ETC in Cohesion policy and on the importance of evaluation

9.50-10.30: **General findings from the ex post evaluation** of ETC programmes 2007-2013 by WP11 Evaluation Team

*10.30-10.50: coffee break*

10.50-12.30: **Feedback session on general findings** from ex post Evaluation of ETC.

*(Moderator: core team member WP11; rapporteur: first external expert of WP11)*

This session will start with short statements on the evaluation findings by 5 participants, a mix of academic experts and regional representatives not directly involved in ETC programmes. The moderator of this session will prepare questions for these participants, which will cover the main messages from the evaluation. They will be asked to respond shortly to the questions and will be encouraged to comment on all key findings.

The rest of the session will entirely be devoted to interactions with all participants. The moderator will facilitate these discussions and the rapporteur will summarise key insights gained from the debates.

*12.30-13.30: lunch break*

13.30-14.30: **Feedback session on findings for Cross-Border Cooperation** in ex post Evaluation of ETC

*(Moderator: core team member WP11; rapporteur: second external expert of WP11)*

This session will follow the same format as the morning session, with only 3 participants asked to react at the start of the debate.

14.30-15.30: **Feedback session on findings for Trans-National Cooperation** in ex post Evaluation of ETC

*(Moderator: core team member WP11; rapporteur: academic expert)*

This session will follow the same format as the morning session, with only 3 participants asked to react at the start of the debate.

*15.30-16.00: coffee break*

16.00-17.00: **Feedback session on findings for Inter-regional Cooperation** in ex post Evaluation of ETC

*(Moderator: core team member WP11; rapporteur: academic expert)*

This session will follow the same format as the morning session, with only 3 participants asked to react at the start of the debate.

17.00-17.20: **General conclusions:** two members of the WP11 evaluation team

17.20: Close by European Commission

## **Annexes**



## **Annex 1: Full list of operational programmes covered and thematic priorities taken into account**

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The following table presents the 67 Operational programmes within the scope of the study, indicating their:

- CCI code – a short version of it is presented in this table, retaining only the last number of the whole CCI (each CCI in this range starts with 2007CB163PO0..), CCI 15, 22 and 48 were excluded because they are related respectively to INTERACT, ESPON and URBACT. Operational programmes approved in 2008 (External borders) and in 2013 (Croatia related OPs) are also out of scope.
- Full title of each operational programme
- Total decided and allocated budget
- Budget allocated to each of the three themes within the scope of the evaluation. This budget is presented respectively in absolute and relative values

