



# **Objective 2 in Nordrhein Westfalen, Germany**

*IQ-Net Thematic Paper 2(4)*

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Improving the Quality of Structural Fund  
Programming through Exchange of  
Experience***

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## Preface

### *IQ-NET: Networking to improve the quality of Objective 2 programmes*

Launched in early 1996 and managed by the *European Policies Research Centre* (EPRC) at the University of Strathclyde in Glasgow, the network *IQ-NET* facilitates exchange of experience in the development, implementation and evaluation of Objective 2 programmes. Funded by a consortium of 13 Objective 2 areas and the European Commission (DG XVI), the network meets twice a year to examine issues of practical relevance to programme-makers and share examples of good, innovative and distinctive practice from across the EU. The first two meetings were held in Glasgow, in association with Strathclyde European Partnership (February 1996), and in Cardiff, hosted by the Welsh Office and Welsh Development Agency (September 1996). The third and most recent meeting was held in April 1997 in Gelsenkirchen, Nordrhein Westfalen. Meetings provide the opportunity to discuss the results of a structured programme of applied research and debate, steered by the network's partner regions:

- Steiermark and Niederösterreich, Austria
- Nordjylland, Denmark
- Päijät-Häme and South Karelia, Finland
- Aquitaine and Rhône Alpes, France
- Nordrhein Westfalen and Saarland, Germany
- Ångermanlandskusten and Fyrstad, Sweden
- Industrial South Wales and Western Scotland, UK

### *IQ-NET Thematic Papers*

This document contains the second series of thematic papers produced by EPRC in spring 1997 as part of *IQ-NET*'s applied research programme:

- Series 2, No 1: Interim Evaluation.
- Series 2, No 2: Synergy between the Structural Funds
- Series 2, No 3: Environmental integration in Objective 2 programmes
- Series 2, No 4: The Objective 2 Programme of Nordrhein Westfalen

It supplements the following *IQ-NET* papers produced in 1996:

- Series 1, No 1: Managing the Structural Funds.
- Series 1, No 2: RTD/Innovation policies in Objective 2 programmes.
- Series 1, No 3: Generating Good Projects.
- Series 1, No 4: Monitoring and Evaluation.

Focusing on topics selected by the network's partner regions, each paper places issues in their international context, raises questions for debate and highlights distinctive and innovative practices. For the convenience of readers, executive summaries are included in French, German and English.

Papers are first drafted on the basis of field research (encompassing interviews with Objective 2 programme managers and partners at regional, Member State and Commission levels) and substantial desk research. They are then modified to reflect the discussions of the *IQ-NET* meeting and the comments of network sponsors. The papers are distributed to a wide group of people nominated by the sponsors. The EPRC welcomes comment and feedback on them.

Readers are reminded that the content of the papers does not necessarily represent the official position of either the partner regions or the Commission, and that errors of fact or interpretation are the responsibility of the authors alone.

### *Acknowledgements*

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Translations were carried out by Ingrid Schumacher (German) and Lexus in Glasgow (French).

### *Further Information*

Additional copies of the papers and further information on *IQ-NET* can be obtained from John Bachtler and Sandra Taylor, managers of the network, at the EPRC. The December 1996 and June 1997 editions of '*IQ-NET Bulletin*', a newsletter co-financed by DG XVI and available from EPRC, contain synopses of the papers.

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*Executive Summaries*

*Objective 2 in Nordrhein Westfalen*

*Le Programme d'Objectif 2 en Rhenanie du Nord-  
Westphalie*

*Das Nordrhein-Westfälische Ziel 2 Programm*





## 1. OBJECTIVE 2 IN NORDRHEIN WESTFALEN

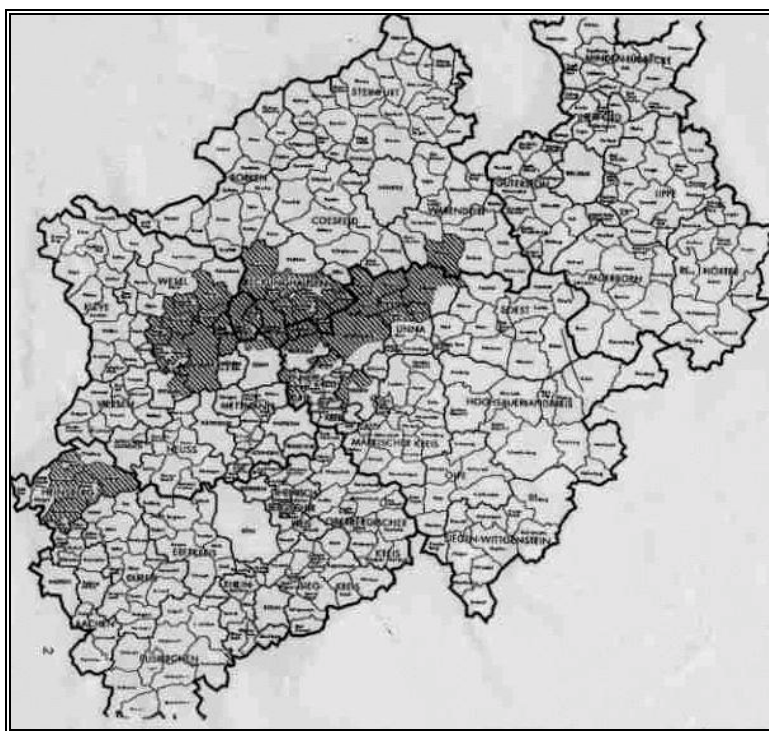
### 1.1 Introduction

The Nordrhein Westfalen (NRW) Objective 2 programme is by far the largest in Germany, receiving 49 percent of the total Objective 2 Structural Fund resources allocated to the country. The following paper summarises the industrial regeneration challenges facing the region and the Objective 2 policies which have been developed to address them. In particular, it discusses innovative aspects of the NRW programme, most notably its network of 'regional conferences (or committees)' which enable decentralised programme management, and its approach to physical regeneration, in which new uses are sought for the economic infrastructure of the past (the international building exhibition 'Emscher Park').

### 1.2 The Nordrhein Westfalen Objective 2 Area

#### 1.2.1 Geography and demography

The NRW eligible area coincides almost exactly with the NRW coal and steel region, and consists of the core of the Ruhr region and the coal mining district of Heinsberg. Twenty percent of the NRW population lives in the zone (c3.6 million people out of 18 million), many in the major cities of Essen (part), Dortmund (part), Duisburg, Bochum (part), Gelsenkirchen, Oberhausen, Krefeld (part), Hagen (part), Herne and Hamm (part).



#### 1.2.2 Principal economic development problems

The Ruhr region suffers from high and persistent unemployment and a continuing decline in the number of jobs, particularly in the mining and manufacturing sectors. The average unemployment rate in the eligible area has risen from 10 percent in 1991 to more than 15 percent today.

Unemployment is highest in the cities of Gelsenkirchen, Duisburg, Herne and Dortmund (at 17-18 percent), due to the closure of coal mines, redundancies in the steel industry and job losses in other industries including mechanical engineering and chemicals.

Although employment in the service industries is growing and now accounts for 58 percent of all jobs in the region, this has not been sufficient to offset the losses in mining and manufacturing. Between 1991 and 1995 some 140,000 manufacturing jobs were lost (a decrease of 17.1 percent), but only 30,000 service jobs were gained (which is an increase of 3.5 percent). The rest of NRW performed significantly better, with job losses in the manufacturing sector of 11.8 percent and an increase of 5.7 percent in the service sector between 1991 and 1995.

A further round of job losses in the coal and steel industries is expected in the Ruhr region. Due to a cut in coal subsidies, seven or eight mines will be closed by the year 2005. This will lead to more than 100,000 job losses in the coal industry and the sectors supplying it.

Further development problems are: a high number of contaminated industrial and mining sites, and serious environmental problems; insufficient SMEs; underdevelopment of the service sector; skill levels which often do not meet the needs of new technologies; traffic congestion, due to the high population density and the role of NRW as a transit region; and, a poor regional image and low quality living environment, particularly in central and northern parts.

Nevertheless, the restructuring efforts in the Ruhr region have produced progress in a number of areas, notably: 23 technology centres; 14 research and development centres; 5 universities and several polytechnic universities; the attraction of a large number of headquarters of leading European energy, manufacturing, and retail companies; a growing number of business start-ups; an emerging environmental industry; and the International Building Exhibition Emscher Park (an ambitious urban renewal initiative in the most run-down part of the Ruhr region).

Further strengths of the region include its central location, close to the dynamic business centres of western Germany, Belgium, and the Netherlands; efficient and competitive transport infrastructure; developments in information technologies; an industrial heritage which is increasingly being exploited for tourism; a lively cultural scene; and long-standing experience of restructuring based on consensus among the social partners.

### **1.3 The NRW 1997-1999 SPD**

The expenditure allocation to the 1997-99 NRW Objective 2 programme is 954 MECU, of which the EU contribution is 451 MECU and the national contribution, mainly drawn from the NRW regional government budget, is 503 MECU. The focus of the programme is on job creation, to be achieved through eight strategic objectives:

- preparing firms for global competition,
- increasing the number of business start-ups,

- improving the competitiveness of SMEs through the development and application of new technologies,
- strengthening NRW as a leading location for information technologies,
- fully exploiting the employment potential of the service sector,
- promoting training for new employment,
- linking the economy and the environment through sustainable development, and
- providing equal opportunities for men and women in the labour market.

