

## Processes of Urban Planning Policy Transfer and Learning

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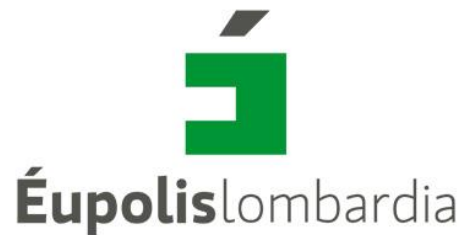
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KNOWLEDGE, POLICYMAKING AND LEARNING IN EUROPEAN METROPOLITAN AREAS: EXPERIENCES AND APPROACHES (25-26 JANUARY 2016, BRUSSELS)

<<< BOOK OF ABSTRACTS >>>



Hosted by

EUROPEAN UNION



Committee of the Regions



## Knowledge Policymaking and Learning in European Metropolitan Areas: Experiences and Approaches

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## Knowledge Policymaking and Learning in European Metropolitan Areas: Experiences and Approaches

### 1 PROGRAMME

<b>DAY - 1</b>		
<i>Location: Vrije Universiteit Brussel, Pleinlaan 9 – 1050 Brussels Rooms Maed &amp; Weber, SMIT Building, 1<sup>st</sup> Floor</i>		
09.00	Introduction	<b>Bas VAN HEUR</b> (Cosmopolis, Vrije Universiteit Brussel)
09.15	PANELS 1&2	
13.00	<i>Lunch</i>	
14.00	PANELS 3&4	
17.45	Conclusions	<b>Muriel SACCO</b> (Germe, Université Libre de Bruxelles)
<b>DAY - 2</b>		
<i>Location: Committee of the Regions, 2 Rue van Maerlant – 1000 Brussels Room VM1 – van Maerlant Building, 2<sup>nd</sup> Floor</i>		
09.00	<i>Opening session and registration</i>	
09.15	Knowledge, Policymaking and Learning: experiences from Brussels	<b>Nicola Francesco DOTTI</b> (Cosmopolis, VUB)
10.00	ROUNDTABLE 1 Supporting knowledge for policymaking: beyond speaking truth to power	
11.00	The research-policy nexus: boundary working	<b>Alessandro COLOMBO</b> (Éupolis Lombardia)
11.45	ROUNDTABLE 2 Experts and expertise for policymaking: towards ‘smart governance’ for European metropolitan areas?	
12.30	Conclusions	<b>Tassilo HERRSCHEL</b> (University of Westminster)
12.45	<i>Lunch</i>	



## 2 CALL FOR PAPERS

### CONTEXT

The local capacity to auto-regulate internal conflicts, to avoid (under-)development lock-in and to react to external stimuli is a fundamental challenge for social learning, (multi-level) governance and, in general, local policymaking (Armitage, 2007; Garmendia and Stagl, 2010; Hooghe and Marks, 2003). In this perspective, the idea of ‘knowledge for innovation’ moves beyond the traditional definition of “R&D activities” for technological and market-oriented innovation (Moulaert and Nussbaumer, 2005). The notion of learning region (Hassink, 2005; Lorenzen, 2001; Morgan, 1997; Moulaert and Sekia, 2003) has emerged since the early 1990s, recognising that knowledge is produced, validated, exchanged, translated, and applied in specific territorial contexts where tacit knowledge, local untraded interdependencies and cumulative learning process become key aspects (Antonelli and Quéré, 2002; Gertler, 2003; Storper, 1997). However, a territorial perspective on knowledge for policy learning is still an under-explored dimension.

In the current European political debate the notion of ‘resilience’ has attracted major attention to analyse the territorial capacity to resist and/or recover from economic shocks (Boschma, 2015). From this debate, an emerging issue is the local capacity to promote policy changes, so as to address evolving grand societal challenges through a place-based approach. We propose to focus on policymaking capacities in European metropolitan areas as a key dimension in this process. At the local level, knowledge is a scarce resource in comparison to larger scales, such as national and European ones, where many, and varied, actors are involved. On the other hand, large urban areas are known to be the centre of supra-local knowledge networks, where many producers, users and ‘intermediaries’ are located such as universities, public administrations and emerging players acting as ‘brokers’. This opens a policy challenge to finding effective ways to develop knowledge that is ‘useful’ and ‘usable’ for policymaking and learning.

### OBJECTIVE

The objective of the workshop is to explore the capacity for policymaking in European metropolitan areas with a focus on the role of knowledge for policy learning. Specifically, our interest is in local conditions supportive to collective learning in order to more effectively address grand societal challenges, external stimuli (e.g. the current economic crisis, climate change, and other shocks), and internal conflicts between actors, as well as promoting local reflexivity. The knowledge available locally, the receptivity of public administrations and policymakers towards exogenous cognitive sources, and the capacity to locally re-combine different forms of knowledge, all are fundamental factors in enhancing policy change and learning (Bathelt et al., 2004; Bathelt and Turi, 2011; Escribano et al., 2009; Malmberg and Maskell, 2006). Are European metropolitan areas able to develop knowledge for policymaking and learning? What are the critical factors? What are the effects of downscaling from the



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national/European scale to the local level where knowledge is a scarce resource (Capano, 2009; Hall, 1993; Krause, 2010; Slembeck, 1997; Witt, 2003)?

