

# Facilitating urban area development *a hype or a valuable municipal role?*



The facilitating role of municipalities in the urban area development process in the Netherlands. Studying the case of Rotterdam.

P5 Report / MSc Thesis final version

Sal Dukker

# P5 Report

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## Information student

Name Sal Dukker  
Student number 1256955

## Information graduation

University Delft University of Technology  
Program Master of Science – Architecture, Urbanism and Building Sciences  
Track Real Estate & Housing/ Management in the Built Environment  
Studio Urban Area Development

First mentor Erwin Heurkens

Second mentor Fred Hobma

Delegate of the Board of Examiners  
Huib Plomp

## Preface

Hereby I proudly present my graduation thesis for the Real Estate and Housing track of the master of science program Architecture, Urbanism and Building Sciences at the Delft University of Technology. In my thesis I study the facilitating steering role of the municipality in urban area development projects in the Netherlands. This steering role is part of a framework of roles that the municipality can play to steer urban area development processes and co-operate with other stakeholders in these processes and projects. In my thesis I study the existing theory and the municipal organisation in Rotterdam to understand what this role actually entails. In academic publications and in publications from practitioners the importance of this role is argued, but the role isn't conceptualised or made concrete. This conceptualisation is done after studying existing theory, examples in the Netherlands and five case studies in the municipality of Rotterdam. Next to conceptualising the facilitating role of the municipality in urban development processes, additional findings are presented about the differences in views on this processes by market party stakeholders and by the municipal organisation. Finally recommendations are made for academics studying this theory and for practitioners in the field. For both valuable information on knowing what the facilitating role entails and how to use it, to steer urban area development projects.

I'm glad I can hand in my final report now and finish my studies. It was a rocky and a long road. For all the support and guidance I would like to thank a lot of people, who helped me the last two-and-a-half years. First of all my main mentor Erwin Heurkens, who was so nice to keep up with me for this long period of time. He guided me with his inexhaustible knowledge, sharp analyses and good advices, what brought my thesis to another level. And for his positive attitude, stories and that, despite his full agenda, he was willing to find a moment to grab a coffee and discuss some issues. Second, my second mentor Fred Hobma for his detailed feedback, his help on improving the academic quality of my report, his spot on questions and his ability to put things into perspective. Third, all the people at the municipality of Rotterdam who helped me in my quest to find suitable cases, connected me to other people, let me interview them, who have provided me with information and made time for me: Kees van Oorschot, Debbie Ginter, Frank Delhij, Bart van Ulden, Arienne de Muynck, Lonneke Vossen and Frans de Jong. Fourth, the enthusiastic professionals of different market party stakeholders in the cases, who were open and willing to make time for me and tell me more about the projects and their views: Oscar de Grave of Vereniging Rotterdam Central District, Ton Boon of Maarsen Groep, Peter Klevering of Balast Nedam, Patrick Oosten of ERA Contour and Erick Schouten of Heijmans. Fifth, my friends who were willing to read parts of my report and provided me with valuable feedback: Maarten, Joris, Yasmin, Jan, Jelmer and Jaap. Sixth, the many other friends for their time, support, advice, tips and discussions. And finally, my family for their support all those years. Many thanks to all of you!

I hope you enjoy reading this report.

Sal Dukker

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## Summary

This graduation report studies the facilitating role of the municipality in the urban area development process in the Netherlands. Though this role is often mentioned in articles, it has not been defined due to a gap in literature and a gap in practical knowledge on the subject. This research tries to reduce that gap, by understanding the municipal roles, goals, measures and means to steer urban area development projects better and by conceptualising the facilitating role. This is done by answering the main research question: *'What does the role of a facilitating municipality in the urban area development process in the Netherlands entail?'.* An extensive literature study and a case study with five embedded cases provide valuable information to answer that question. The facilitating role is part of a framework of four municipal roles to steer urban area development projects: shaping plans, regulating markets, stimulating markets and facilitating the process. The facilitating role is supported by three measures: acquiring market information and knowledge, managing market rooted networks and organising the municipal project team. These measures are supported by a set of means and pre-conditions. The facilitating role is about facilitating the process of urban area development and does not mean 'letting go', 'laissez-fair' or facilitate only market party stakeholders. The facilitating role can be played by the municipality in all phases of the life-cycle of an urban area and regardless of the form of public-private co-operation.

### Research design

A qualitative research strategy is chosen for this research, by studying the municipality of Rotterdam in a case study. First, the context is studied and a literature study is performed. This results in a conceptualised framework of what the facilitating role should entail. Second, this theoretical framework is studied in practice by undertaking five case studies. For each of these cases representatives of the municipality and representatives of market party stakeholders are interviewed and extensive desk-study is undertaken. Third, the results of the case studies are used to improve the initial concept. Finally, all this previous information is used to understand and conceptualise the facilitating role of the municipality in the urban development process in the Netherlands. And to conclude what this role actually entails.

A conceptual model is developed to answer the research question, see figure 1. This model is built upon an existing conceptual model of Heurkens (2012) to study the underlying mechanisms between public-private co-operation in urban area development projects. He based his model on the systems approach of De Leeuw (2002) and Arbnor and Bjerke (1997), who argue that this approach is characterised by viewing reality as being a system.) In the model developed for this report, there is a context, an organisational system and a processing system that influence each other. The context includes governance and markets with for example politics, market actors and societal actors. The organisational system is the municipal project team that is involved in urban area developments projects. The processing system is formed by urban area development processes and projects and includes the stakeholders of these processes and projects. The context provides the processing system with input and receives output from it. The organisational system influences the context and tries to steer the processing system with its roles of shaping plans, regulating markets, stimulating markets and by facilitating the process.

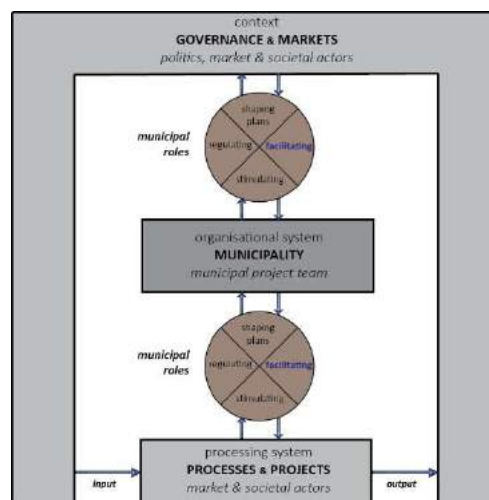


Figure 1: conceptual model developed for this study (see two pages below as well)

## **Literature study**

To better understand the context wherein the municipal organisation has to operate, certain aspects of that context are studied. First, the definition of urban area development projects in the Netherlands is given: such a project takes place in (1) an geographically defined urban area, where (2) multiple actors have to (3) co-operate to (4) take measures that are available to them within a (5) juridical and financial framework to (6) change the built environment to (7) achieve their goals within a (8) defined period of time. This definition is built upon publications of Daamen (2010 & 2015), Franzen, Hobma, De Jong & Wigmans (2011), Van 't Verlaat (2008), Van 't Verlaat & Wigmans (2011), Van Rooy (2009), VROM (2009), Wicherson (2011) Wolting (2006) and De Zeeuw (2007). Second, the development of the field is studied, which leads to the conclusion that the urban area development practice changes under the influence of external events. Industrialisation and urbanisation in the nineteenth century, reconstruction after the Second World War, the wave of neo-liberalisation from the 1980's and the financial crisis that originated in 2008 affected the field. The impacts of these events have changed the way the municipality and other stakeholders act and relate to each other, in urban area development projects in the Netherlands. Third, the most recent event and its impacts on the field is studied: the financial and economic crisis. To cope with the impacts of that crisis several theoretical answers are formulated, of which facilitating is looked into deeper. A desk-study, looking at examples of a facilitating municipality in the Netherlands, leads to the following conclusions: there are different interpretations what this role should entail; in most of the examples this role is not played; and further research is needed.

Literature is studied to understand the framework of municipal roles in urban area development projects. Based on publications of Adams & Tiesdell (2012) Daamen, Franzen & Van der Vegt (2012), Heurkens, De Hoog & Daamen (2014), Heurkens, Adams & Hobma (2015) and Heurkens, Daamen & Pol (2015) can be concluded that the municipality can play four roles in urban area development projects: shaping plans, regulating, stimulating and facilitating. These publications all build upon the Anglo Saxon theory of Adams & Tiesdell (2012) and have tried to translate this frameworks or roles to the Dutch practice. For the first three roles this is done successfully, the fourth role of facilitating has not been conceptualised or operationalised for the Dutch field. Research performed by Heurkens (2012), Groot Jebbink (2012) and Langelaan (2016) provides input on what kind of measures and means are related to the facilitating role of the municipality in urban area development practice in the Netherlands. This research does not make clear what that role entails and thus further research is needed.

## **Case studies**

From the literature study a concept and framework is developed, that is tested in practice. This framework is built on three measures that are supported by means, that the municipality can use to steer urban development projects with its facilitating role. Testing this framework is done by undertaking a case study at the municipality of Rotterdam. This municipality is selected because it actively embraces changes within its ways of working to improve the organisation, like for example the facilitating role in urban area development projects. Within Rotterdam five cases are studied, three urban area development projects: Rotterdam Central District, Hart van Zuid and Nieuw-Kralingen and two initiatives with a deeper level of analysis that focus on specific aspects of the facilitating role: the Vereniging Rotterdam Central District and De Kennismotor. These cases are selected because the municipality claims it plays a facilitating role due to more pragmatic reasons: for these cases information was available and municipal representatives could be found that were willing to contribute to this research. To study the cases desk studies are undertaken and interviews are conducted with municipal representatives and with representatives of involved market parties.

The Rotterdam Central District case showed an intensive co-operation between the municipality and market parties on certain issues. Within this area the new train station, improved public space, refurbishments of office buildings and the building First Rotterdam at the Weenapoint of investor/ developer the Maarsen Groep are realised. In the future the Schiekadeblok, another office building at the Weenapoint and two high-rise buildings next to the train station will be developed. All currently involved stakeholders; a long list of building owners, investors, tenants, end users and the municipality as well, are members of the Rotterdam Central District Association. The board and the members of this association shaped a vision for the area, which is adopted by the municipal board and the municipal council. The association gave its input to the program of requirements for the tenders of the two new high-rise buildings. In this urban area development case and the RCD association case,



facilitative means were used by the municipality to influence the process. These means are related to the measures of acquiring market information and knowledge and managing market rooted networks.