These strategic objectives will be implemented by means of a variety of policy measures, most of which will contribute to more than one them. The priorities are:

- **Investment aids, particularly for SMEs**  
Important specific measures are grants and loans to SMEs, provision of venture capital, and investments aids for the rational use of energy and renewable energy sources.
- **Promotion of new technologies, innovation and consultancy services**  
This includes: grants to SMEs for research and development, particularly for joint projects; the use of new information and telecommunications services; agencies promoting business start-ups and addressing special target groups, such as SMEs founded by minorities; pilot projects for business start-ups, SMEs and new services; coaching for new entrepreneurs; regional agencies improving womens' participation in the labour market and business; and, area marketing.
- **Business infrastructures for SMEs**  
This comprises the establishment and enlargement of technology and business centres, facilities for information and telecommunication technologies, training centres, and logistical centres for the combined transport of goods and tourism infrastructure.
- **Renewal of industrial sites and environmental improvements**  
This includes the decontamination of industrial sites, their redevelopment for new business activities, the improvement of environmental and living conditions in the most run-down parts of the region, and the promotion of district heating to reduce pollution.
- **Promotion of human capital**  
Human capital will be promoted through training activities, employment measures and combined training and employment instruments.

## **1.4 Managing and implementing the NRW Objective 2 strategy**

### *1.4.1 The role of the NRW government*

The regional states (*Länder*) are responsible for the implementation of most structural policy initiatives, including the EU Structural Funds. *Land* governments combine the Structural Funds with their own structural policy initiatives, and this enables the regional states to pursue a coherent structural

policy which is independent of the federal government and based on three financial pillars: the EU Structural Funds, the joint federal/regional initiative and the budgets of the *Länder*. In NRW, the Ministry of Economic Affairs is in charge of ERDF measures, and the Ministry of Labour, Health, and Social Affairs the ESF measures. Other ministries are involved as appropriate in the implementation of specific measures.

#### *1.4.2 Integration of the EU Structural Funds in the regional strategy*

To ensure the coherence of the different funds, the three financial pillars are employed in the pursuit of a single strategy. The application procedures, administrative systems and financial flows are in principle the same. Applicants do not apply for support from an EU, national or *Land* programme, but for funding under a specific measure. The *Land* government then decides, within the approval procedure of the specific measure, where the funding should be drawn from, in conformity with EC regulations. This approach simplifies procedures, reducing bureaucracy, increasing synergies and avoiding interruptions to funding.

Overall, the EU Structural Funds have a strong impact on the strategic orientation and implementation of the national and regional policy measures implemented in NRW.

#### *1.4.3 Monitoring and evaluation*

There is a single German Objective 2 monitoring committee, chaired by the Federal Ministry of Economic Affairs. This is attended by representatives of the Ministries of Economic Affairs and Social Affairs of all west German *Länder*, by the federal government and by the European Commission (but not by the social partners). The efficiency of the committee is impeded by its large size which means that its role tends to be somewhat technical and formal. Most important decisions are taken in the *Länder*.

Some time ago, sub-committees were established in the *Länder* with larger Objective 2 programmes. NRW's sub-monitoring committee also includes the important social partners at the *Land* level. It remains to be seen if the sub-committees can enhance the status of the monitoring approach in Germany.

#### *1.4.4 The NRW partnership approach: 'Regionalised structural policy'*

As NRW is the largest region in Europe, its government authorities and the social partners at the state level are too distant from the specific problems of the different sub-regions. To counter this problem, NRW has developed a specific management approach to ensure the involvement of local authorities, chambers of commerce, chambers of craft industries, the unions, the universities, specialised authorities such as the labour offices and other important players at the sub-regional level.

The basis of this so-called 'regionalised structural policy' are 'regional conferences (or committees)' which meet in each of the 15 sub-regions. These conferences discuss sub-regional strengths and weaknesses and then use this to determine regional development plans and set priorities for projects. The principles governing the conferences are co-operation between the social partners and public authorities, regional co-ordination of plans and projects,

and the consensus of partners. Special parallel regional labour market conferences operate for labour market policy.

The development plans and project proposals of the conferences form the basis upon which structural policy at the state level is built. Of the projects proposed for programmes administered by the state government, including the Objective 2 programme, those put forward by the regional conferences receive the highest priority for funding. As a result, the Objective 2 programme primarily funds projects developed by the social partners and local or sub-regional authorities. This approach to partnership surpasses the requirements of the EC Structural Funds regulations. At the same time, the *Land* government plays an active role in ensuring high standards and conformity with policy guidelines at both state and European levels.

#### *1.4.5 Technology, industry, and SME initiatives*

In addition to the regionalised approach to policy and project development described above, there are also sectoral initiatives for the development of policy measures for specialised technologies, manufacturing and SMEs. Special groups propose measures and projects to accelerate the restructuring of specific sectors and the implementation of new technologies. An important element of these initiatives is the co-operation achieved between social partners, research institutes and public authorities.

#### *1.4.6 International Building Exhibition 'Emscher Park'*

Among the most interesting projects supported by the NRW programme has been the International Building Exhibition 'Emscher Park'. This is a high quality, innovative initiative aiming to revitalise the Emscher area, which has been severely affected by industrial decline. Proposals contributing to the International Building Exhibition receive high priority in the Objective 2 project selection process. An important part of the project is to convert derelict industrial sites into new centres for work. Where possible, buildings have been maintained and redesigned to preserve the region's industrial heritage. The new sites include parkland to improve the living environment for employees and local residents. Effort is made to demonstrate new energy-saving and environmentally-friendly materials and systems. The new sites include a number of technology and start-up centres.



## 2. LE PROGRAMME D'OBJECTIF 2 EN RHÉNANIE DU NORD-WESTPHALIE

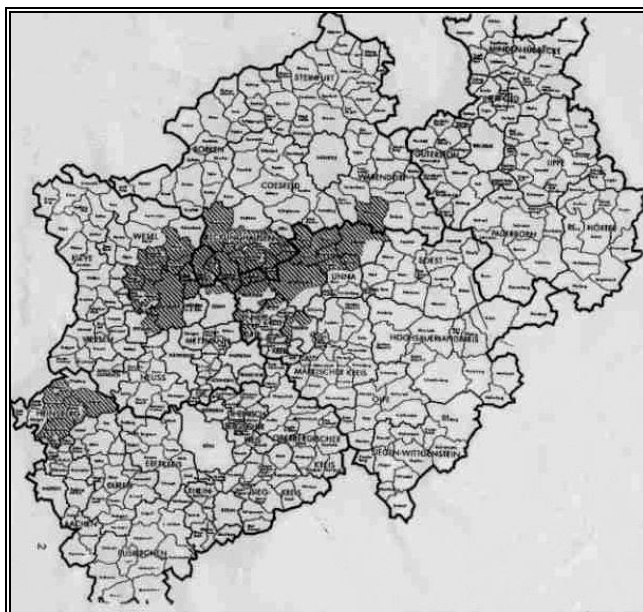
### 2.1 Introduction

Le programme d'Objectif 2 de la Rhénanie du Nord-Westphalie (RNW) est de loin le plus grand d'Allemagne, puisqu'il bénéficie de 49 pour cent du total des ressources des Fonds Structurels d'Objectif 2 allouées au pays. L'exposé suivant récapitule les défis en matière de régénération industrielle auxquels se trouve confrontée la région, et les politiques d'Objectif 2 qui ont été développées pour y répondre. En particulier, il évoque les aspects innovants du programme de la RNW, plus particulièrement son réseau de "conférences (ou comités) régionaux" qui permettent la gestion décentralisée du programme, et son approche s'agissant de la régénération physique, qui donne lieu à la recherche de nouvelles applications pour l'infrastructure économique de jadis (l'exposition internationale du bâtiment "Emscher Park").

### 2.2 La région d'Objectif 2 de la Rhénanie du Nord-Westphalie

#### 2.2.1 Géographie et démographie

La zone de la RNW qui satisfait aux critères d'attribution coïncide presque exactement avec la région du charbon et de l'acier de la RNW et se compose du cœur de la région de la Ruhr et de la région charbonnière de Heinsberg. Cette zone regroupe vingt pour cent de la population de la RNW (environ 3,6 millions de personnes sur 18 millions), concentrés pour une large part dans les grandes villes d'Essen (pour partie), Dortmund (pour partie), Duisburg, Bochum (pour partie), Gelsenkirchen, Oberhausen, Krefeld (pour partie), Hagen (pour partie), Herne et Hamm (pour partie).



#### 2.2.2 Principaux problèmes de développement économique

La région de la Ruhr connaît un chômage élevé et persistant et un déclin continu du nombre d'emplois, en particulier dans le secteur minier et le secteur

manufacturier. Le taux moyen de chômage dans la zone satisfaisant aux critères d'attribution est passé de 10 pour cent en 1991 à plus de 15 pour cent à l'heure actuelle. Le chômage est le plus fort dans les grandes villes de Gelsenkirchen, Duisburg, Herne et Dortmund (17-18 pour cent), ce en raison de la clôture des mines de charbon et des pertes d'emplois dans l'acierie et dans les autres industries, y compris le génie mécanique et la chimie.

