Project number: 639

Project acronym: trAILs

Project title: Alpine Industrial Landscapes Transformation

ACTIVITY A.T2.1

Assessment Framework

Work package: **T2- Assess AILs: assessment procedure (pilot-based)**

Activity: *A.T2.1: Assessment framework*

Organization: **University of Ljubljana**

Deliverable date: **31.12.2018**

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Dissemination level: **Project Partners**

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1 INTRODUCTION TO WP T2

WP T2 develops and tests an assessment procedure for the comprehensive assessment of AILs by actively working on the four pilot areas identified in WP T1. For each of them, research PPs supported by regional PPs will assess key aspects such as current spatial and landscape features, cultural value, environmental and economic conditions, socio-demographic context and regional/local policies for brownfield regeneration. This process includes intensive fieldwork and will generate an assessment tool as main output (Figure 1).
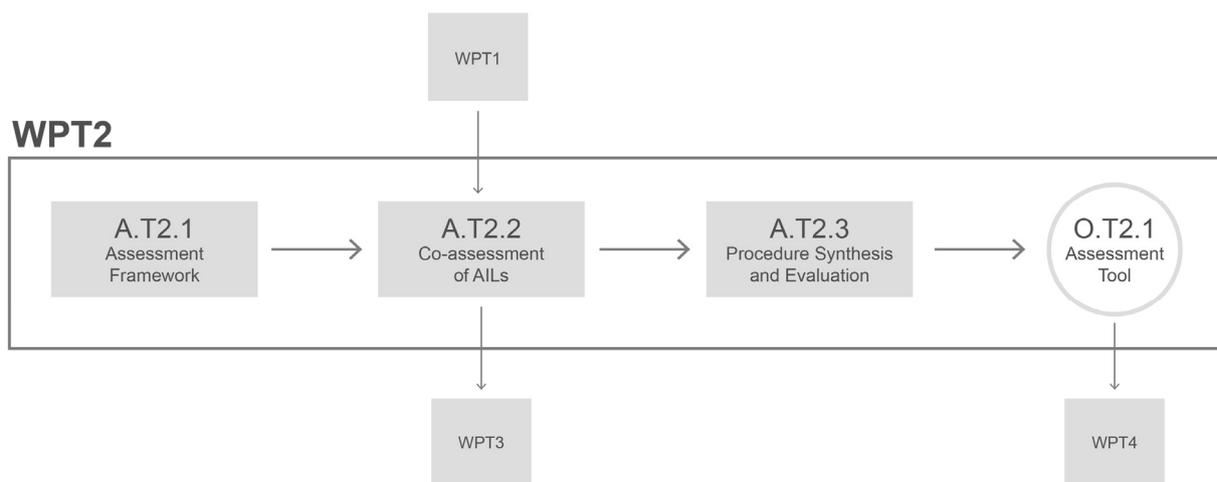

Figure 1: Diagram of the structure of WP T2

The main output of the work package is O.T2.1 – Tool for the assessment of AILs. This will be a tool for the comprehensive assessment of the current situation of the AILs, for experts and local/regional authorities, i.e. methodological guidelines for a transferable assessment procedure, jointly derived from the four pilot assessments.

The AILs Assessment Tool will be incorporated into the trAILs Learning Module (O.T4.1) as well as into the trAILs Knowledge Exchange Platform (O.T4.2). After the project's end, the overall assessment methodology will also be included in the activity of PPs (research institutes and sectorial agencies) and further disseminated via publications, training courses and consulting.

The Assessment Tool will be a ''cook book recipe'' to assess the AILs. That means it will be a designed brochure with diagrams, graphs, pictures and a step-by-step assessment procedure, guidelines and thick box lists. The tool will be derived from the Assessment Procedure that will be shaped throughout the four pilot areas. It will be transferred to Alpine stakeholders by PPs and observers via dedicated project events (workshops, trAILs Forum) and transnational events.

2 BASIC DEFINITIONS

Different professional background can lead to different uses and understandings of basic definitions. In order to minimize confusion and misinterpretations, we have provided explanations for the following definitions of the WP T2, according to the approved application form (AF) and the 2nd PSG meeting comments. These explanations may differ from personal understanding and might not be entirely exact, however to follow the AF dictions and to avoid miscommunication, below are key word explanations as will be used throughout the WP T2.