The entire urban project area at Hart van Zuid will be developed by Ballast Nedam. They won the tender for realising a new public transport hub, the public space, a new community swimming pool, an arts house, a school, a residential area, the maintenance of the public space for the coming 30 years. A municipal project team with members from different disciplines and was formed. The team had a project office and was dedicated to only this project. This team made a program of wishes and requirements and the tendering party had to make a vision for the area. Based upon that vision, the plans for the development were made and the land-use plan was laid down. Due to the composition of the team and under influence of European tender rules, the urban area development process was ran smooth. Almost all of the facilitating means are – to some extent – used in this project. The municipal project acquired a lot of information and knowledge on the market and market parties, which led to a realistic program of wishes and requirements. Furthermore market rooted networks were managed, not just in the initiative and planning phase, but in the realisation and maintenance phase as well. Finally, the municipal project team was well organised and had a lot of relevant skills, capabilities and competences due to the team composition.

The studied case of Nieuw-Kralingen differed from the other two cases, because the realisation of this upper-market residential area hasn't started yet. In 2007 a municipal housing vision was published and the parties Heijmans and ERA Contour showed their interest in realising this development. Due to the crisis the development was put on hold, but two years ago these parties started again. They have obtained land from the Dutch Railway company (NS) and will close an agreement on the sale of land with the municipality soon. Part of this agreement is a vision that the municipal council have to agree on, due to the current instable political situation in Rotterdam this hasn't been the case yet. The municipal project team that guides this urban area development project, uses some facilitative means to steer the process. Means related to the measure of acquiring market information and knowledge are used most, means related to managing market rooted networks are used to some extent.

### Conclusions regarding the facilitating role

With the information from the literature and the additionally built framework, these findings are tested in practice in the case studies. The findings and results of the case studies are structured, weighed and analysed and have led to new insights and knowledge on the facilitating role of the municipality in the urban planning process. The previously mentioned framework is adapted, the measures and means rephrased and additional pre-conditions to play this role are found. A new framework is designed that explains what the facilitating steering role of the municipality in urban area development projects in the Netherlands entails. This new framework can be found below in table 1, wherein an overview of the measures, means and pre-conditions is given.

measures	Acquire market information and knowledge	Manage market rooted networks	Organise the municipal project team
<i>means</i>	<i>Collect information on people, place, markets and actors</i>	<i>Engage and connect with stakeholders</i>	<i>Municipal project team is aware of influencing markets</i>
	<i>Communicate with-, inform- and listen to stakeholders</i>	<i>Build networks with stakeholders</i>	<i>Municipal project team obtains relevant skills, capabilities and competences</i>
	<i>Define (and design) the process and frameworks up front</i>	<i>Connect market party and internal municipal stakeholders</i>	<i>Municipal project team facilitates the own organisation</i>
<b>Pre-conditions</b>			
<i>Budget for the process</i>	<i>Municipal team with sufficient mandate</i>	<i>Municipal team is transparent</i>	<i>Room for creativity and custom work</i>

Table 1: framework of what the facilitating steering role of the municipality in urban area development projects role entails

This framework is transformed and fitted in the conceptual model of this research. This is done in figures 2, 3, 4 & 5 on the next page.



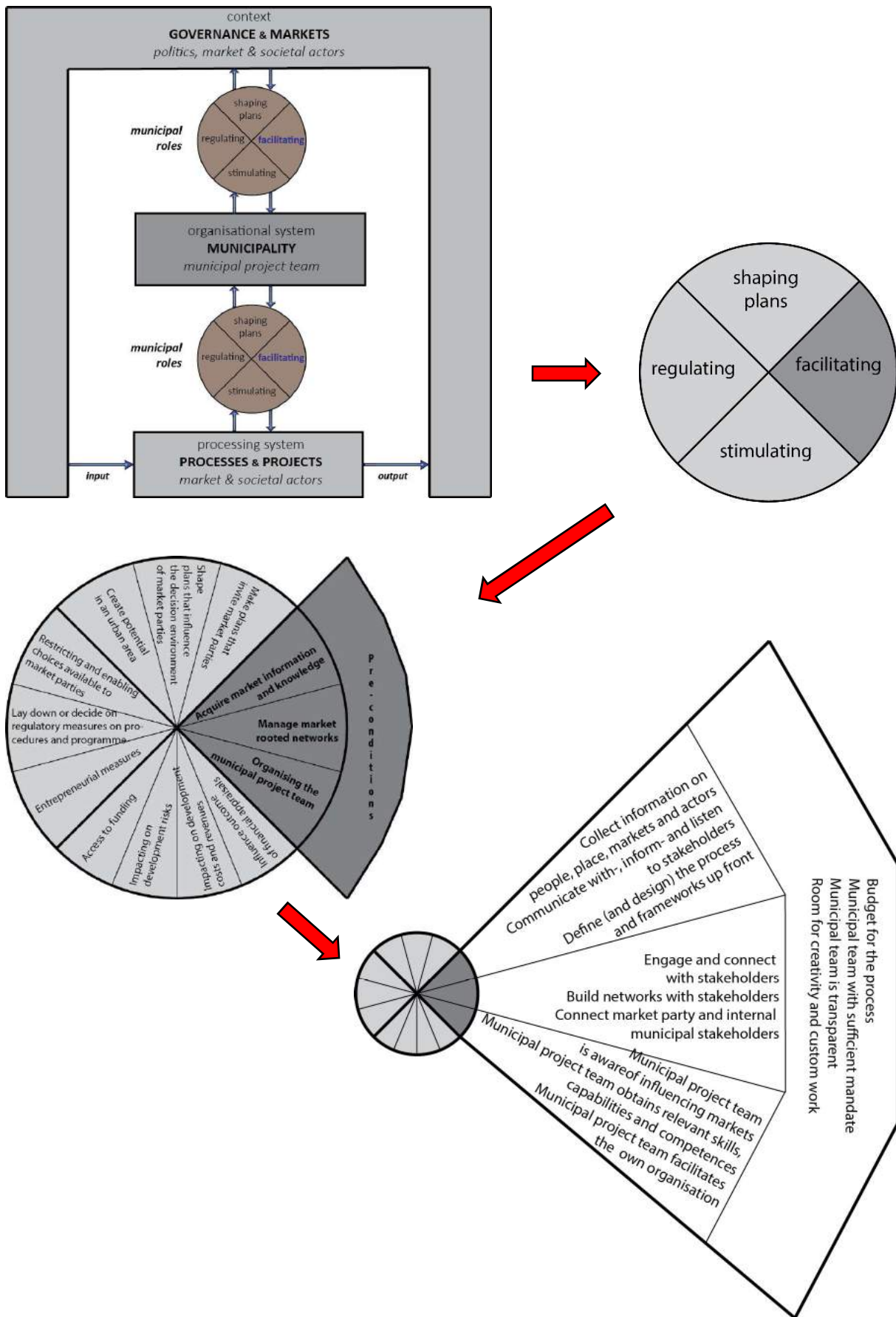


Figure 2, 3, 4 & 5: the conceptual framework for this research, with the municipal steering roles in urban area development projects and the measures, means and pre-conditions related to the facilitating steering role.

Besides this framework that explains what the facilitating role entails, from this research the following additional general conclusions can be drawn about the facilitating role:

- The facilitating steering role is about facilitating the urban area development *process* – not about facilitating market party stakeholders only, ‘letting go’, ‘laissez-faire’ or leave initiative to other parties. This process includes all the stakeholders, the physical area and the built environment itself, markets and existing legal and financial frameworks.
- The facilitating measures and means that support the facilitating steering role, can be used in all the phases of the life-cycle of an urban area to play this facilitating role. Not just in the planning phase, but in the realisation phase, maintenance phase and initiation phase as well.
- The facilitating role of the municipality is complementary to the other roles in the urban development process of shaping plans, regulating markets and stimulating markets.
- The facilitating role can always be played, regardless of the type of co-operation between public and private parties.

### **Additional findings**

From the interviews in the case studies appears that market party stakeholders and the municipality have different views on how urban area development projects should be undertaken. The most important findings in these differences in views are:

- Budget for the process. In contrast what interviewed municipal representatives think, market party stakeholders believe that there should be more budget and organisational power available for urban area development projects in Rotterdam. This is not in line with how these parties see the facilitating role of the municipality at first, that this role is about a less involved municipality in urban area development projects.
- Changing frameworks. The municipality believes that changing circumstances ask for adapting frameworks and for flexibility in urban area developments. In contradiction, market party stakeholders don't want to change the frameworks wherein projects take place during the process. This creates uncertainties for these market parties and increases risks.
- Create support for a project. The municipal team works hard to create support in the municipality (organisation, council and board) for urban area developments projects and involved market parties. It also works hard to get support for municipal viewpoints at market party stakeholders. Due to a fitfully political climate, support comes and goes and this can be an uncertainty for market party stakeholders. The municipal project team believes it's managing this support well. But according to multiple market party representatives, there still are too many uncertainties that derogate the trustworthiness of the municipal organisation.
- Transparency. The municipal project team strives to transparency in the way of handling of the municipality. On the one hand they contribute to this with their own way of acting. On the other hand, other parts of the internal municipal organisation aren't doing this at all, which makes the municipal project team look bad.
- Openness. Like transparency, the municipal project team strives to be open to other stakeholders. They expect it from these other stakeholder as well, but often this isn't the case. This leads to imbalance between the openness of the municipality and market parties. For some issues the question may be raised to what extent openness is possible and not at the same time benefits specific stakeholders over others.

### **Recommendations**

Besides conclusions, the findings of this study and the methods of this research have also led to some recommendations for academics studying and practitioners working in the field of urban area developments in the Netherlands:

- There is a misconception among practitioners in the field and among academics that facilitating is about the municipality making things possible for market parties to undertake urban area development projects. This research concludes that the facilitating role entails something else: this role is part of a framework of municipal steering roles to influence the context and steer urban area development

processes. The conclusions of this report should be communicated to practitioners and academics to ban that misconception.

- This misconception also exists among market party stakeholders and should be banned as well by communicating what the facilitating role actually entails, what might improve the co-operation between public and private parties.
- Additional research is needed to further close the gap of knowledge on the facilitating steering role of the municipality in urban area development projects:
  - o Research in other cases/ municipalities would be wise to validate the conclusions of this research and maybe even strengthen the findings of this study.
  - o Research with a deeper scope on the studied cases could explain and contribute to a better understanding of the measures and means that support the facilitating role.
  - o In this research a differences in views on the matter between market party stakeholders and the municipality occurred. These difference should be studied to let these parties understand each other better, which may possibly leads to better co-operation.