Bien que l'emploi dans les industries des services soit en hausse et représente maintenant 58 pour cent de tous les emplois dans la région, ceci n'a pas suffi à compenser les pertes dans le secteur minier et le secteur manufacturier. Entre 1991 et 1995 quelque 140000 emplois dans le secteur manufacturier ont été supprimés (une baisse de 17,1 pour cent) mais seulement 30000 emplois ont été créés dans les services (soit une augmentation de 3,5 pour cent). Le reste de la RNW affichait des résultats nettement meilleurs, avec des pertes d'emploi dans le secteur manufacturier de 11,8 pour cent et une augmentation de 5,7 pour cent dans le secteur des services entre 1991 et 1995.

De nouvelles pertes d'emplois sont attendues dans les industries du charbon et de l'acier dans la région de la Ruhr. En raison d'une diminution des subventions allouées au charbon, sept ou huit mines seront fermées d'ici l'année 2005, ce qui se traduira par plus de 100000 pertes d'emplois dans l'industrie du charbon et dans les secteurs qui la fournissent.

Viennent en outre s'ajouter les problèmes de développement suivants: un grand nombre de sites industriels et miniers contaminés et de sérieux problèmes écologiques; un nombre insuffisant de PME; un sous-développement du secteur des services; des niveaux de formation souvent peu adaptés aux besoins des nouvelles technologies; une circulation trop dense causée par la forte densité de population et par le rôle de la RNW en tant que région de transit; et une mauvaise image régionale et un cadre de vie de mauvaise qualité, particulièrement dans les régions du centre et du nord.

Cependant, les efforts de restructuration dans la région de la Ruhr se sont traduits par des progrès dans un certain nombre de domaines, en particulier: 23 centres technologiques, 14 centres de recherche et développement, 5 universités et plusieurs polytechniques; le fait que la région ait attiré un grand nombre de sièges sociaux de grandes sociétés européennes dans le domaine de l'énergie, de la fabrication et de la vente au détail; un nombre croissant de créations d'entreprises; l'émergence d'une industrie de l'environnement; et l'exposition internationale du bâtiment Emscher Park (ambitieuse initiative de régénération urbaine dans la partie la plus épuisée de la Ruhr).

Parmi les autres forces de la région, il faut citer sa situation centrale, près des centres d'affaires dynamiques de l'Allemagne de l'ouest, de la Belgique et des Pays-Bas; une infrastructure de transports compétitive et efficace; des développements dans l'informatique; un patrimoine industriel de plus en plus souvent exploité pour le tourisme; une scène culturelle animée; et une expérience de longue date dans la restructuration, reposant sur un consensus entre les partenaires sociaux.

### **2.3 Le DOCUP 1997-1999 de la RNW**

L'allocation de dépenses pour le programme d'Objectif 2 de la RNW en 1997-99 est de 954 millions d'ECU, dont une contribution de 451 millions d'ECU



de l'UE et une contribution nationale de 503 millions d'ECU provenant principalement du budget du gouvernement régional de la RNW. Le programme est axé sur la création d'emplois, à réaliser par le biais de huit objectifs stratégiques:

- préparation des entreprises pour la concurrence globale
- accroissement du nombre de créations d'entreprises
- amélioration de la compétitivité des PME par le biais du développement et de l'application de nouvelles technologies
- renforcement de la RNW en tant que grand lieu de l'informatique
- exploitation maximum du potentiel d'emploi du secteur des services
- encouragement de la formation pour de nouveaux emplois
- lien entre l'économie et l'environnement par le biais d'un développement pouvant être maintenu, et
- égalité des chances pour les hommes et les femmes sur le marché du travail.

Ces objectifs stratégiques seront mis en œuvre au moyen de diverses mesures politiques, qui pour la plupart contribueront à plus d'un objectif. Les priorités sont:

- les aides à l'investissement, particulièrement pour les PME  
Au nombre des mesures spécifiques importantes, on peut citer les aides et prêts aux PME, la fourniture d'un capital-risques et les aides à l'investissement pour l'utilisation rationnelle de l'énergie et des ressources énergétiques renouvelables.
- la promotion des nouvelles technologies, de l'innovation et des services de conseil  
Ceci comprend: les aides à la recherche et au développement accordées aux PME, particulièrement pour les projets communs; l'utilisation des nouveaux services d'information et de télécommunications; les agences assurant la promotion des créations d'entreprises et s'occupant des groupes ciblés spéciaux, par exemple les PME fondées par des minorités; les projets pilotes pour les créations d'entreprises, les PME et les nouveaux services; la formation des nouveaux entrepreneurs; les agences régionales accroissant la participation des femmes sur le marché du travail et dans les affaires; et le marketing régional.
- l'infrastructure commerciale pour les PME  
Ceci comprend l'établissement et l'agrandissement des centres technologiques et des centres d'affaires, les aménagements pour les technologies informatiques et des télécommunications, les centres de formation et les centres logistiques pour le transport combiné des marchandises et l'infrastructure touristique.
- la régénération des sites industriels et l'amélioration de l'environnement

Ceci comprend la décontamination des sites industriels, leur remise en valeur pour de nouvelles activités commerciales, l'amélioration des conditions d'environnement et de vie dans les zones les plus épuisées de la région, et la promotion du chauffage urbain pour réduire la pollution.

- la promotion du capital humain

Le capital humain sera promu par le biais d'activités de formation, de mesures d'emploi et d'instruments associant la formation et l'emploi.

## **2.4 Gestion et mise en œuvre de la stratégie d'Objectif 2 en RNW**

### *2.4.1 Le rôle du gouvernement de la RNW*

Les états régionaux (*Länder*) sont chargés de la mise en œuvre de la plupart des initiatives de politique structurelle, y compris les Fonds Structurels de l'UE. Les gouvernements des *Länder* allient les Fonds Structurels et leurs propres initiatives de politique structurelle, ce qui permet aux états régionaux de mener une politique structurelle cohérente qui soit indépendante du gouvernement fédéral et qui repose sur trois piliers financiers: les Fonds Structurels de l'UE, l'initiative commune fédérale/régionale et les budgets des *Länder*. En RNW, le Ministère des affaires économiques est chargé des mesures de FEDER et le Ministère du travail, de la santé et des affaires sociales est chargé des mesures de FSE. D'autres ministères interviennent lorsque la mise en œuvre de mesures spécifiques l'exige.

### *2.4.2 L'intégration des Fonds Structurels de l'UE dans la stratégie régionale*

Afin d'assurer la cohérence des différents fonds, les trois piliers financiers sont mis en jeu dans la poursuite d'une stratégie unique. Les procédures de candidature, les systèmes administratifs et les flux financiers sont en principe les mêmes. Les candidats ne demandent pas le soutien d'un programme de l'UE, d'un programme national, ou d'un programme du *Land*, mais demandent un financement au titre d'une mesure spécifique. Le gouvernement du *Land* décide alors, dans le cadre de la procédure d'approbation de la mesure en question, d'où doit provenir le financement, conformément aux réglementations de la CE. Cette approche simplifie les procédures en réduisant la bureaucratie, en accroissant les synergies et en évitant les interruptions de financement.

Globalement, les Fonds Structurels de l'UE ont un fort impact sur l'orientation stratégique et la mise en œuvre des mesures de politique nationale et régionale en RNW.

### *2.4.3 Suivi et appréciation*

Il existe un comité unique de suivi pour l'Objectif 2 en Allemagne, présidé par le Ministère fédéral des affaires économiques. Y assistent des représentants des Ministères des affaires économiques et sociales de tous les *Länder* ouest-allemands, le gouvernement fédéral et la Commission européenne (mais pas les partenaires sociaux). L'efficacité du comité est entravée par sa grande taille, qui fait que son rôle a tendance à être un peu technique et formel. Les décisions les plus importantes sont prises dans les *Länder*.

Il y a quelque temps, des sous-comités ont été établis dans les *Länder* ayant des programmes d'Objectif 2 plus larges. Le sous-comité de suivi de la RNW réunit aussi les partenaires sociaux importants au niveau du *Land*. Reste à voir si les sous-comités peuvent mettre en valeur le statut de la démarche de l'Allemagne en matière de suivi.

#### 2.4.4 *La démarche du partenariat en RNW: "politique structurelle régionalisée"*

La RNW étant la plus grande région d'Europe, ses administrations gouvernementales et ses partenaires sociaux au niveau de l'état sont trop éloignés des problèmes spécifiques des différentes sous-régions. Pour remédier à ce problème, la RNW a développé une approche spécifique de gestion pour assurer la participation des administrations locales, des chambres de commerce, des chambres des métiers, des syndicats, des universités, des administrations spécialisées comme les bureaux pour l'emploi ainsi que d'autres acteurs importants au niveau sous-régional.

