

# PLUREL



Governance and  
Planning Scenarios

Module 3

February 2008

PERI-URBAN LAND USE RELATIONSHIPS –  
STRATEGIES AND SUSTAINABILITY ASSESSMENT  
TOOLS FOR URBAN-RURAL LINKAGES,  
INTEGRATED PROJECT,  
CONTRACT NO. 036921

D3.2.1

## Joint Analytical Framework remix

A framework for research of spatial planning and  
governance strategies in RURs to promote  
sustainability of rural-urban linkages

Carmen Aalbers\*, Terry van Dijk (Alterra)

\*Responsible partner and corresponding author  
Tel: +31 (0) 0317-485044; Email: carmen.aalbers@wur.nl

### Document status:

Draft:	completed
Submitted for internal review:	completed
Revised based on comments given by internal reviewers:	completed
Final, submitted to EC:	completed



# Contents

1	INTRODUCTION	6
2	FUNDAMENTALS TO YOUR REGIONAL CASE STUDY	7
2.1	Research objectives and -questions of the M3 case studies	7
2.2	Key concepts to use	9
2.3	Land use issues to focus on	11
3	GATHERING YOUR DATA	16
3.1	Painting the regional context	16
3.2	Doing regional case-study fieldwork	17
3.3	In-depth in the embedded case study	18
3.4	Allowing cross-regional comparison	18
3.5	Performing an analysis on the strategies	19
3.6	Workflow	20
	APPENDICES	22
A	Glossary	22
B	Regional stakeholders involved research partners, their concerns	27
C	Proposed Index for the regional strategies analysis report (D.3.3.1-D3.3.7)	29
D	Generic questions for the interviews of stakeholders	32
E	Matrices to enhance comparison between the cases	35
	REFERENCES	40

## Abstract

A Joint Analytical Framework (JAF) is required to facilitate the effective use of Module 3 research products by the PLUREL project, fitting the specific demands of the other Modules as well as those of the stakeholders.

This document first calls into memory the main questions of M3, explains the concepts vital to these questions and reviews various land use issues that were emphasized by the participants. It proposes a concrete research approach, starting with a systematic exploration of the regional context, more qualitative fieldwork on actors and strategies relevant to the urban fringe and in-depth case studies. This document contains a complementary set of appendices, with a glossary of terms, a proposed index for the eventual regional report and interview questions to be used by the researchers.

The document is a guide to M3-researchers as well as informative for synchronising research efforts among the partners. (Restricted Dissemination Level). It focuses at the first part of the case study research: description and analysis. The comparison, assessment and evaluation phase will be explored in a consecutive document.

**Keywords:** research approach; case study, regional, strategies, actor networks, glossary, research questions

### Classification of results/outputs:

For the purpose of integrating the results of this deliverable into the PLUREL Explorer dissemination platform as fact sheets and associated documentation please classify the results in relation to spatial scale; DPSIR framework; land use issues; output indicators and knowledge type.

<b>Spatial scale for results:</b> Regional, national, European	Regional
<b>DPSIR framework:</b> Driver, Pressure, State, Impact, Response	Not Applicable
<b>Land use issues covered:</b> Housing, Traffic, Agriculture, Natural area, Water, Tourism/recreation	The research questions consider all six issues.
<b>Scenario sensitivity:</b> Are the products/outputs sensitive to Module 1 scenarios?	Not Applicable
<b>Output indicators:</b> Socio-economic & environmental external constraints; Land Use structure; RUR Metabolism; ECO-system integrity; Ecosystem Services; Socio-economic assessment Criteria; Decisions	All these are relevant, but this is only a research framework that coordinates the case studies that will consider these outputs.
<b>Knowledge type:</b> Narrative storylines; Response functions; GIS-based maps; Tables or charts; Handbooks	This is a research framework with common research questions and concepts to be used in the case study research on governance- and spatial planning strategies
<b>How many fact sheets will be derived from this deliverable:</b>	1

# 1 Introduction

PLUREL's main subject of study is *Rural-Urban Regions (RUR)*, based on the concept of Functional Urban Region as an urban core and its surrounding commuting ring which can extend to include both the rural and peri-urban regions. It extends beyond today's rings of intense interaction with the core city and includes areas of recreational use, food supply and nature reserve functions in predominantly rural areas.

PLUREL seeks improved understanding of the complex relationships between rural, peri-urban and urban land uses within rural-urban regions of the EU25, focussing on generating new insights about the functional relationships between drivers, pressures, status, impacts and responses (DPSIR) in urban, peri-urban and rural land use systems.

Module 3 studies the governance strategies of urban regions and the pressures or demands on a local, rural-urban region level in seven case studies. Different scenarios for urban development will be developed in an inclusive way, involving main stakeholders. Six European rural-urban regions, as well as one Chinese reference case have been selected as appropriate units of reference to address the mentioned issues. The case studies reflect variability of geographical, economic and social conditions prevailing in Europe. The research actively involves stakeholders in the case study regions as an integrated part.

The objective of M3 research is to provide stakeholders in European urban regions with knowledge that helps them to design ways in which they can integrate sustainability objectives in their policies. Module 3 aims to eventually integrate the knowledge of planning practitioners and other stakeholders from the regions into the total frame of PLUREL research.

Module 3 aims to use the typology of regions and generic scenarios of Module 2. It develops locally based scenarios, using the results of the Module 4 impact assessment wherever possible. By doing so it provides context specific information that helps to anchor the other research modules of PLUREL and reflects differences between regions.

The output of Module 3 will be descriptions, analysis and benchmarking of governance and spatial planning strategies in relation to the main trends and pressures that are studied by Module 1. These strategies help to overcome bottlenecks and develop improvements in terms of the three sustainability pillars: ecological, social and economically. Module 4 - the Impact Assessment Module - provides insight into the impacts in ecological, economic and social terms of the strategies: does a strategy lead to more economic viability, better quality of life, social justice, preservation of rare ecosystems? The specific strategies described by M3 are variables in the scenarios that M2 develops. For the development of good practice guidance - M5 - the descriptions of the strategies are an important input as well.

## 2 Fundamentals to your regional case study

The object of research of Module 3 is the governance and spatial planning of land use developments in the urban region with special attention to the developments in the urban fringe and the interrelations between the urban area, the urban fringe and the wider rural surroundings.

Actors in the planning and management of land use in urban regions follow different strategies, pursuing different actor-specific targets. The interaction between the actors and the regional specific physical and social context influence the effect of their strategies. M3 studies the strategies that different actors adopt, the interactions and process aspects. It compares and evaluates the strategies on characteristics or criteria that are being defined in cooperation with the regional stakeholders.

We have to describe these strategies into detail in view of the analysis, assessment and improvement and will explore the actor network in terms of legal means, alliances, political mandate (votes), discourses, financial resources and knowledge. These descriptions will contribute to the presentations of 'good practices' (deliverable of work package 5.2).

The stakeholders are involved to create understanding of the process connected to the strategy: the different arrangements put in place and their workings in relation to each other. In addition, they help to adopt a wording that is understandable to stakeholders outside the scientific arena, in order to enable their involvement in the research.

### 2.1 Research objectives and -questions of the M3 case studies

- 1 *Provision of insight into the land use relations that are the object of the actor's strategies:*
  - a. What is the general regional development situation in social, economic and physical-ecological terms?
  - b. Which developments have an impact upon the urban fringe and how in terms of sustainability?
  - c. Are these developments perceived by the different stakeholders? If yes, how? If not, what are the perceptions of the different stakeholders on the developments in the urban fringe? (see question 2 )
- 2 *Description of spatial planning and governance strategies for the urban fringe*
  - a. What stakeholders can we distinguish within the region in relation to sustainable urban-rural linkages. What are their interests?
  - b. Which of these stakeholders are active (actors) which are passive?
  - c. What are the main spatial planning strategies of international, European, national, regional and local authorities and stakeholders in the region, at the relevant scale, that influence the urban fringe?
  - d. What are the main governance strategies of international, European, national, regional and local authorities and stakeholders in the region, at the relevant scale, that influence the urban fringe? And what are their main characteristics.
  - e. Why are specifically the regional strategies adopted: what are the problem perceptions, expectations and discourses behind these strategies? And how are they reacted upon by the different municipalities and other local actors? What were the circumstances and interactions in policy networks leading to their adoption and further development?

The 'region' and the 'urban fringe' for these questions are empirically defined, in relation to the sphere of action of the respective stakeholder.

In due time the different types of Rural Urban Regions and their subdivisions (center, peri-urban area and rural area) will be defined by research module 2 of PLUREL. When these become available, the relation with our empirically defined 'region' and 'urban fringe' will be discussed within module 3 and within module 2.

- 3 *Ex post evaluation of spatial planning and governance strategies for the urban fringe (year 2)*
  - a. Which are the useful criteria based on the aforementioned expectations - in question 1b - for assessing and comparison of the performance of the three main strategies?
  - b. How do the main strategies perform in terms of the developed criteria? (year 2!)
  - c. How can we explain this level of performance by looking at the content of the strategies, the policy process, the policy organization and 'external' trends?
  
- 4 *Improvement and ex ante evaluation of spatial planning and governance strategies (year 3)*
  - a. How can the information on explaining factors for performance and experiences in other countries be utilized to improve current spatial planning and governance strategies to maintain green land-use in the different case study regions?
  - b. What new strategies are suitable to meet new institutional, political, economic, social, cultural developments in the different case study regions?
  - c. How will the improved and new strategies perform in terms of the developed criteria?

The cross-regional comparison might be helped by providing the following basic information on your planning system as an appendix to your report (see Appendix C).

Spatial planning and regional/local administration. Involvement of stakeholders.