Knowledge plays a fundamental role in policy change and learning. Nevertheless, knowledge and policymaking have different rationales and boundaries, and this nexus has moved beyond the simplistic idea of “speaking truth to power” (Wildavsky, 1979), and redefining the role of researchers, the concept of knowledge, and the way this is used for policymaking purposes (Hoppe, 2005; Lyall et al., 2004; Pohl, 2008). Knowledge governance (van Kerkhoff, 2013) has emerged as a new challenge opening up a new field of research focusing on the role of ‘boundary organizations’ (Hoppe, 2005), ‘knowledge brokers’ (Meyer, 2010) and ‘knowledge intermediaries’ (Taylor, 2015). They may have different labels, but are fundamentally similar. For local policymakers, the learning capacities of public administrations, and their absorptive capacity from external sources of knowledge, are key issues that make knowledge governance a major (yet often underestimated) challenge.

### CALL FOR PAPERS

Within this framework, we welcome academic papers addressing the three following dimensions from the perspective of European metropolitan areas:

- KNOWLEDGE OF POLICYMAKING: experiences of ‘political resilience’ to address metropolitan societal challenges, the role of experts and learning strategies of local policymakers.
- KNOWLEDGE FOR POLICYMAKING: definitions, actors, and dynamics beyond universities ‘speaking truth to power’, and the emerging role of ‘knowledge brokers’ and ‘boundary organizations’.
- POLICY LEARNING FOR SMART GOVERNANCE? How to define and measure these dimensions? Who is learning from whom? Which knowledge governance?

We welcome both theoretical and empirical contributions from any European metropolitan area. In the submission, we invite to specify the methodology and which cases will be presented.

Please send abstracts of around 300 words as expressions of interest to Dr. Nicola Francesco DOTTI [Nicola.Dotti@vub.ac.be](mailto:Nicola.Dotti@vub.ac.be).

Deadline for abstract submission and expression of interest: 20 October 2015

Notification of acceptance: 1 November 2015

Dates of the workshop: 25-26 January 2016 in Brussels.

Venue and location:

- Monday 25 January – Vrije Universiteit Brussel – Pleinlaan 2 1050 Brussels from 10h30 to 18h00,



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- Tuesday 26 January – Committee of the Regions – Rue Belliard 99-101 - 1000 Brussels, from 9h30 to 13h00

Organisers: Cosmopolis (VUB), Eupolis (Regione Lombardia)

European and regional institutions and organizations have expressed their interest in this initiative.

More information available on [www.greatpi.eu](http://www.greatpi.eu)

### CONTACTS

Dr. Nicola Francesco DOTTI - [Nicola.Dotti@vub.ac.be](mailto:Nicola.Dotti@vub.ac.be)

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### 3 [PANEL-1] POLICY CHANGE – POLICY LEARNING

3.1 CHAIR: ALESSANDRO COLOMBO (ÉUPOLIS LOMBARDIA)

3.2 PETER SCHOLTEN & STÉPHANE MOYSON (ERASMUS UNIVERSITEIT ROTTERDAM) - THEORIZING  
THE RELATION BETWEEN POLICY LEARNING AND POLICY CHANGE: A LITERATURE REVIEW

Policy learning is one of the classical themes in the study of public policy (Bennett & Howlett, 1992; Dunlop & Radaelli, 2013; Hall, 1993; Loeber, 2008; Wildavsky, 1979). It emphasizes that policymaking is not only the archetypical realm of power relations but also a sphere where ideas are created, assimilated, organized, and politicized to reduce uncertainties about society (Hecl, 1974; Walker, 1969, 1974; Zito & Schout, 2009). One of the most often invoked reasons for scrutinizing policy learning is the role that policy learning plays in policy change. Accordingly, many studies demonstrated that policy learning is actually connected, in one way or another, to policy change (e.g., McBeth, Shanahan, Arnell, & Hathaway, 2007; Munro, 1993). That being said, several studies do still have doubts about the role of policy learning in policy change (e.g., Eberg, 1997; Nohrstedt, 2005). In addition, policy learning is conceptualized in very different ways in different schools of thought in policy studies (Bennett & Howlett, 1992; Dunlop & Radaelli, 2013; Heikkilä & Gerlak, 2013).

What are the connections between policy learning and policy change? Does learning cause policy change? Does policy change induce policy learning? What are the cognitive and social processes between policy learning and policy change? How can effective policy learning be promoted in policy processes? This paper reviews several answers that the policy science has given to those key questions. We discuss the theoretical implications of this review, as well as the practical implications for policy actors in European metropolitan areas. We suggest avenues for future research.

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### 3.3 STÉPHANE MOYSON (ERASMUS UNIVERSITEIT ROTTERDAM) - KNOWLEDGE ON POLICY IMPACTS: DO POLICY ACTORS TAKE IT INTO ACCOUNT TO REVISE POLICIES?