Cette politique dite "structurelle régionalisée" a pour base les "conférences (ou comités) régionaux" qui se réunissent dans chacune des 15 sous-régions. Ces conférences discutent des forces et faiblesses sous-régionales, puis mettent ces discussions à profit pour déterminer les projets de développement régional et fixer des priorités pour les projets. Les principes qui gouvernent les conférences sont la coopération entre les partenaires sociaux et les administrations publiques, la coordination régionale des plans et projets, et le consensus entre les partenaires. Des conférences parallèles spéciales sur le marché du travail au niveau régional opèrent pour la politique du marché du travail.

Les plans de développement et les propositions de projets des conférences forment la base sur laquelle s'élabore la politique structurelle au niveau fédéral. Parmi les projets proposés pour les programmes administrés par le gouvernement fédéral, y compris le programme d'Objectif 2, ceux proposés par les conférences régionales sont prioritaires pour le financement. Ainsi, le programme d'Objectif 2 finance principalement des projets développés par les partenaires sociaux et les administrations locales ou sous-régionales. Cette approche du partenariat excède les exigences des réglementations des Fonds Structurels de la CE. En même temps, le gouvernement du *Land* joue un rôle actif s'agissant de garantir une haute qualité et une conformité aux directives politiques au niveau fédéral et européen.

#### 2.4.5 *Initiatives relatives à la technologie, à l'industrie et aux PME*

En plus de la démarche régionalisée dont fait l'objet le développement des politiques et des projets décrit ci-dessus, il existe aussi des initiatives sectorielles pour le développement de mesures politiques pour les technologies spécialisées, la fabrication et les PME. Des groupes spéciaux proposent des mesures et projets propres à accélérer la restructuration de secteurs spécifiques et la mise en œuvre de nouvelles technologies. Un élément important de ces initiatives est la coopération qui intervient entre les partenaires sociaux, les instituts de recherche et les administrations publiques.

#### 2.4.6 *Exposition internationale du bâtiment “Emscher Park”*

Parmi les projets les plus intéressants bénéficiant du soutien du programme de la RNW, il faut citer l'exposition internationale du bâtiment “Emscher Park”. Il s'agit d'une initiative innovante de haute qualité visant à revitaliser la région d'Emscher, très touchée par le déclin industriel. Les propositions contribuant à l'exposition internationale du bâtiment sont prioritaires dans le processus de sélection des projets d'Objectif 2. Une partie importante du projet consiste à transformer des sites industriels abandonnés en nouveaux centres d'emploi. Lorsque cela a été possible, les bâtiments ont été préservés et modifiés pour protéger le patrimoine industriel de la région. Les nouveaux sites comportent des parcs pour améliorer le cadre de vie des employés et des habitants de la localité. Un effort est fait pour démontrer l'utilisation de nouveaux matériaux et systèmes économisant l'énergie et respectueux de l'environnement. Les nouveaux sites comptent un certain nombre de centres technologiques et de centres de création de nouvelles entreprises.

### 3. DAS NORDRHEIN-WESTFÄLISCHE ZIEL 2 PROGRAMM

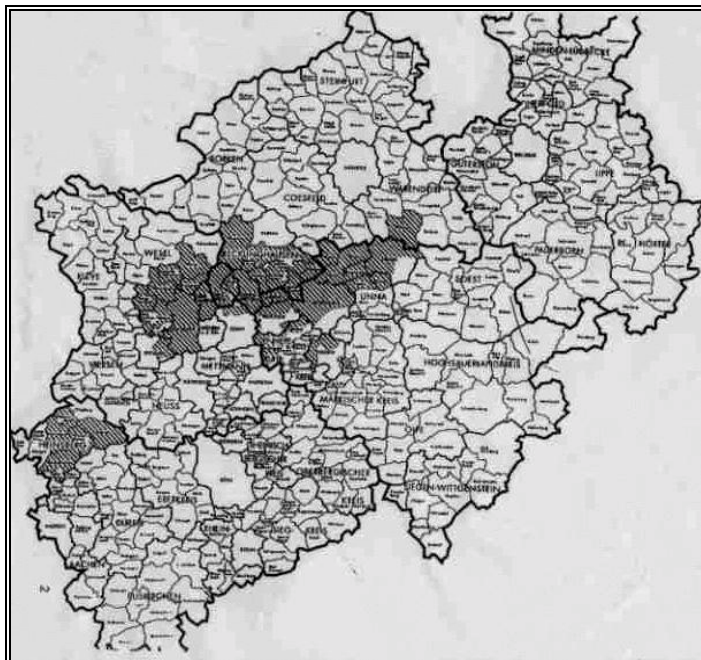
#### 3.1 Einführung

Das nordrhein-westfälische Ziel 2 Programm ist das bei weitem größte in Deutschland; es erhält 49 Prozent der gesamten Strukturfondsmittel für Ziel 2, die dem Land zugeteilt sind. Die nachstehende Arbeit faßt die Herausforderungen industrieller Regeneration an die Region zusammen, und die Ziel 2 Programme, die zu ihrer Bewältigung entwickelt wurden. Insbesondere diskutiert sie innovative Aspekte des NRW-Programms, vor allem sein Netz 'regionaler Konferenzen', die ein dezentralisiertes Programmanagement ermöglichen, sowie den Ansatz zu physischer Regeneration, bei dem neue Verwendungen für die wirtschaftliche Infrastruktur der Vergangenheit gesucht werden (die internationale Bauausstellung 'Emscher Park').

#### 3.2 Das Nordrhein-westfälische Ziel 2 Gebiet

##### 3.2.1 *Geographie und Demographie*

Das nordrhein-westfälische Fördergebiet deckt sich fast genau mit dem nordrhein-westfälischen Kohle- und Stahlgebiet und besteht aus dem Kern des Ruhrgebiets und dem Kohlebergbaugebiet Heinsberg. Zwanzig Prozent der Bevölkerung NRWs leben in der Zone (ca. 3,6 Mio. von 18 Mio.), viele in den Großstädten Essen (Teil), Dortmund (Teil), Duisburg, Bochum (Teil), Gelsenkirchen, Oberhausen, Krefeld (Teil), Hagen (Teil), Herne und Hamm (Teil).



##### 3.2.2 *Die Hauptprobleme der Wirtschaftsförderung*

Das Ruhrgebiet leidet unter hoher anhaltender Arbeitslosigkeit und einer ständigen Abnahme in der Zahl der Arbeitsplätze vor allem im Bergbau- und Verarbeitungssektor. Die durchschnittliche Arbeitslosenquote stieg in dem Fördergebiet von 10 Prozent im Jahre 1991 auf nun mehr als 15 Prozent. Die

Arbeitslosigkeit ist am höchsten in den Städten Gelsenkirchen, Duisburg, Herne und Dortmund (mit 17-18 Prozent) aufgrund der Schließung der Kohlebergwerke, Entlassungen in der Stahlindustrie und Arbeitsplatzverlusten in anderen Industrien wie im Maschinenbau und bei den Chemikalien.

Obwohl die Beschäftigung in der Dienstleistungsindustrie zunimmt und nun 58 Prozent aller Arbeitsplätze in der Region ausmacht, reicht dies nicht aus, um die Verluste im Bergbau und der Verarbeitungsindustrie auszugleichen. Im Zeitraum von 1991 bis 1995 gingen etwa 140.000 Verarbeitungsstellen verloren (eine Abnahme von 17,1 Prozent), während nur 30.000 Dienstleistungsstellen hinzukamen (eine Zunahme von 3,5 Prozent). Das übrige NRW zeigte eine bedeutend bessere Leistung, mit Arbeitsplatzverlusten in Höhe von 11,8 Prozent im verarbeitenden Bereich und einer Zunahme von 5,7 Prozent im Dienstleistungssektor für den Zeitraum 1991 bis 1995.

In der Kohle- und Stahlindustrie des Ruhrgebiets ist ein weiterer Schwung von Arbeitsplatzverlusten zu erwarten. Aufgrund einer Kürzung der Kohlesubventionen werden bis zum Jahre 2005 sechs oder acht Bergwerke geschlossen werden. Dies wird zu Arbeitsplatzverlusten von mehr als 100.000 Stellen in der Kohleindustrie und den zuliefernden Sektoren führen.

Weitere Entwicklungsprobleme sind: eine große Anzahl kontaminierter Industrie- und Bergbauanlagen, und ernste Umweltprobleme; ungenügende KMU; Unterentwicklung des Dienstleistungssektors; Fachkenntnisse, die oft nicht den Anforderungen neuer Technologien entsprechen; Verkehrsballung aufgrund hoher Bevölkerungsdichte und der Rolle NRWs als einer Transitregion; und ein schlechtes regionales Image sowie Lebensbedingungen von geringer Qualität, besonders im mittleren und nördlichen Teil .

Nichtsdestoweniger haben die Umstrukturierungsbemühungen im Ruhrgebiet auf einer Reihe von Gebieten Fortschritte erzielt, mit vor allem: 23 Technologiezentren; 14 Forschungs- und Entwicklungszentren; 5 Universitäten und mehreren Polytechnischen Universitäten; der Anziehung einer großen Anzahl von Geschäftssitzen führender europäischer Unternehmen in der Energie, Verarbeitung und im Einzelhandel; einer wachsenden Anzahl von Existenzgründungen; einer erwachenden Umweltindustrie; und der Internationalen Bauausstellung Emscher Park (einer ehrgeizigen Initiative städtischer Sanierung in dem am meisten heruntergekommenen Teil des Ruhrgebiets).