ANALYSIS: individual practical tasks or element of assessment. Many different analyses together form an assessment of a certain professional field (social, economic, spatial, policy). The analyses can be either qualitative or quantitative. Quantitative analyses produce results presented with a grade on a grading scale that has been set up by value classes of an indicator. Qualitative analysis is a scientific method of observation to gather non-numerical data and can take many different forms, from maps, drawings to questionnaires, etc.

ASSESSMENT: a body of quantitative, qualitative or mixed analyses that together can form a coherent understanding of an area within a professional field. Results can be presented in variety of different formats, such as texts, questionnaires, maps, graphs or by other elements of communication.

FORMAT: results or outputs depicted in a certain way for the purpose of clear communication. Formats used in the project will be in a form of texts, maps, graphs, sheets, drawings, sketches, audio-format, video etc.

INDICATORS: conditions that can be measured quantitatively within a chosen criteria or field of research and are illustratively characterising research areas conditions and performance. Setting value classes of acceptability of an indicator (=tool) is essential to mark baseline conditions and performance of the research area and to, thereafter, measure the progress in the future.

METHOD: a way of proceeding or doing something in a structured, systematic and transparent manner in order to get results or to achieve a certain pursued goal.

TOOL: a description of methodological set-by-step procedure that, if followed, produces a useful output - e.g. an assessment of an industrial site.

3 ASSESSMENT FRAMEWORK | A.T2.1

Assessment framework (this document) is a management document of assessment procedures, describing the method of how to run different assessments of AILs in the four pilot areas in parallel, how to reflect on the assessment methods and how to create a final synthesis of assessments for the Assessment tool. It is a strategic and operational framework, designed for research and regional PPs. The document defines the following:

- how assessment results are framed
- what is the reporting procedure and report types
- what is the site visit protocol
- what are the PPs foreseen key actions and due dates for these actions

4 CO-ASSESSMENT OF AILS | A.T2.2

Co-assessment (Figure 2) is the central part of WP T2. It is a parallel process of assessment (social, economic, spatial, environmental and policy) of AILs by the research PPs supported by the regional PPs. Based on learning-by-doing approach, through assessments within the four pilot area, each assessment method will be adjusted for AILs specificity by streamlining types of analyses and content of analyses. The final methods derived will be used for the Assessment Synthesis (A.T2.3) and the Assessment Tool (O.T2.1).

Main input for the co-assessment comes from WP T1 results and input of knowledge collected and analysed throughout the four visits of the selected pilot areas. In the co-assessment activity, attention is also given to the input of existing policies on different levels (local, regional, national and supranational).

Co-assessment activities are structured into three parts with corresponding reports:

1. *Site visit (D.T2.2.1)*
2. *Assessment of AILs and Assessment of Methods (D.T2.2.3 – D.T2.2.6)*
3. *Assessment of Existing Policies (D.T2.2.2)*