Policy actors maintain or change their policy beliefs and preferences over time because they accumulate new knowledge on existing policies. Policy learning, a concept that designates this dynamic, is viewed as an important factor of policy change in the advocacy coalition framework. Existing research has shown that the production, diffusion, and acquisition of new information about policies are challenging issues. However, it has not looked at the relation between the acquired knowledge and its actual use by policymakers to revise their policy preferences. The ACF assumes that policymakers hold an internally consistent system of beliefs and preferences. Yet, do policymakers really adapt their policy preferences according to their beliefs on policy impacts? In other words, is policy learning consistent? This question is examined through regression analyses of a survey conducted in 2012 among 356 Belgian policy actors who had been involved, during the last two decades, in the European liberalization policy process of two network industries: the rail and electricity sectors. The results show that most policy actors



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perceive few impacts of new policies and tend to maintain their policy preferences over time. Hence, the consistency of their policy beliefs and preferences remains unchanged. The other policy actors perceive impacts of new policies but do not revise their policy preferences consistent with those new beliefs. We discuss the theoretical implications of those findings, as well as the practical implications for policy actors in European metropolitan areas. Future research should look at the institutional settings and social practices which can foster the consistency of policy learning.

### 3.4 GEORGIANA VARNA & DONALD HOUSTON (SCOTTISH CITIES KNOWLEDGE CENTRE & UNIVERSITY OF GLASGOW) - THE SCOTTISH CITIES KNOWLEDGE CENTRE AND THE SCOTTISH CITIES ALLIANCE: LESSONS FROM SCOTLAND ON THE TRANSFER OF KNOWLEDGE FROM ACADEMIA TO THE POLICY AND DECISION MAKING WORLD

In the context of increase devolution of powers from London to Edinburgh, and on the background of the lightning fast growth of the SNP (Scottish National Party), Scotland is going through a period of fundamental change. In her previous function as Minister for Cities, the current FM, Nicola Sturgeon, raised the issue of the importance of urban areas for the entire country and the need for improving them. Subsequently, *An Agenda for Cities* was published in 2011, which established the Scottish Cities Alliance, a partnership between the 7 cities of Scotland, The Scottish Government and academia. The latter was represented by the newly formed Scottish Cities Knowledge Centre (SCKC), initially a collaborative endeavour between the University of St Andrews and University of Glasgow and later fully based in Glasgow.

This paper will draw from my experience, as one of the core members of staff of SCKC, and present the ways in which the transfer of knowledge between academia and policy works in Scotland. It will focus specifically on the project that I have undertaken with Prof Donald Houston during 2015, on empowering Scotland's cities in the context of the Scotland Bill. This involved an in-depth 8-month research project answering the question: *How much power can (and should) Scottish cities have in the context of devolution?* The research was based on international literature review, document analysis of key policy documents, interviews with cities' leaders and members of the Scottish Government and workshops with city leaders. I will show how at this important moment in the history of Scotland, the Cities Agenda is intersecting the process of devolution and the ways in which politicians and policy makers are dealing with these complex issues. In particular, I will highlight the main barriers that exist in the process of knowledge transfer from academia to policy in Scotland, to inform a larger European debate on 'speaking truth to power'. I will conclude with a few remarks on the role of academics in informing and shaping policy-making in Scotland and the UK in general.



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### 3.5 MARJA NISSINEN (JOINT RESEARCH CENTRE – INSTITUTE FOR PROSPECTIVE TECHNOLOGICAL STUDIES) - A BOTTOM-UP PERSPECTIVE ON THE CHALLENGE OF GETTING FROM WORDS TO DEEDS IN REGIONAL DEVELOPMENT PROJECTS: REFLECTIONS FROM THE HELSINKI METROPOLITAN AREA AND ITS VICINITIES

This paper approaches community learning from the perspective of regional innovation strategies. Innovation was raised to the core of regional agenda in the 2000s and is likely to remain there thanks to the EU's Smart Specialisation.

Regional agents become aware of trendy policy notions, originally developed by university professors, consultants or management gurus, through the funding agencies that frame the conditions for the programme-based RDI funding, which covers regional development, too. The increasing significance of the EU and other third-party project financing gave a rise to the mushrooming of funding and project experts, employed by both private and public organisations.

This study focuses on a cleavage between “innovators” (= the real actors) and “innovation cheerleaders” (= consultants and public bodies promoting innovation). On many occasions, the two are driven by different motives and they do not even speak the same language with the result that those to be assisted may not appreciate the help to be offered. Such incompatibility is often treated as an absorption capacity problem, but it implies an assumption that the target group is the guilty party. The cleavage between “innovators” and “innovation cheerleaders” could be alternatively viewed as a collusion of practice-based bottom-up knowledge (partly tacit) and academic-bureaucratic top-down knowledge (related to the official policy line).

The cases to be studied here are typical mid-level projects aimed to boost knowledge-driven activities. They are hands-on projects where 1) the interaction between the project team and the target group – i.e. the “pupils” – was direct and tangible, and 2) the objectives of the project were concrete and simple. They were carried out by a regional university of applied sciences which is engaged in the metropolitan cooperation. Regional authorities (in the capacity of financiers), development companies and other stakeholders (e.g. industry representatives) were sitting in their steering groups. The project bundle dealt with industrial renewal from the angles of cross-sectoral product development with foresight methods, and also the RDI and business internationalisation. One of the projects might be characterised as a proxy to the entrepreneurial discovery process, which forms the core of the Smart Specialisation approach.