### **Reflection**

There are some remarks concerning the conclusions above and the conceptualised framework of the facilitating steering role of the municipality in the urban area development practice in the Netherlands. First, regarding external validity: the conclusions cannot be generalised to the entire Dutch urban area development practice, due to front-runner case selection and opportunistic sampling for the embedded cases. Though not generalisable, the conclusions do ad to the body of knowledge on what the facilitating steering role entails. Second, regarding internal validity: causal relationships between variables aren't proven, but by reasoning it is tried to build conclusions upon the findings of the theoretical literature study and the case studies, which studied the urban area development practice. Third, due to the opportunistic approach when selecting the cases and the purposive sampling method a bias can occur. The studied cases are selected upon the claim of the municipality that it plays the facilitating role. Cases wherein this claim wasn't presented weren't studied. This can have an influence on the result of this study, since these other views haven't been taken in account.

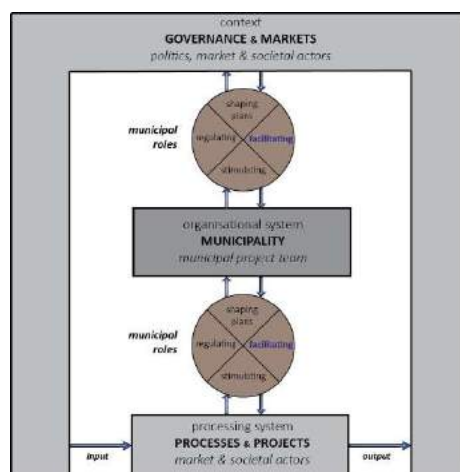
In the introduction chapter a gap in knowledge in scientific literature and a gap in knowledge of practitioners on the facilitating role is indicated. These gaps are a reason to undertake this research. This report contributes in reducing these gaps. Furthermore the objective of this research was to understand and conceptualise the facilitating role of the municipality. This objective is realised to a certain level. For the urban area development practice the facilitating role is better understood and conceptualised in this report, whereby the above mentioned remarks have to be taken in account.

## Nederlandse samenvatting

Dit afstudeerrapport bestudeert de faciliterende rol van de gemeente in het gebiedsontwikkelingsproces in Nederland. Deze rol wordt regelmatig genoemd in vakbladen en publicaties, maar wordt niet gedefinieerd. Dit vanwege een gebrek aan wetenschappelijke- en praktische kennis over dit onderwerp. Dit onderzoek probeert de kennis over dit onderwerp te vergroten, door de gemeentelijke rollen, doelen, maatregelen en middelen om gebiedsontwikkelingsprojecten te sturen beter te begrijpen en door de faciliterende rol te conceptualiseren. Dit is gedaan door de onderzoeksvraag van dit onderzoek te beantwoorden: *‘Wat houdt de faciliterende gemeentelijke rol in het gebiedsontwikkelingsproces in Nederland in?’* Een uitgebreide literatuurstudie en een case study met vijf ingebedde cases, leveren informatie om antwoord op die vraag te geven. De faciliterende rol is onderdeel van een stelsel van vier sturingsrollen voor de gemeente in gebiedsontwikkelingsprojecten: het maken van plannen, het reguleren van markten, het stimuleren van markten en het faciliteren van het proces. De faciliterende rol wordt ondersteund door drie maatregelen die genomen kunnen worden: het vergaren van informatie en kennis van markten, het managen van in de markt verankerde netwerken en de organisatie van het gemeentelijke projectteam. Deze maatregelen worden geoperationaliseerd door verschillende middelen en door het scheppen van de juiste voorwaarden. De faciliterende rol behelst het faciliteren van het proces van gebiedsontwikkeling en betekent niet ‘los laten’, ‘laissez-fair’ of het faciliteren van enkel marktpartijen. De faciliterende rol kan door het gemeentelijke projectteam worden gebruikt in alle fases van de life-cycle van een gebied en is niet gebonden aan een vorm van publiek-private samenwerking.

### Onderzoekopzet

De strategie voor dit onderzoek is kwalitatief en als methode is er gekozen voor een case study van de gemeente Rotterdam. Allereerst is er een literatuurstudie gedaan. Dit heeft geresulteerd in een theoretisch model om te begrijpen wat de faciliterende rol zou moeten inhouden. Vervolgens is dit model gebruikt om vijf cases te bestuderen. Voor elke case is tenminste één vertegenwoordiger van de gemeente en tenminste één van een marktpartij geïnterviewd. Daarnaast is uiteenlopende documentatie met betrekking tot de case bestudeerd. De vindingen van de case studies en de informatie uit de literatuur studie hebben vervolgens bijgedragen aan een aangescherpt model. Dit in de praktijk geteste en vervolgens aangescherpte model van wat de faciliterende rol inhoudt, vormt de conclusie van dit rapport.



*Figuur 6: ontwikkeld conceptueel model voor dit onderzoek (zie ook twee pagina's verder)*

Om de onderzoeksvraag te kunnen beantwoorden is een conceptueel model ontwikkeld, zie figuur 6. Dit model bouwt voort op een bestaand conceptueel model van Heurkens (2012) en bestudeert de onderliggende mechanismes in publiek-private samenwerkingen in gebiedsontwikkelingsprojecten. Heurkens heeft dit model gebaseerd op de systeembenadering van De Leeuw (2002) en Arbnor en Bjerke (1997). Zij beschouwen met deze benadering een model, zoals in figuur als een systeem om de werkelijkheid mee weer te geven. In het voor dit rapport ontwikkelde conceptueel model zijn drie entiteiten te vinden: de context, het organisatorisch systeem en het systeem waar processen plaatsvinden. De context wordt gevormd door het bestuur en door markten, zoals het lokale bestuur en politiek, marktpartijen en maatschappelijke partijen. Het systeem van processen

bevat gebiedsontwikkelingsprocessen en -projecten. Het organisatorisch systeem bestaat uit het gemeentelijke projectteam dat betrokken is bij deze processen en projecten. De context levert input naar het organisatorisch systeem en naar systeem van processen. Het organisatorisch systeem probeert de context te beïnvloeden en levert input op het systeem van processen met de vier gemeentelijke sturingsrollen: het maken van plannen, het reguleren van markten, het stimuleren van markten en door het proces te faciliteren. Het systeem van processen levert output/ een eindproduct aan de context.

Om de context waarin de gemeentelijke organisatie werkt te begrijpen, zijn de volgende aspecten verder bestudeerd. Als eerste is wat een gebiedsontwikkelingsproject inhoudt gedefinieerd: zo'n project vindt plaats in (1) een geografisch omliggend gebied, waar (2) verschillende actoren moeten (3) samenwerken en (4) middelen kunnen inzetten beschikbaar zijn (5) binnen een juridisch en financieel kader, om (6) aanpassingen te kunnen doen aan (7) de gebouwde omgeving en daarmee hun (8) doelstellingen binnen een bepaalde tijd te kunnen realiseren. Deze definitie is gebaseerd op publicaties van Daamen (2010 & 2015), Franzen, Hobma, De Jong & Wigmans (2011), Van 't Verlaat (2008), Van 't Verlaat & Wigmans (2011), Van Rooy (2009), VROM (2009), Wicherson (2011) Wolting (2006) en De Zeeuw (2007). Ten tweede zijn de ontwikkelingen van het vakgebied onderzocht, wat heeft geleid tot de conclusie dat het vakgebied zich vooral aanpast om te kunnen omgaan met de gevolgen van externe gebeurtenissen. Zoals bijvoorbeeld de industrialisatie die gepaard ging met een sterke toename van urbanisatie in de negentiende eeuw, de wederopbouwperiode na de Tweede Wereldoorlog, de golf van neo-liberalisering vanaf de jaren tachtig in de vorige eeuw en de financiële en economische crisis die rond 2008 begon. De gevolgen van deze gebeurtenissen hebben invloed gehad op de verhoudingen tussen overheden en marktpartijen in gebiedsontwikkelingsprojecten in Nederland. Als derde zijn de gevolgen van de laatste grote gebeurtenis, de economische crisis, verder bestudeerd. Verschillende theorieën zijn geformuleerd om met de gevolgen van de crisis om te kunnen gaan, waarbij de nadruk op de faciliterende rol verder is onderzocht. Vervolgens zijn publicaties bestudeerd wat deze faciliterende rol zou moeten inhouden en wat deze inhoudt. Resultaat van deze documenten-studie is dat de faciliterende rol vaak helemaal niet wordt beoefend en dat additioneel onderzoek nodig is.

### **Literatuurstudie**

Vervolgens is een literatuurstudie ondernomen om het kader van verschillende gemeentelijke sturingsrollen in gebiedsontwikkelingsprojecten beter te begrijpen. Gebaseerd op publicaties van Adams & Tiesdell (2012) Daamen, Franzen & Van der Vegt (2012), Heurkens, De Hoog & Daamen (2014), Heurkens, Adams & Hobma (2015) en Heurkens, Daamen & Pol (2015) kan worden geconcludeerd dat de gemeente vier rollen kan beoefenen: het maken van plannen, het reguleren van markten, het stimuleren van markten en faciliteren. De hiervoor genoemde publicaties bouwen verder op de Angelsaksische theorie van Adams & Tiesdell (2012) en hebben geprobeerd om dit kader van rollen te vertalen naar de Nederlandse praktijk van gebiedsontwikkeling. Dit is geslaagd gedaan voor de eerste drie rollen, maar de vierde rol van faciliteren is niet geconceptualiseerd of geoperationaliseerd naar de Nederlandse praktijk. Onderzoek van Heurkens (2012), Groot Jebbink (2012) en Langelaan (2016) voorziet enigszins in input wat de maatregelen en middelen zouden kunnen zijn die gerelateerd zijn aan faciliterende rol. Maar in deze onderzoeken wordt niet duidelijk wat deze rol daadwerkelijk inhoudt.

De in de literatuur en bij het bestuderen van de context gevonden praktische voorbeelden levert informatie die gebruikt is om de faciliterende rol verder vorm te geven. De rol wordt uitgeoefend door drie maatregelen en deze maatregelen worden ondersteund door middelen die het gemeentelijke projectteam kan inzetten voor het sturen van het gebiedsontwikkelingsproces. Dit vormgegeven concept is getest in de praktijk, in een case study, om het concept verder vorm te geven en aan te scherpen. De gemeente Rotterdam vormt de bestudeerde case. Deze gemeente is geselecteerd omdat de organisatie open staat voor veranderingen en het uitproberen van nieuwe manieren van werken om het primaire proces te verbeteren. Binnen deze case zijn vijf ingebedde cases bestudeert: Rotterdam Central District, Hart van Zuid, Nieuw-Kralingen en twee initiatieven met een diepere scope en die een of meerdere faciliterende maatregelen verder kunnen verduidelijken: de Vereniging Rotterdam Central District en de Kennismotor. De redenen dat deze ingebedde cases zijn geselecteerd zijn opportunistisch: er was voldoende informatie te vinden en verschillende ambtenaren waren bereid een bijdrage te leveren aan dit onderzoek. De gebruikte methoden voor het bestuderen van de cases zijn semigestructureerd interviews en de studie van de beschikbare documenten. Interviews zijn gehouden met tenminste één ambtenaar en tenminste één medewerker van een marktpartij en voor elke case zijn tenminste drie personen geïnterviewd.