Zu den weiteren Stärken der Region gehören ihre zentrale Lage, in der Nähe der dynamischen Geschäftszentren Westdeutschlands, Belgiens und der Niederlande; leistungs- und konkurrenzfähige Transportinfrastruktur; Entwicklungen in Informationstechnologie; ein industrielles Erbe, das mehr und mehr für den Tourismus ausgenutzt wird; eine lebendige kulturelle Szene; und langjährige Umstrukturierungserfahrungen, basierend auf einer Übereinstimmung unter den Sozialpartnern.

### **3.3 Die Nordrhein-westfälischen EPPD für 1997-1999**

Die Ausgabenzuweisung für das nordrhein-westfälische Ziel 2 Programm für 1997-99 beträgt 954 MECU, wobei der EU-Beitrag 451 MECU ausmacht und der nationale Beitrag, der hauptsächlich dem Etat der NRW Regionalregierung entstammt, sich auf 503 MECU beläuft. Im Mittelpunkt des Programms steht

die Arbeitsplatzschaffung, die durch acht strategische Ziele erreicht werden soll:

- Vorbereitung der Unternehmen auf globalen Wettbewerb,
- Zunahme in der Zahl der Existenzgründungen,
- Verbesserung der Wettbewerbsfähigkeit der KMU durch die Entwicklung und Anwendung neuer Technologien;
- Verstärkung NRWs als einem führenden Standort für Informationstechnologie,
- volle Nutzung des Beschäftigungspotentials des Dienstleistungssektors,
- Förderung der Ausbildung für neue Arbeitsplätze;
- Verbindung von Arbeit und Umwelt durch nachhaltige Entwicklung, und
- Chancengleichheit für Männer und Frauen auf dem Arbeitsmarkt.

Diese strategischen Ziele werden mit Hilfe einer Reihe verschiedener Maßnahmen umgesetzt, wobei die meisten zu mehr als einem Ziel beitragen werden. Prioritäten sind:

- Investitionshilfen, besonders für KMU  
Wichtige spezifische Maßnahmen sind Zuschüsse und Darlehen für KMU, Bereitstellung von Risikokapital und Investitionshilfen für die vernünftige Nutzung von Energie und erneuerbare Energiequellen.
- Förderung neuer Technologien, Innovation und Beratungsdienste.  
Dazu gehören: Zuschüsse für KMU für Forschung und Entwicklung, vor allem für gemeinsame Projekte; die Verwendung neuer Informations- und Telekommunikationsdienste; Büros zur Förderung von Geschäftsneugründungen und für besondere Zielgruppen, wie KMU, die durch Minderheiten gegründet wurden; Versuchsprojekte für Geschäftsneugründungen, KMU und neue Dienstleistungen; Schulung neuer Unternehmer; Regionalstellen zur Verbesserung des Frauenanteils am Arbeitsmarkt und in Betrieben; sowie Gebietsmarketing.
- Geschäftliche Infrastrukturen für KMU.  
Dies umfaßt die Einrichtung und Vergrößerung von Technologie- und Geschäftszentren, Einrichtungen für Informations- und Telekommunikationstechnologien, Ausbildungszentren und logistische Zentren für den gemeinsamen Gütertransport und Tourismus-Infrastruktur.
- Sanierung von Industriegelände und umweltmäßige Verbesserungen.  
Dazu gehört die Entgiftung von Industriegelände, ihre Neuerschließung für neue Geschäftsaktivitäten, die Verbesserung von Umwelt- und Lebensbedingungen in den am schlimmsten heruntergekommenen Teilen der Region und die Förderung einer Distriktheizung (*district heating*) zur Reduzierung der Umweltverschmutzung.
- Förderung von Humankapital.

Humankapital wird durch Ausbildungsaktivitäten, Arbeitsplatzmaßnahmen und kombinierte Ausbildungs- und Arbeitsplatzinstrumente gefördert.

### **3.4 Management und Umsetzung der nordrhein-westfälischen Ziel 2 Strategie**

#### *3.4.1 Die Rolle der Regierung NRWs*

Die Länder sind für die Umsetzung der meisten strukturpolitischen Initiativen zuständig, einschließlich der EU-Strukturfonds. Die Landesregierungen kombinieren die Strukturfonds mit eigenen strukturpolitischen Initiativen, und dies wiederum ermöglicht es den Ländern, eine kohärente Strukturpolitik zu verfolgen, die unabhängig von der Bundesrepublik auf drei finanziellen Säulen ruht: den EU-Strukturfonds, der gemeinsamen Bund-Länderinitiative und den Etats der Länder. In NRW ist das Ministerium für Wirtschaft für EFRE-Maßnahmen und das Ministerium für Arbeit, Gesundheit und Soziales für ESF-Maßnahmen zuständig. Andere Ministerien sind gegebenenfalls bei der Umsetzung spezifischer Maßnahmen beteiligt.

#### *3.4.2 Integration der EU-Strukturfonds in die regionale Strategie*

Um die Kohärenz der verschiedenen Fonds zu gewährleisten, werden die drei finanziellen Säulen zur Verfolgung einer einzigen Strategie eingesetzt. Antragsverfahren, Verwaltungssysteme und Mittelzufluß sind im Prinzip dieselben. Bei der Antragstellung geht es nicht um eine Unterstützung nach einem EU-, nationalen oder Landesprogramm sondern um Finanzierung durch eine spezifische Maßnahme. Die Landesregierung entscheidet dann innerhalb des Annahmeverfahrens der spezifischen Maßnahme, wo die Mittel entsprechend EG-Vorschriften abgerufen werden sollen. Dieser Ansatz vereinfacht Verfahren, reduziert Bürokratie, verstärkt Synergien und vermeidet Unterbrechungen der Finanzierung.

Insgesamt haben die EU-Strukturfonds einen starken Einfluß auf die strategische Orientierung und Umsetzung der nationalen und regionalpolitischen Maßnahmen, die in NRW umgesetzt werden.

#### *3.4.3 Begleitung und Bewertung*

Es gibt einen einzigen deutschen Begleitausschuß für Ziel 2 unter dem Vorsitz des Bundesministeriums für Wirtschaft. Im Ausschuß sitzen Vertreter der Ministerien für Wirtschaft und Soziales aller westdeutschen Länder, der Bundesregierung und der Europäischen Kommission (doch nicht der Sozialpartner). Die Effektivität des Ausschusses wird durch seine Größe behindert, so daß er eher eine technische und formelle Rolle ausübt. Die meisten wichtigen Entscheidungen werden in den Ländern getroffen.

Vor einiger Zeit wurden in den Ländern mit großen Ziel-2-Programmen Unterausschüsse eingerichtet. Der Unterbegleitausschuß NRWs erfaßt auch die wichtigen Sozialpartner auf Landesebene. Es bleibt noch abzuwarten, ob die Unterausschüsse den Status des Begleitansatzes in Deutschland stärken können.



#### 3.4.4 *Der Partnershipsansatz in NRW: 'Regionalisierte Strukturpolitik'*

Da NRW die größte Region in Europa ist, sind seine Regierungsbehörden und die Sozialpartner auf Landesebene zu sehr von den spezifischen Problemen der verschiedenen Unterregionen entfernt. Um diesem Problem zu begegnen, hat NRW einen spezifischen Managementansatz entwickelt, um das Engagement lokaler Behörden, Handelskammern, Handwerkskammern, der Gewerkschaften, Universitäten, spezialisierter Behörden wie Arbeitsämter und anderer wichtiger Teilnehmer auf der subregionalen Ebene zu sichern.

Die Basis für diese sogenannte 'regionalisierte Strukturpolitik' sind regionale Konferenzen, die in jeder der 15 Unterregionen zusammentreffen. Diese Konferenzen diskutieren subregionale Stärken und Schwächen und bestimmen auf dieser Basis dann regionale Entwicklungskonzepte und die Prioritäten für die Projekte. Die Prinzipien dieser Konferenzen sind Kooperation zwischen den Sozialpartnern und öffentlichen Behörden, regionale Koordination von Plänen und Projekten und die Übereinstimmung der Partner. Besonders parallele regionale Arbeitsmarktkonferenzen operieren für Arbeitsmarktpolitik.

Die Entwicklungspläne und Projektvorschläge der Konferenzen bilden die Basis für die Strukturpolitik auf Landesebene. Von den Projekten, die für Programme (einschließlich Ziel 2 Programm) unter der Verwaltung der Landesregierung vorgeschlagen werden, haben die von den regionalen Konferenzen vorgebrachten Vorrangstellung bei der Finanzierung. Infolgedessen finanziert das Ziel 2 Programm in erster Linie Projekte, die von den Sozialpartnern und lokalen oder subregionalen Behörden entwickelt werden. Dieser Ansatz zur Partnerschaft geht über die Anforderungen der EG-Strukturfondsvorschriften hinaus. Gleichzeitig spielt die Landesregierung eine aktive Rolle, indem sie für ein hohes Niveau und Konformität mit den Richtlinien sowohl auf Landes- als auch europäischer Ebene sorgt.