Results of the assessment of AILs actual conditions will be used as an input material for the co-generation workshops in WP T3.
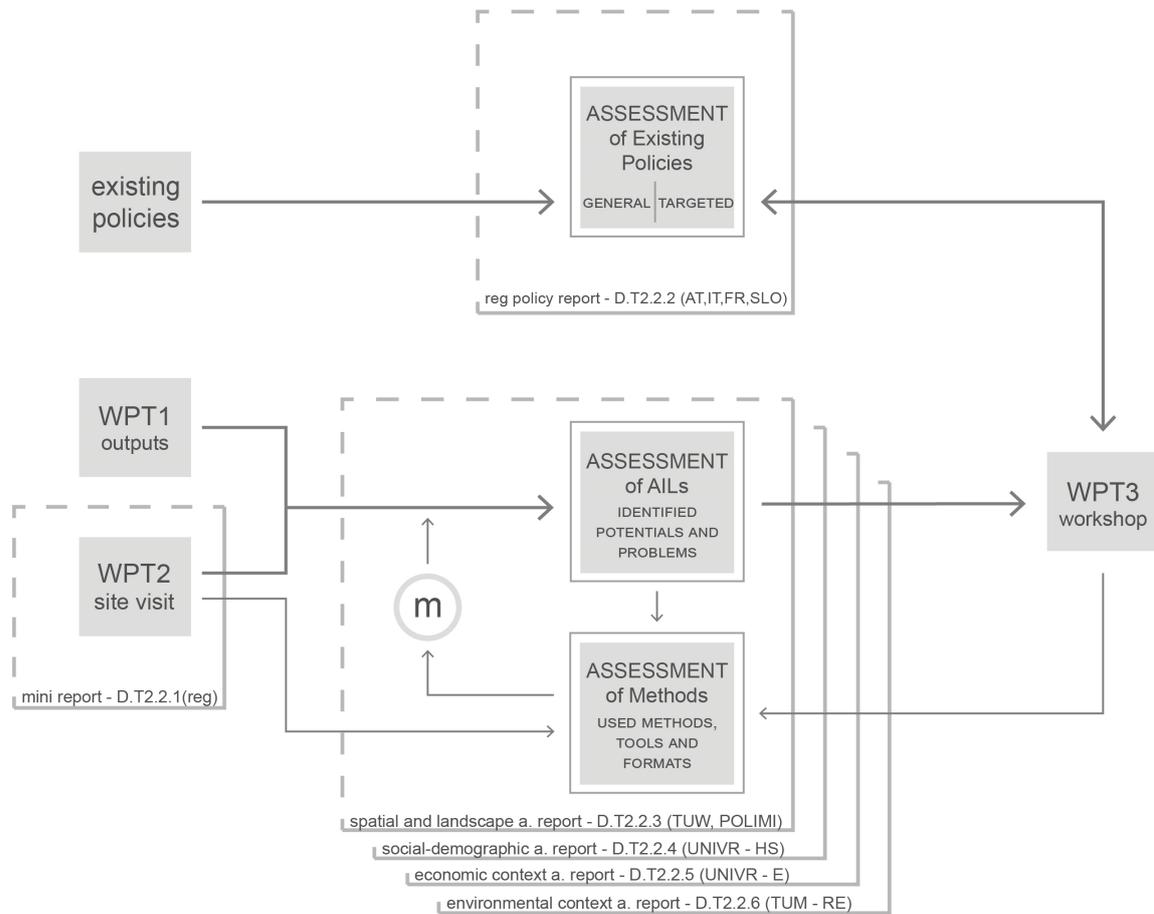
Figure 2: Diagram of co-assessment of AILs – activity A.T2.2

4.1 SITE VISIT

Site visits will be shaped according to research PPs needs, through organized fieldtrips and group work. The purpose of site visits is two-fold:

- First, to gain an insight, impressions of AILs, to better define individual assessment approaches. The site visit will be done with local experts, possibly owners and municipality administrators (if available).
- Second purpose of the site visit is to allocate some time to "reflection sessions" on the assessment practices in order to:
  - jointly discuss assessment methods and how to build towards synthesis
  - WP T3 inputs: how to form the assessments to deliver good results
  - WP T1 outputs: what is needed to make the assessments better

The site visits will not include stakeholder or focus group workshops.

Each site visit will run over two days by corresponding regional PP, with the help from WP Lead – UL. Within these days, site visit and discussion will be accommodated. Any additional time needed by the research PPs needs to be planned and agreed individually by the research PP with the site owners, administrators or regional PPs. Time for bilateral communication will be allocated within the two days.

Table 1: General itinerary of all site visits

		Day 1	Day 2
Morning		Arrival	REFLECTION SESSION: • 10 min presentation of assessment approaches (analysis types and content, indicators set, outputs envisioned, etc.) • roundtable: discussion, reflections and synthesis • next steps: conclusions regarding synthesis of assessments, WP T3 input requirements and WP T1 output requirements
			LUNCH & NETWORKING
Afternoon		FIELDWORK: • group site visit with local experts, site owners and or municipality • questions and answers to site managers and or municipality • arranging with site managers and or municipality individual site visits and needs of research PPs	Departure
		DINNER & NETWORKING	

MAIN ACTIONS BEFORE SITE VISIT
- Each research PP is responsible to define and to carry out their own on-site analysis with defined methods, analysis, and indicators following the agreed assessments:
  - Spatial/landscape structure and perception (POLIMI + TUW);
  - Social-demographic context (UNIVR-HS);
  - Economic context (UNIVR-E);
  - Environmental conditions (TUM-RE).
- If needed, each research PP will send WP Lead (UL) a list of additional material, data or other requirements for the site visit and assessment purposes.
- WP Lead will thereafter compile a list of requirements and send it to regional PP so they can start preparing and organizing logistics of site visit and inviting stakeholders.
- If needed, WP Lead will provide a Site Visit Protocol with TO DO list for regional and research PPs.