Since this is no impact analysis, the study is not about the outcomes of the projects as such but the intention is to increase understanding of the possible mismatch between supply and demand, hinted by anecdotal evidence. What is the target group's perception of the usefulness of the measures for social learning? Who is the actual beneficiary? Why is the mobilisation of companies so difficult? Why do even some “innovation cheer-leaders”, not to mention the media, raise doubts about the effectiveness of these types of activities? The lessons learned will be derived by comparing real-life experiences with the normative policy ideal and theoretical assumptions underpinning it. The findings will shed light on the realistic premises of an



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entrepreneurial discovery process, Triple Helix cooperation and transregional learning. Yet, the leitmotif is to give voice to ordinary field actors whose voices are not usually heard.

The other aim is to provide – from a very limited standpoint – a tiny bottom-up input to the broader discussion why heavy RDI allocations and a highly development innovation environment have not triggered growth and exports in Finland. Finally, the role of rhetoric for the stratification of knowledge and one's professional identity or existence will be reflected. Can rhetorical jargon become an end itself so that it builds discursive barriers? The issue is related to the alleged antagonism between practical men and a conglomerate of enmeshed segments of researchers and bureaucrats.



## 4 [PANEL-2] LEARNING POLICIES ACROSS CONTEXTS

### 4.1 CHAIR: PAUL BENNEWORTH (TWENTE UNIVERSITEIT)

### 4.2 DORINA POJANI (UNIVERSITY OF QUEENSLAND) & DOMINIC STEAD (DELFT UNIVERSITY OF TECHNOLOGY) - PROCESSES OF URBAN PLANNING POLICY TRANSFER AND LEARNING

This paper highlights some of the key processes of policy transfer and learning related to urban planning between the Netherlands and other countries. It reveals that although many foreign 'policy tourists' are impressed and inspired by Dutch planning achievements, policy transfer efforts based on Dutch examples of planning do not often result in concrete actions or hard outcomes abroad. In many cases, contextual differences (e.g. cultural and social norms, language, planning legislation and financial resources available to planning) limit the extent to which Dutch planning approaches can be employed elsewhere. The paper examines the nature and type of planning policy tools sought by policy officials, consultants and academics who look to the Netherlands for inspiration, and the lessons that they have sought to draw from the Netherlands. The focus of investigation is on who transfers policy and why, what elements of policy are transferred and to what degree, from where and to where policies are transferred, and which factors promote or constrain transfer. More broadly, the paper aims to understand the role of policy transfer processes in the diffusion of transport and land-use planning concepts. The conclusions reflect on the importance and relevance of planning policy transfer from the Netherlands. The paper is based on a study involving 64 interviews, including: (a) semi-structured interviews of 24 academics from 16 countries around the world; and (b) semi-structured interviews of 42 Dutch policy-makers and selected independent experts who have provided information to foreign visitors during policy-related excursions and/or exchanges in the Netherlands.

### 4.3 TIES VANTHILLO & ANN VERHETSEL (UNIVERSITEIT ANTWERPEN) - THE GEOGRAPHICAL SCOPE OF SECTOR-BASED REGIONAL STRATEGIES

Innovation is currently a key focus point in local and regional development policies (Hassink & Klaerding, 2011; Laranja, Uyarra, & Flanagan, 2008). Regional innovation policies have gained a prominent position in the field of economic support. Policy makers introduce a regional dimension in their innovation policy and regional policy is fuelled by innovation matters (Fritsch & Stephan, 2005). This is especially the case for the European Union where a growing part of the regional development funding is channeled towards innovation support (Legendijk, 2011). Regional initiatives have been also tied more closely to the EU's innovation and competitiveness policies and it is expected that regions themselves also contribute to these efforts (Legendijk, 2011; Lambooy & Boschma, 2001).





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Some regional innovation initiatives are used as an inspiring concept for clustering and knowledge transfer initiatives (Blien and Maier, 2008). Often these best practices are identified by a benchmarking exercise and are focused on introducing a regional model developed in a different institutional context. There is a tendency among regional policy to choose for initiatives targeting fashionable sectors (see e.g. Hildreth, 2013) based on a 'best practice' model neglecting sectoral and regional specifics and 'place-based' conditions (Martin, Moodysson, & Zukauskaitė, 2011). Furthermore the transferability of best practices is doubtful because of 'knowledge asymmetries' (Asheim et al., 2014). Increasing awareness thus exists among academia and policy makers that 'one-size-fits-all' regional policy models do not work (Todtling & Trippel, 2005) because these models are not embedded in the institutional, geographic and sociological setting of a region.

Previous studies have identified an evolution in the geographical scope of regional economic policy strategies. In correspondence with these findings, regions are expected to target parts of their strategies not only within their administrative boundaries but also go beyond their borders to 'functional regions' or 'global 'hotspots' in a respective industry. This paper presents an analysis of the determinants of the geographical scope of regional strategies in five European regions. We handle a qualitative approach that uses data extracted from 20 interviews in the case-study regions and a broad literature study. Three contextual features are proposed that have an influence on the geographical scope of a strategy: spatial aspects of innovation processes, the regional structure (functional and morphological) and the institutional capacity with a focus on competencies, coordination mechanisms and regional strategy goals. We argue that the geographical scope of a regional strategy is a multi-faceted concept made up by five main determinants: the regional, scale, form, actor and policy mix dimension. We finally look to the differential outcomes that these determinants have on the geographical scope of sector-based regional strategies.