#### 3.4.5 *Technologie, Industrie und KMU-Initiativen*

Zusätzlich zu dem oben beschriebenen regionalisierten Ansatz zu Maßnahmen- und Projektentwicklung gibt es auch sektorale Initiativen zur Entwicklung von Maßnahmen für spezialisierte Technologien, Verarbeitungsverfahren und KMU. Sondergruppen schlagen Maßnahmen und Projekte vor, die die Umstrukturierung spezifischer Sektoren und die Umsetzung neuer Technologien beschleunigen. Ein wichtiges Element dieser Initiativen ist die Kooperation zwischen Sozialpartnern, Forschungsinstituten und öffentlichen Behörden.

#### 3.4.6 *Internationale Bauausstellung 'Emscher Park'*

Zu den interessantesten Projekten, die durch das nordrhein-westfälische Programm unterstützt werden, gehört die Internationale Bauausstellung 'Emscher Park'. Dabei handelt es sich um eine innovative Initiative von hoher Qualität, durch die das Emscher Gebiet, das vom Abbau der Industrie schwer betroffen ist, revitalisiert werden soll. Vorschläge, die zur Internationalen Bauausstellung beitragen, erhalten hohe Priorität beim Projektauswahlprozeß nach Ziel 2. Ein wichtiger Teil des Projekts ist die Umstellung brachliegender Industrieanlagen in neue Arbeitszentren. Wo immer möglich, werden

Gebäude erhalten und umkonstruiert, um das industrielle Erbe der Region zu erhalten. Zu den neuen Anlagen gehören Parks zur Verbesserung der Wohnumgebung für Angestellte und Anwohner. Auch bemüht man sich, neue energiesparende und umweltfreundliche Materialien und Systeme zu verwenden. Die neuen Anlagen enthalten u.a. eine Reihe von Technologie- und Neugründungszentren.

## *Thematic Paper*

### *Objective 2 in Nordrhein Westfalen*



# Objective 2 in Nordrhein Westfalen, Germany

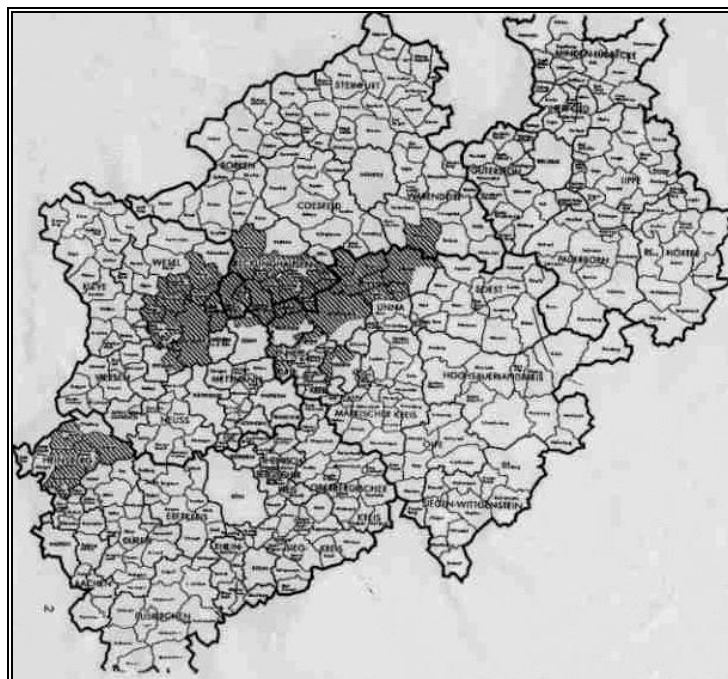
## 1. INTRODUCTION

The following paper summarises the industrial regeneration challenges facing the region of Nordrhein Westfalen and the Objective 2 policies which have been developed to address them. It discusses innovative aspects of the programme, most notably its network of 'regional conferences' which enable decentralised programme management, and an ambitious approach to physical regeneration, in the International Building Exhibition 'Emscher Park'. Final sections summarise the findings and recommendations of the recent interim evaluation.

## 2. THE NORDRHEIN WESTFALEN OBJECTIVE 2 AREA

### 2.1 Geographic and demographic characteristics

The Nordrhein Westfalen (NRW) Objective 2 area is by far the largest Objective 2 zone in Germany, receiving 49 percent of the total German Objective 2 Structural Funds allocation. The eligible area consists of the core of the Ruhr region and of the coal mining district of Heinsberg. It includes parts of the cities of Essen, Dortmund, Bochum, Krefeld, Hagen, and Hamm, and the whole of the cities of Duisburg, Gelsenkirchen, Oberhausen and Herne. This coincides almost exactly with the 'NRW coal and steel region'. Twenty percent of the NRW population lives in the zone (some 3.6 million people out of 18 million).



## 2.2 Principal economic development problems

The Ruhr region suffers from high and persistent levels of unemployment and a continuing fall in the number of jobs, particularly in the mining and manufacturing sectors. The average unemployment rate in the eligible area has risen from 10 percent in 1991 to more than 15 percent today. Unemployment is highest in the cities of Gelsenkirchen, Duisburg, Herne and Dortmund with rates of 17 - 18 percent due to the closure of coal mines, redundancies in the steel industry and job losses in other manufacturing industries such as mechanical engineering and chemicals. Because employment was previously concentrated in male-dominated occupations, there is an above average rate of unemployment among women.

Although employment in the service industries is growing and now accounts for 58 percent of all jobs in the region, this has not been sufficient to offset the losses in the mining and manufacturing industries. Between 1991 and 1995 some 140,000 manufacturing jobs were lost (a decrease of 17.1 percent), but only 30,000 service jobs were gained (which is an increase of 3.5 percent).

The rest of NRW has performed significantly better with job losses in the manufacturing sector of 11.8 percent and an increase of 5.7 percent in the service sector between 1991 and 1995. This result is better than that for Germany as a whole.

In the coming years a further round of job losses in the coal and steel industries is expected in the Ruhr region. Due to a cut in coal subsidies, seven or eight mines will be closed by the year 2005. This will lead to more than 100,000 job losses in the coal industry and the sectors supplying it. The merger of the two NRW steel companies - Thyssen and Krupp-Hoesch - may cause a further reduction of more than 10,000 steel jobs in the near future.

Further development problems include:

- a high number of contaminated industrial and mining sites, and serious environmental problems in many locations;
- insufficient SMEs and crafts firms, as a result of which, the Ruhr has not benefited from the generally more positive trend in employment in SMEs;
- underdevelopment of the service sector (and business-related services in particular);
- a low level of training generally, and a high number of people needing retraining, especially from the mining industry;
- a lack of training infrastructure in new technology areas, such as IT;
- insufficient access for SMEs to technology transfer from universities and research institutes, which is slowing down their capacity to use the latest scientific developments;
- remaining pockets of concentrated environmental damage, mainly in derelict industrial sites;
- traffic congestion, due partly to the high population density and partly to the role of NRW as a transit region; and
- a poor regional image and low quality living environment, particularly in central and northern parts.

Nevertheless, the restructuring efforts in the Ruhr region have produced progress in a number of areas. Opportunities for regional development can be found in:

- the scientific and technological infrastructure which has been built up over the past 30 years. This has been an important factor in attracting technology firms and in encouraging commercial spin-offs from the universities;
- the early recognition of the need to reduce and prevent environmental damage, which has led to the creation of a growing environmental technology sector;
- the traditional importance of the energy sector in the region, which forms the basis for new markets in energy-saving technologies and renewable energies;
- the attraction of a large number of headquarters of leading European energy, manufacturing and retail companies;
- the growth of media and telecommunications industries in a number of locations; and
- the International Building Exhibition Emscher Park, an ambitious urban renewal initiative in the most run-down part of the Ruhr region.

Further strengths of the region include:

- its central location, close to the dynamic business centres of western Germany, Belgium, and the Netherlands,
- efficient and competitive transport infrastructure,
- an industrial heritage which is increasingly being exploited for tourism,
- a lively cultural scene, and
- long-standing experience of restructuring based on consensus among the social partners.

### **3. THE NRW 1997-1999 PROGRAMME**

The most serious problem facing the NRW Objective 2 area is the high level of structural unemployment. The overriding goal of the 1997-99 programme is therefore to overcome this problem by strengthening competitiveness in firms and creating future-oriented employment. Eight development priorities have been identified to achieve this goal, each of which is described below.