- How many levels of spatial plans are there in the country under examination?
- Are spatial plans of different levels related to the structure of regional/local administration?
- Who is responsible for the initiation of a spatial plan/study?
- Who is responsible for the preparation, supervising, management of the planning process, involvement of stakeholders, final approval, implementation of a spatial plan/study?
- Are planning processes different (as it concerns stakeholder participation, planning procedures, main actors involved) in different levels of spatial planning?
- Is stakeholder participation specifically prescribed in the legal framework of spatial planning? In what detail?

Spatial planning by private sector.

- Is there legal provision and/or special legislation for private actors to prepare spatial plans?
- In what scale and level?
- Are planning procedures different in planning by private sector than the ones in planning by public sector?

Construction beyond city boundaries.

- How are city boundaries defined?
- Is there a phenomenon of urban sprawl in your cities?
- Is construction beyond city boundaries legal and possible? If yes, under which circumstances?
- Which is the minimum area (if any) required for the construction of a single residence out of the city boundaries? What determines the size of such a residence? (i.e. building ratio).

Illegal construction.

- Is there a phenomenon of illegal construction in areas beyond city boundaries?
- If yes, how serious is it? Is it more serious than in the cities (inside the city boundaries).
- How is illegal construction handled (inside and outside of the cities)?



**Box 1:** Special questions to address, for facilitating cross-regional comparison and connecting modules 2 and 3.

## 2.2 Key concepts to use

Planning is a set of comprehensive actions in order to organize the steps from analysis of a major societal problem towards the development of an alternative set of solutions (Healey, 1997).

### *Governance*

In many countries new forms of governance are developing, implying a less dominant position of the state or government, the emergence of multi-actor and multi-level networks and expanding interference zones between state, market and civil society. There is a growing recognition that the increasingly complex task of steering land use developments can no longer be handled by government actors only at European, national, regional or local levels. Therefore, governance assumes a multi-level cooperation between governments and other social parties to advance sustainable land use planning.

This is generally called the shift from government to governance. The actor network approach is a theoretical framework for policy making and governance that pays attention to both requirements is the policy network approach. This approach considers public policy making and governance to take place in networks consisting of various actors (individuals, coalitions, bureau, organizations), non of which possesses the power to determine the strategies of the other actors.

### *Policy*

Within this governance-setting, governmental bodies nonetheless pursue certain goals in society, laid down in 'policy'. Each unit of policy is linking a 'policy network': "More or less stable pattern of social relations between interdependent policy actors, that develop around policy problems or policy programmes." Policy networks can be analysed using the following characteristics:

- Actors and coalitions
- Division of resources/power
- Rules of the game
- Discourses
- Strategies and interactions

There are various discourses of town and country that actors in the governance approach can adopt. Discourse analysis may be applied as part of the policy network analysis. The communication situation map ([www.greenscom.com](http://www.greenscom.com)) can be used to visualize the policy network.

### *Strategy*

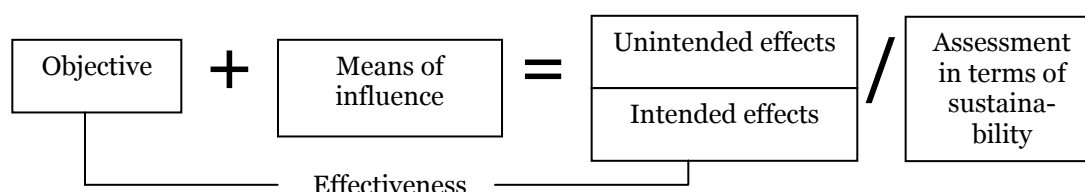
As set out above, for our research, regional strategies aiming at managing rural-urban linkages into directions of more sustainability are the object of study. A strategy is a designed course of action that an actor has made, it comprises a succession of decisions and actions to achieve goals, objectives. It assumes a unity of decision making and actions.

Every person and organisation holds an intention to reach objectives. This objective and consequent strategy can be either deliberate (actor is aware of it) or subconscious (observed and reconstituted by the researcher). Do note that actions affecting urban-rural linkages may be a side-effect of a strategy that was not at all targeted at those urban-rural linkages, but something quite differently. Still, every action comes from some strategy, no matter how individual, mundane or distant from our PLUREL-theme.

The diagram visualizes this definition. In the context of governance with its notion of multi-level and multi stakeholder interference, we encounter different actors, all with their own strategies to steer developments in view of reaching their own goals or objectives. The word 'design' refers to the fact that there is a considered course or succession of actions. A strategy is defined by a coherent succession of decisions and actions to achieve goals, objectives. As said before, it assumes a unity of decision making and actions.

Any actor can only be effective if it can employ means of influence: capital, legislative power, communication. Any actor only has a limited set of means. Any actor is subject to the means of influence of other actors. Effects may be intended or unintended. Intended effects will only satisfy the original objective to a certain degree.

A strategic actor can be characterized by its goals, a unity of decision and action, and its rationality in a context of action. There may be important stakeholders that are not active in the policy network or only indirectly and for which we might wish to develop strategies to become involved.



**Figure 1:** Schematic image of what a 'strategy' encompasses and how it relates to objectives and effectiveness.

### Complexity

The case study region planning processes will differ from simple to highly complex. In the complex situations the planning process is assumed to be not necessarily linear and it can include many uncertainties, so that sometimes unpredictable results will be the consequence. Part of Module 3 is to try to understand the nature of these complex and unpredictable processes by combining *complexity theory* and *planning theory*. In the case studies it will be studied how they are played out in practice; also examples from the past may be analysed. This may lead to recommendations on how policy makers may be better equipped to deal with unexpected events and processes. The results will contribute to transition management, how to recognize moments of transition, and to support and/or influence these transitions, facing 'path dependency', in particular with regard to urban rural relations and specifically with regard to the cases.

From this analysis in retrospect the adaptivity of urban rural interaction can be considered as well as the emergence of urban rural interactions. Among others these are argumentative towards urban-rural transitions and tipping points in the future. This reflection also leads to a decision-making support frame for transition management.

This complexity research component will be developed by the University of Groningen in cooperation with Alterra. In each sample area two planning processes will be studied by in depth interviews. The selection will be made by Alterra/Groningen together with the representatives of the region. Using the results and available literature on Complexity Theory and Planning Theory actual ongoing processes will be studied in each region in search for tipping points. Researchers and practitioners will simulate real life planning issues in ateliers using game theory to get better insight in the ratio (or better uncertainty) of current peri urban planning processes in city networks (capacity building). Do note: coordinators of the regional case studies do not have to take action for this complexity research.

### Spatial Concepts

Despite the uncertainties in the success of a strategy, in the actor network there still can be powerful consistent complexes of attitudes, visions, future images: concepts. A concept is the

total package of motives for one actor or a group of actors. The use of integrative spatial concepts may substantially contribute to sustainability of land use for urban regions. Through integrated spatial planning they potentially are evocative and may stimulate cooperation between sectors and people for sustainable urban development.

A spatial concept moreover is a tool to discuss openly the process starting from the analysis of a spatial problem towards the development of a policy line or strategy to solve the problem. We distinguish three groups of concepts.

- concepts about *spatial structures*, like the Garden City Movement, New Towns, Urban Network, the National Ecological Infrastructure, the Blue Banana (DATAR)
- concepts about *zoning specific (larger) areas*, like the Green Heart of the Randstad, the Green Belt of London, Green Fingers of Copenhagen, the Ceinture Verte (IAURIF)
- concepts about the *position of an area amidst a much more larger spatial context*, mostly in an economical context like 'Antwerp port of Europe'.

## 2.3 Land use issues to focus on

In the local analytical frameworks and during the M3 meeting with stakeholders in The Hague the stakeholders have indicated which substantive issues they find most important for Module 3 research. This description enables linking up and tuning M3 research to M2 research. In addition to the description of the relationships involved in the main issues, we identify possible stakeholders for each issue. Stakeholders are all potential actors that have designed a course of action.

Table 1 shows the results from the prioritization exercise in The Hague. The issue of citizens participation that appeared initially was omitted by the group before the prioritization because they considered it to be an integral part of governance. The issue of shrinkage of population was forwarded as first priority for research by the Leipzig region, however, in the description below we consider this as a main demographic trend that contributes to specific forms of rural-urban interaction. In this respect, the Leipzig case provides interesting opportunities for understanding rural-urban linkages and setting for analyzing spatial planning and governance strategies for controlling rural urban linkages. Hangzhou is a reference case for the research. It can help us see the main issues in another perspective.

Region / issue	Warsaw	Koper	Montpellier	Haaglanden	Manchester	Leipzig	Hangzhou
1 land press. due housing	1 <sup>st</sup>	1 <sup>st</sup>	1 <sup>st</sup>	1 <sup>st</sup>		1 <sup>st</sup>	1 <sup>st</sup> <sup>1</sup>
2 agriculture under pressure	3 <sup>d</sup>		2 <sup>nd</sup>	2 <sup>nd</sup>	2 <sup>nd</sup>		2 <sup>nd</sup>
3 high value nature at risk	2 <sup>nd</sup>	2 <sup>nd</sup>			1 <sup>st</sup>		
4 integration of tourism			3 <sup>rd</sup>	3 <sup>rd</sup>		3 <sup>rd</sup>	3 <sup>rd</sup>
5 traffic					3 <sup>rd</sup>	2 <sup>nd</sup>	
6 water management		3 <sup>rd</sup>					

**Table 1:** Prioritization of the substantive issues by regional stakeholders.

### Issue 1: land pressure due to housing development in the urban fringe

<sup>1</sup> The Hangzhou researcher indicated that rather pressure in the urban fringe due to industrialization was a priority issue for study for Hangzhou, not the pressure due to housing developments.