#### 4.4 JANEZ NARED (RESEARCH CENTRE OF THE SLOVENIAN ACADEMY OF SCIENCES AND ARTS) - THE INTERPLAY OF INSTITUTIONAL ACTORS FOR ACHIEVING BETTER GOVERNANCE OF METROPOLITAN REGIONS

In the paper we present the results of the joint participative learning process that seven European metropolitan regions (Oslo-Akershus (Norway) Gothenburg (Sweden), Berlin-Brandenburg (Germany), Vienna-Lower Austria (Austria), Budapest (Hungary), Ljubljana Urban Region (Slovenia) and Province of Rome (Italy)) took between 2010 and 2012, and which focused on the governance issues among metropolis and its region in the field of spatial and transport planning. In the growing global economy metropolitan regions are the crucial nodes of innovation, know-how, trade and production, but also the most important area for provision of services for residents and businesses. This way metropolitan regions should not only follow the economic imperative by providing top services for international corporations, but above all assure maximum living conditions to their inhabitants. The obstacle in the service provision is the division of competences among various administrative units and sectors that often neglect integrative planning because of their own interests and partial plans. By analysing seven metropolitan regions we have pointed out the rigidity of administrative structures in terms of competences they have, that is occasionally overcome by flexible cooperation endeavours like



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informal cooperation, joint service providers and individual development projects. The results have shown common learning process and participative planning are of crucial importance for achieving better governance of metropolitan regions and must be supported by active involvement of institutional and non-institutional actors from entire functional area, by transparent cooperation and information platform, and by clear joint vision on the future development of the metropolitan region. The workshop on governance, attended by high ranking professionals from the seven metropolitan regions, additionally provided a range of recommendations metropolitan regions should follow in achieving more connected and better governed metropolitan functional area.

### KEYWORDS:

Metropolitan regions, governance, institutional learning, transfer of knowledge, participative planning

4.5 JAMAL SHAHIN (VRIJE UNIVERSITEIT BRUSSEL & UNIVERSITEIT VAN AMSTERDAM), TRISHA MEYER & OLOF SOEBECH (VRIJE UNIVERSITEIT BRUSSEL) - CITIES AS TEST BEDS FOR EXPLORING INNOVATIVE POLICIES: EXPERIMENTATION AND KNOWLEDGE TRANSFER IN TECHNOLOGY-DRIVEN ENGAGEMENT PRACTICES

Local level entities, issues and policies are underrepresented and under-utilized at the European level. Sub-national, local level policy making has a unique position, as direct contact with citizens is facilitated, and decisions can be made at a faster speed. Democratic practices can be more responsively enacted at the local level. Indeed, on this smaller scale, adaptations, changes and experiments are more likely to be accepted. Successes as well as failures at local level (i.e. experimental governance) could potentially provide great insight and guidance for national, and European policy making. In this paper we outline a project that will execute Living Lab testing of new ideas through direct engagement with citizens and local stakeholders. We intend to show how knowledge garnered at a city level can be usefully transferred among partner cities, and consequently can be a key element in developing policy solutions at the European level.

Household energy usage and improved energy efficiency is high on the European and member state environmental, climate and energy agenda. Creating a coherent European policy on household energy efficiency has proved challenging, since energy structures and stakeholders vary between member states. Moreover, significant efficiency improvements are dependent, not only on the efficiency of buildings and household electronics, but also on behavioural change and tools to enable knowledge based personal energy management. Experimentation in this policy sector is necessary and feasible at the local level.

In the outlined project, we want to explore means to address household energy consumption by conducting case studies in four cities: Amsterdam, Bergen, Barcelona and Brussels. We will be working with local authorities, energy providers and citizens to test and improve an online energy management tool (platform) that enables individuals to monitor and improve their household energy efficiency. The platform, through a variety of mechanisms, will achieve energy



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efficiency through stimulating behavioral change. The new platform will be developed in a constant interaction with stakeholders via Living Labs, adapted to local specificities, demographic make-ups and capacities of four targeted cities.

The paper will concentrate on developing a methodology for exploring behavior and uptake of new instruments in several European cities, learning from differences, similarities, successes and failures. Furthermore, our paper will seek to understand whether experiences in a group of cities can be transferred beyond these entities. Through this paper, we wish to ask the following questions in particular: what constraints are there to sharing knowledge between cities? Does the Open Method of Coordination process of 'peer reviewing' work more effectively between subnational entities than between EU member states? Can 'contextual' elements (or local specificities) that are often so important to policy making actually be accounted for in processes of knowledge transfer?



## 5 [PANEL-3] METROPOLITAN PERSPECTIVES

### 5.1 CHAIR: ADRIAN HEALY (CARDIFF UNIVERSITY)

### 5.2 LUCIANA DORNELLES HOSANNAH (GRAN SASSO SCIENCE INSTITUTE) - A EUROPEAN PERSPECTIVE OF INTER-MUNICIPAL COOPERATION: THE INSTITUTIONALISATION OF THE METROPOLIS (2005 – 2015)