**NRW Objective 2 Mission:**

***To fight unemployment by strengthening competitiveness in firms and creating forward-looking jobs.***

- Preparing firms for the challenge of global competition
  - Increasing the number of new enterprises
- Encouraging the development and application of new technologies
  - Developing NRW as a leading media location
- Exploiting the employment potential in the service sector
  - Promoting training for new employment
- Linking industry and the environment through sustainable development
  - Giving men and women equal employment opportunities

- **Prepare firms for the challenges of global competition:** the completion of the Single Market, the opening up of central and eastern Europe, the strong development of industrial nations in Asia and the globalisation of markets have resulted in a combined challenge to firms, and particularly SMEs. Improving the international competitiveness of NRW firms is vital for the long-term security and creation of jobs. All programme measures are oriented to the goal of increasing competitiveness. Some make a specific contribution: the offers of consultancy to strengthen the international orientation of SMEs, help to firms in securing new markets, training measures, technology promotion, and measures for the media and telecommunications sectors.
- **Increase the number of new enterprises:** Nordrhein-Westfalen has too few small and medium-sized enterprises - the effect of the long dominance of large concerns in the region. The *Land* government aims not only to increase the rate of new start-ups but to improve their chances of survival in the medium to long term. Together with business, regional government, banks, technology centres and universities it has begun a start-up offensive. It aims to improve the framework conditions for new firms, to improve access to finance, and to broaden and improve the provision of consultancy and support. Special efforts are being made for women entrepreneurs. For the period 1997-1999 the target for start-ups in the Ruhr area is 6,000.
- **Encourage the development and application of new technologies:** new technologies play a key role in the competitiveness of SMEs. The promotion of new technologies and the expansion of technological infrastructure have been main priorities in NRW over recent years, and the region now has an adequate provision of technology centres, agencies and R&D institutes. In the current programme, emphasis will be placed on improving networking among technology institutions, and cooperation with and between firms.
- **Develop NRW as a leading media location:** Nordrhein-Westfalen already has a number of media centres outside the Objective 2 area: Köln is known



for its TV and radio companies, film and TV production locations and specialised suppliers. Düsseldorf is the headquarters of a number of telecommunications firms. Other cities have developed strategies for the 'information society'. The Objective 2 area is also involved in these developments. The programme will fund a number of activities in the media and telecommunications sectors; it will aim for an increase of 2% per year of employees in these sectors.

- **Exploit the employment potential of the service sector:** Nordrhein-Westfalen aims to improve opportunities for employment in a number of services, including production-related services; social services; leisure and tourism; cultural activities; and trade. It is aimed to raise the level of employment in the tertiary sector to the national average.
- **Promote employment and training:** The programme aims prevent unemployment through labour market measures, to integrate people back into work and to stabilise employment in SMEs. The ESF instruments are concentrated on the same objectives as the ERDF measures, namely: to increase the number of new firms, to increase competitiveness, to exploit the employment potential in the service sector; to link work and environment; to create future-oriented jobs; and to give men and women equal opportunities. ERDF funding is also used to provide training facilities and employment initiatives.
- **Link industry and the environment through sustainable development:** Eco-audits, environmentally-friendly technology and rational energy use are examples of measures to promote production-integrated environmental protection. It is aimed to make Nordrhein-Westfalen a leading example of rational energy use. Converting old industrial sites for new use not only creates jobs but improves the environment.
- **Give men and women equal employment opportunities:** there are two strands to the equal opportunities strategy: there are female-specific measures, such as agencies for women in business, which help women in male-dominated professions to progress or to get back to work. Also, women's perspectives are considered in general measures, eg. in the measures for new firms, account is taken of the trend for women to start smaller businesses, to have less of their own capital and to need more risk finance.

*Relationship between measures and goals of the 1997-99 programme*

Strategic Objectives Measures	Global competition	New firms	New technologies	Media location	Services	Employment , training	Work and environment	Equal opportunities
Investment grants								
Soft loans								
Venture capital								
Employment initiatives								
Rational energy								
Emissions reductions								
Promotion of new technologies								
Media and telecommunications								
Technical development in rational energy								
Production-related env. protection								
Consultancy for new firms and SMES								
Special advice for SMEs								
Target-group consultancy								
Pilot projects for SMEs and new firms								
Regional agencies for women								
Pilot projects for new services								
Tourism marketing								
Regional development concepts								
Technology, start-up centres								
Advice centres for new media								
Training centres								
Transport infrastructure for SMEs								
Tourism infrastructure								
Revitalisation of old industrial sites								
Environmental improvements								
Infrastructure for rational energy use								
Human resources - job and business development								
Human resources - technology and innovation								
Human resources - environmental improvement								

	Strong link		Medium link		Weak link		No link
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These eight strategic objectives will be implemented by means of a variety of policy measures, most of which will contribute to more than one of the objectives, as the matrix above illustrates.

The priorities and measures of the 1997-1999 programme are:

1. Investment aids, particularly for SMEs

Important specific measures are grants and loans to SMEs, provision of venture capital, and investments aids for the rational use of energy and renewable energy sources.

2. Promotion of new technologies, innovation and consultancy services

This category includes: grants to SMEs for research and development, particularly for joint projects; the application of new information and telecommunication services; agencies for the promotion of business start-ups and for special target groups, such as SMEs founded by minorities; pilot projects for business start-ups, SMEs and new services; coaching for new entrepreneurs; regional agencies for the improvement of women's participation in the labour market and in business; and, area marketing.

3. Business infrastructures for SMEs

This priority comprises the establishment and enlargement of technology and business centres, facilities for information and telecommunication technologies, training centres, logistical centres for the combined transport of goods and tourism infrastructure.

4. Renewal of industrial sites and environmental improvements

This category includes the decontamination of industrial sites, their redevelopment for new business activities, the improvement of environmental and living conditions in the most run-down parts of the region, and the promotion of district heating as a means to reduce pollution.

5. Promotion of human capital

Human capital will be promoted through training activities, employment measures and combined training and employment instruments.

The new programme is broadly a continuation of the 1989-1991, 1992-1993 and 1994-1996 programmes. There have been slight differences in budgetary emphasis over the four programmes, but the five main policy groups described above have remained part of the long-term strategy. Among the main modifications in the new round will be a reduction in the resources available for the creation of technology centres, as there is now considered to be sufficient provision. Instead, there will be greater emphasis on media industries and on 'soft' support to businesses, including consultancy advice.

The expenditure allocation to the 1997-99 NRW Objective 2 programme is 954 MECU, of which the EU contribution is 451 MECU and the national contribution, mainly drawn from the NRW regional government budget, is 503 MECU.

## **4. MANAGEMENT AND IMPLEMENTATION OF THE NRW OBJECTIVE 2 STRATEGY**

### **4.1 Managing and implementing Objective 2 programmes in Germany**

In the German federal system the regional states (*Länder*) are responsible for the implementation of most structural policy initiatives. This includes the EU Structural Funds. *Land* governments combine the Structural Funds with their own structural policy initiatives which they finance from their own budget or from a joint regional policy initiative of the German federal government and the *Land* governments. This enables the regional states to pursue a coherent structural policy which is independent of the federal government and based on three financial pillars: the EU Structural Funds, the joint federal/regional initiative and the budgets of the *Länder*.

To ensure the coherence of the different funds, the three financial pillars are employed in pursuit of a single strategy. Applicants do not apply for support from an EU, national or *Land* programme, but for funding under a specific measure. The *Land* government decides, within the approval procedure of a specific measure, where the funding should be taken from, in conformity with EC regulations. In NRW, the EU Structural Funds have a strong impact on the strategic orientation and implementation of the national and regional policy measures. This approach unifies and simplifies application procedures, administrative systems and financial flows, so reducing bureaucracy and duplication, avoiding interruptions to funding and increasing synergies.

In terms of specific responsibility for Objective 2 programmes, the Ministry of Economic Affairs is in charge of ERDF measures at Land level, and the Ministry of Labour, Health, and Social Affairs the ESF measures. Some other ministries are involved in the implementation of specific measures as relevant.

### **4.2 The NRW partnership approach: ‘Regionalised structural policy’**

As NRW is the largest region in Europe, it faces special difficulties with regard to effective programme implementation. In particular, it was felt that its government authorities and the social partners at the Land level were too distant from the specific problems of the different sub-regions. To counter this problem, NRW has developed an innovative management approach to ensure the active involvement of local authorities, chambers of commerce, chambers of craft industries, the unions, the universities, specialised authorities such as the labour offices and other important players at the sub-regional level.

The basis of this so-called ‘regionalised structural policy’ are the ‘regional conferences’. These are committees which meet regularly in each of 15 sub-regions, discussing sub-regional strengths and weaknesses, and using this to shape regional development plans and set priorities for projects. The principles governing the conferences are co-operation between the social partners and public authorities, co-ordination of plans and projects at the regional level, and the consensus of all partners involved.

Special, parallel regional labour market conferences have been established for labour market policy. Whereas the regional structural conferences are concerned with strategic questions and large projects, the labour market

conferences concentrate on smaller-scale employment and training projects. The nature of their work also necessitates more frequent meetings. The tasks of the labour market conferences are:

- to develop regional development concepts for employment and training policy,
- to bring together partners for structural and employment projects,
- to examine labour market and training project applications for eligibility, and
- to set themes and goals for the work of the regional secretariats.

Secretariats have been set up in each of the 12 sub-regions in which the labour market conferences meet, to advise on projects, act as a secretariat for the conferences and monitor labour market measures.

The development plans and project proposals of both the regional structural conferences and the labour market conferences form the basis upon which structural policy at the state level is built. Of all the projects proposed for programmes administered by the state government, including the Objective 2 programme, those put forward by the regional conferences receive the highest priority for funding. As a result of this approach, the Objective 2 programme primarily funds projects developed by the social partners and local or sub-regional authorities. This approach to partnership goes far beyond the requirements of the EC Structural Funds regulations. At the same time, the *Land* government plays an active role in ensuring high quality standards and conformity with policy guidelines at both state and European levels.