#### Rural urban linkages and sustainability

Housing development in the urban fringe can be caused by population growth. For Greater Manchester, Koper, Warsaw and Haaglanden, however, it is mentioned that (changed) housing preferences are the cause of housing in the urban fringe. The quality of the landscape in the central urban area – an important factor contributing to the quality of life in the urban area - is deteriorating / not attractive enough to keep or attract certain social groups (higher income/families with children) to live there. Higher income groups or families go and stay at the country side or in the fringe areas, and commute into town for their work.<sup>2</sup>

For the families with children and higher income groups, the extra travelling time to work in town means spending a substantial part of their day for travelling to and from work, with other negative impacts: stress and other health problems, no time for family or social relations, no time for sports or leisure. This lack of time for social relations has potentially negative effects such as anonymity, child neglect, no time to maintain or invest in the physical quality of the new place of residence.

Shrinkage (decrease of the population) presents an opportunity to provide new forms of housing within the city boundaries and de-densification: to build residential areas with singly family houses and gardens at affordable prices in the city and create more public open space. The city of Leipzig is at present entering into these new forms of urban housing. It entails a lower building density and the possibility to create a more attractive living environment, with higher quality of life, with regard to landscape and social quality.

Obviously there are linkages between housing policies in the more central urban areas and impacts on the sustainability of land use in the fringe, and – as described above – important social sustainability aspects concerned by the problematic developments in housing. It is a challenge to identify what interesting strategies are deployed in the case study regions that can contribute to more sustainable developments in both the urban and fringe areas.

#### Stakeholders and their organizations:

- Residents of different background (income, ethnic, life style, with/without children, ...)
- Municipality: department of spatial development, department of social development/social affairs; department for green open spaces/city management
- State: ministry for housing, for spatial planning, for social affairs, for immigration (especially for West European member states?!)
- Housing corporations
- Public transport services
- Housing developers
- For the business/industrial areas other stakeholders are relevant.

### *Issue 2: Agricultural land in the urban fringe under pressure*

#### Rural urban linkages and sustainability

This issue is the second most important for all regions, except maybe for Leipzig, according to the stakeholder meeting discussions in April 2007 and the local analytical frameworks. In most of the case study regions the farm land is appreciated by residents and farmers for its landscape quality. However, the farming system is no longer economically competitive in a context of globalization and urbanization (Haaglanden).

When farmers no longer earn enough to make even a modest living, they abandon and sell their land. This renders the land sensitive to purchase by developers, contributing to urban sprawl and possibly the loss of previous ecological and social functions (recreation) of the farms. When the transfer of the farm to a younger successor is problematic, the owners more

<sup>2</sup> The identity of old urban centre sometimes attracts higher income groups, generally young urban professionals.

easily surrender and sell their land - for example – to project developers with building or speculation plans; or change land use, concluding agriculture.

Through globalization and international competition between urban regions the economically less valued, but for other reasons appreciated qualities of farm land are at risk. Higher profits can be made in industrial and residential building.

Various strategies are being adopted or developed for this issue. In the case study research, spatial planning and governance strategies are studied that help avoid or counter developments leading to the termination of agricultural land use in the urban fringe. The rural-urban linkages involved in the interdependence between cities and farms in the urban fringe are identified.

The description, analysis, impact assessment and evaluation contribute to a proper understanding of the working of these different strategies. In practical terms it contributes to knowledge of the applicability in different regional settings and of the expected results in terms of sustainable development in the urban fringe.

#### Stakeholders

- Municipality
- Farmers and their organizations
- Urban residents enjoying farmland for leisure
- Local consumers of local farming products (lessons SOS II ?)
- Nature organizations wanting farmers to sell their land to public authorities to turn it into nature parks, eventually managed by the previous farmers under labour contract.
- Authorities wanting to preserve agricultural land for public purposes such as leisure, ecological development and water management.
- Retail enterprises like supermarkets,
- Housing developers, developers of offices, ...

### *Issue 3: High value nature in the urban fringe at risk*

#### Urban rural linkages and sustainability

In several regions the presence of high value nature areas in the vicinity of the urban centres was mentioned. There is much concern for the preservation of these areas in the context of economic growth and urbanization. At short term actions are needed to preserve the areas. This goes for Koper, for Warsaw. It is an emergency issue, important for regions in new member states in general, but also for Haaglanden where the buffer zone legislation that used to protect the biodiversity areas, comes to an end in 2011.

Important for the preservation and development of these nature areas is that the politicians and decision makers are convinced of the importance of these regions. The meaning of the areas for the work/subsistence and / or quality of life of the residents at a regional scale can be an argument for its preservation.

Agricultural developments and recreation can have different effects on the preservation and quality of the wildlife in these nature areas. The differences between the case study regions in this respect are not yet perceivable from the local analytical frameworks and need further study. Are the forms of use between the regions similar or substantially different? How to balance between use in view of raising support for the preservation of the nature areas on the one hand, and conservation of the wildlife quality in the areas at the other hand?

#### Stakeholders

- Nature organisations and wildlife keepers
- Park Management Department and wildlife keepers
- Ministry with Nature in its portfolio

- Farmers
- Tourist boards

#### *Issue 4: Sustainable integration of tourism in economic development of the urban region*

##### Urban rural linkages and sustainability

Urban expansion versus leisure areas can be considered as competing sources of income generation, mostly in the fringe. But maybe in Leipzig, Warsaw and Koper also more in the vicinity of the urban centre. Cultural heritage is seen as an attractive factor that if combined with green open space could reinforce the attractiveness of the area and contribute to its preservation. The two are considered as forming a strong pole of attraction that would even contribute to the international competitiveness in terms of attraction to international institutions. International civil servants would become interested to work in Haaglanden, like in Vienna or Geneva.

Other strategies are the development of tourism and recreation oriented towards wildlife experiences, or more simple hiking, cycling, with bed and breakfast opportunities, urban parks for leisure with playgrounds, ...

The relationship between the protection of green open space and the integration of tourism in urban development is quite diverse. More economic approaches are mingled with more 'idealist' nature oriented, extensive recreational use of green open spaces. Also a component of 'access to green open space' is involved that relates to quality of life and social justice. The more economic approaches might best respond to the interests of the regional authorities. Whereas the social (access to green open space) or ecological (wildlife and extensive recreation) forms appeal more to CSOs or Nature NGOs.

Worldwide research and actions (IUCN, WTO) exists on the relation between recreation and nature and collaborative resource management, involving local communities in the preservation of wildlife. This entails also the farming for nature approach as for example is being developed in the Netherlands and makes the link to the Green Blue Services approach mentioned under issue 2.

##### Stakeholders:

- Tourist boards
- Hotels and restaurants / chamber of commerce?
- Park management departments of municipalities
- Culture sector of municipalities
- Green area sector of regional authority
- Cultural or tourism sector of regional authority
- International institutions
- Project developers in the cultural sector or leisure business
- Tourist farms

#### *Issue 5: Traffic*

##### Urban rural linkages and sustainability

The issue of traffic has a profound impact on urban development at large, and the urbanisation in peri-urban areas in particular, because access to road and train networks is highly appreciated by home owners. Infrastructure both follows otherwise-driven urbanisation, and inducing urbanisation in itself as well; provision of infrastructure responds to existing demand and creates new demand. This way, infrastructure determines the



sustainability of urban form (the transport modes that are likely to be used in the future) and the urban form itself (because it affects urbanisation patterns).

Do note that access not only generates urbanisation, but can also lead to economic activity being marginalised because residents choose to work and spend their money somewhere else in the urban network, sometimes with depopulation as an eventual consequence. High speed train stations, although known because of the booming cities along the line, also has caused major redistribution of services and employment.

Because affecting urbanisation, the future availability of open space depends on developments in infrastructural networks. Paradoxically, infrastructure is also a prerequisite for urban residents to visit and enjoy the countryside – without access the presence of open space would be of little use.

Stakeholders:

- Ministry of Transport
- Ministry of Economic Affairs
- Tourist boards
- Chambers of Commerce

*Issue 6: Water management*

Urban rural linkages and sustainability

An issue connected to climate change is the management of water that flows into an area by rivers, groundwater or precipitation: flows are expected to increase and to become more extreme in their lows and highs. But also regardless of climate change, urban land use typically entails sealed surfaces, generating a hardly dampened water excess curve due to lack of water buffering.

The peri-urban area, having less sealed surface and a relatively low population density, in some big cities already is designated for water storage in case of heavy rainfall or high river flows. This storage can be achieved by making water tables or even controlled flooding of specified areas. The water-storage objective consequently engages in the peri-urban powerplay for space.

Stakeholders:

- Ministry of Water Management
- Water Management Boards
- Farmers

## 3 GATHERING YOUR DATA

### 3.1 Painting the regional context

In order to provide the other regions (and partly yourself) with a proper understanding of the strategies discovered during the fieldwork, it is important to paint an image of the regional context. This regional context is the background information that may explain or soften the differences between region-specific strategies.

The regional context consists of the drivers, pressures, status, impacts and responses (DPSIR) of land use change. Because strategies are considered as reactions to the context, the DPSIR enables a cross-regional understanding of strategies.

Instead of agreeing on a fixed list of aspects that should be investigated by every region, we suggest every case study should be most critical on what factors explain land use change and the responses to that. Answers will at most be indicative and generalising, but they may still help understanding why strategies emerge the way they do.

As a guide, the Leipzig meeting drew up 4 categories of contextual information:

1. Social: population growth, share of emigrants, level of education, unemployment rate, commuting patterns, housing scarcity, attitude toward urban life, political detachment
2. Economic: linkages of the region to the global economy, tendency to build mega stores, disrupted land markets
3. Political-administrative (see Box below by Konstantinos Lalenis, WP 2.2): autonomy of local governments, dominance of higher tiers or larger cities in the regional context, planning culture, power of companies and NGOs on land use changes, recent governmental reforms
4. Physical-ecological situation: natural risks, green infrastructure, main natural resources.