In today's inter-connected world, governments rarely possess the full capability to solve their individual policy areas (Nelles, 2010), municipal borders are often 'fictitious' within larger metropolitan areas and all communities are confronted with the increasing scale and complexity of social processes, which result in increasing number of externalities of local policies. The necessity to think beyond municipal boundaries when dealing with key challenges and opportunities has led many governments to consider exploring inter-municipal cooperation (IMC) as possible institutional solutions. National governments and the European Union have increased their focus on IMC for regional and metropolitan governance in the past ten years, as illustrated several recent institutional reports on the subject (Ahrend, Gamper, & Schumann, 2014; EUROCITIES, 2011; Göttsche-Stellmann et al., 2011; Griesel & van de Waart, 2011; Meijers, Hoogerbrugge, & Hollander, 2012; Tasan-Kok & Vranken, 2011). However, academic literature has not kept up with this policy shift, having far fewer academic Europe-wide comparative studies produced in the same period of time (Feiock, 2007; Hulst & Van Montfort, 2007; Otgaar, 2008). This knowledge gap between institutional interest and academic productions is important to acknowledge, as it essentially signifies a contemporary political trend in European metropolitan governance that is undergoing fewer academic methodical analysis than would be expected. This paper will focus on both academic and institutional perspective of IMC in European metropolitan areas during the past ten years (2005 – 2015) in an attempt to bridge literature and view, which to date has not yet been done. The paper will be divided in three main sections: the first section will address definitions, rationale and models of IMC. The second section will cover the most important theoretical academic streams to date. The third and last section will refer to the academic and institutional comparative studies done in Europe, their methodologies and findings. The three sections will be elaborated through literature review and analysis, interviews with key policy makers in European institutions and analysis of current state of IMC bodies. By creating a solid overview of the most recent academic and institutional production and contributions, the author aims to create a unified foundation on which future studies of European IMC perspective may build upon.

#### Key words

Inter-municipal cooperation, metropolitan and regional governance theories, rational choice theory, comparative studies, European perspective.



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### 5.3 MARIO PARIS (POLITECNICO DI MILANO) & JUAN LUIS DE LAS RIVAS SANZ (INSTITUTO UNIVERSITARIO DE URBANISTICA) - SPATIAL KNOWLEDGE AND REGIONAL GOVERNANCE: TOWARD AN ALTERNATIVE MAP OF CASTILLA Y LEON (SPAIN)

Castilla y León (2,5 mln inhab., 2015) is a vast region (2.248 municipalities, 94.225 km<sup>2</sup>) located in the centre of the continental Spanish plateau. In this area, the process of territorial polarization around a reduced number of medium urban/metropolitan areas and the progressive draining of population have created a singular spatial complexity marked by a variable density of population. This rich heterogeneity, also related with the current economic evolution, claims a different management of public services and welfare, more flexible, effective and sustainable. The Regional Council showed difficulties to provide the same level of basic services to the whole population maintaining the historic administrative structure that became inefficient and often weak. As members of the IUU, we have collaborated in the process of re-think its administrative structure and according to a recent regional law<sup>1</sup>, and we proposed an alternative map of the Region, based on two entities: 176 Unidades Básicas de Ordenación y Servicios del Territorio for rural areas and 15 Areas Funcionales for urban/metropolitan areas. This unusual geography takes in consideration the current needs of local actors but, at the same time, it allows to propose new forms of governance adapted to different environments (rural,

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<sup>1</sup> Junta de Castilla y León, Ley 7/2013, de 27 de septiembre, de Ordenación, Servicios y Gobierno del Territorio de la Comunidad de Castilla y León.



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urban, mixed spaces) and conditions. The aim of this paper is, using this example, demonstrating the relevance of the spatial dimension in policymaking process and how the knowledge of place (with its constraints, its potentials and local needs) should support the effectiveness of the actions of public actors. This alternative map of Castilla y Leon is a tool for different levels: regional and local governments can use it to manage services and save resources, but also setting up new forms of planning and institutional co-operations and, in some case, creating different identities for specific parts of the territory.

### 5.4 PEDRO PORFÍRIO GUIMARÃES (UNIVERSIDADE DE LISBOA) - FROM PUBLIC INTERVENTION TO PRIVATE INITIATIVES OF COMMERCIAL AREAS MANAGEMENT

In a process similar to other national contexts, the centre(s) of Portuguese cities have been negatively affected with changes in retail, decreasing the vitality and viability of those areas. The reaction of the public sector was felt very early, by encouraging the modernization of the traditional retail outlets. This support has become more visible with the commercial urbanism programmes Procom and Urbcom implanted in the 90s and in the first decade of the new millennium, respectively. The main actors of this process were the public sector, through the government and municipalities and the private sector, through chambers of commerce. Both of the programs had a top-down nature, with the beneficiaries assuming a passive posture.

However with the decrease of the available public funding for that kind of programmes, we have been watching a slowly increase of initiatives led by busyness owners in several streets or commercial areas. Focusing on Lisbon, with the awareness of the increasing importance of this type of initiatives and aiming to reunite all under the same umbrella, the municipality created the Lisbon Shopping Destination project. The "Av. Guerra Junqueiro" is one example of such initiatives. Located in Lisbon, this project created by local entrepreneurs developed initially animation actions, and gradually passed to management actions. Gradually has assumed other responsibilities, currently assuming the role as representative body of this area. In this communication we aim to discuss the Lisbon Shopping Destination project and focus on the example of the "Av. Guerra Junqueiro," considering it representative or at least illustrative of new initiatives of shopping areas management that seem to arise as a consequence of lower public investment. We aim to understand the foundation context of the initiative, difficulties, expectations and impacts. To this end, we will use interviews made to local stakeholders.