De Rotterdam Central District case wordt gekenmerkt door een intensieve samenwerking op bepaalde onderwerpen tussen ambtenaren en marktpartijen. Dit gebiedsontwikkelingsproject behelst tot dusverre de bouw van het nieuwe trein station Rotterdam Centraal, het upgraden van de openbare ruimte, herontwikkeling van kantoorgebouwen en de bouw het kantoorgebouw de First Rotterdam op het Weenapoint door de Maarsen Groep. In de toekomst zullen de herontwikkeling van het Schiekadeblok, nog een gebouw aan het Weenapoint en twee nieuwe hoogbouwtorens direct naast het station worden gerealiseerd. In het gebied is de vereniging Rotterdam Central District (RCD) gevestigd, waarvan alle huidige belanghebbenden lid zijn: een lange lijst van eigenaren, investeerders, huurders, eindgebruikers en ook de gemeente Rotterdam is lid. Het bestuur en de leden van deze vereniging hebben geholpen met het vormgeven van de gebiedsvisie voor het District, welke is overgenomen door het college van B&W en is goedgekeurd door de gemeenteraad. Daarnaast heeft de vereniging input gegeven voor het programma van eisen voor de aanbestedingen van de twee nieuwe torens naast het station. In de gebiedsontwikkelingscase en in de case van de vereniging RCD zijn verschillende faciliterende middelen ingezet door de gemeente om het proces te sturen en te beïnvloeden. Deze middelen zijn gerelateerd aan de facilitaire maatregelen van *het verzamelen van relevante informatie en kennis over de markt en het managen van in de markt verankerde netwerken*.

Het gebied Hart van Zuid zal volledig worden ontwikkeld door Ballast Nedam. Deze ontwikkelaar won de aanbesteding voor het realiseren van een nieuw openbaarvervoerknooppunt, het verbeteren van de openbare ruimte, de bouw van een nieuw publiek zwembad, een huis voor de kunsten, een school, een woonwijk en het onderhoud van de openbare ruimte in de komende dertig jaar. Voor dit project werd een gemeentelijk team gevormd, bestaande uit ambtenaren van verschillende disciplines. Dit team had een eigen projectbureau op locatie en was volledig geëngageerd aan dit project. Het projectteam formuleerde een programma van wensen en eisen en van een aanbestedende partij werd gevraagd op basis hiervan een gebiedsvisie te ontwikkelen. De visie van de winnende partij is vertaald in een plan voor de ontwikkeling van het gebied en hierop is het bestemmingsplan vastgesteld. Door de samenstelling van het team en door de kaders die gemoeid gaan met een aanbesteding verliep het proces voorspoedig. Bijna alle faciliterende maatregelen en middelen zijn aangewend in dit project. Het projectteam *verzamelde informatie en kennis over de markt en over marktpartijen*, wat resulteerde in een realistisch programma van wensen en eisen. Verder *werden in de markt verankerde netwerken gemanaged*, niet alleen in de initiatief en planning fase, maar ook in de realisatie en operationele fase van het gebied. Tenslotte *was het projectteam goed georganiseerd* en had het veel vaardigheden en competenties in huis, door de diverse samenstelling van het team.

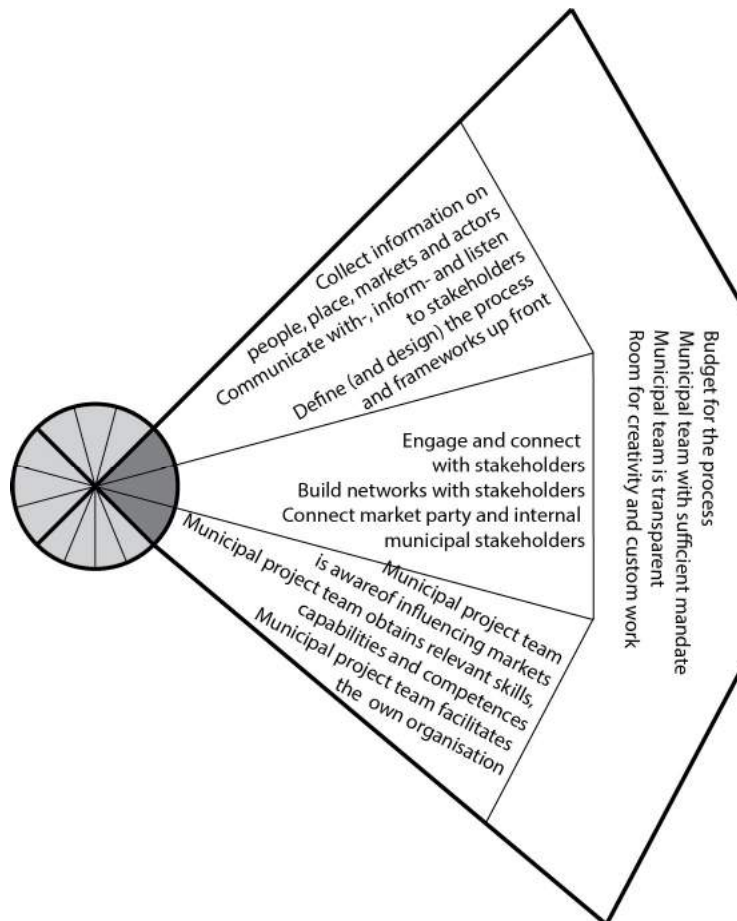
De bestudeerde case Nieuw-Kralingen verschilt van de andere cases, doordat de realisatie van deze woonwijk, met koopwoningen in het duurdere segment, nog niet van de grond is gekomen. In 2007 heeft de gemeente een woonvisie vastgesteld voor Rotterdam. Daarin werd dit gebied aangemerkt als locatie voor de toekomstige ontwikkeling van een woonwijk. De combinatie van ontwikkelaars Heijmans en ERA Contour toonden interesse. Door de financiële en economische crisis werd het project stopgezet, maar in 2015 werd het opnieuw opgestart. De ontwikkelde partijen hebben de grond overgenomen van de Nederlands Spoorwegen en staan op het punt een contract te sluiten met de gemeente, waarin de verwerving van gemeentelijke gronden wordt geregeld. Onderdeel van dit contract is de gebiedsvisie, die opgesteld is door de ontwikkelende partijen en die moet worden goedgekeurd door de gemeenteraad. Door de huidige onstuimige staat van de lokale Rotterdamse politiek is dit tot op heden nog niet gebeurd. Het gemeentelijke projectteam dat deze gebiedsontwikkeling begeleidt gebruikt meerdere faciliterende maatregelen en middelen om het proces te sturen. De middelen die gerelateerd zijn aan de maatregel van *het verzamelen van kennis en informatie over de markt en marktpartijen* zijn het meest gebruikt. De middelen gerelateerd aan de maatregel van *het managen van in de markt verankerde netwerken* enigszins.

### **Conclusies gerelateerd aan de faciliterende rol**

Met informatie van de literatuurstudie, kon het eerder ontwikkelde concept van de faciliterende rol getest en aangescherpt worden in de praktijk, in de case studies. De bevindingen en resultaten van de case studies zijn gestructureerd en geanalyseerd en hebben geleid tot nieuwe kennis en inzichten met betrekking tot de faciliterende rol. Het eerder genoemde concept is aangepast, de maatregelen en middelen aangescherpt en herformuleerd en de voorwaarden om faciliterende rol te beoefenen gevonden. Deze verbeterde versie van het concept beschrijft wat de faciliterende rol van de gemeente in gebiedsontwikkelingsprojecten inhoudt.







Figuur 10: de middelen die de faciliterende maatregelen ondersteunen en de voorwaarden voor het beoefenen van deze rol.

Naast conclusies over wat de faciliterende rol inhoudt, zijn er ook algemene conclusies te trekken met betrekking tot het beoefenen van de faciliterende sturingsrol van de gemeente in het gebiedsontwikkelingsproces:

- De faciliterende rol behelst het *faciliteren van het proces* en gaat niet over (wat veel wordt gedacht) over 'loslaten', *laissez-fair*, het faciliteren van enkel marktpartijen of het initiatief overlaten aan deze marktpartijen. Het te faciliteren proces bevat alle belanghebbenden, het fysieke gebied en de gebouwde omgeving, markten en de bestaande juridische en financiële kaders.
- De faciliterende maatregelen en middelen die de faciliterende rol ondersteunen kunnen worden ingezet in alle fases van de life-cycle van een gebied: de initiatiefase, de planningsfase, de uitvoeringsfase en in de operationele fase.
- De faciliterende rol is aanvullend aan de drie andere rollen die beoefend kunnen worden in het gebiedsontwikkelingsproces: het maken van plannen, het reguleren van markten en het stimuleren van markten.
- De faciliterende rol kan te allen tijde beoefend worden door het gemeentelijke projectteam, onafhankelijk van de samenwerkingsvorm tussen publieke en private partijen in een project.

### Aanvullende conclusies

Uit de case studies blijkt dat marktpartijen en ambtenaren een andere visie hebben op bepaalde aspecten van het gebiedsontwikkelingsproces. De belangrijkste bevindingen van deze verschillen zijn:

- *Budget voor het proces.* In contrast met de visie van de gemeenten, zijn marktpartijen van mening dat er meer gemeentelijk budget en gemeentelijk personeel beschikbaar moet komen voor het sturen van gebiedsontwikkelingsprojecten. Dit is het tegenovergestelde van wat veel geïnterviewden eerst dachten dat de faciliterende rol inhoudt: minder betrokkenheid van de gemeente in projecten.