CCI*	Title	TOTAL		RTDI		Environment		Capacity building	
		Decided	Allocated	Allocated	% in total	Allocated	% in total	Allocated	% in total
1	Operationeel Programma Euregio Maas Rijn 2007-2013	72,0	71,8	31,2	43,4%	7,1	9,8%	1,5	2,1%
2	Operational Programme Objective European Territorial Co-operation Austria - Czech Republic 2007-2013	107,4	99,6	11,5	11,5%	16,2	16,3%	2,1	2,1%
3	Operational Programme Objective European Territorial Cooperation Slovakia-Austria 2007-2013	59,9	57,9	12,3	21,2%	9,1	15,7%	2,6	4,5%
4	Operationelles Programm Ziel Europäische Territoriale Zusammenarbeit Deutschland/Bayern - Österreich 2007-2013	54,1	48,5	4,8	10,0%	6,4	13,3%	6,1	12,6%
5	Programa Operativo FEDER Cooperación Transfronteriza España-Portugal	267,4	273,5	86,9	31,8%	38,4	14,1%	17,6	6,4%
6	Programa Operativo FEDER Cooperación Transfronteriza España-Francia	164,3	165,9	40,7	24,5%	16,3	9,9%	0,3	0,2%
9	Ziel 3-Programm zur grenzübergreifenden Zusammenarbeit Freistaat Bayern-Tschechische Republik 2007-2013	115,5	109,1	3,7	3,4%	25,0	22,9%		0,0%
10	Operational Programme Objective European Territorial Cooperation Austria - Hungary 2007-2013	82,3	80,9	11,5	14,2%	25,8	32,0%	0,4	0,4%
11	Program Operacyjny Współpracy Transgranicznej Polska (Woj. Lubuskie) -Brandenburgia 2007-2013	124,5	116,5	19,4	16,7%	6,8	5,8%	1,3	1,1%
12	Program współpracy przygranicznej Polska-Słowacja	159,5	144,5	0,8	0,6%	27,6	19,1%	0,0	0,0%
13	Program współpracy przygranicznej Południowy Bałtyk	60,7	61,2	13,1	21,4%	16,3	26,6%	0,2	0,3%
16	Sweden - Norway	37,2	38,6	8,5	22,0%	4,4	11,4%		0,0%
17	Programm Ziel 3 / C13 zur Förderung der grenzübergreifenden Zusammenarbeit Sachsen - Tschechien	207,4	199,3	9,9	4,9%	33,4	16,7%	18,9	9,5%
18	Operationelles Programm zur grenzübergreifenden Zusammenarbeit Sachsen - Polen	105,1	101,2	3,6	3,5%	13,1	12,9%	8,6	8,5%
19	Ziel 3-Programm zur grenzüberschreitenden Zusammenarbeit MV/BB - Polen	132,8	122,9	5,3	4,3%	7,9	6,5%		0,0%
21	Romania-Bulgaria Cross-Border Cooperation Programme 2007-2013	213,4	94,6	4,3	4,6%	28,6	30,2%	0,0	0,0%
23	INTERREG IVA Programm Deutschland-Niederlande	138,7	136,6	64,0	46,9%	29,5	21,6%		0,0%
24	Interreg IV Alpenrhein-Bodensee-Hochrhein	23,9	23,3	3,7	15,8%	5,3	22,7%	1,7	7,1%
25	OP Česká republika - Polsko	219,5	216,7	7,3	3,4%	32,7	15,1%		0,0%
26	Interreg IV Öresund-Kattegat-Skagerrak	110,2	114,3	50,9	44,5%	16,0	14,0%	3,0	2,6%
28	Botnia-Atlantica	30,5	29,8	9,8	32,8%	5,8	19,6%	0,0	0,0%
30	Program cezhranične spolupráce Slovenská republika - Česká republika 2007 - 2013	92,7	87,2	9,9	11,3%	10,3	11,9%	0,5	0,6%
31	Lithuania - Poland 2007-2013 European Territorial Cooperation Objective Operational Programme	74,1	76,8	2,1	2,7%	14,3	18,7%		0,0%
32	Nord INTERREG IVA	34,0	36,0	19,2	53,2%	1,8	4,9%	0,8	2,3%
33	PO Italia-Francia frontiera marittima	121,5	120,9	23,6	19,5%	29,0	24,0%	3,5	2,9%
34	PO Italia-Francia Alpi (ALCOTRA) - Riprogrammazione finanziaria ottobre 2011	149,7	144,2	32,6	22,6%	53,3	37,0%		0,0%
35	Programma Operativo di Cooperazione Transfrontaliera Italia - Svizzera 2007-2013	68,8	64,3	3,9	6,1%	14,9	23,3%		0,0%
36	Programma per la cooperazione transfrontaliera Italia-Slovenia 2007-2013 MODIFICATO 2	116,0	115,6	26,4	22,9%	32,6	28,2%	1,6	1,4%
37	PO Italia-Malta 2007 -2013	30,1	30,1	4,8	16,0%	17,6	58,4%		0,0%
38	Programme des 2 mers	165,2	166,7	26,1	15,6%	43,5	26,1%	2,2	1,3%
39	Programme opérationnel INTERREG IV A Rhin supérieur	67,2	69,8	22,7	32,6%	15,1	21,6%	4,8	6,8%
40	Interreg IV A programme de coopération transfrontalière France (Manche) - Angleterre 2007-2013	160,9	169,9	46,7	27,5%	58,0	34,1%	2,8	1,7%