### 5.5 CAROLA FRICKE (TECHNISCHE UNIVERSITÄT BERLIN) - POLICY LEARNING IN EUROPEAN POLICIES ON METROPOLITAN REGIONS

Metropolitan regions are recently emerging in the context of the European Union's spatial, regional and urban policies. Since the early 2000s, European policies address metropolitan regions as nodes for European spatial and economic development as well as scales for city-regional cooperation. This emerging metropolitan dimension builds on different ideas of what constitutes a metropolitan region and the understandings of the term 'metropolitan' vary



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between actors. Here, metropolitan policies are understood as an evolving policy field which refers to the spatial and economic development of city-regional areas as emerging scales in a multi-level system.

Previous research on European policies on metropolitan regions contributed to this understanding to different extents, discussing implications of European policies on metropolitan governance (Wilks-Heeg et al. 2003), capturing the development of European policies on metropolitan regions in a more descriptive manner (Wiechmann 2009), or investigating on the external positioning and supranational activities of city-regions (Heiden 2010).

However, existing research explored only selected aspects of the role of knowledge in forming a metropolitan dimension in the supranational context. Regarding the question of how a metropolitan dimension evolved in European Union's policies, the article assumes that knowledge on metropolitan regions plays an important role in the policymaking process. This paper combines theoretical approaches of policy learning with an interpretive framework which builds on the concept of policy frames and metaphors. The paper understands policymaking as a cognitive process between groups of actors in a multi-level context. For understanding the role of knowledge and ideas, the article carves out differences in how European policy documents, funding, statistics and research address metropolitan regions. Methodologically, this paper takes a qualitative approach based on document analysis, coding and expert interviews.

The paper contributes to the second theme of the workshop on the role of knowledge in form of policy-induced research and more abstract concepts in policymaking, as well as to the third theme of understanding the role of different actors in the learning process.

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## 6 [PANEL-4] TOWARDS SMART GOVERNANCE?

6.1 CHAIR: TASSILO HERRSCHEL (UNIVERSITY OF WESTMINSTER)

6.2 ALWIN L. GERRITSEN (ALTERRA WAGENINGEN UR), MARIAN STUIVER (ALTERRA WAGENINGEN UR) AND CATHERINE J.A.M. TERMEER (WAGENINGEN UNIVERSITY) - KNOWLEDGE GOVERNANCE: ORGANIZING AND ENABLING KNOWLEDGE TRAJECTORIES OF SUSTAINABILITY CLUSTERS

Knowledge is often mentioned as a driving force of changes in society, markets and governments, especially for complex issues as sustainable development. Knowledge governance (Gerritsen et al., 2013) is an emerging mode of governance in which knowledge is deliberately organized and enabled with the purpose to contribute to new problem definitions and innovative solutions to enable solving complex and persistent societal problems. This paper studies how knowledge trajectories emerge, how they are structured, and how they contribute to the development and implementation of innovative governance practices in sustainability clusters. These insights are used to improve the understanding of knowledge governance and its contribution to sustainability clusters and to explore the variety of knowledge governance practices. For this objective knowledge governance practices are systematically compared in three cases: 'Metropolitan Food Cluster Agrosfera' in Mexico, 'Sustainable dairy farming in the Northern Frisian Woodlands' in the Netherlands, and 'Seaweed Farming in the North Sea'. The cases show two distinct knowledge governance strategies. The first consists of entrepreneurs and scholars who are advocates of an innovative and sustainable practice, participate in a loose and pragmatic learning community, and actively lobby for redesigning policies. In the second strategy a more formal learning community is formed with decision makers, with a knowledge and implementation program to realize the shared objectives and solutions. Both types need a strategy to cope with epistemic differences.

### KEY WORDS

Modes of governance, knowledge management, sustainable development, knowledge society

6.3 DANIEL GREENWOOD (UNIVERSITY OF WESTMINSTER) - GOVERNANCE, STEERING AND THE DISCOVERY PROCESS: EVALUATING POLICY AND STANDARDS IN ENGLAND FOR SUSTAINABLE, LOW AND ZERO CARBON HOMES

As is widely recognised, the challenge of defining and delivering policy for fostering more 'sustainable' forms of socio-economic development is complex, requiring consideration of various expert and spatially situated forms of knowledge. This paper proposes and applies a conceptual and methodological focus for evaluating governance and policy processes in terms of





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how far they enable learning processes in this context. The extensive recent political science literatures on 'new' forms and tools of governance serve as a starting point and recent literatures on 'smart' regulation are explored, which seek to establish mutual learning and collaboration between public and private sectors. The distinctive focus is upon evaluating the effectiveness of governance arrangements and policy tools across multiple scales, from international and national, to regional and local, in steering markets towards sustainability goals, in a way that allows appropriate flexibility and scope for innovation and learning.

Political science literatures on policy learning tend to focus on conceptualising the types of process through which learning occurs. By contrast, to gain evaluative insights into governance and policy effectiveness, the approach applied here assesses how a range of policy actors and stakeholders, working across different scales, frame policy choices and outcomes in substantive terms. This includes a particular focus on their understandings and perspectives towards complex, often contested, choices and trade-offs, which are 'economic' in a broad sense that recognises the qualitatively distinct, incommensurable values involved in policy evaluation. This proposed approach is conducive to exploration of and indeed requires engagement with insights from different academic disciplines.