The local government system is a pivotal body throughout the Plurel-regions. Therefore, please describe its organizational structure and decision-making mechanisms.

What are the local government's functions and is there a difference between the central city of the case study area and the smallest settlements in the rural periphery of the rural-urban region? In which category do these local governments belong: a) large, with general functional competence; b) large but only with functions granted by the central government; c) small, with general functional competence; d) small, with only partial competences?

Please describe *all formal government tiers* in your country above the local government and below the national government with elected or delegated leadership, precisely mentioning the

- names and numbers of such units (e.g. 7 regions, 19 counties, 160 small regions...),
- their average size (how many inhabitants),
- the name and size of the leading authority on the given level, elected or delegated (by whom),
- the functions of these authorities (e.g. strategic planning, health care, public transport, ...)
- the NUTS categorization of the different levels.

Please describe in more details the situation in your *city-region* (the functional urban area around the central city). The description should follow the questions along the 29 METREX practice benchmarks! [www.eurometrex.org](http://www.eurometrex.org) Intermetrex, Intermetrex, Metrex Benchmark V4. Please fill out all the 29 benchmarks on the metropolitan government and their functions.

**Box 2: Questions on institutions, important for facilitating cross-regional comparison and connecting modules 2 and 3.**



### 3.2 Doing regional case-study fieldwork

Case study design is an explorative research method in which we can gain an extensive insight in a phenomenon in its natural setting, with special attention being paid to the interrelatedness of relevant factors. Precisely because one does not know exactly how these factors are related beforehand, it is impossible to separate a phenomenon from its context. Thus, opting for the case study method is examining 'cases as wholes, not as collections of variables'. It is especially suitable for the analysis of complex processes, such as land use planning in a highly dynamic context.

What in concrete does a regional case study for PLUREL look like? We propose the following steps *for each land use issue* (listed in the preceding chapter), if necessary broken down into subregions within the case study area:

1. Actor-group inventory: all actors relevant to this land use issue are listed. In particular when a group of actors is diffuse (like farmers or residents), try to find a spokesman that has some authority among the actor group, which could originate from his or her membership of some kind of a union (regional farmers' union; board of municipalities, etc.). But he/she should also have 'room' to talk freely. We made a good start with this inventory for the Koper-meeting.
2. Interviews: interview a least one representative person from each actor group, using the indicative (!) questionnaire in appendix D. In the interviews, the key concepts and definitions are central. The main objective is to find out what are (1) their main sources of power/influence and (2) their consequent strategy.
3. Detecting discourses: try to find out whether certain groups of actors use the same discourse for observing and intervening in the peri-urban region. What are the sources of power/influence within each of these discourses?
4. Web of strategies: combine the outcomes of the interviews in a scheme, showing the strategies the actors have and how the sources of power, applied by them, connect. Some sources of power may clash (regulation vs. land ownership of a developer), some may be interdependent, some may be complementary (in particular when discourses parallel).

For the region as a whole we suggest to complete the following overview:

	Private companies	Non-profit organisations	Governments	Civil initiatives
1 land press. due housing				
2 Agriculture under pressure				
3 high value nature at risk				
4 integration of tourism				
5 traffic				
6 Water management				

**Table 2:** Actor inventory table for the regional case study.

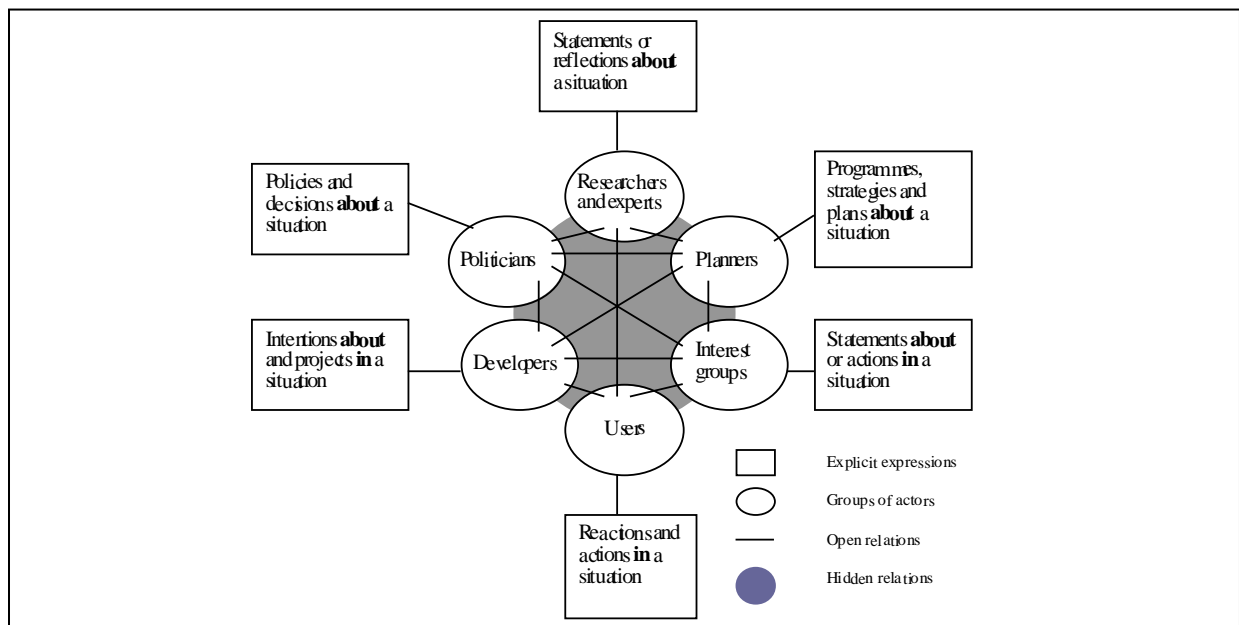
When the webs of strategies, one for each of the 6 land use issues are completed, we suggest to do the following:

1. Interdependencies between webs: indicate, based on the interviews, which strategies across the 6 webs are related and which what effect (clash, interdependence, complementarity).

2. How to make the process sustainability-proof: with the findings in mind, what would be effective interventions in the powerplay that would help sustainability.

Outcome is an exploratory stakeholder analysis: who are the main stakeholders in the urban fringe, how can their positions and interrelations be characterized, what are their claims, concerns and issues concerning the regional planning practice?

Methods for the stakeholder analysis are: interactive sessions, (group) interviews, analysis of documents/plans etc. The advantage of interactive sessions (versus individual interviews) is that stakeholders can discuss and prioritize issues together. A communication situation map displaying the actors involved visualizes the policy network. See the example below.



**Figure 2:** Example of a communication situation map. (from Birgersson, et al 2001)

### 3.3 In-depth in the embedded case study

Every region is likely to contain smaller areas where rural-urban relations are particularly interesting to study. These might be areas where the drivers are slightly different, or where strategies are applied that are absent in the rest of the region. They may illustrate successes, or be examples of failure to secure sustainable developments. They may show local political crisis over land use, revealing the dilemmas in society.

The embedded case study may contain action research; in which researchers actively participate in the regional context, for instance by inserting new knowledge or new strategies into the region's dynamics. It implies intense interactions between researchers, clients and other stakeholders. Action research may be idealistically motivated, directed towards the ideals such as participative democracy, social equity etc. However, it also can be pragmatically orientated, directed towards practical results. Action research can imply various activities for the researcher ranging from consultancy, advice, mediation and process facilitation. It even can imply that the researcher temporarily takes over the position/role of one of the stakeholders and acts as a 'reflective practitioner'.

### 3.4 Allowing cross-regional comparison

International comparative research is research in several countries in which data collection in each country takes place according to the regime, within the framework of a problem

formulation. This study involves cases in The Netherlands, Great-Brittain, Germany, Poland, Slovenia, France, China. In each country one urban region was selected for this study, respectively Haaglanden, Greater Manchester, Leipzig, Warsaw, Koper and Hangzhou. Governance and spatial planning strategies in these 7 regions will be compared to learn from different experiences and gain insight in general patterns and distinguish regional specific contexts and impacts on preservation and development of green space in peri-urban areas. To allow such comparison, the data must be sufficiently compatible to be able to perceive differences – comparative research is indeed schizophrenic in its objectives. Without similarities no differences can be found; on the other hand the *colour locale* must not be smothered by over-systemising data collection.

On the Koper-meeting, it appeared that one player is constant throughout the regions: the municipality. In all regions, the municipality is the body taking the eventual binding planning decisions. Therefore, the municipality is where companies, NGOs, civil initiatives, but also regional governments, focus their strategic attention on.

For the sake of cross-regional comparison, specific attention has to be paid to the questions:

1. how do municipal authorities respond to regional strategies and the land use changes caused by regional and national policy?
2. how do municipal responses differ, even across municipalities that are similar in terms of geography and drivers?
3. What are the main financial and political incentives that explain municipal decisions to land use?

### 3.5 Performing an analysis on the strategies

In order to make the collected data comparable, we must agree on criteria ‘a condition or a rule which enables a choice, therefore upon which a decision or judgement can be based.’ For the assessment and comparison of the strategies that will be described in year 1, the criteria below are proposed. The draft list below is derived on the basis of the local analytical frameworks and the Description of Work of the PLUREL project.

#### **Political support**

The extent to which a strategy contributes to developing support of the business sector;

The extent to which a strategy contributes to developing support of the public;

The extent to which a strategy contributes to developing support of other authority bodies to the management of green land uses in the urban fringe.