41	Programme opérationnel CTE France-Suisse	53,5	47,2	11,5	24,4%	5,3	11,2%	0,0	0,0%
47	EU CBC 2007-2013 - Northern Ireland, the Border Region of Ireland and the West Coast of Scotland	192,0	182,0	49,8	27,3%	33,0	18,1%	12,9	7,1%
49	EU Programme for Peace and Reconciliation (PEACE III) - Northern Ireland and the Border Region of Ireland	224,8	206,5						
50	ESTONIA - LATVIA PROGRAMME 2007-2013	38,2	38,9	4,9	12,6%	7,5	19,2%	0,0	0,0%
51	Programme opérationnel CTE Amazonie	12,8	10,1	2,8	27,6%	1,4	13,9%	0,3	3,3%
52	INTERREG IV A Italia/Austria	60,1	57,3	11,4	19,9%	13,3	23,1%	0,3	0,5%
53	Operational Programme Slovenia-Hungary 2007-2013	29,3	29,1	0,5	1,6%	8,2	28,2%	0,0	0,0%
54	Operational Programme Slovenia-Austria 2007-2013	67,1	68,3	18,1	26,5%	15,3	22,5%	0,0	0,0%
56	INTERREG IV Syddanmark-Schleswig-K.E.R.N.	44,3	44,5	15,1	34,0%	3,6	8,1%	2,0	4,5%
57	INTERREG IV "Fehmarnbeltregion" (Sjælland-Ostholstein-Lübeck-Plön)	22,9	18,3	7,4	40,4%	1,2	6,7%	0,5	2,6%
58	Ελλάδα-Κύπρος 2007-2013	48,1	48,1	10,9	22,6%	10,0	20,7%		0,0%
59	Πρόγραμμα Ευρωπαϊκής Εδαφικής Συνεργασίας Ελλάδα - Βουλγαρία	117,9	105,8	6,6	6,3%	11,7	11,0%		0,0%
60	Πρόγραμμα Ευρωπαϊκής Εδαφικής Συνεργασίας Ελλάδα - Ιταλία	87,9	87,9	13,2	15,0%	14,1	16,0%		0,0%
62	Ireland Wales Programme	52,7	52,2	27,6	52,9%	12,2	23,4%		0,0%
63	INTERREG IV France-Wallonie-Vlaanderen	138,1	140,8	34,7	24,7%	16,3	11,6%	3,8	2,7%
64	Programme transfrontalier Grande Région	106,0	106,1	12,5	11,7%	25,5	24,1%	8,1	7,6%
65	Grensregio Vlaanderen - Nederland - Operationeel programma ETS 2007-2013	94,9	95,2	22,1	23,2%	27,5	28,9%	0,0	0,0%
66	Central Baltic INTERREG IV A Programme 2007-2013	102,2	103,7	18,4	17,8%	31,4	30,3%		0,0%
67	Hungary-Romania Cross-border Co-operation Programme 2007-2013	224,5	224,5	59,5	26,5%	34,6	15,4%	2,0	0,9%
68	Hungary-Slovakia Cross-border Co-operation Programme 2007-2013	176,5	162,5	35,9	22,1%	28,5	17,6%	3,3	2,0%
70	Latvia - Lithuania Cross border cooperation programme	63,9	63,9	5,4	8,4%	17,0	26,5%	0,0	0,0%
	Strand A	5524,5	5280,7	989,2	18,7%	979,6	18,6%	113,8	2,2%
7	Programa Operativo FEDER Cooperación Transnacional Madeira-Azores-Canarias	55,4	52,8	16,9	32,0%	19,4	36,7%	1,9	3,5%
8	Programa Operativo FEDER Cooperación Transnacional Sudoeste Europeo	99,4	94,2	45,0	47,7%	29,7	31,5%		0,0%
14	Alpine Space 2007-2013 (Transnational Cooperation)	97,8	96,9	25,8	26,6%	32,2	33,2%		0,0%
20	Transnational programme "Baltic Sea Region 2007 - 2013"	208,0	193,4	35,8	18,5%	79,0	40,8%	15,2	7,8%
27	Northern Periphery	35,1	35,0	6,1	17,3%	12,2	34,8%		0,0%
29	Transnational Cooperation ATLANTIC AREA 2007-2013	104,1	104,9	39,9	38,0%	26,0	24,8%	1,0	1,0%
42	Programme opérationnel CTE Océan Indien	35,3	32,7	5,9	18,0%	8,2	25,0%		0,0%
43	Programme opérationnel CTE Caraïbes	47,9	46,4	19,4	41,7%	12,6	27,1%	1,4	3,0%
44	Programme opérationnel CTE ENO - Nord Ouest Européen	355,4	343,4	53,4	15,6%	164,1	47,8%	1,4	0,4%
45	Programme opérationnel CTE MED - Méditerranée	193,8	202,0	50,8	25,1%	76,2	37,7%	11,1	5,5%
55	North Sea Region Programme 2007-2013	138,5	133,8	21,0	15,7%	57,9	43,3%	3,9	2,9%
61	Central Europe 2007-2013	246,0	227,2	45,8	20,1%	74,9	33,0%	5,1	2,2%
69	South East Europe (SEE) Transnational Co-operation Programme 2007-2013	207,5	203,2	34,6	17,0%	33,3	16,4%	46,1	22,7%
	Strand B	1824,2	1766,2	400,3	22,7%	625,5	35,4%	87,0	4,9%
46	Programme opérationnel INTERREG IV C	321,3	180,1	95,9	53,3%	70,6	39,2%		0,0%
	Strand C	321,3	180,1	95,9	53,3%	70,6	39,2%		0,0%
	<b>TOTAL</b>	<b>7670,0</b>	<b>7226,9</b>	<b>1485,4</b>	<b>20,6%</b>	<b>1675,7</b>	<b>23,2%</b>	<b>200,8</b>	<b>2,8%</b>