- *Veranderende kaders en flexibiliteit.* De gemeente gelooft dat veranderende omstandigheden vragen om het zo nodig aanpassen van kaders en voor meer flexibiliteit. Marktpartijen kijken hier anders tegenaan. Voor deze partijen zorgt dit voor onzekerheid en vergroot het de risico's van ontwikkelende marktpartijen.
- *Draagvlak voor projecten.* Het gemeentelijke projectteam werkt hard om binnen de gemeentelijke organisatie (ambtenaren, gemeenteraad en college van B&W) draagvlak te vinden voor projecten en voor de visies van marktpartijen. Daarnaast probeert het (even hard) draagvlak te vinden bij marktpartijen voor plannen en wensen van de gemeentelijke organisatie. Door het onstuimige politieke klimaat in Rotterdam, komt en gaat het draagvlak en dit draagt bij aan toenemende onzekerheden voor ontwikkelende marktpartijen. Ambtenaren vinden dat draagvlak voldoende wordt gevonden. De geïnterviewde marktpartijen zijn een andere mening toebedeeld: er zijn te veel onzekerheden en de wispelturigheid van de gemeente/ politie doet afbreuk aan de betrouwbaarheid van deze partner in het gebiedsontwikkelingsproces.
- *Transparantie.* Het gemeentelijke projectteam streeft naar transparantie wat betreft haar handelen. Zij zijn hier bewust mee bezig en dit is nobel en constructief. Echter zijn andere onderdelen van de gemeentelijke organisatie die dit niet belangrijk vinden en ook niet zo handelen. Dit straalt negatief af op het gemeentelijke projectteam.
- *Openheid.* Vergelijkbaar met het volgende punt, wil het projectteam open zijn naar andere belanghebbenden over hoe besluiten worden genomen en hoe argumenten worden gewogen. Het team verwacht dit ook van haar partners, maar zijn zelden open over hun handelen. Dit zorgt voor een disbalans in de relatie. Voor sommige zaken kan worden afgevraagd in hoeverre openheid bijdraagt aan het proces, omdat het bepaalde actoren kan bevoordelen ten opzichte van anderen.

## Aanbevelingen

Op basis van bovenstaande conclusies kunnen aanbevelingen worden geformuleerd met betrekking tot de faciliterende sturingsrol van de gemeente in het gebiedsontwikkelingsproces in Nederland:

- Er is een misvatting onder professionals en academici wat de faciliterende rol inhoudt. Deze misvatting (die hier boven genoemd wordt) zou moeten worden gecommuniceerd naar deze professionals en academici om deze uit te bannen uit het vakgebied.
- Deze misvatting leeft ook onder marktpartijen. Wanneer zij zouden weten wat de faciliterende rol daadwerkelijk inhoudt, zou dat de samenwerking tussen publieke en private partijen mogelijk kunnen bevorderen.
- Aanvullend onderzoek is nodig om het gebrek aan kennis over de faciliterende rol te verkleinen. Dit zou kunnen worden gedaan door:
  - o Meerdere cases/ gemeenten te bestuderen, om de conclusies van dit onderzoek te versterken of te verbeteren.
  - o Verder inzoomen op de onderzochte cases zou kunnen bijdragen aan het beter begrijpen en conceptualiseren van de faciliterende maatregelen en middelen.
  - o In dit onderzoek zijn contrasterende visies tussen marktpartijen en ambtenaren geconstateerd. Deze verschillende visies zouden verder kunnen worden onderzocht om de verschillende belanghebbende partijen beter te begrijpen, wat mogelijk zou kunnen leiden tot betere samenwerking.

## Reflectie

Enkele kanttekeningen met betrekking tot de conclusies en de geconceptualiseerde faciliterende rol moeten worden gemaakt. Wat betreft de externe validiteit: de conclusies van dit onderzoek kunnen niet worden gegeneraliseerd door de selectie van een front runner case en door de opportunistische selectie van de ingebbede cases. Wat betreft de interne validiteit: er zijn geen causale verbanden aangetoond, door het interpreteren van de bevindingen en het beargumenteren van keuzes is getracht tot de juiste conclusies te komen. Door een doelgerichte selectie en de opportunistische aanpak zijn enkel cases onderzocht waarvan van te voren is vastgesteld dat hier faciliterend zou worden gehandeld. Hierdoor zijn cases waarin dit niet wordt geclaimd, maar wel het geval had kunnen zijn niet bestudeerd. Deze bias kan de resultaten hebben beïnvloed. Deze kanttekening doet geen afbreuk aan de conclusies, maar moeten niet uit het oog worden verloren.

# 1. Introduction

This research looks into the process of urban development projects in the Netherlands, whereby the focus lays on the changing roles of the municipal actor, with one new role in particular: the role of facilitator. In this chapter an introduction is given on the field and the latest developments, a more extensive description of these developments can be found in the context chapter. Followed by this background section, a problem statement is made and the motivations to undertake this research is presented.

## 1.1. Background

In the Netherlands the urban environment has grown in phases over the last centuries. At first sight this growth looks organic, but since the beginning of twentieth century, different periods with different characteristics can be observed in several decades. Though shaped in different periods, the urban environment in the Netherlands is characterised by its thoroughly and detailed planned and shaped processes and products, which has led to an orderly occurrence of the built environment. The different periods of urban development can be distinguished by different characteristics: the architectural appearance of the end products of this period, the reason why the developments took place – and how this has influenced the result, – which actors have taken the initiative for the developments, and the actual actors and their means that were involved in the development process. (Struiksmā, 2007, pp. 17-22)

The tradition of urban development and the distinction of these periods is strongly influenced by external events. For example the wave of urbanisation that is caused by the Industrial Revolution, whereby the demand for dwellings for workers in the cities increased, what resulted in cheap small houses in urban areas (Struiksmā, 2007, pp. 9-11). Or the reconstruction that followed the Second World War, whereby affordable dwellings on a big scale were built, entire new urban areas came to development (Wicherson, 2011, p. 2). And in the last decades of the twentieth century the changes in the office environment since the entrance of information technology in the workplace, which has resulted in new typologies of offices and working environments (Hofman & Dommerholt, 2009, p. 49). Or even more recently the worldwide financial and economic crisis, whereby the demand for dwellings, offices and other building declined strongly and made planners and developers reconsider the scale and location of urban development projects (Buitelaar et al, 2012, p. 42).

These external factors have led to new traditions with different approaches, perspectives and ways of working in the urban development process and the types of projects. Also the actors involved in this process have changed over time due to shifting interests, changing means and adapted legislative frameworks as a reaction on these events (Peek, van Remmen & Tetteroo, 2012, p. 21). In this research the effects of the recent financial and economic crisis and the effects of the neoliberal ideas of the last decennia on recalibrating the urban development field in the Netherlands and the involved actors will be studied. A more thorough description of these periods and effects on the field can be found in the context chapter of this report.

Next to external events, there are other factors that influence the development of the field of urban development. One of these factors is a factor of high importance: the influence of changing dynamics in politics and governance under the neo-liberalisation ideals that came about since the 1980's in the Netherlands. Under these ideals the vision on how to govern and manage urban development projects has changed over the last decades: from state-led towards market-led urban development projects (Heurkens, 2012, p. 75). Since the rebuilding period the government is highly involved in urban development projects, in this state-led market municipalities are acting like market parties by taking on development projects (Adams & Tiesdell, 2013, p. 286). When urban development in the Netherlands is less focused on reconstruction, municipalities still actively take part in urban development projects by taking part in public-private-partnerships in order to achieve their goals (De Zeeuw, 2013, p. 183). Nowadays developments are more and more market led, but governmental actors still play an important role. These developments of urban development have gradually led to change in management and governance of Dutch municipalities (Peek, van Remmen & Tetteroo, 2012, p. 21). This resulted in new traditions with different approaches, perspectives, ways of working and the actors that are involved in the urban development process as well.

The municipality stakeholder always played a key role in the urban development process (Groot Jebbink, 2012, p. 29). Supported by a framework of juridical, policy and financial means, the municipal actor tried to influence projects in such a way that its societal goals can be met. The goals of the municipality and the framework of means has changed over time due to the above mentioned developments.

## 1.2. Research motives

The reason this research is undertaken is threefold. First, there is a gap in literature on the subject of the facilitating role of the government in the urban development process. In the small research field of urban development management there are not many academics who write about this topic. A handful of authors can be found that try to describe this phenomena. These authors have performed numerous case studies on urban area development projects and processes in the Netherlands and in the United Kingdom, and these studies strongly vary in focus, depth and subject. Studied subjects are for example the collaboration between market parties and public actors in urban development management (Heurkens & Hobma 2014), the way municipal actors should act in the urban development process (Heurkens, Adams & Hobma, 2015), the role of the private sector in urban development projects (Heurkens, 2012) or how to create a successful place by an urban development process (Adams & Tiesdell, 2013). These academics mention the facilitating role of the government casually. What they primarily say is that the facilitating role is important and that it could improve the urban development process. Furthermore do they note that certain actions of governmental actors can be considered as a good example of a facilitating policy instrument in a particular case, but this 'facilitating label' is awarded afterwards, when the process or project is scientifically analysed, and not before or during the execution of the project. For example the appointment of a transition manager to an urban area by a municipality, that gathered market information and helped market parties in their contact towards the right municipal services (Daamen, Heurkens & Pol, 2015, p. 32). Because there are not many cases studied and the examples are really particular for these individual cases, the examples cannot be generalised. On the other hand, Adams and Tiesdell (2013, pp. 286-295) are the authors that give a description of a phenomena that they call 'building capacity' and that can be compared with the facilitating role. The roles, tasks and instruments these authors describe give some direction and will be used as a starting point for this research, but their definitions do not make clear what the facilitating role of a municipality actually entails in the Netherlands.

Second, practitioners in the field of urban development management like policy makers, politicians and consultants write about this facilitating role, but – again – do not define it. Nor is clear what kind of competences, proceedings or actions come with execution of this role. For example do they write that it is important for a municipality to facilitate bottom up initiatives (Peek, 2011, pp. 16-26), that facilitating means that a municipality no longer should take part in urban area developments, but leave these projects to market actors (Buitelaar et al, 2013, p. 26), that a municipality facilitates when it fully co-operates with initiatives from market party stakeholders (Buitelaar et al, 2012, p. 11) or give minimum input and only support private parties with their initiatives (Ministerie I&M, 2014, p. 21). When studying the facilitating role in practice, it becomes clear that this concept is '*hot and happening*', '*really important*' and a solution to a lot of problems that (now) occur in the urban development process. But it is not clear what the facilitating role actually entails and which actions are linked to this role. These authors see in every new instrument or out-of-the box solution used or created by the municipality, an action that can be applied wider in urban area development processes, but they do not become concrete. When reading descriptions of certain cases, where the municipality should have had a facilitating role, it becomes clear that the label 'facilitating role' – just like in the scientific field – is awarded afterwards. These actions are not described on forehand as a policy instruments available to the (local) government. When looking more closely at these actions, it becomes clear that they are undertaken by civil servants out of experience, their ability to come up with tailor-made solutions or just good craftsmanship. Not because these actions are described as their tasks, policy instruments or the way they should cope with certain problems.

Third and final, the municipal actor has to reach its societal goals within the field of urban area development. A field that copes with changing policy, juridical and financial frameworks and corresponding roles and means, which are the result of a process of neo-liberalisation. The process of neo-liberalisation in the urban development process can put in a wider societal and political perspective of neo-liberalisation in politics and governance in the

Netherlands over the last three decades (Heurkens, 2011, p.1). This process is characterised by less state intervention, deregulation of markets, decentralisation of state powers and the privatisation of public services (Heurkens, 2012, p. 70). The result is a retrenching municipality from the field of urban area development. The municipality no longer is a leading actor in the process of managing urban development, but tries to *facilitate* market actors to achieve its own goals.