- After each site visit, corresponding regional PP with the help of research PP will produce a ''mini report'', describing site visit and main outputs of "reflection session" (D.T2.2.1).
- UL prepares the template for the "mini report".
- After each site visit, the research PPs start to work on their assessments.

Due date for research PPs to prepare their assessment methods (if not prepared yet) and identify needed material is 2nd Week of December 2018 (for AT - Leoben).

4.2   ASSESSMENT OF AILS AND ASSESSMENT OF METHODS

The actual assessment of AILs has two goals:
- Firstly, results of assessment of pilot sites need to feed into the WP T3 co-development workshops,
- Secondly, assessment of the used methods needs to feed into the development of the Assessment Tool that is transferable to and replicable in other AILs in future studies.

To facilitate these two goals, we are creating a "reflection session" for PPs as part of the site visits. For the first goal, we will look at assessment outputs and how they can inform WP T3. For the second goal, we will discuss the Assessment of Methods themselves (a reflection on the methods, analyses, indicators, tools and formats) to bring them together into a cohesive tool. As already noted: based on learning by doing approach, through four pilot area assessments, the outputs for WP T3 and methods of assessments will be jointly discussed in evolving manner, to gradually start combining them from one site visit to the next. This way will help us identify the essential elements of individual assessments that work for the AILs specificity.

MAIN ACTIONS FOR THE ASSESSMENT REPORTS
In terms of prescribed assessment reports for individual research PPs.
- WP Lead - UL will provide a general template for the assessment that will accompany individual assessment documents produced.
- Each research PP is responsible to produce their own assessment report based on WP T1 input, their site visit assessment and "reflection sessions":
  - D.T2.2.3 spatial/landscape structure and perception (POLIMI + TUW - one report);
  - D.T2.2.4 social-demographic context (UNIVR-HS);
  - D.T2.2.5 economic context (UNIVR-E);
  - D.T2.2.6 environmental conditions (TUM-RE).
- Each assessment report is comprised of the Assessment of AILs and Assessment of Methods.

- The assessment reports need to show core assessment results and state key methods, analysis, indicators and how they have changed.
- Regional PPs will provide a feedback on the results of the assessment that can be part of the assessment reports.

Due date for the Assessment of AILs and Assessment of Methods report (for AT) is 2nd Week of April 2019.

4.3 ASSESSMENT OF EXISTING POLICIES

Assessment of existing policies will be done in a collaboration between the regional PPs, corresponding research PP and the WP Lead - UL. The purpose of the assessment is to comprehensively collect and evaluate existing policies in each of the pilot areas with regards to industrial brownfield redevelopment and to find out how well are these policies supporting the AILs opportunities identified in thematic assessment reports (D.T2.2.3 – D.T2.2.6) and in the WP T3 workshops.

The Assessment of Existing Policies will be structured on different governance levels (supranational framework, national framework, regional/local framework and local policies) and done in two parts. Firstly, four reports of regional policies will be collected by regional PP and corresponding research PP and as such they will constitute deliverables   D.T2.2.2. Secondly, the regional reports will be used as an input in the Co-assessment procedure synthesis and evaluation activity (A.T2.3), for a Final Comparative Report (D.T2.3.1). The comparative report will work towards a feasibility study of potential development models in the AILs, suggesting guidelines for AIL transformations in the small and medium-sized towns in the Alps.

MAIN ACTIONS FOR THE REGIONAL POLICY REPORTS
- Reports are mainly done in a collaboration between regional and research PP as follows:
  - Regional policy report for AT (VESTE + TUW)
  - Regional policy report for IT (LAMORO + POLIMI)
  - Regional policy report for FR (CAUE84)
  - Regional policy report for SLO (BSC Kranj + UL)
- Regional reports will provide the following main output:
  - Identification of the governance framework of the country on different levels
  - Policy analysis relevant for transformations of AILs
  - Identification of the gaps

Due date for the Regional Policy Report (draft) submission is 4st Week of February 2019.