#### **Integration (SD pillars):**

Integration through coalitions that develop joint policies;

Integration through tuning between sectoral policies that contributes to consistency between plans as far as green land uses in the fringe are concerned;

To what extent does the strategy contribute to the inclusion of green land uses in otherwise not green policies?

#### **Reinforcement of green land uses from the economic point of view**

Through new sources of money;

Through policies that support the combination of green land use with other land uses that render the green land uses sustainable.

#### **Effectiveness**

The extent to which a strategy contributes to react and influence timely to unsustainable developments in the urban fringe;

The extent to which a coalition is able to react and come to decisions (decisiveness)

The extent to which decisions are implemented effectively;  
The extent to which strategies lead to wishful new actions (chain-relations or connectivity) .

### **Spatial quality**

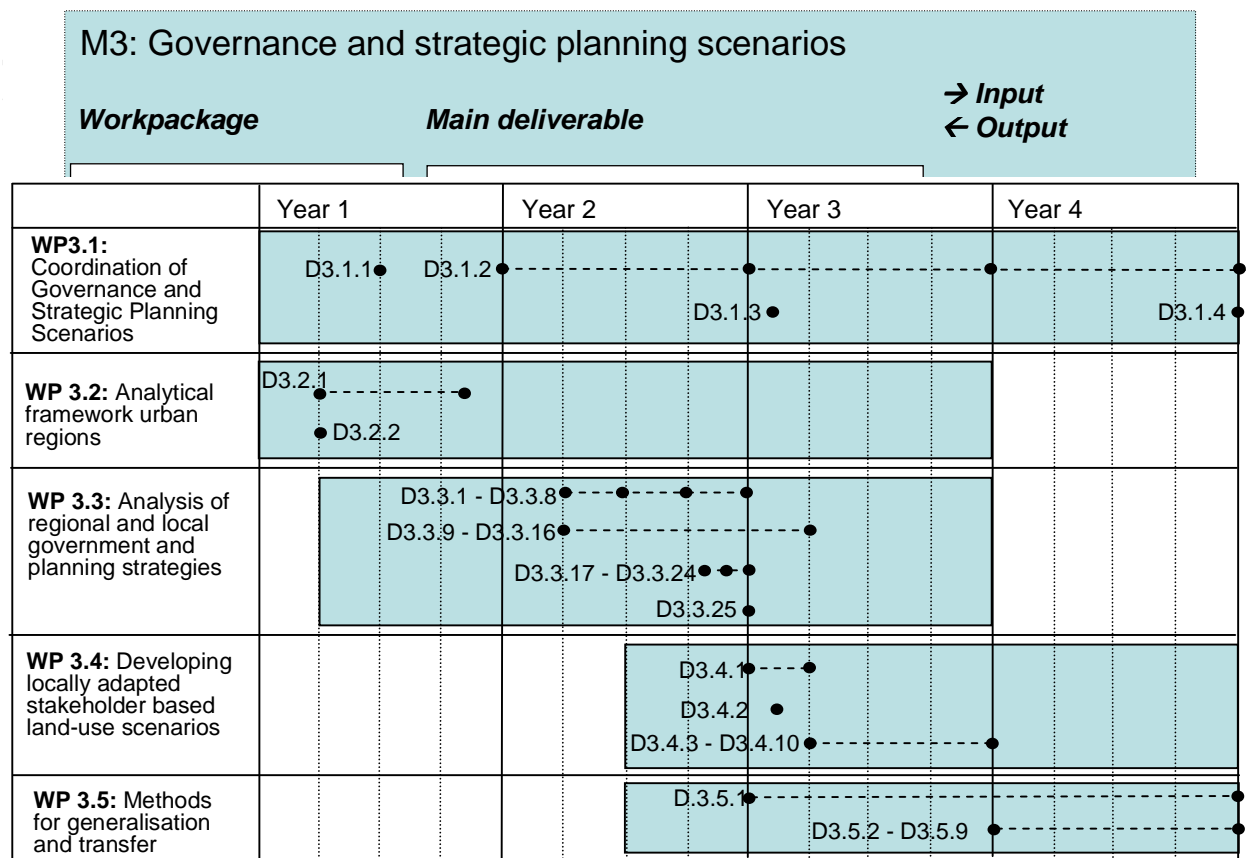
The extent to which a spatial organization contributes to the integration of green land uses as essential part of the landscape.

The extent to which the concept of planning crosses horizontal administrative boundaries, from a administrative or institutional perspective;

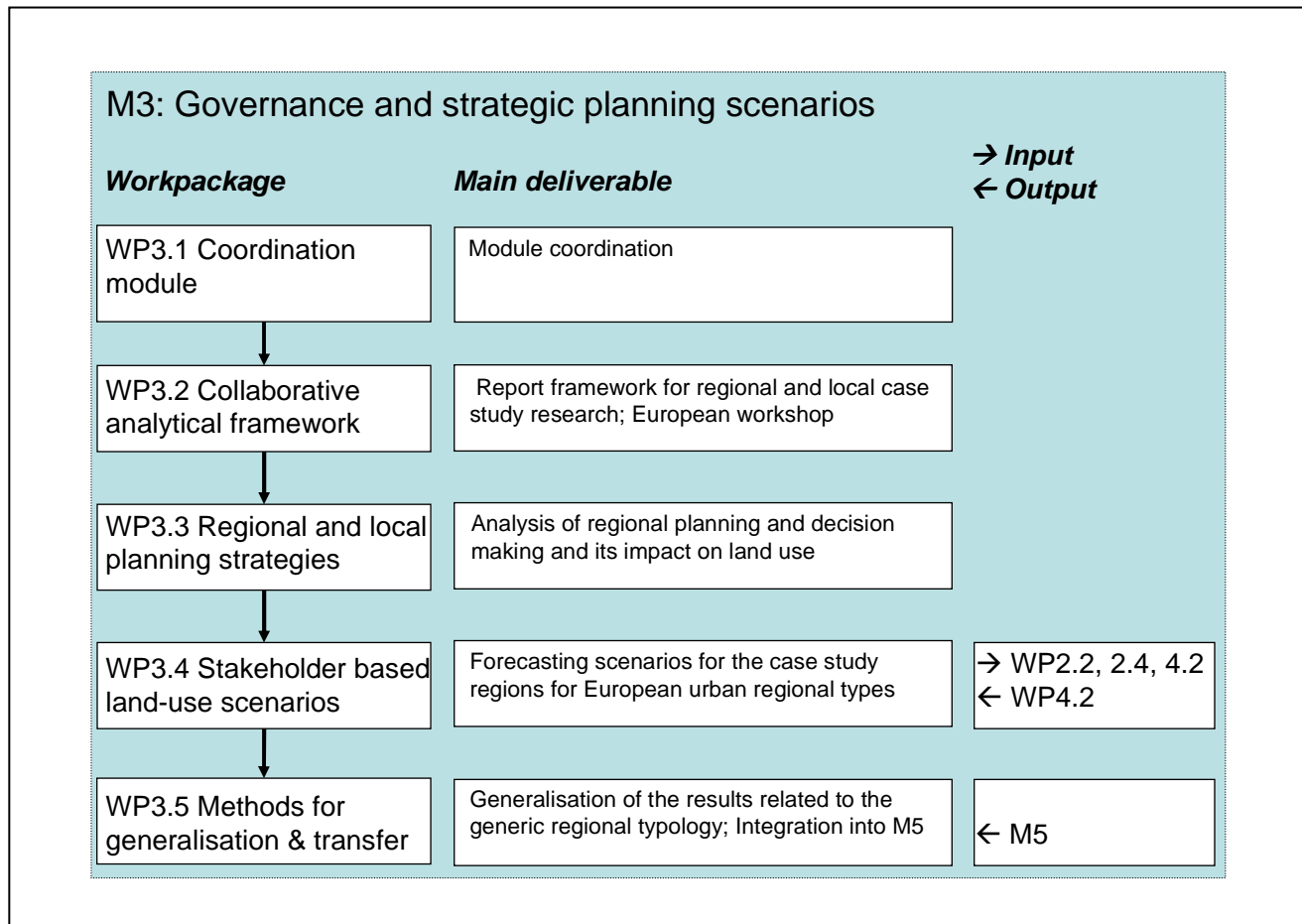
### **Socially just access of different social groups**

to green open spaces in the city

to green open spaces around the city



**Figure 3: workflow Module 3**



**Figure 4: Module 3 deliverables and relations with other Workpackages**

# Appendices

## Appendix A Glossary

Terminology is not a **list** of separate words, but a **web** of interrelated meanings. Therefore, definitions may use terms that in turn are defined elsewhere in the document. Therefore, each term has a number. The superscripts refer to those numbered paragraphs.

In addition, several definitions are followed by an indented paragraph that further explains international variation. This way, we can acknowledge the broadness of international variation, without running the danger of making the definitions too complicated or too general.

In superscript, you will find references to other glossaries when the definition is derived from another source. This does not imply that other glossaries hold the 'right' definitions, but when other people's definitions suit our specific purposes, communication with people outside plurel is enhanced.

### LEVEL 1: MAKING POLICY

#### 1.1 **spatial planning**

##### a. **[scientific]**

the search for and implementation of  
an optimal adaptation between geography and society

##### b. **[practice]**

the formal framework  
regulating land use

Regional variation: in the UK, this would normally be called town and country planning

#### 1.2 **strategic planning** (EU Compendium of planning systems)

Preparation  
of strategy or framework,  
identifying the broad patterns of growth  
but not detailed land allocations or zoning.  
generally long term and integrated

#### 1.3 **integrated**

taking various types of land use into account simultaneously

Opposite: sectoral

Synonym: comprehensive, multifunctional

#### 1.4 **participatory** (EU Spatial Planning Ministers' glossary)

a specific form of planning activities  
practiced by public authorities  
mainly at local level  
enabling citizens to play a part in the process

#### 1.5 **planning** (Healey, 1997)

A set of comprehensive actions  
in order to organize the steps from analysis of a major societal problem  
towards the development of an alternative set of solutions.