These changed roles and means do not only influence the municipal organisation itself and how it operates, but also have an effect on other stakeholders in the urban area developments. Where the municipality retrenches as an active participant in the process, market actors are able to fill the space (Heurkens, 2012, p. 24). For example the public-private cooperation forms in urban area development projects evolved over the years ‘*from public sector-led urban development (building rights model) towards public-private sector-led urban development (joint venture model) into private sector-led urban development (concession model)*’ (Heurkens, 2012, p. 27). Dutch examples shows how market parties take over roles that the municipality did fulfil. What has to be taken in mind with these changes, is that municipality fulfilled these tasks from a societal perspective. The question is if these societal interest are secured when municipal tasks shift towards market actors.

And not just the wave of neo-liberalisation had its impact, also the recent financial and economic crisis had an impact on how the municipal actor behaves. On all levels of government budget cuts have taken place. These cuts also contribute to a retrenching government in the field of urban area development: less budget and workforce is available to realise projects. The municipality and its departments are no longer responsible for the actual work, but responsible that certain work and tasks are performed cost efficient and effective by market parties. The state sets the boundaries for these parties and helps them and itself to achieve its societal goals, by playing this *facilitating* role. The relationships between public and private parties can change even more than Heurkens (2012, p. 27) already mentions, especially when the state actor retrenches even more and only will facilitate the stakeholder market parties. These ethical considerations are the third reason and motivation to undertake this research on the facilitating role of the municipality in the urban development process.

### 1.3. Problem definition, research objective and relevance

Based on the arguments that form the motivation to undertake this research, a clear definition of a problem can be given:

*In the changing context wherein urban development projects in the Netherlands take place, the governmental actor seems to adjust itself by taking on a facilitating role. This facilitating role of the municipality in the urban development process is insufficiently understood and hardly conceptualised, because of a gap in scientific and practical knowledge on this subject.*

The above defined problem is a knowledge problem, because the definition of this facilitating role of the municipality in the urban development process in the Netherlands is not clearly described in literature, journals, in policy documents or other sources. Though the concept is often referred to by academics and practitioners. In the next section the research objective is described and in the next chapter the research design, that will cope with this problem.

The in the first section described state of the field of urban development, plus the spotted trends and the external influences, shows that the actors in this field have to be flexible and meet new challenges to adapt themselves, their means, their goals and how to cope with these affairs. Academics and practitioners write about what should have been done and what measures and ways of working are the best and worse practices. Authors from the practical field and authors from the academic world are writing about the importance of a facilitating government in order to cope with these changes. What should this facilitating municipality be like, which task and instruments does it have or can be used for this role? The gap in the scientific knowledge on this subject and fact that this phenomena isn't described clear in literature or in policy documents leads to the objective of this research:

*To understand and conceptualise a facilitating government in the urban development process, by looking into the goals and means of the local government (the municipality), by exploring*

*the roles the municipality can perform/carry out, and by investigating the institutional context wherein this actor has to operate.*

This objective should lead to more knowledge on the urban area development process, so projects in the future can be managed in a better way by the municipality. The presumption is not that the municipality does not manage these projects effectively, but – like mentioned above – that the organisation and the context are subject to change and this can influence the effectiveness and efficiency of stakeholders and the process negatively. The urban area development context is changed by the new (type of) actors in the process, a shift of the goals and means of the existing (and new) stakeholders and the type of projects. Urban development projects are smaller than pre-crisis, the focus is more on inner-city locations on low-valued urban locations. Next to that, the municipal organisation has changed due to new political insights, a further development of neo-liberalisation and as a reaction on the financial state of the organisation and society caused by the financial and economic crisis which has started ten years ago.

As a reaction on the changing context and the developments within the municipal organisation, policymakers, academics and practitioners from the field tried to formulate solutions for the municipality to cope with these changes. As mentioned in the previous sections and chapter this comes down to a facilitating municipality and research on this concepts is needed. How this will be done is described in the following chapter.

## 2. Research design and methodology

This chapter is the proposal for the actual research that will be undertaken. In the previous chapter the problem definition, research objectives and relevance are discussed thoroughly. Based on that discussion a design for this research is made. In the first section the research design is explained and the research methods are selected, whereby the validity and the case study design is further elaborated on. This section is followed by the section with the research question and sub-research questions and an explanation on these questions. Based on the research strategy, design, method and the research questions, a research model is made, that can be used as a guide to conduct the entire research. That section is followed by the conceptual model that is and the selection of the case for the case study. This chapter concludes with the research planning.

### 2.1. Research strategy, design and method

The strategy for this research is qualitative. As Bryman (2012, p. 714) points out: *'qualitative research emphasizes words rather than quantification in the collection and analysis of data.'* In this research the emphasis lays on the behaviour of the municipality, which won't be measured in numbers, but will be looked at in the context of the urban development process. Not the amount of data, but the quality of the gathered data can influence to what extent the main research question can be answered. Like mentioned in the introduction chapter, there is a gap in information on a *facilitating* or a *capacity building* municipality in the urban development process in the Netherlands. This gap is both theoretical or scientific and practical or in practice within the field of urban development. Because this knowledge gap, an inductive research approach will be used. This is in line with what Heurkens argues: *'Academic research should try to develop useful products and models to analyse and design conceptual "exemplars for implementation"'* (Heurkens, 2011, p. 2). Data will gathered in empirical side of the research field and in existing literature, in this case this literature is both theoretical on these issues and concepts, as it is descriptive literature on the practical side of the field. These data and findings will lead to new theory on this subject to – hopefully – explain the concept better.

The research design for this study is a case study. A case will be studied to collect data on the concept of a *facilitating or capacity building municipality*. The objective of this research is to understand this concept better. The choice to perform a case study is made based upon the thought that the data collected in a case study could lead to exemplifying the concept from the context it is researched in (Bryman, 2015, p. 70). Therefore a representative or typical case will be selected, that should make the results of this research able to exemplify to a broader context.

Data for this research will be collected by the research methods of a desk study and semi-structured interviews. These methods are chosen to get a substantial amount and the best quality of data to perform the case study. With the desk study a general notion on the concept will be tried to be generated and provides the case with some context, the semi-structured interviews will be conducted to get more detailed data and to test findings from the desk study. During the desk study literature will be reviewed, policy and other governmental documents will be studied and articles and on the matter should provide a more general view on the field of urban development and the role of the municipality within the field and related to the other actors in the process. This triangulating takes form by conducting the semi-structured interviews with different actors in the process, new insights and information that isn't possible to be inducted from the desk study will be tried to obtain.

#### Case study design

The case of the City Development Department (in Dutch: Dienst Stadsontwikkeling) of the municipality of Rotterdam is concerned with urban development projects and can be considered as an representative or typical case. The objective of a representative case *'is to capture the circumstances and conditions of an everyday or commonplace situation'* (Yin, 2009, p. 48). Within the case study there will be looked at the way the municipal organisation works and fulfil its roles to achieve its goals in urban development projects. The everyday situation will be studied and from findings new theory have to be inducted. The municipality of Rotterdam has to *'provide a suitable context for certain research questions to be answered'* (Bryman, 2015, p. 70).



In this case study the sampling will be done by purposive sampling and by a sequential approach. Purposive sampling is 'when participants aren't selected on a random basis and those who are sampled are relevant to the research questions that are being posted. Furthermore, because purposive sampling it is a non-probability sampling approach, purposive sampling does not allow the researcher to generalize to a population.' (Bryman, 2015, p. 418) When looking at a sequential approach: 'sampling is an evolving process in that the researcher usually begins with an initial sample and gradually adds to the sample as befits the research questions. Units are selected by virtue of their relevance to the research questions, and the sample is gradually added to as the investigation evolves.' (Bryman, 2015, p. 418) The purposive sampling approach makes it possible to decide who to interview based on the findings of the desk-study. The sequential approach give the freedom to sample the next interviewee based on what the most recent findings are, this seems like an healthy approach for this explorative research.

### Validity and generalisability

Because the case study concerns a front runner case, the municipality of Rotterdam seems receptive to this new role and its means, measures, tools, attitudes and goals and is subject to a lot of research and publications in the field of urban development, the external validity of this case study – 'whether the results of a study can be generalised beyond the specific research context' (Bryman, 2015, p.47) – is a difficult issue. It could be that findings from the case of the municipality of Rotterdam can be generalised and are applicable in other cases, municipal organisations, across the Netherlands. Though, it can be argued that 'the purpose of a case study as a research design isn't to generalise the findings of this case to other cases', but then the question is 'how well do the data support the theoretical arguments that are generated' (Bryman, 2015, p. 71). These issues are something to take in mind when finalising this research and when the answer on the research question and the conclusions are formulated.

When it comes to internal validity in this research, this will be a point of discussion as well, when doing the research. Categorising data to induct concepts and categories will be an important part of this research, to answer the research questions of this research (see next section for these research questions). Concepts and categories will be given shape to structure and organise the collected data, in order to induct theory from this data. The relationships and causality between these concepts and categories can be an issue when performing a case study. Like Bryman argues 'internal validity relates mainly to the issue of causality. Internal validity is concerned with the question of whether a conclusion that incorporates a causal relationship between two or more variables holds water.' (Bryman, 2015, p.47) So when working with the concepts and categories, the issues stated by Bryman have to be taken in mind.

## 2.2. Research questions

To get a better understanding of what a facilitating local government in the urban development process in the Netherlands is and to operationalise the research strategy and research design, research questions are formulated. These questions are in line with explorative nature, the qualitative research design and the inductive approach of this research and try to define and understand the concept better.