The table below shows in detail how codes indicating thematic priorities within DG Regio data base were grouped in main priorities.

Main priority	Thematic priorities																
<b>R&amp;DT, innovation &amp; entrepreneurship</b>	1	2	3	4	5	6	7	9	62	63	72	74					
<b>Environmental protection and</b>	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	
<b>Capacity building</b>	81																
<b>Information society</b>	10	11	12	13	14	15											
<b>Transport</b>	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32
<b>Tourism</b>	55	56	57														
<b>Culture</b>	58	59	60														
<b>Urban &amp; rural regeneration</b>	61																
<b>Access to empl, social inclusion etc.</b>	64	65	66	67	68	69	70	71	73								
<b>Investment in social infrastructure</b>	75	76	77	78	79												
<b>Mobilisation for reforms - emp. &amp; incl.</b>	80																
<b>TA</b>	85	86															
<b>Other</b>	33	34	35	37	8	82	83										



## Annex 2: Detailed explanations and questions for Task 1 analysis

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**EU budget:** The first figure is the EU budget decided in the OP for to the programme (NOT the total budget of the programme). The next three figures are the % allocated to the three main priorities (they are named below).

**Context:** choose for the key characteristics below, those *key words* that are most relevant for the programme's area (not relevant for C):

- Border: *external border* (the area includes non-EU Member States); *internal border* (the area does not include non-EU Member States)
- History: *old history* (more than 20 years of cross-border cooperation); *recent history* (less than 10 years); *intermediate history* (10-20 years)
- Institutionalisation: *institutionalized* (formal cooperation structures exist that adequately cover the whole area and topics); *not institutionalized* (no formal cooperation structures do exist that adequately cover the whole area and topics); *partly institutionalized* (some cooperation structures do exist but they do not cover the whole area and topics);
- Economic development: *balanced development* (similar level of development across the area, key indicator GDP); *unbalanced development* (significant differences in levels of economic development)
- Institutional position: *decentralized powers* (all regions involved possess significant responsibilities in socio-economic development policies); *centralized powers* (most socio-economic development policies are in the hands of national authorities); *mixed powers* (some regions belong to centralized states while others enjoy important powers)
- Density: *high density* (all parts of the area are densely populated); *low density* (most parts of the area have a low population density); *different density* (mix of the two previous)
- Connectivity: *high connectivity* (all parts of the area are easily reached); *low connectivity* (there are major accessibility barriers within the area); *average connectivity* (there are some accessibility barriers within the area)
- Diversity: *high diversity* (the various parts of the area show a large variety in culture, language, economic specialization, etc.); *low diversity* (the various parts of the area show little variety in culture, language, economic specialization, etc.); *average diversity* (some variety across the area)

**Key priorities and related objectives:** extract main priorities and main objectives from OP text and budgetary allocations. Indicate both broad priorities and the more detailed objectives within these broad priorities. Go beyond too generic priorities such as “Improving competitiveness, growth and employment in the area”. Box 1 is a reference that indicates priorities expected from territorial cooperation programmes in Community guidelines.

### Box 1. Main priorities for Territorial Cooperation during 2007-2013 period

**Cross-Border cooperation:** Integrating areas divided by national borders that face common problems

- Focus on strengthening the competitiveness of border regions
- Contributing to economic and social integration especially where there are wide economic disparities
- Actions include promotion of knowledge and know how transfer, the development of cross border business activities, cross border education/training and health care, integrating the labour market, joint management of the environment and common threats

Where the basic conditions for cross-border cooperation are already in place, focus on

- Actions that bring added value to cross-border activities (innovation and R&D)
- Strengthening cross-border identity connecting intangible networks (services) or physical networks (transport)
- Promotion of labour market integration
- Cross-border water management and flood control
- Joint management of natural and technological risks

+ attention to changing external borders

**Transnational co-operation:** Increasing cooperation on matters of strategic importance:

- Improving the physical interconnection of territories as well as intangible connections;
- Creation of European transport corridors, actions for prevention of natural risks, water management at river basin level, integrated maritime cooperation, promotion of sustainable urban development and R&D innovation networks

**Interregional co-operation**

- Focus on the Growth and Jobs Agenda (i.e. strengthening innovation, SMEs and entrepreneurship, the environment and risk prevention).
- Encouragement of exchanges of experiences and best practices regarding urban development, modernisation of public sector services (such as health and government using ICT) and the implementation of co-operation programmes as well as studies and data.
- Encouragement of exchanges of experiences and best practices regarding urban development, social inclusion, relationship between cities and rural areas, and the implementation of co-operation programmes

*Source : According Council decision of 6 October 2006 on Community strategic guidelines on cohesion (2006/202/EC)*

**Driving force:** assess the main overall justification for cooperation in the area (beyond formal justification). The driving forces should indicate the **ultimate expected benefits of the cooperation**. This can be extracted from OP analysis of the SWOT of the area, OP justifications for the programme, choice of priorities, examination of content of priorities, major projects funded, etc. The driving forces may relate to **common needs** and/or **common opportunities**. The driving force can have a more **bottom-up** (initiative from actors) or a more **top-down** character (joint political drive).

**Box 2: Possible statements for driving forces (not exhaustive!):**

**Cross-border programmes:**

- ✓ Overcoming “peripherality” or isolation of regions in their national context (in order to give them more power in their national context)
- ✓ Joint exploitation of natural resources across borders (in view of more effective management)
- ✓ Creating cross-border labour market (in view of solving unemployment problems and mismatches on the labour market)
- ✓ Capitalizing on complementary resources in research and technology over the border (in order to increase innovation through better exploitation of knowledge resources)
- ✓ Foster better integration of actors in a cross-border value-chain (to increase economic activity in the whole zone, to develop smart specialization domains)
- ✓ Obtaining economies of scale, e.g. through joint investments in infrastructure (towards more effective investments)
- ✓ Obtaining economies of scope, e.g. in educational and training activities (towards better quality and expanded educational supply, better meeting needs).

**Trans-national programmes:**

- ✓ Enhancing RTD and innovation capacities and levels of entrepreneurship in the TNC area;
- ✓ Creating and developing scientific and technological networks in the TNC area;
- ✓ Improving access to scientific knowledge and technology transfer in the TNC area;
- ✓ Improving the joint management of natural resources and risk prevention in the TNC area;
- ✓ Strengthening cooperation for integrated management of water resources (river basins, coastal zones, marine resources) in the TNC area;
- ✓ Promoting energy efficiency and renewable energy in the TNC area;
- ✓ Preventing natural disasters and risks more effectively (e.g. floods, droughts);
- ✓ Improving accessibility, ICT and telecommunication services in the TNC area;
- ✓ Contributing to the creation of European transport corridors as well as improving local or regional access to national or transnational transport and communication networks in the TNC area;
- ✓ Improving the inter-operability of national and regional systems.