#### 1.6 **spatial concept**

idea or abstract principle, including a sketch, drawing or map

of a spatial structure, zoning of larger areas or position of an area amidst a larger spatial context.

## LEVEL 2: PERFORMING ACTIONS CONNECTED TO POLICY

- 2.1      **decentralisation** (FAO Thesaurus)  
moving from the centre to the periphery. In governmental terms:  
shifting of decision-making and executive powers  
to lower tiers of government and particularly to lower government
  
- 2.2      **environmental impact assessment** (EU Spatial Planning Ministers' glossary)  
analysis of the likely impacts  
that a project  
may have on ecosystems, human health and on changes to nature
  
- 2.3      **landscape policy** (European Landscape Convention)  
expression by the competent public authorities of general principles,  
strategies and guidelines  
that permit the taking of specific measures  
aimed at the protection, management and planning of landscapes
  
- 2.4      **landscape planning** (EU Spatial Planning Ministers' glossary)  
activity  
involving both public and private professionals,  
aiming at the creation, conservation, enhancement and restoration of landscapes at  
various scales,  
from greenways and public parks to large areas, such as forests, large wilderness areas and  
reclamation of degraded landscapes such as mines or landfills.
  
- 2.5      **program**  
coherent set of policy objectives  
for a geographical or thematic unit of society  
within a predefined financial framework and time planning  
with a strategic role, although some selection of instruments<sup>2.6</sup> may be proposed
  
- 2.6      **instrument**  
set of activities, tasks, steps and decisions  
combined in a procedure <sup>2.8</sup> described by law  

Remark:    the term 'tool' is explicitly left out, because it is a confusing  
term, generally used somewhere between 'instrument' and  
'measure' <sup>2.7</sup>
  
- 2.7      **measure**  
any action directly resulting  
in a concrete change in physical or social reality
  
- 2.8      **procedure**  
prescribed sequence of activities, tasks, steps and decisions  
  
the public entity ensures that the public interests are respected
  
- 2.9      **sustainability impact assessment** (EC Impact Assessment Guidelines)  
analyses of the likely impacts  
that a project  
may have in terms of competitiveness, growth and jobs,  
as well as on economic and social cohesion and a healthy environment

LEVEL 3: PROCESSES BETWEEN ACTORS

- 3.1 **actor**  
any natural or legal person  
making decisions  
that eventually have a impact on  
functions and morphology of the world we observe
- 3.2 **objective**  
the goal pursued
- 3.3 **strategy**  
designed succession of decisions and actions  
that an actor <sup>3.1</sup>  
has made to achieve objectives <sup>3.2</sup>  
Remark: In comparison to behaviour: strategy demands a unit of  
decision making, which this distinguishes it from 'behaviour'  
which also includes unconscious actions, habits, and hence the  
absence of policy.
- 3.4 **source of influence**  
any resource (money, land titles, legislative power)  
that can be used  
to direct the actions  
of actors one's strategy <sup>3.3</sup> depends on
- 3.5 **rural-urban partnership** (EU Spatial Planning Ministers' glossary)  
"rural" activities taking place in urban centres  
and "urban" activities taking place in rural settlements.
- 3.6 **policy network**  
more or less stable patterns of social relations  
between interdependent policy actors <sup>3.1</sup>  
that develop around policy problems or policy programmes <sup>2.5</sup>
- 3.7 **governance**  
multi-level cooperation between governments and social parties
- 3.8 **public private partnership** (EU Spatial Planning Ministers' glossary)  
formal agreement  
by which a public body  
and one or more private entity(ies)  
decide to cooperate for building assets or delivering services
- 3.9 **policy network**  
more or less stable patterns of social relations  
between interdependent policy actors <sup>3.1</sup>  
that develop around policy problems or policy programmes <sup>2.5</sup>
- 3.10 **stakeholder**  
any natural person  
with an interest in the developments in the case study region.
- 3.11 **policy arrangement** (Arts, in VanTatenhove et.al., 2000)



temporary stabilisation  
of the organisation and substance of a policy domain  
at a specific level of policy making.

- 3.12 **coalition**  
a number of actors  
sharing resources and/or interpretations of a policy discourse  
in the context of the rules of the game
- 3.13 **organisations** (Giddens, 1984, adapted)  
social systems  
being sets of actors  
that are nested in structures of rules and resources
- 3.14 **regional stakeholders as research partners**  
those stakeholders  
with a kind of engagement (contract) in the PLUREL research project.  
All the other possible stakeholders are not research partners.

LEVEL 4: FUNCTIONS AND MORPHOLOGY IN THE WORLD WE OBSERVE
-----------------------------------------------------------

- 4.1 **peri-urban** (FAO Thesaurus)  
area on the periphery of the urban area of the town and its suburbs  
typically very dynamic and under pressure of transformation of greenfield sites into  
developed urban areas
- peri-urban** (EU Spatial Planning Ministers' glossary)  
areas that are in some form of transition  
from strictly rural to urban  
often forming the immediate urban-rural interface  
may eventually evolve into being fully urban
- 4.2 **landscape** (European Landscape Convention)  
an area  
as perceived by people  
resulting of the action and interaction of natural and/or human factors
- 4.3 **metropolitan area** (EU Spatial Planning Ministers' glossary)  
settlement system  
consisting of a large city (together with its suburbs)  
and its adjacent zones of influence,  
which may comprise various urban centres of different sizes
- 4.4 **functional urban area** (EU Spatial Planning Ministers' glossary)  
area of influence of a city  
generally on the basis of statistics (for instance commuter flows).  
Most European countries have definitions of Functional Urban Areas or  
similar concepts, such as travel to-work-areas, commuting catchment areas,  
commuting zones or functional urban regions.
- 4.5 **rural area** (EU Spatial Planning Ministers' glossary)  
sparsely settled areas  
without significant large city or town
- 4.6 **suburb** (EU Spatial Planning Ministers' glossary)  
inhabited district

located either on the outer rim of a city  
or outside the official limits of a city  
or even the outer elements of a conurbation

- 4.7 **urban sprawl**<sup>(EU Spatial Planning Ministers' glossary)</sup>  
unplanned, uncontrolled spreading  
of urban development  
into areas adjoining the edge of a city

## **Appendix B                      Regional stakeholders involved as research partners, their concerns**

As regional stakeholders involved as research partners we understand those with a kind of engagement (contract) in the project. All the other possible stakeholders are not research partners.

Although there is a specific focus on peri-urban land use relationships within the PLUREL project, we need to know in more detail what the partners in the project are interested in, before we can establish an analytical framework. Indeed, what we desire to learn here defines which main concepts need positioning and defining: the definition of our subject of research depends on our learning wishes. Therefore, this section summarises the findings from the inventory activities of the first half year of PLUREL.

Module 3 aims to integrate the knowledge of planning practitioners and other stakeholders from the regions and the research for sustainable land use planning and to reflect on contextual differences between regions. Whereas interdisciplinary research in M1, 2 and 4 creates new knowledge by integrating experts from the humanities, social sciences and natural sciences, the trans-disciplinary research in M3 adds an additional level of integration by involving practitioners and other stakeholders (definition trans-disciplinary research by Tress et al. 2003a, b). It provides a societal base for the PLUREL research.

PLUREL considers a trans-disciplinary approach to be of high relevance to practice. As a first step, research and practice consultation was organised by PLUREL on 16 January 2006 in The Hague in the form of a workshop, hosted by the Regional Authority of Haaglanden. Representatives from the rural-urban regions mostly via the researchers, put their concerns forward, amounting to specific needs and ideas for PLUREL. The content, research-practice cooperation, dissemination approach, tools and materials of PLUREL were discussed. Common grounds and interests between all case study regions were defined and translated into a preliminary set of research demands. (see Box 1):

1. How to coordinate planning and decision making in complex situations with a large number of powerful actors with competing interests and a competitive attitude?
2. How to keep a balance between small rural municipalities and pressures from big cities?
3. What is the role of identity of the urban fringe for development and sustainability of land use relations in the urban fringe?
4. Which interactive models and tools can be provided to simulate interactive land development patterns and their environmental impact, for discussion during the planning process?
5. Can a theoretical framework for the analysis and evaluation of previous and existing policy practices and its outcomes be developed?
6. Can this framework be applied to benchmark approaches in different urban regions to be used for exchange of good and bad practices in land use planning and management?
7. How can information and tools be effectively disseminated to the scientific and professional communities, NGOs and the public

**Box 3:                      Outcomes from the exploratory stakeholder workshop in The Hague**

These research concerns consider:

- urban-rural relationships and balance
- complexity,
- partnership/governance, discourses that can organise partners around a common goal or identity
- spatial integrative concepts that contribute to interaction.
- assessment and benchmarking of planning and management approaches/strategies that help regions to learn and to reconsider their actions by seeing them against the perspective of other approaches or strategies.

A second stakeholder meeting was organized in April 2007, again hosted by the Regional Authority of Haaglanden. 20 Stakeholders participated from all 6 European regions. In preparation of the meeting the regional researchers and stakeholders had developed their own local research proposals. They forwarded a number of substantive land use issues and issues related to governance and spatial planning; these are presented in paragraph 2.1. During the meeting the stakeholders prioritized the substantive issues as main themes for PLUREL research. In paragraph 2.3 we describe the main land use issues that were prioritized, trying to provide a framework that helps to relate each issue between the regions.