The main research question is:

*What does the role of a facilitating municipality in urban development process in the Netherlands entail?*

The sub research questions:

- 1. What is the context for the facilitating role of the municipality in the urban development process in the Netherlands?*
- 2. What does a facilitating municipality in the urban development process mean according to literature?*
- 3. What are examples in theory of a municipality that actually fulfils this facilitating role in practice?*

4. *What are the similarities and differences between this theory and practice when it comes to the facilitating role of the municipality?*
5. *How to conceptualise this role of a facilitating municipality? (With conceptualising is meant what goals, measures, means, tools, instruments and attitude come with that role.)*
6. *How does the municipality of Rotterdam shapes this role in actual urban development projects?*
7. *How do market, societal and municipal actors involved in these urban development projects experience this facilitating municipality? What type of improvements can be made to this role? What are the recommendations for practitioners working with - and researches looking into this subject?*

By answering the sub research questions, the data to answer the main research question should be gathered. The sub research question is a breakdown of the main research question and tries to define concepts and parts of the main research question. In the first question the theory behind the concept is looked into. With the second question the concept will be explained by examples from practice. The third question is formulated to combine and compare the information and gathered with the previous two research questions. The next, fourth, question should formulate the concept that is researched clearly. These first four questions are part of the process of conceptualising the concept of a facilitating municipality in the urban development process. This theoretical part is followed by research questions that will look into this concept in practice. The fifth question looks into how the concept is shaped or applied in practice, whereby the focus is internal in the municipal organisation. The following question has a more external focus and should deliver data on how this intended role is experienced by the other actors involved in the urban development process, as well as the municipal actor itself. The seventh sub-research question all the acquired information and data is combined and compared to find out what the different views on the concept are, what the similarities are and what the differences are when looking at the concept from these different perspectives. By answering these seven sub-research questions, an answer on the main research question will be formulated.

### 2.3. Research approach

Based on the proposed research strategy and methods and the research questions that are formulated in the previous section, the research mode below (see figure 11) is constructed. In this research model the approach of this research is visualised.

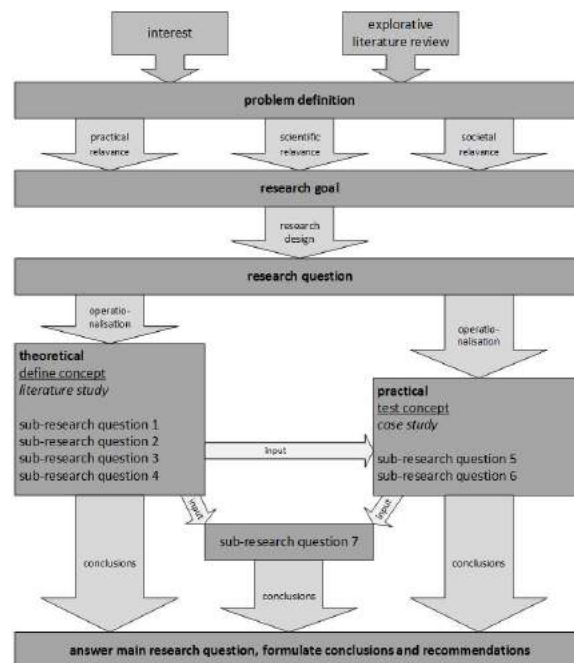


Figure 11: research model for the approach of this research (own illustration)

In the model above the steps that have to be undertaken to conduct this research are structured. The first step is the problem definition, that can be found in the introduction chapter. The problem definition has three relevant components and these components lead toward the research goal. This goal and the problem definition are also already described in the previous chapter. Based on the goal of this research, the design, strategy and methods for are formulated and these lead to the research questions, these can all be found in the previous sections. These steps are undertaken, which means that the research can now be operationalised. This will be done by a literature study and a case study. Whereby the findings of the literature study should lead to a defined concept, that will be tested in practice. Next to that the findings on the concept in the case study will also be compared with the findings from the theoretical side of this research. The findings and data from these studies should make it able to answer all the sub research questions. And by answering these, the main research question will be answered too. When data and findings lead to more or other conclusions and recommendations, these will be part of final conclusion of this research as well.

## 2.4. Conceptual model

To come up with a conceptual model for this research, a small study is performed on how to create a useful conceptual model. Methodology researchers (like Bryman, 2015) who write about this topic, just like academics from the field of urban development. In that last category the paper 'A method to study the management of urban development projects' (Heurkens, 2011, pp. 1-5) provides a method to study the management of urban development. Below the view and conceptual model from the paper are described, followed by the differences with this research and this section concludes with the conceptual model for this research, on the facilitating municipality in the urban development process in the Netherlands.

In the article, the author comes up with a conceptual model based on a steering model in order to answer his research question (Heurkens, 2001, pp. 2-4). The theoretical framework that forms the basis for this conceptual model is supported by theory of Arbnor & Bjerke and De Leeuw. Heurkens writes that '*the systems approach is characterized by a way to view (part of) reality as being a system (Arbnor & Bjerke, 1997, p. 294)*' and that's why he '*uses the systems approach to understand the mechanisms underlying the cooperation of public and private actors in order to design roles for public and private actors cooperating in private sector-led urban development projects*' for his research. He builds on that steering paradigm – '*a collection of concepts of thought about steering and the way these can be used to make representations and models for analysis and design*' – whereby '*steering is any form of direct influencing*'. Furthermore, first he explains that managing, or steering, has '*three important dimensions in projects; uncertainty, unpredictability and ambiguity*' (De Leeuw, 2002, pp. 150-186). *Second, De Leeuw (2002, pp. 150-186) supports the contingency theory as he states that: 'There is no universally effective way of managing, the appropriate way to manage is dependent on the circumstances*'. And third, '*steering is based on three dominant aspects of managing projects; achieving objectives with people, steering a course, and problem solving and designing solutions*'. (Heurkens, 2011, pp. 2-3)

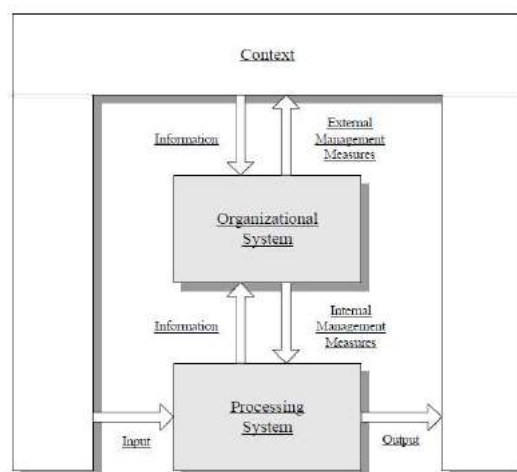


Figure 12: conceptual steering model based on the systems approach (Heurkens, 2011, p. 3)

Supported by literature of De Leeuw (2002) and Arbnor & Bjerke (1997) Heurkens designs a conceptual model (see figure 12 on the previous pages), wherein three entities are distinguished: the context, an organisational system and a processing system. The context are all external factors in an urban development process, for example rules and regulations and the economy. The organisational system is formed by the actors that act in the urban development process. The processing system are the urban development projects. In this systems the three entities influence each other in the following way: the context influences an organisational system by giving it information and a processing system by offering it input; the organisational system influences the processing system with internal management measures and the context with external management measures; the processing system influences the organisational system with information and the context with output. In his paper, the processing system is the subject of the study of the author. (Heurkens, 2011, p. 3)

In this research not the processing system, but the organisational system will be the subject to study. And within the organisational system, one actor will be studied: the municipality. There will be looked at the organisation itself, it's relations with the other actors in the organisational system and the internal and external measurement measures that the municipality can use or is able to influence.

This conceptual steering model of Heurkens (see above) seems suitable for this research. Like mentioned in the introduction chapter, the context and the processing systems are subject to change over time. And even have changed a lot for the last ten years, since the outbreak of the financial and economic crisis. Next to that, the organisational system has adapted to these changes, for example new actors are involved in urban development projects. These adaptations have resulted in other internal and external management measures: the municipality uses new measures and roles in order to achieve its goals, for example by fulfilling an facilitating or capacity building role towards other actors in the urban development process.

This conceptual model is not sufficient due too of the aggregate level of study to design a conceptual model for this research. This model is not detailed enough and is not focussed enough on the role of the municipality. To operationalise the interactions between the context, the organisational system and the processing system, another tool is needed, since the relations as described in the 2011 model between these entities are more complex and have more dimensions. Especially when focussing on the organisational system within in the conceptual model. Therefore another tool of Heurkens is used.



Figure 13: management wheel to support urban development management (Heurkens, 2012, p. 105)

To give the relations between the context, organisational system and the processing system more dimensions, the management wheel for urban development projects of Heurkens (2012, p. 105), see figure 13, is used, to replace the one-dimensional arrows in the first mentioned model.

The management wheel above describes the management measures that are available to an actor like the municipality to manage urban development projects. These measures are project management, process management, management resources and management tools. Heurkens argues that *'the way these management measures are used, determines the outcomes of urban (planning and) development projects'*

(Heurkens, 2012, p. 105). Whereby it has to be noted that for his research he indicates that these management measures can be used by all actors in the process of urban development. Since this research focusses on the governmental actor, the management wheel will only be used to research the facilitating role and its measures and means of the municipality in the urban development process in the Netherlands.

Build on the conceptual model of Heurkens based on the systems approach and the management wheel of Heurkens a conceptual model for this research is made. In this conceptual model the organisational system, formed by the municipality is the key. The management wheel of Heurkens is replaced by the four roles that the municipality can play: shaping plans and policies, regulating markets, stimulating markets and the role of facilitator or capacity builder. This renewed management wheel is placed in between organisational system and the context and between the organisational system and the processing system. Through the renewed management wheel the organisational system influences the context and the processing system and to gets information or input from the context and the processing system. The management measures that come with the roles of shaping plans and policies, regulating markets and stimulating markets fall outside the scope of this research, but are part of this conceptual model and are captured in the management wheel. More information on these roles and the means and measures can be found in the literature research chapter. The conceptual model for this research can be found below in figure 14.

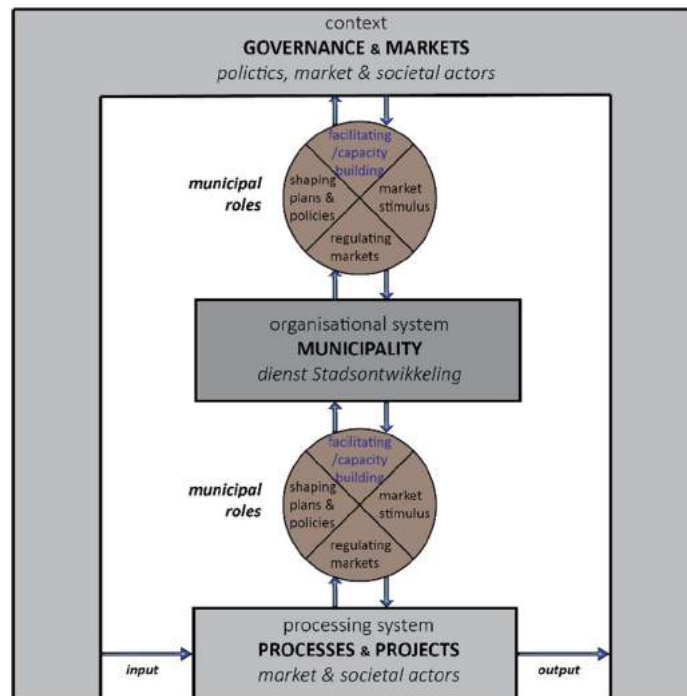


Figure 14: conceptual model for this research (own illustration) based on the systems approach model of Heurkens and a renewed version of the management wheel of Heurkens (own illustration)

For this research the focus will lay on the organisational system and its relations with the context and the processing system. These relations are conceptualised by the management measures, captured in the management wheel of Heurkens. Within the management wheel, certain measures are applicable to acquire information from the two other entities about urban development projects. With other management measures the organisational system, for this research the municipality, tries to influence the context and the processing system to achieve its goals within the urban development process. Which measures and how these measures are used to perform the facilitating role by the municipality in the urban development process in the Netherlands, are subject of this research.