**Quality of Objective setting**

Review the OP for the description of programme objectives and screen indicators used to characterise those objectives. Discuss process and content of objective setting with Managing Authorities and examine the programme intervention logic (the link between overall vision for the benefits of cooperation, the objectives set to the programme and types of actions supported). Provide an overall assessment of the quality of objective setting by examining the questions below.

### **Process of objective setting:**

- Have lessons been drawn from previous periods of the programme?
- Is there a good SWOT analysis of the area, indicating where cooperation has a leverage potential?
- Does the SWOT analysis cover cross-border or trans-national flows?
- Has the definition of objectives called on good expertise, including use of an ex ante evaluation?
- Has the definition of objectives mobilised a wide range of stakeholders from the area?
- Are the relevant actors represented in the Programme Monitoring Committee?

### **Formulation of objectives**

- Is there a good vision both of the driving forces and of the barriers for cooperation?
- Are objectives formulated in a “SMART” way, namely:
  - Are they Specific?
  - Are they Measurable?
  - Are they Achievable?
  - Are they Realistic?
  - Are they Time-bound?
- For C: Is the articulation between higher-ranking and lower-ranking objectives sensible?
- For C: Are the types of actions funded of programme relevant with respect to the objectives set to the programme?

### **Value-added of the cooperation:**

- Is there a clear identification of the expected benefits from working on a cross-border, trans-national or inter-regional basis for the various priorities?
- Does the programme demonstrate an intention to fund actions and projects that demonstrate a clear “joint” character (joint design, joint management, joint funding...)?
- Does the objective setting demonstrate linkages and synergies with other OPs under the Structural Funds in the various regions/countries in the area (or other relevant regional/national policies)?
- For A and B: Are Managing Authorities from the mainstream programmes associated to the design of the programme in view of ensuring complementarity?

### **Indicators and targets**

- Are the indicators well in line with the objectives set to each priority?
- Is there a clear distinction between output and result indicators?
- Are the result indicators suitable to measure the intended results, i.e. is there a clear logical connection with the intended funded activities and the expected results?
- Are the indicators well-defined and measurable?
- Is there a suitable monitoring system for these indicators?
- Are targets present for all indicators?
- Have targets proven to be realistic (i.e. did not result in large over- or under-spending)?

- For programmes with no indicators, which ones would MAs now with ex post experience suggest fitting in their programmes?

### EU priorities:

- Do the objectives focus on Lisbon and Gothenburg priorities? (Box 3)

#### Box 3. The Lisbon and Gothenburg strategic EU priorities

The "**Lisbon Agenda**" aims at making the European Union the most competitive economy in the world and achieving full employment by 2010. This strategy rests on three pillars:

- An economic pillar preparing the ground for the transition to a competitive, dynamic, knowledge-based economy. Emphasis is placed on the need to adapt constantly to changes in the information society and to boost research and development.
- A social pillar designed to modernise the European social model by investing in human resources and combating social exclusion. The Member States are expected to invest in education and training, and to conduct an active policy for employment, making it easier to move to a knowledge economy.
- An environmental pillar, which was added at the Gothenburg European Council meeting in June 2001, draws attention to the fact that economic growth must be decoupled from the use of natural resources.

The "**Gothenburg Agenda**" is focused on a new emphasis to protect the environment and achieve a more sustainable pattern of development, along four priorities:

- Climate change: Reduction in greenhouse gas emissions; Kyoto targets; Progress towards electricity generated from renewable sources.
- Sustainable transport: Decoupling gross domestic product from transport growth; Tackling rising traffic volumes, congestion, noise and pollution; Encouraging the use of and investment in environmentally friendly transport and related infrastructure.
- Public health: Respond to citizens' concerns regarding food safety, the use of chemicals, infectious diseases and antibiotic resistance.
- Resource management: Decoupling resource use and the generation of waste from growth.

### Adequacy of planned budget

- Ex ante budgetary allocations are an indication of the priority set to various objectives. Shifts in budget allocations to various priorities are noteworthy here. Notable under- or over-achievements in terms of budget spending to certain priorities should also be reported.

### Main programme achievements

- This is the most important question of this analysis. For the programme as a whole, and for each priority, indicate the type of achievements that have been reached, focusing on results rather than outputs when possible, and on cross-border or transnational value-added. For C, the relative benefits of the various types of activities funded by the programme (Regional Initiative projects, Capitalization projects and Thematic Programme capitalization) should also be assessed.
- Provide both justification and evidence, quantitative and qualitative (this should be found through interviews with Mas and in the AIR). The one-page summary of programme achievements in the 2013 AIR should be critically assessed. Try to focus



on both “hard results” and “soft results” (see Boxes 4 and 5). Indicators should be clearly linked to programme’s activities: indicators such as “jobs created in the area” or “number of patent applications in the areas” should be treated with caution if this job creation or patent application cannot be related to e.g., the specific cross-border activities funded by the programme (attribution problem). The analysis should focus on synergies obtained thanks to combining resources across the cooperation area (rather than adding up resources).