## **Appendix C                      Proposed Index for the regional strategies analysis report (D.3.3.1 – D.3.3.7)**

Comparative research requires some standardisation in data collection. A good example are the EU progress reports for candidate member states, that for each country and for each year have the same structure. A standardised structure enables comparison of one aspect across years or across countries. It also promotes consistent data collection.

We therefore established a common index on the regional strategies reports.

Draft reports should be available in Month 11, final reports Month 15. (see Description of Work).

### **Ch. 0                      Title and pre-texts**

As title for the analysis report, the product of year 1, we suggest ‘Analysis of regional spatial planning and decision making strategies and their impact on land use in the urban fringe’. For the regions together this will form the PLUREL deliverables 3.3.1 - 3.3.7.

Titles per section are in bold. Numbers of pages and titles are indicative. We hope they contribute to a similar depth of analysis between the reports and a similar focus and hence contribute to the comparison and complementarity between the case studies.

Use the PLUREL format: new chapter starting on right page.

Page 1:	Front page, with authors, institute, country, date, PLUREL, title of the report, delivery number, picture from the region
Page 3:	Title page, with authors, institute, country, date, PLUREL, title of the report
Page 4:	<b>Colophon</b>
Page 5:	<b>Abstract</b>
Page 7-9:	<b>Summary</b> (developments ½ page, issues ½ page, merits different strategies 2 pages)
Page 11:	<b>Introduction</b> (page 11) about PLUREL research and how the report fits into M3 (draft text for part of the introduction will be delivered by Alterra, to be adapted and added to for your region)

### **Ch. 1                      Land use and spatial development in the region and turning points**

The objective of this chapter is to describe the interactions between the different systems (social, economic, physical) and between the different areas in the Rural Urban Region (central urban area(s), urban fringe, rural environment in the RUR). The main issues of Module 1 come back in the description of drivers that influenced the land use over time.

Precise the turning points that you can identify for your region: what were important moments of change in land use and spatial lay out. Were they due to economic, social or ecological driving forces or political turns? What are the consequences of these developments in terms of sustainability of development and in terms of urban rural balance? And how did they become manifest or how could they be recognized: What data illustrate these developments? Use statistic data, maps and quotations from press, publications, aerial photographs....

Describe what policies have been formulated – continuity and evolutionary changes, interruption and rapid changes, in relation to these turning points. And what are the policy needs in terms of SD and in terms of reinforcing the influence of policies presented by actual situation? This makes the link to the following section.

This part can and should only be general, to provide a setting to the more detailed description of the strategies focusing on the management of a limited set of main issues in

chapter 3 of your report. Chapter 1 gives the reader an impression of the object of the strategies of the government institutions and other stakeholders.

*Ch. 1.1 History of land use*

Land use developments in the region of .... until 1900 (page 13- 15, including map showing land use or being sufficiently spatially explicit to interpret into land use during an important development phase, or with English legend, scale ...)

(max. 1/2 page on social, economic, ecological each, as needed to explain the related land use and spatial development (together 1 ½ page)

The objective of this section is to help the reader to understand how the present situation came about, how the history of the town and the region have influenced the actual spatial layout, its main economic activities, its culture and way of government, its cultural heritage. The information may be general but helps the reader to understand the present situation.

*Ch. 1.2 Recent land use developments*

in the region of ... between 1900 and 2007 (page 16-30)

2 pages on social, economic, ecological, land use and spatial development each, especially focusing at socio-demographic (ageing, shrinkage or increase, international migration, income developments) and economic developments (main sectors in financial terms or in terms of identity; who wins, who loses. Titles are journalistic, descriptive statements ('leisure at the increase'), rather than boring (important economic driver).

5 pages maps and other illustrations and statistics.

**Ch. 2 Government institutions and -policies (page 30-37)**

In chapter 2 you describe the institutional setting for the policy network and interactions and strategies for the selection of main issues. This institutional setting defines the room for other stakeholders to act and influence developments.

*Ch. 2.1 Relevant government institutions and their policy developments*

that impact upon the developments of the region, and upon the urban fringe. For the fringe the policies that have an impact are described into more details (page 30-34); table with government levels, basics about the planning system (see the boxes on pages 15 and 18).

*Ch. 2.2 Main strategic issues (page 34-36)*

The objective of this section is to present the formal policy making structures, their policies and legislation impacting on land use. It describes the main policy objectives and approaches in terms of land use developments, sustainability and urban rural balance in the region. It composes the setting to the other sets of strategies described in chapter 3 and introduces the object on which the strategies focus that you describe and analyse in chapter 3.

**Ch. 3 Regional spatial planning- and decision making strategies and their impact on the urban fringe**

For the selection of ( 2 or 3?) main substantive issues for the region you will deepen the description of problems and subsequently describe and analyse the policy network. In chapter 2 you have already described the formal institutional context, defined by administrative organization of the different authorities and their legal and financial regulations. Now you will describe and analyse a set of strategies of different stakeholders, including the spatial planners) within this setting (page 39-98 or max. page 119)

*Ch. 3.1 Introduction*

(that motivates the choice for the following two or three issues and indicates the link with PLUREL)

*Ch. 3.2 Strategies to ... [name the strategy, e.g. strategy to counter the termination of agricultural land use in the urban fringe, or to diminish housing pressure, ...]*

(15-20 pages text plus 3-5 pages illustrations) (times 2 or 3 strategies, if more then diminish the number of pages per strategy)

- the relations between the social, ecological and economic aspects, how they impact upon the developments in the fringe, in relation to the urban and rural areas and to globalization, ageing/international migration and climate change (3 pages text). Does the first description in the JAF Remix of the four main issues provide you with sufficient basis to start this description for your region?

- The policy network:

- actors and coalitions,
- division of resources/power;
- rules of the game,
- discourses,
- strategies and interactions

- You elaborate a limited set of strategies and stakeholders that have become active to influence upon the relations (distinguishing between spatial planners, politicians, residents organizations, nature organizations,); (1 page text, with communication situation map); strategies that a selection of these stakeholders that have become active (the actors) have developed, the problem perceptions, expectations and discourses behind these strategies, how they did come about: the circumstances and interactions in the policy network that lead to their adoption and further development. (time span to be mentioned).

Here the description of government institutions and main policy documents that set the scene, from Part 2, are referred to. (6- 14 pages in total for at least 3 strategies elaborated for the main issue concerned). Spatially explicit maps and summaries or quotations from individual and group interviews are added to support the analysis.

#### **Ch. 4 Conclusions (2-3 pages)**

Important lessons and how to feed them into the following deliverables of Module 3 (i.e. into the assessment; scenario development and generalization and transfer);

Important lessons to feed into the other research modules of PLUREL.

#### **References**

#### **Appendix (max 10 pages)**

## **Appendix D                      Generic questions for the interviews of stakeholders**

*Objectives, adaptation to local situation and land use issues, phasing in time*

These generic questions are to be used in the case study research in the regions of Haaglanden, Hangzhou, Koper, Leipzig, Greater Manchester, Montpellier and Warsaw. The interview questions should help to answer the research questions for year 1 and 2 raised in section 2.1. (page 6). They are part of the 'case study research fieldwork' set out in section 3.2.

We propose these generic questions to provide some structuring to ascertain comparability of research findings between cases. On the other hand we want to leave room for the specificities of different cases. This is important.

For the six different land use issues we are in the process of developing specific, optional questions.

We ask the partners to develop their own interview questions. We find their contribution and joint thinking with us important because it helps to broaden our reference base and with it the knowledge for PLUREL research. Differences between respondents are also important and we have discussed these in Koper meeting.

For year 1 the questions should help to reveal governance and spatial planning strategies and the motives behind these strategies. The assessment in year 2 considers both sustainability and process aspects of the main strategies. For the assessment the interviews should provide information on the both the social, economic, ecological /Sustainable Development interests of the stakeholders. They should reveal how these are being taken care of by the strategies, or not. Besides the representation of the interest of the public, business or other authorities in the main strategies, democratic approaches (consultations, etc.), timeliness of the decisions and of the impacts of the strategies are among the process aspects to study.

These generic questions (see next page) should be adopted to the local situation and translated into local language by the national research teams. For the different land use issues at stake, you should raise different additional questions.

We suggest to do the interviews in two phases:

1> First interviews with organizations, chairs of residents associations.

2> Secondly interviews with (groups) of residents.

3> Eventually group interviews between different actor groups

The first groups are the more active stakeholders (actors). The second group comprises of stakeholders that might not be actors in the policy network, but whose interests are of importance if we want to assess the three main strategies that we are studying and whether and how interests are covered.

At the M3 PLUREL website you can find chapters from the 'Magenta book' suggested by Simon Bell, that you might wish to use for preparing your interviews.

To some group interviews, it could help the transfer of information if you take with you a representative of the regional authority. During the interviews, depending on the stakeholder, zoom in from the general level into some problematic areas where strategic interests of different stakeholders interfere with each other. Or, for citizens depart from their daily life, eventually entering into a discussion about the urban fringe. They probably do not think in terms of 'urban fringe' and land use issues.



*Useful materials*

Several copies of a map of the region available (scale 1:50.000?), with topographic underground, displaying the regional area concerned.

Same map with administrative boundaries of the region, the municipalities.

*Target groups to interview*

You should adapt these to your own situation. On page 16 of this report you already find tentative lists of stakeholders.

The location of the citizens organizations should be well chosen, reflecting the degree of wealth and environmental quality of the different neighborhoods in the region, and both smaller and bigger municipalities. Also differences in sexe, personal or family situations, age, cultural background (immigrant and non immigrant groups).

Preferably interview them in groups, so they can react to each other's remarks which can deepen the discussion and reveal new perspectives.

Ask them questions about the environment, both as the daily living environment, areas where they go for leisure, daily/vacation and ecologically. Use your own local language terms.