5 PROCEDURE SYNTHESIS AND EVALUATION | A.T2.3

The final activity of the WP T2 and its deliverable (D.T2.3.1) is to bring together all the assessment reports and reviews them; how the assessment reports have changed and how successfully they have integrated (Figure 4).
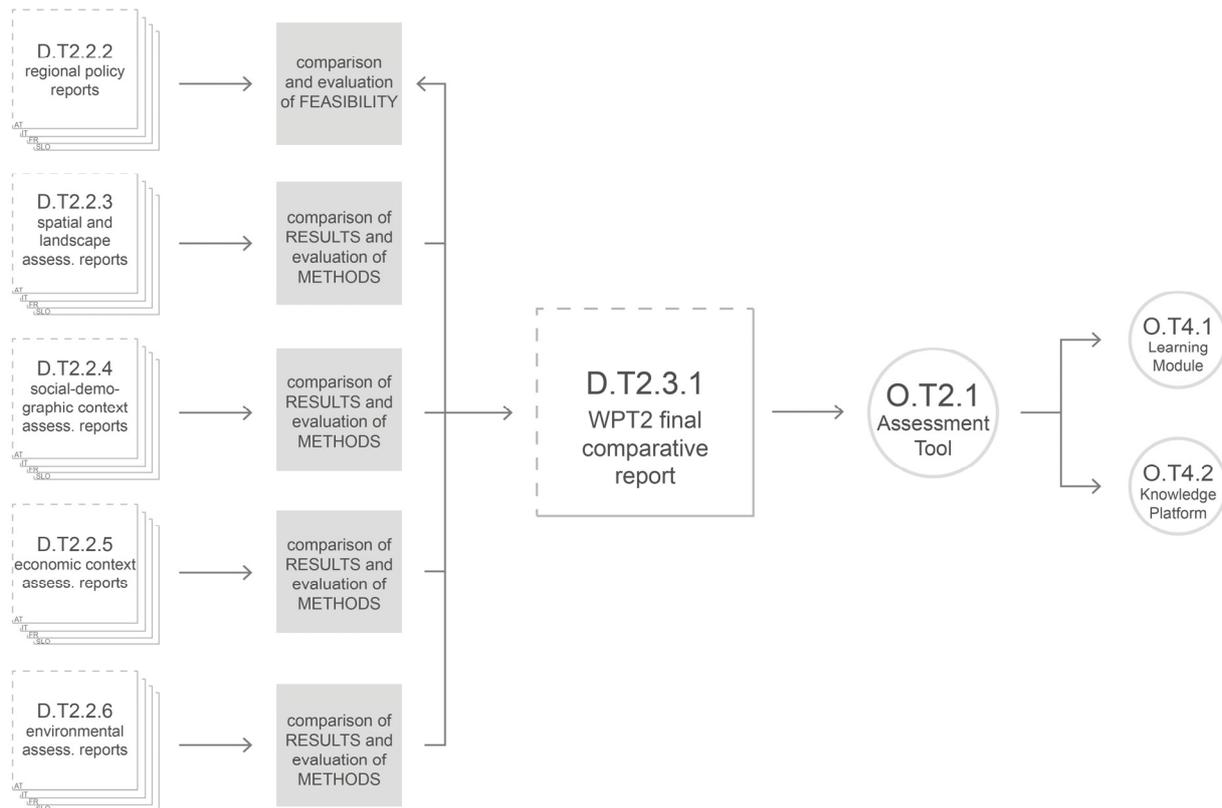
Figure 4: Diagram of co-assessment procedure synthesis and evaluation - activity A.T2.3

MAIN ACTIONS FOR THE SYNTHESIS AND EVALUATION

- WP Lead (UL) will assemble all thematic assessment reports for all pilot areas.
- UL will review the process of adaptation of used methods, tools and formats (Assessment of Methods), that each research PP provided in their reports.
- UL will work towards a feasibility study of potential development models in the AILs, suggesting guidelines for AIL transformations in the small and medium-sized towns in the Alps, depending on transformation potentials and problems/ gaps found in the thematic assessment reports (D.T2.2.3 – D.T2.2.6), regional policy reports (D.T2.2.2) and WP T3 workshop outputs.
- Research and regional PPs will comment and contribute to the comparison.

- The assessment procedure synthesis and evaluation, evidencing and linking methods, tools, formats and results of assessment of AILs actual conditions, will be shaped into an Assessment Tool.