### **4.3 Technology, industry, and SME initiatives**

In addition to the localised approach to policy and project development described above, there are also sectoral initiatives for the development of policy measures for specialised technologies, manufacturing and SMEs. Special groups propose measures and projects to accelerate the restructuring of specific sectors and the implementation of new technologies. An important element of these initiatives is the co-operation achieved between social partners, research institutes and public authorities.

For example, the SME 'Forum for the Future' promotes dialogue between SMEs, the Chambers and other business and administrative institutions with the aim of supporting and improving the development and growth of small and medium-sized firms. The Forum has two main objectives:

- to improve co-operation between local administration and SMEs. Besides community discussions, the two sides also conduct customer satisfaction analyses and operate a best-practice forum.
- to speed up technology transfer in SMEs. This includes improving relations between SMEs to overcome their size disadvantages.

Many of the measures in the Objective 2 programme, especially those relating to the promotion of industrial investment and the various consultancy measures, have their roots in the SME Forum for the Future. The measures are also actively monitored during the life of the programme.

#### 4.4 International Building Exhibition ‘Emscher Park’

In addition to innovative management approaches, a further distinctive element of the NRW programme has been its positive approach to the physical regeneration of areas blighted by the loss of heavy industry. The International Building Exhibition ‘Emscher Park’ is a high quality initiative aiming to revitalise the Emscher area, which has been severely affected by industrial decline. There are various components to the concept:

- the **Landscape Park**, which aims to connect open spaces and restore the landscape;
- the **regeneration of the Emscher River system**, which had been severely polluted from decades of industrial use;
- the **Work in the Park** project, which aims to bring new employment to the area;
- **housing construction and integrated urban development**;
- and **new uses for industrial buildings**, to preserve part of the region’s industrial heritage.

Proposals contributing to the International Building Exhibition receive high priority in the Objective 2 project selection process. The principles under which projects are developed for inclusion in the exhibition are as follows:

- *architecture*: high standards are required. Where possible, the industrial heritage has been preserved, and demonstration is made of energy-saving and environmentally-friendly materials and systems.
- *urban development*: the project is aligned to an overall concept for urban development, which aims to include a range of types of housing, social infrastructure and the arts.
- *landscape*: effort is made to integrate the sites into the surroundings and provide a high level of open space in the project area.
- *ecological orientation*: there is a conscious ecological orientation in the development, building techniques and technical infrastructure.
- *integration of projects* to employ and up-skill the long-term unemployed.
- *accessibility*: public transport has to be ensured for the transportation of people and goods to all sites.

So far, the 'Work in the Park' component of the exhibition has led to the conversion of a number of old industrial sites to provide new and improved industrial and business areas in the region. Of the 22 sites improved under the scheme, 11 are technology centres (including the Gelsenkirchen Science Park). Other projects include start-up centres, a park for crafts and an eco-centre.



*Gelsenkirchen Science Park*

The parallel objective of



*The Zeche Zollverein*

finding new uses for old industrial buildings has also been very successful, encouraging a reinterpretation of the region's industrial heritage. Elsewhere, the physical evidence of a heavy industrial heritage has in many cases been removed, or is in the process of being eradicated.

Among the most outstanding industrial monuments in the Ruhr region are the pithead buildings of the former *Zeche Zollverein* in Essen. These are being imaginatively regenerated for new uses under the theme of 'art and culture'.

Restoration of the old buildings is being carried out in conjunction with a job-creation scheme for the long-term unemployed. Many other outstanding monuments form the basis for IBA projects, either within the framework of the Emscher Landscape Park or as part of the Working in the Park project.

#### **4.5 Monitoring and evaluation**

The German Objective 2 programmes meet on a common monitoring committee chaired by the Federal Ministry of Economic Affairs. The committee is attended by representatives of the Ministries of Economic Affairs and Social Affairs of all west German *Länder*, by the federal government and by the European Commission. The social partners are not included. The efficiency of the German Objective 2 monitoring committee is impeded by its large size which means that its role tends to be somewhat technical and formal. As such, the important operational decisions are actually taken in the *Länder*.

The *Länder* with larger Objective 2 programmes established their own monitoring sub-committees some time ago. That in NRW also includes the important social partners at the *Land* level. It remains to be seen if these structures can enhance the status of the monitoring approach in Germany.

#### 4.6 The interim evaluation of the 1994-1996 programme

The NRW Objective 2 programme has been evaluated by an international consortium of research institutes and private consultants including the InWis research institute at the Ruhr Universität Bochum, the private consultancy company MR from Bremen, and the Netherlands Economic Institute (NEI). The interim evaluation of the 1994-96 programme, undertaken by this team and finished in mid-1997, consisted of three main strands:

- an evaluation of the *results* of the 1994-1996 programme; this also included examining the effects of the previous phases of Objective 2 programme in NRW, back to 1989, with a view to providing the basis for the 1997-1999 programme;
- a detailed evaluation of the separate *themes* in the programme, including a qualitative assessment of achievements in the various components; and
- an *international comparison* with other Objective 2 programmes, looking at their programme content and implementation mechanisms and drawing lessons for the NRW programme.

The interim examination considered in particular:

- the *relevance* of the applied strategy;
- the *effectiveness* of the programme; and
- the *efficiency* of the programme.

Reflecting the separate structures, measures and emphasis in place for the two Funds, the ERDF and ESF parts of the programme were examined separately. The findings were brought together only at the final report stage.

The following is a summary of a number of selected observations from the interim report. It begins with some points made on the content of the programme, and follows with the recommendations on programme strategy, resource allocation and management.

*The expansion of economic infrastructure:* while the programme deliberately incorporated a broad range of measures, some three-quarters of public expenditure (DM 840 million) went on infrastructure; the conversion of industrial sites, and training, technology and transport infrastructure. The report noted the difficulties in assessing whether this weighting matched need, but recommended improvements to the survey procedure for large infrastructure projects, especially to ascertain whether the project was of relevance to SMEs. The *conversion of industrial sites* has an important role in the regional restructuring strategy, absorbing 32 percent of the approved funding volume. Several benefits are noted: restructuring frees up new space for new activities; and the improved image of the region, especially through the IBA projects. On the other hand the structural weaknesses of the Ruhr are not to be overcome solely by creating or expanding the economic infrastructure. This is important for economic development but not a condition for regional growth.

*Support for technology and innovation* takes up 24 percent of the budget - with 14 percent going to technological infrastructure and 10 percent to 'software'



activities. This sort of spending is seen as appropriate for an Objective 2 area particularly affected by technological demands to retain competitiveness. Allocation of funding within this area requires some rethinking. While only half of the allocated funding for technological infrastructure could be reused, with the provision of technology centres at saturation point, direct project support to firms was oversubscribed.

*Consultancy on technology and innovation:* Technology-oriented start-ups are important new sources of employment. Nordrhein-Westfalen has understood the importance of consultancy to help to create new jobs in a variety of firms (eg. crafts, foreign entrepreneurs, unemployed start-ups), and the provision of consultancy is well integrated into the overall strategy for Nordrhein-Westfalen. However, the budget of 2.1 percent of the total seems too little.

*The promotion of SMEs:* the report found that the programme had achieved its goal of reaching SMEs as a target group. It made a few suggestions of improvements, eg. to further open up innovation promotion to non-technical areas; to intensify coaching for new entrepreneurs; and to provide venture capital for technology oriented firms. Many of the suggestions were incorporated into the 1997-1999 programme.

*Equal opportunities for men and women:* the regional agencies for women in work are a strong part of this goal in the programme. Since 1989 some DM32 million of Objective 2 funding has been spent on improving the conditions for women. The 1994-1996 programme alone funded 27 measures in this area. The special provision of consultancy and training for women has been positive. Through the “agencies to activate business activities” the establishment of some 376 female-owned enterprises was supported, and a further 151 existing firms were secured. Despite the fact that only 28 percent of new jobs under the industrial support measures went to women, and that there remains a deficit in the female share of employment, the report concluded that the Objective 2 programme made a positive contribution to the creation of equal opportunities.

*The regionalised strategy:* the interim report concluded that the regions are making an important contribution to the implementation of the programme. It pointed out, however, that the regional development concepts inevitably highlight areas of need in the areas covered by the Operational Programme - each region tries to secure the maximum support possible. Therefore the concepts are of limited help in project *selection*. The regions continually add to their list of project proposals without looking at the financial restrictions; there is an ‘as well as’ mentality rather than an ‘either or’. As a means of engendering discussion of the relative importance of projects with a view to setting priorities, the report suggested that the regions be given an advance indication of the funding volume without being told how it will be divided into the individual priorities.

As regards the labour market conferences, the interim report found the division of regions, the work of the regional secretariats and the composition of the *gremium* to be adequate. It noted that all regions have had some problems with the steering of instruments to reach the goals set out in the programme. This stems from difficulties in determining need, on the basis of the available evaluation criteria and the existing information system. The

report noted that the structures built up by the regions have improved over the years and perform an important function in programme implementation. In the future there is scope for increasing efficiency by improving cooperation between the regional bodies and between them and the overseeing authorities.