**Generic questions**

1

To officers and politicians of the region:

What area do you consider as peri-urban areas within the region? (Let them indicate it on the map 1:50.000 and take it with you after the interview).

To officers and politicians of municipalities, if relevant:

What area do you consider as urban fringe of your municipality, can you indicate mark it on a map.

What areas do you consider as urban fringe of the region? (let them indicate it on a map and take it back with you.)

To residents:

Describe the type of area you have in mind: open areas around the build up areas, outside the city centre, where you still find forests, farms, recreational areas and where urbanization might occur in the foreseeable future.

2

What is the meaning of these areas to you, as officer, as politician, as enterprise, cooperative, or as resident.

What are your wishes, ideals or objectives now, or for the near/far future for the urban fringe.

How does your organization plan & act to realize your objectives? How is this formulated?

What financial or personnel investments do you / or your organization / or your firm make.

At what aspects of the green open space are the focuses/what aspects / areas are they oriented, which have your attention or concerns?

3

Do you cooperate with partners on this issue, which partners? What form does this cooperation take?

Which successes did you achieve until now?

What problems or threats do you experience or foresee to the achievement of their objectives?

To what extend are citizens/residents acknowledged, given influence on the formulation and/or execution of your actions, plans or policies? What is your opinion about this and why?

**Region-specific questions**

Questions to ask subsequently, after the generic questions above, zooming in at the relevant land use issues described in section 2.3, page 10.

## Appendix E Matrices to enhance comparison between the cases

### WORK PROGRAM M<sub>3</sub> CASE STUDIES:

Continuous process: joint development research approach

- Year 1/2 – description and analysis
- Year 2 – assessment of regional strategies
- Year 3 – scenario development
- Year 4 – generalize & transfer

We follow an approach of joint development of our research between the six case study regions. We have come to agreements for the analysis. See below the steps in the diagram go from agreed research objectives, research questions, towards research methods and results. The JAF text gives further informations and a list of content for the Analysis report.

Deliberable and methods

DELIVERABLE		RESEARCH OBJECTIVES and RESEARCH QUESTIONS (see JAF text)	METHODS								RESEARCH RESULTS (see Appendix C, index analysis report)
			studying maps	existing scenarios in GIS format	Numeric statistics	Site visits	Study of plans	Study of policy documents	semi-structured interviews	Panel discussions	
D3.3.1 - 3.3.7	Regional case study reports on regional planning and decision making, and its impact on land use in the urban fringe (Month 11-15)	Providing insight in land use relations questions: <ul style="list-style-type: none"> <li>▪ regional development: economic, social, physical-ecological</li> <li>▪ developments with impact on the fringe</li> <li>▪ stakeholders' perceptions on these developments</li> </ul> Description of spatial planning and governance strategies questions: <ul style="list-style-type: none"> <li>▪ what stakeholders and interests matter</li> </ul>	x	x	x	x	x	x	x	x	<ul style="list-style-type: none"> <li>▪ Brief history of the city-region</li> <li>▪ Baseline landuse &amp; socio-economic profile &amp; trends.</li> <li>▪ technical baseline data</li> </ul>
			x	x	x	x	x	x	x	x	<ul style="list-style-type: none"> <li>▪ Detailed description of spatial planning / governance.</li> <li>▪ Stakeholder matrix</li> <li>▪ Governance matrix</li> </ul>

		<ul style="list-style-type: none"><li>▪ which are passive/active stakeholders</li><li>▪ what main strategies impacting fringe</li><li>▪ why strategies are adopted: perceptions, discourses, coalitions</li></ul>									<ul style="list-style-type: none"><li>▪ ‘Benchmarking’ matrix (see below)</li></ul>
--	--	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--	--	--	--	--	--	--	--	-------------------------------------------------------------------------------------

**MATRIX TO REPRESENT THE SETTING IN WHICH YOUR STRATEGIES ARE DEVELOPED (benchmarking matrix Joe Ravetz)**

	direct data	regional governance and spatial planning strategies	policies / data	indirect factors	underlying norms, values, discourses
<b>Case study key issues</b>					
housing	housing growth %		rural housing policy urban fringe policy	housing tax system social benefits system law on landlords etc	'Englishman's home is his castle" "NIMBY" "Not in my term of office"
transport					
tourism & leisure					
agriculture					
biodiversity					
water management					

Do not try to fill in every cell. Use the matrix in a flexible way. Fill in for the land use issues in relation to green that your regional strategy is focussed at. We do not have to study all policies! Results will be diverse, depending on the strategies you pay most attention to. At the basis of your first analysis report we can eventually improve, by discussing between case study regions.

### STAKEHOLDER MATRIX

(examples from the housing sector)

This can be used in a straight matrix or as a quasi-flow-chart showing relationships & conflicts, or as a structure for the ‘mapping’ below

	<b>PUBLIC AUTHORITY</b>	<b>PUBLIC / PRIVATE</b>	<b>BUSINESS</b>	<b>SOCIAL ENTERPRISE</b>	<b>CIVIL SOCIETY</b>	<b>COMBINATION</b>	
	<b>public sector</b>	<b>public / private</b>	<b>private sector</b>	<b>private / third</b>	<b>third sector</b>	<b>third / public</b>	
EU – international							
national level	English Partnerships		large contractors				
regional level	regional planners	public/ private partnership					
city-regional level			house builders	house builders federation			
municipality level	local housing dept		private landlords	Social landlords			
local / neighbourhood level				housing cooperative	residents association	local area partnership	

In year 2 we will compare these matrices. For each issue we will get a set of matrices we can compare between regions. They will help us to see which actors are involved or not in a certain strategy. The categorization of stakeholders will be a problem for the comparison between regions. We have to discuss and integrate definitions into the glossary. This should be done after the first draft Analysis report.

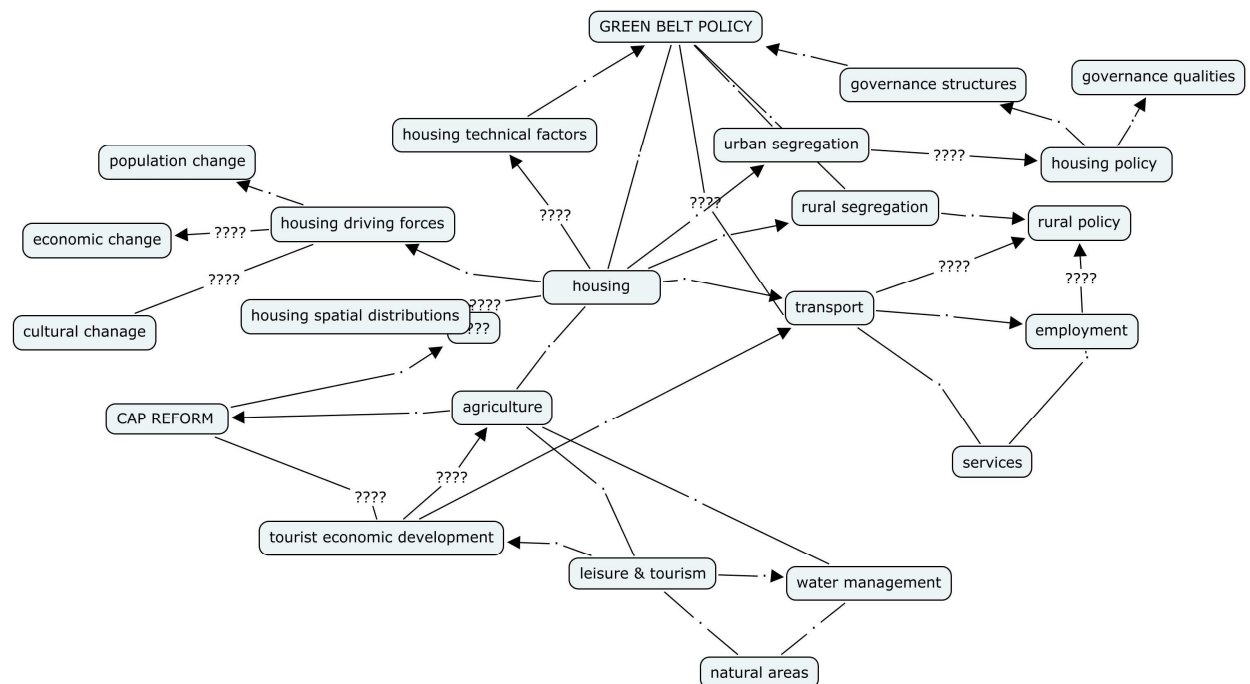
NB.: You will notice overlaps between the communication situation maps in JAF, the stakeholder matrix in JAF and the above matrix. You should choose which format works best for your situation. After the first draft we can try and harmonize where possible.

### NETWORK MAPPING:

The example is the housing sector;

The software is C-Map, available free from [www.ihmc.com](http://www.ihmc.com)

This diagram below can help the modellers of the other Modules to make the link to our Module 3 research findings, and vice versa. You will notice our six main land use issues in the right side below: housing, transport, watermanagement, leisure and tourism, natural areas, agriculture. Try to keep these six as a minimum and depict relations and impacts you identify in your research.



## REFERENCES

Birgersson, Lisbeth, Björn Malbert, Knut Strömberg: Governance and Communication. Greenscom Workpackage 1. Chalmers University of Technology, Gothenburg. Sweden, March 2001.

Giddens 1984, The Constitution of Society: Outline of the Theory of Structure  
University of California Press, Berkeley, CA

Healey, P., Collaborative Plannning: Shaping Places in Fragmented Societies, Hong Kong: Macmillan Press LTD. 1997

Tatenhove, J., P Leroy, B Arts: Political Modernisation and the Environment: the Renewal of Environmental Policy Arrangements. Kluwer Publishers, Netherlands. 2000