The Assessment Tool will be finalized by WP T2 final comparative report (D.T2.3.1 – UL), describing not only the results of common characteristics and differences of assessed AILs but also suggesting guidelines for a transferable and scalable assessment procedure for future use, with concrete knowledge on feasibility potential for transformation of AILs. The Assessment Tool will be incorporated in the WP T4 – Learning Module (O.T4.1) and Knowledge Exchange Platform (O.T4.2).

Due date for the final synthesis report is April 2020.

6   FORESEEN WP T2 KEY ACTIONS

Legend: research PP, regional PP, WP Lead - UL, everyone

Assessment Framework (this document)
- Presentation of the Framework
  2nd PSG Meeting
- Meeting feedback by regional PPs and academic PPs
  2nd PSG Meeting
- Text version of draft framework sent to PPs
  4th Week of October
- Written feedback by research PPs and regional PPs
  2nd Week of November
- WP Framework issued by UL
  3rd Week of December

Site visit (4x)
- Research PPs prepare their assessments and identify/report needed material to UL
  Research PPs send material to UL: 2nd Week of December 2018 (AT)
  UL compiles and sends questionnaires and requirements to regional PPs
  (2nd Week of December 2018 for AT)
  UL provides the Site Visit Protocol with "mini report" template for regional PPs
  (3rd Week of January 2018 for AT)
- Site visit – Leoben/ Eisenerz
  24th and 25th of January 2019

- Regional PPs in collaboration with research PP produce "mini reports" about the Site visit describing the visit and the main outputs of "Reflection Session" (D.T2.2.1)
  UL provides the "mini report" template (3rd Week of January 2019)
  Host regional PP with the help of research PP submits the "mini report" to UL
  (week after each site visit - 1st week of February for AT)

Assessment of AILs and Assessment of Methods (4x)

- Writing of the assessment reports: Assessment of AILs and Assessment of Methods (D.T2. 2.3 – D.T2.2.6.)
  UL provides a template for assessment reports (2nd Week of January 2019)
  Research PPs submit draft assessment reports to UL (3rd Week of February 2019 for AT)
  Host regional PP feedback to the reports (4th Week of February 2019)
  Research PPs submit final assessment reports to UL (2nd Week of April 2019 for AT)
- Feed in to WP T3
  UL sends AIL reports with assessment results to POLIMI
  (2nd Week of April 2019 for AT)

Assessment of Existing Policies

- UL provides the Template for Regional Policy Report to regional + research PPs
  4th Week of November 2018
- Regional PPs and corresponding research PP draft regional reports
  4th Week of February 2019
- UL gives a feedback on the report draft to regional + research PPs
  2nd Week of March 2019
- Regional + research PPs produce final regional reports
  2nd Week of April 2019

Co-assessment Procedure Synthesis and Evaluation

- UL prepares first draft of synthesis report on assessment of AILs, Methods and Existing Policies (feasibility study) and suggests a synthesis procedure
  4th Week of March 2020
- Research and regional PPs give feedback on the final report
  2nd Week of April 2020
- UL produces the final synthesis report (D.T2.3.1)
  4th Week of April 2020

ACTIONS		October	November	December	January	February	March	April	May	June
Assessment Framework	Presentation of the strategy of the Assassement Framework with Feedback	PSG								
	Text version of framework send to PPs									
	Written feedback by research PP and regional PP									
	WP Framework issued by UL									
Site visit	Feed from WP T1: Research PPs prepare their assessments									
	UL compiles and sends questionnaires and requirements to regional PPs									
	UL provides the Site Visit Workshop Protocol with "mini report" template for regional PP									
	Site visit for 2 days				24-25 AT					27-28 IT
	Host regional PP with the help of research PP submits the "mini report" to UL (D.T2.2.1)				AT					IT
Assessments of AILs and Assessment of Methods	UL provides the template for the Assessment of AILs Report									
	Research PPs draft assessment reports (submit to UL)					AT				
	Hosting regional PP gives a feedback to the reports						AT			
	Research PPs submit final assessment reports to UL (D.T2.2.3 - D.T2.2.6)							AT		
	Feed in to WP T3: UL sends All reports with assessment results to POLIMI								6-8	
Assessment of Existing Policies	UL provides the Template for Regional Policy Report to regional and research PPs									
	Regional PPs and corresponding research PP draft regional policy reports									
	UL gives a feedback on the policy report draft to regional + research PPs									
	Regional + research PPs produce final regional policy reports (D.T2.2.2)							AT + IT + FR + SLO		
Co-assessment procedure synthesis and evaluation	UL drafts report on Assessment of AILs, Methods and Existing Policies (feasibility study), suggests a synthesis procedure									March 2020
	Research PPs and Regional PPs give feedback on the report									April 2020
	UL produces the final synthesis report (D.T2.3.1)									April 2020