This approach is applied to evaluate governance, policy and standards for a sustainable built environment in England, through case studies situated in three English cities. The research, while findings some significant examples of policy learning in this sector, also highlights the limitations of attempts to develop 'smart' regulatory tools. In this context, learning across localities and regions can sometimes be hindered, rather than enabled by, policy.

### 6.4 SARAH GIEST (LEIDEN UNIVERSITY) - BIG DATA ANALYTICS FOR POLICYMAKING: GOVERNMENT CAPACITY AND KNOWLEDGE BROKERS IN SMART CITIES

In recent years, big data and smart cities have become buzzwords for the use of new data methods to provide robust empirical evidence for policy-making. The hype and hope around this issue is the transformation of city governments towards being increasingly evidence-based and implementing real-time measures. Employing data-based policy ideally supports rational, logical and impartial decisions which ultimately provide success stories for smart cities (Kitchin 2014). However, at the core of big data usage in an urban environment is the learning and knowledge from the data and the kind of lessons that can be drawn from it. In fact, data is not knowledge per se. Data is contextual and the knowledge generated from it has to be understood in the city context before being translated into a potential policy. So far, the literature has paid limited attention to the effects of using big data for policy-making and how the knowledge generated is transferred within the city context.

The paper focuses on these effects by hypothesising that locally generated knowledge is needed to make sense of big data. Translating these lessons into actual policy in a second steps requires expertise in form of knowledge brokers that can put the information into context, whereas government needs the capacity to absorb this new input. Governance capacity describes the ability to channel administrative and political resources towards pairing policy problems with



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solutions (Howlett 2009; Wu et al. 2010; Gleeson et al. 2011, Rotberg 2014). Knowledge brokers require training to understand city neighbourhoods as well as statistics. They are effectively 'data coaches', who are on the one hand responsive to communities and their priorities while at the same time interpreting data and presenting both in a form that is useful to decision-makers (The Aspen Institute 2012). In short, knowledge brokers and government capacity are the two factors driving the effective use of big data. To support this argument, the paper comparatively analyses several smart cities in Europe, which participate in the European Innovation Partnership on Smart Cities and Communities. Asking the question how data knowledge on CO2 emission is transferred into decision-making processes and ultimately utilised in the cities of Copenhagen (Denmark), Malmö (Sweden), Oxford (UK) and Vienna (Austria).

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### 6.5 HANNAH DURRANT & JULIE BARNETT (UNIVERSITY OF BATH) - USING 'BIG DATA' TO INFORM LOCAL POLICY DECISIONS (IN BATH & NORTH EAST SOMERSET)

The way we understand the contribution that 'big data' derived knowledge can make to the capacity for policy innovation is being shaped at the intersection of a number of interconnected agendas. Efforts by government at all levels to ensure policy is informed by rigorous and reliable evidence have been revitalised by the challenges of significant spending restriction, the impact of austerity and a changing demand for services. This is, in turn, reinvigorating debates about the nature of evidence and the role that different forms of knowledge can and should play in the policy process. The importance of robust information governance protocols and procedures has become ever more pertinent, but at the same time open data is seen to offer a



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vital mechanism for enhancing the transparency and accountability of governments. These agendas do not always sit in easy alignment with each other, and tension and disjunctions between them are realised acutely where the use of big data in the policy making process is practiced at the local level.

Since April 2014, Bath and North East Somerset (B&NES) Council, NHS B&NES Clinical Commissioning Group (CCG) and an interdisciplinary team at the University of Bath Institute for Policy Research (IPR) have been involved in a co-produced research project to explore the potential for connected data to inform citizen-focused local policy and practice. The principle aims of the project have been to create, pilot and evaluate a process to change the culture of information sharing across public services and generate new insights into public needs to guide policy development. The approach has involved the co-definition of policy problems and the application of innovative techniques for analysing linked data to better understand local need and co-produce solutions. The partnership is founded on the principles of knowledge-exchange, to enable sharing of ideas and ensure that the learning from the project is genuinely co-owned.

This action-oriented approach has generated significant proof of concept and has challenged established convictions about the extent to which current services meet public requirements and preferences. Alongside these benefits it has brought to the foreground two notable and linked issues associated with further advancing knowledge for policy making in the 'big data era'. A discussion of these issues forms the basis of this paper.

Local policy making communities are expressing a number of reservations about the drive to such data-derived knowledge; both in practice and in principle. To some extent these reservations are associated with the challenge that such shifts present to professional expertise and the established hierarchy of evidence. Furthermore, in a mixed economy of public service provision, the ethical consequences of drawing together data given to particular providers on explicit or implicit terms of use, and in relation to a perceived degree of independence from the state, requires particular consideration. These concerns are amplified by an abstract and decontextualized perception of public fear about data security that, in turn, constrains both the potential that new forms of data and data analytics might offer the policy making process, and the possibilities for public engagement with these approaches.

There are also significant reasons why policy making communities at the local level are concerned about the use of data collected for one purpose to inform another (albeit related) purpose. The challenge for integrating big data derived knowledge in policy-making in the big data era goes beyond technological and analytical developments, and is associated with how these new forms and modalities of data and partnerships for knowledge production can inform process by bridging the gap between the questions for which we don't have data and the data for which we don't have questions.