- Achievements should be put in the specific context of the area. The significance the outcomes and achievements should be highlighted with reference to this context (e.g. conditions such as history in cooperation of balance in development level).
- Figures should be reported, as far as possible, that help to understand the concrete achievements of the programme.
- Large projects with identifiable achievements and their contribution to the programme objectives should be reported under the relevant priorities.
- Available indicators and their values should be reported in annex.
- The interviews with Managing Authorities should help to assess if the indicators and programmes summaries capture the main achievements. When this is not the case, insights from the MA or complementary information obtained from them should be reported under this question.
- Are the interventions likely to lead to sustainable results, which maintain their effect beyond the intervention period?

**Box 4. Examples of “hard” and “soft” results from ETC programmes**

***Hard achievements CBC: contribution to socio-economic development of the area***

- New projects involving public and private actors across the border in new partnerships
- Increased success rate of actors of the area in national/international competitive funding programmes, thanks to cross-border partnerships
- Joint fund for risk prevention
- Reduction of CO<sub>2</sub> emissions in the area thanks to joint investment in new bioenergy power plant serving the area
- Merger of three labour market observatories covering the various regions in the area
- Increase in share of area population with a job on the other side of the border
- Reduction in travel time between different parts of the area following investments in connecting infrastructure
- Creation of joint monitoring systems for pollution control of shared territories
- Number of new products/services launched by companies involved in joint innovation projects on a cross-border basis
- Jobs directly created by new companies established thanks to cross-border collaboration projects
- Increase in revenue and job creation from tourism activity thanks to establishment of a cross-border tourist attraction
- Improved positioning of the area for international students attraction due to improved joint training offer

***Soft achievements CBC: qualitative and quantitative upgrade of cooperation in the area***

- Demonstrated increase in quality of business support services located in the different regions, thanks to incorporation of good practices from other regions
- Increase in visibility of the cross-border area thanks to branding activities

- Improved competencies of tourism operators thanks to cross-border learning, demonstrated by transfer of methods and approaches to operators outside of the area
- Adoption of joint strategies in environmental management
- Joint marketing of common assets of the area
- Increase in coverage of cross-border news in regional media from the various parts of the area
- Incorporation of cross-border dimension into regional policies from the various components of the area
- Influence on ERDF mainstream design for 2014-2020

**Hard achievements TNC: contribution to socio-economic development**

- New projects involving public and private actors from within the TNC area to stimulate innovation and knowledge transfer
- Joint projects to enhance the protection of the natural environment in the TNC area
- Creation of joint collaboration projects that exploit natural assets such as renewable energy, or that improve pollution control within and between the TNC area

**Soft achievements TNC: contribution to the improving the level and density of co-operation between the regions within the area**

- Demonstrated improvements in the sharing of good practice in priority themes between regions within the TNC area
- Adoption of joint strategies to encourage greater co-operation in key sectoral policies such as environmental management, transport development, tourism, ICT within the TNC area.
- Triggering the idea of a macro-region

**Box 5. Types of activities and expected results from Interreg IVC**

INTERREG IVC aims at supporting three types of activity:

1. **Transfer of practice:** this consists in the adoption in certain regions of a practice developed in other regions, with all those regions forming a partnership dedicated to this goal. This is the first, immediate aim of the projects supported under the programme. The key challenge here is to “de-contextualise” the lessons learned in a region so as to facilitate the transfer to other regions.
2. **Joint development of new practices,** leading to new approaches or new policy instruments beyond the project partnership. This is the second type of action, more demanding in terms of policy learning capacity. The new practices take on board lessons from diverse practices in a variety of regional environments. This implies an in-depth understanding of the context and conditions for success of the practice, and the further development of “de-contextualisation” capacity. The establishment of capitalization projects in the middle of the INTERREG IVC period represent a first attempt in this direction.
3. **Adoption of new practices:** while the above two types of activity target creation of new knowledge useful for policies, the latter type targets the absorption of the knowledge into actual policies. This requires real-life implementation of lessons learned, beyond identification and dissemination of good practices.

The expected achievements in terms of quality of transnational cooperation relate to:

- quality of policy learning;
- sustainability of learning practices;
- presence of joint initiatives/policies as a result of inter-regional exchanges;
- extent of diffusion of project results outside the initial partnerships;
- increased capacity in policy circles;

- changes in regional policy frameworks induced by inter-regional cooperation;
- extent of mainstreaming results from policy learning activities into wider regional policies.

### **Quality of cooperation**

- The ex post evaluators of 2000-2006 programmes computed a synthetic indicator measuring the depth and intensity of cooperation in the area. When available, the evolution of this indicator during 2007-2013 should be reported in this question. Managing Authorities should be questioned about the way they (possibly) use this indicator.

### **Support from INTERACT**

- The perception of Managing Authorities with respect to the quality and usefulness of support from the INTERACT programme (Box 5), in order to achieve their objectives, should be reported.

#### **Box 5. INTERACT**

The **INTERACT programme** is part of Strand C of European Territorial cooperation programmes.

INTERACT supports Managing Authorities in charge territorial cooperation programmes. Its areas of expertise are: Programme management; •Communication; •Financial management and Knowledge Management and Capitalisation. The programme provides services, seminars and advice to help streamline the work of cooperation programmes, allowing them to devote more time and energy to their projects. It acts as a hub for exchanging information and best practices among cooperation programmes. INTERACT also works to make project results more visible and maintains a public database of projects funded under the programmes.