LEGEND: Research Project Partners | Regional Project Partners | WP Lead - UL | Everyone
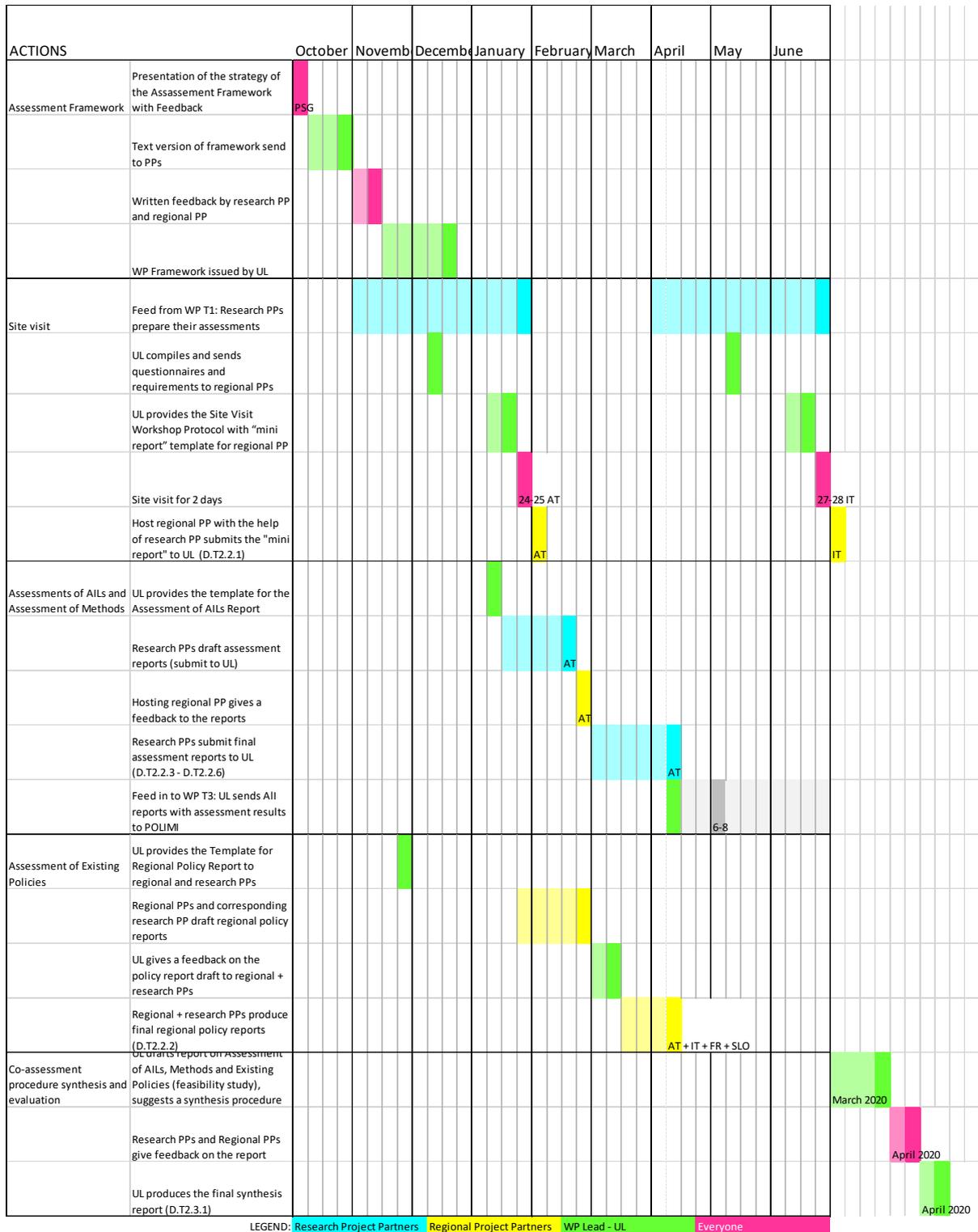
Figure 5: Timeline of the WP T2 for the period from October 2018 to June 2019.