### **Good practices**

Good practices can concern the way objectives are defined; the use of indicators; specific features in the implementation which help secure good achievements; remarkable achievements thanks to specific projects or range of projects, effective learning practices, etc.



## Annex 3: Brief literature review

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This section is a brief collection of arguments found in the literature, focusing mainly on the question of expected value-added from cross-border and transnational cooperation. It does not pretend to cover this large field of literature: rather, key arguments have been extracted to inform our understanding on the possible content for the “ETC value-added” concept.

Promoting European Territorial Cooperation (**ETC**) is - after the main goal of ensuring sustainable growth and jobs across the whole of the EU by reducing disparities - the second objective of European Cohesion policy. That objective is very well in line with the overall idea of constructing the European Union, namely creating synergies and European value added by progressively creating a “borderless Union”, while capitalizing on the existing assets of the whole territory of the Union. The creation of cross-border areas at the “old core” of Europe started from the earliest beginnings of the European project: the first Euregio was created in 1958 and the newly created cross-border areas helped translate the single market idea into reality in the 1960s and 1970s by working on erasing economic, legal, cultural and social disparities between European countries. These early experiences were at the origin of the European Territorial Cooperation programmes, which have a long history.

The current model of ETC was already visible in the second generation of Interreg programmes, in the second half of the 1990s. Since then the programme has been constantly expanding along with the broadening of the Union, and its scope has progressively focused on economic development issues and on synergies with mainstream Cohesion Policy. Since INTERREG I, 30.000 projects have been implemented.

Even though the absolute financial totals dedicated to this European Territorial Cooperation objective are limited in comparison with the mainstream of Cohesion policy funds (*€8.7 billion, i.e. 2.5% of the total 2007-13 Cohesion policy budget*) the leverage effect of ETC programmes is potentially considerable. When implemented effectively, the ETC programmes can demonstrate the value-added of cross-border and transnational cooperation and support the use of mainstream funds for actions that are not naturally on policy agendas in a fragmented institutional landscape.

### **1 The value-added of European territorial cooperation**

The value-added of ETC takes different forms: building critical mass is one type of potential benefit; combining the diverse assets, skills and resources which characterize European economies is another; and learning from each other through joint projects, experimentation and exchange of experience is a final channel through which ETC can serve the Cohesion policy objective. A summary of other dimensions of the value added of ETC programmes is provided below:

## 1.1 Policy transfers between regions and Europeanisation of practices

A strong rationale for ETC is to stimulate a process of Europeanization of policy practices. It does not mean that all policies should be standardized across Europe, this would be against the principle of territorial diversity (i.e. policies have to be adapted to each context), but rather that working across national borders forces actors to focus on shared topics of actions. Celata and Coletti state that “through the exchange of ‘best practices’ and cooperation across borders, territorial cooperation initiatives promote, moreover, policy transfers between regions and a more general process of policy convergence and Europeanization (Dühr et al., 2007)”<sup>9</sup>.

An expected added-value of ETC programmes is thus that they induce European integration not from a top-down, political perspective, but rather from a more concrete and pragmatic coordination at the level of planning practices. For instance, Luukkonen acknowledges that such an integration process occurs through “everyday practices of policymakers such as European spatial planners ... at the ‘lower levels’ as well as through ‘high politics’ ”

## 1.2 Economies of scale and scope

The expected added-value of territorial cooperation compared to classic regional development initiatives is that it enables policymakers and practitioners to gain economies of scale, by pooling resources beyond the regional boundaries, and economies of scope, by addressing issues in a way that they could not have managed otherwise. In the same line, Celata and Coletti state that “the value added of territorial cooperation in respect to local development initiatives, in this frame, is not only in that it allows identifying the correct scale but, mostly, to strengthen relations that are crucial to addressing problems”<sup>10</sup>.

## 1.3 Rescaling governance

One important expected long-term contribution of ETC is to enable “the ongoing rescaling and increasing complexity of the European polity, while offering the opportunity for a better coordination of policies and strategies at a plurality of geographical scales”<sup>11</sup>. This rescaling of governance approaches should result in “the creation of new spaces or territories in which policy-making or programming occurs”, which means that “the functional, political and institutional boundaries are not always coincident”<sup>12</sup>. The process of European integration, of which ETC are one of the most emblematic translation from idea to practice, “not only brings about changes in powers across existing layers of decision-making, it also leads to new scales and types of intervention as well as new actor constellations”<sup>13</sup>. One important expected added-value of ETC is not only to enable policymakers from different regions and countries to coordinate their actions, but also to enable a wider range of actors to participate

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<sup>9</sup> Celata, F. and Coletti, R. (2014) Place-based strategies or territorial cooperation? Regional development in transnational perspective in Italy, *Local Economy*, Vol. 29(4–5) 394–411.

<sup>10</sup> *Ibid.*

<sup>11</sup> Celata and Coletti 2014.

<sup>12</sup> Stead, D. (2014a) Rescaling Environmental Governance – the Influence of European Transnational Cooperation Initiatives, *Environmental Policy and Governance*, 24, 324–337 (2014).

<sup>13</sup> Stead 2014a.

to this process. Stead suggests that, in the case of environmental governance, “the INTERREG programmes helped to strengthen transnational networks of policy-makers, non-governmental organizations (NGOs) and researchers dealing with environmental issues across Europe”<sup>14</sup>. This rescaling process does not aim at replacing other forms of public interventions but rather complement it when necessary, and especially in cases that involve addressing joint challenges.

#### 1.4 Addressing joint challenges

European regions are often faced with similar types of challenges. Such challenges often do not stop at administrative borders. This means that classic regional development approaches are not able to tackle these problems in a durable and sustainable manner. ETC initiatives enable regions to “address ‘common challenges’” by transcending nationally based administrative systems and political boundaries<sup>15</sup>. In this sense, Stead states that “one of the frequently used rationales for rescaling environmental policies and programmes is the increasing trans-boundary nature of various environmental problems, whereby environmental impacts are increasingly felt in multiple jurisdictions”<sup>16</sup>.

#### 1.5 Promoting polycentric development and territorial cohesion

One of main objectives of ETC initiatives is to support the formation of functional regions across Europe which are not constrained to administrative boundaries. In that regard, Medeiros, in a study of Inner Scandinavian INTERREG zones found that “the Inner Scandinavia INTERREG-A sub-programme has favoured the establishment of a more polycentric urban system in Inner Scandinavia by in turn favouring the main regional engines and by reinforcing the territorial networks in this border area”<sup>17</sup>. However, when looking at concrete outcomes of these initiatives, Medeiros concludes that “despite the positive effects of the investments provided under the auspices of the INTERREG-A sub-programme in the territorial development of the border area, as witnessed by the jobs created and maintained by the programme as well as the support given to environmental friendly projects, they have not been sufficient to achieve the goal of a more cohesive territory”<sup>18</sup>. This conclusion is interesting in the sense that it suggests that ETC programmes should be evaluated by concretely looking at actual outcomes and results from these collaborative initiatives, and trying to link these outcomes to overall cohesion of a territory. One idea that Medeiros raises is that this poor effectiveness of ETC initiatives is not due to a poor management of the initiatives by the Joint Management Authorities or even poor choices in the projects that they supported, but rather it is due to the lack of critical mass of resources, especially financial, that actors can mobilize for supporting large-scale, structural investments. Hence, Medeiros suggests that “increased territorial integration in Inner Scandinavia requires continued implementation of a long-term and genuine cross-border

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<sup>14</sup> Stead 2014a.

<sup>15</sup> Celata and Coletti 2014

<sup>16</sup> Stead 2014

<sup>17</sup> Eduardo Medeiros (2014) Territorial cohesion trends in Inner Scandinavia: The role of cross-border cooperation – INTERREG-A 1994–2010, Norsk Geografisk Tidsskrift - Norwegian Journal of Geography, 68:5, 310-317, DOI: 10.1080/00291951.2014.960949

<sup>18</sup> *Ibid*

strategy, which can be held up at the European level as a good example of an efficient and effective ETC -A programme. Additional funding to complement the territorial cooperation objective of the European cohesion policy is needed to achieve the goal of territorial cohesion in border regions”<sup>19</sup>. The latter point raises the issue of the importance of synergies between ETC programmes and mainstream Cohesion programmes (and national and regional policies supporting similar goals).

## 1.6 Capitalizing on complementary assets for innovation 6

In the specific case of innovation policy, a recent OECD publication<sup>20</sup> identified 8 channels through which cross-border collaboration can bring benefits to the partner regions (Table below). While all channels are important, building on complementary knowledge-based assets is expected as the most promising way to upgrade the innovation potential in a cross-border area.

**Table 8: Rationales for cross-border collaboration for innovation policy**

Economic concept	Driver	Explanation
Economies of scale	Critical mass	Larger labour markets or access to wider business and knowledge networks to increase critical mass, characteristics associated with agglomeration economies
	Political power	Increase the recognition of areas of strength (or special needs) in regions that are far from capitals to better compete for resources from higher levels of government
	Specialised services	Innovation support services can be more specialised and thus of higher quality
Economies of scope	Complementarities	Build on a diversity of assets in terms of research, technology and economic base, as well as supply chain linkages, known also as “related variety”; in some cases, complementarity may also be due to differences in price levels or functions
Public and club goods	Regional identity	Increase internal recognition of the cross-border area for greater integration and social capital (including knowledge of the partners on the other side of the border)
	Regional branding	Attractiveness and recognition of the area to firms and skilled labour both within the cross-border area and beyond
	Specialised infrastructure	Shared science and technology facilities reduce financial costs and risks for the regions or countries involved, and allow access to a greater number of researchers
Externalities	Border challenges	Address the day-to-day issues associated with flows of people, goods, and services (including public services) across the border for both positive and negative spillovers

Source: OECD 2013

<sup>19</sup> *Ibid*

<sup>20</sup> OECD (2013), *Regions and Innovation : collaborating across borders*, OECD publishing, Paris.



## **Annex 4 Detailed calendar**

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DDL 8/01/2015  
 12/02/2015  
 25/02/2015  
 12/04/2015  
 12/05/2015  
 26 & 28/05/2015  
 12/11/2015  
 26&27/11/2015  
 11/12/2015  
 12/01/2016  
 26 & 27/01/2016  
 12/03/2016