### 3. Context

In this chapter the context wherein this research is undertaken will be described. The goal is that with: an introduction to the field, a brief history of the field, a summary of the reactions to the impacts of the crisis, recent developments in the field, an introduction to the facilitating role and a study to that role in practice, the context is better understood by myself and by those reading this report.

#### 3.1. Introduction to the field of urban area development

There are many translations and interpretations of the Dutch concept *stedelijke gebiedsontwikkeling*, the main subject of this research. The concept of urban development and urban area development seem to describe the concept best: *'Urban development manifests itself through spatial changes in various areas, which act in mutual correlation to form the urban region and shape its functioning. Urban area development is aimed at developing these particular areas.'* (Van 't Verlaat & Wigmans, 2011, p. 17)

In previous versions of this report a whole section was used to study these interpretations of the concept of urban area development projects. In this final version only the definition will be presented. This definition is based upon definitions of many authors like Daamen (2010 & 2015), Franzen, Hobma, De Jong & Wigmans (2011), Van 't Verlaat (2008), Van 't Verlaat & Wigmans (2011), Van Rooy (2009), VROM (2009), Wicherson (2011) Wolting (2006) and De Zeeuw (2007). This definition is:

*An urban area development project in the Netherlands takes place in (1) an geographically defined urban area, where (2) multiple stakeholders have to (3) co-operate to (4) take measures that are available to them within a (5) juridical and financial framework to (6) change the built environment to (7) achieve their goals within a (8) defined period of time.*

A geographical defined area can be building block, a street, a neighbourhood, a district, a borough and everything in between. The stakeholders can be state actors like: a municipality, private actors like investors, developers, contractors, building owners, tenants or other companies, societal actors like housing corporations, non-profit organisation and (local) associations and end-users like (future) inhabitants, tenants, building owners, neighbouring residents, people traveling through an area and many more. Co-operation between these actors could have formal forms that like juridical agreements and contracts or more informal forms such as associations or groups of interested parties. Measures available to these stakeholders depending on their type, actors can take for example financial, juridical or organisational measures to influence the process. The juridical framework is determined by law and (local) legislation; the financial frameworks depend on the financial power of the involved stakeholders. Changes to the built environment can be the construction of new buildings, changes to the public space, changes to the infrastructure, redevelopments and refurbishments of existing real estate and many more interventions. The goals differ per stakeholder and can be for example societal, financial, quantitative or qualitative. The period of time is part of the management of the project and can take up to multiple decades.

In this definition the seven determinants can be categorized by the characteristics of the project: the geographically defined urban area where the built environment will be changed; the time component and; the multiple actors with their goals, means and co-operation within the juridical and financial framework. The first category is not part of this research, but will be considered as a given. The time factor won't be part of this research either. This research will only look into the third category, at the actors and their means, measures, goals and ways of co-operation.

#### 3.2. Development of the urban area development field in the Netherlands

To understand the urban area development process better, a brief overview of the historical development of the field in the Netherlands is studied. Different periods can be distinguished, characterised of being the result of an external event. These events and their aftermath have a big impact on the actors in urban development processes, their goals, their means, the framework wherein they operate and how they collaborate. The last

event that influenced the urban area development practice is the financial and economic crisis that started in 2008, the impact and reactions are studied further on in this section.

### Brief history of the field

The first major event that had a significant influence was the industrialisation in the second half of the nineteenth century. A wave of urbanisation led to expansion of cities, whereby new workforce was housed in newly built small and poor quality dwellings in slum-like neighbourhoods. As a reaction on these bad conditions and the rising costs of land and construction, the first Housing Act was implemented in 1901, to give the municipality instruments to control urban growth. Though spatial planning was mainly the domain of the private sector and individuals. (Struiksmas, 2007, pp. 8-11)

In the decades that followed, municipalities took the initiative to shape the growing cities. New neighbourhoods were designed as an expansion of the city, for example Spangen in 1900-1910, Plan Zuid in 1914-1917, the Rotterdam Nieuwe Westen from 1910-1920 and the Amsterdam General Expansion Plan in 1934-1939. Although initiated and planned by the municipality, these developments were given shape and funded by private parties.

The reconstruction after the Second World War, due to the scale of the destruction and the shortage of sufficient housing, is characterised by a state-led urban planning system (Heurkens, 2012, p. 134). This means that the state is responsible for urban development and planning and uses the acquisition, the development and sale of land as a steering tool to achieve their reconstruction goals (Wicherson, 2011, p. 2). Private parties and housing associations are only able to develop the final real estate and purchase the serviced land from the municipality.

From the 1980's the influence of private and societal actors in the urban development process increased, because the state retrenches from the public domain, like urban development, with less investments and more space is left for market parties (De Zeeuw, 2013, p. 184). Furthermore the decisions in urban development were decentralised from the central state towards regional governments, and the role of these actors shifts from governing to governance. This means that wishes and needs of the parties is facilitated and these parties have a voice in the decision making process (Heurkens, 2012, p. 135). Although, this does not make the government withdraw completely from field. Municipalities for example stimulate private investments in urban developments with subsidies and with realizing public amenities to kick-start urban development projects. These planning powers also leave space for municipalities to act as a market party and take part in public-private partnerships. In these partnerships, the municipality created stability concerning the plans for an area and lowers other risks, like the possibility of lower interest rate on loans. Market parties supply these partnerships with financial power and development capabilities. (Heurkens, 2012, pp. 135-136)

According to Heurkens (2012, p. 27), do these public-private partnerships over time *'evolve from public sector-led urban development (building rights model) towards public-private sector-led urban development (joint venture model) into private sector-led urban development (concession model)'*. That means that roles, tasks and responsibilities slowly shift from municipal actor towards market parties. In practice this means that these public-private co-operations start in an early stage of the urban development process, deals are closed on issues such as the process, the budget, local planning policies and the investments that will be made by private parties in the urban area (Heurkens, 2012, p. 136). The urban development process becomes more complex, among others due new forms.

Due to the financial and economic crisis, started in 2008, the financial means of governmental and private parties were insufficient to continue the already started urban development projects. The crisis as a result had a big impact on municipalities. No longer can municipalities acquire big amounts of land, are they owners of unsalable pieces of land and do private parties withdraw from the urban developments since they cannot get their projects funded, nor sell the realised real estate (Buitelaar et al, 2012, p. 42). Municipalities and private parties take big losses and fear bankruptcy. Plans and developments are stopped, no new projects are started and also the construction industry comes to a standstill.

### Reactions to the impacts of the financial and economic crisis

Due to the financial and economic crisis, a lot of urban development projects came to a standstill. This happened because of a lack of available funding for private parties and a decrease in the demand for dwellings, office space



and other buildings from the market. But the societal goals and aspirations of municipalities have not been changed. Since the crisis struck, governmental and private parties have been looking at new ways to make urban developments happen again and be successful. Much has been written about these attempts, such as: organic urban development, new style urban development, urban development 3.0 and invitation planning.

Organic urban development is characterised by a step-by-step development, small-scale transformations and with the help of a flexible masterplan (Peek et al, 2012, p. 18). This flexible masterplan replaces the more rigid masterplans that are converted to spatial plans. Not only a step-by-step approach in the development itself is undertaken, where small parts of the urban area are realized after each other, but also in the planning process the decisions are made step-by-step. Masterplans are cut in pieces and the spatial plans are given form when it becomes clear that the development is feasible for all parties. Collaboration between public and private parties takes place throughout the entire development process, from initiation and planning to the realization of the development (Peek et al, 2012, p. 18). This means that the municipality also tries to involve market parties in the design and planning process, in creating zoning and spatial plans and in determine which target groups or types of buildings should be realised in the area. These decisions are made upon feasibility studies created by market parties committed to the development.

New style urban development or urban development 3.0 is a concept developed by the Dutch Ministry of Infrastructure and Environment in 2012. In publications, it argues that urban developments should have a smaller scale, a step by step approach and should include market parties in the entire development process (Peek et al, 2012, p. 13). Furthermore sustainability should be more important and the management phase of the urban area should be part of the development process, whereby stakeholders like real estate investors, the future inhabitants, and users of the urban area and energy companies should contribute to the plans and the financing of the developments (Peek et al, 2012, pp. 21-32). In additional document, a bottom-up approach for urban development is advocated. The initiative for new urban developments should not come from municipal from local residents and companies, developers and new stakeholders like energy companies, instead of from the municipality (Ministerie van I&M, 2014, p. 18). Furthermore, is proposed that market parties should take over roles and tasks of the municipality in the life cycle of an urban development. For example waste disposal and management, the maintenance of public space and local energy and warmth production by an energy company should be done by market parties (Ministerie van I&M, 2014, p. 26). This new style of urban development should result in that municipalities will no longer have to finance the development of the public space in an area and sustainability goals will be met by private parties, that have more freedom in developing an area in a way that is more cost-effective for them (Ministerie van I&M, 2014, pp. 21-25).

Invitation planning (in Dutch: uitnodigingsplanologie) is a post-crisis reaction on the concepts of admission planning (in Dutch: 'toelatingsplanologie'), where private parties are allowed to undertake developments within the existing municipal frameworks like plans and regulations, and development planning (in Dutch: 'ontwikkelingsplanologie'), what is the case when municipalities react on developing initiatives of market parties. Invitation planning is when a municipality determines the outlines wherein spatial changes are desirable when looking at the long-term and at values that have to be protected. Within these outlines, public parties have an inviting attitude towards private party initiators. (Van Rooy, 2011, p. 1) The concept of invitation planning is built upon four categories of roles and measures of the municipality in the process of urban development: facilitating and work up, steering and subsidiarity, reflection on reality, organisation culture and craftsmanship. Facilitating and work up is about communicating with market actors about their needs and give support to these needs and helping to take down bureaucratic barriers. Steering and subsidiarity entail that the municipality only steers '*from public responsibility and only where it is needed*', so it uses its organisational capabilities only to achieve public goals and to support market parties. Reflection on reality means that the municipal organisation looks at the current needs and markets and adapts its plans, organization, and support to market parties to the current state. Organisation culture and craftsmanship is about an open culture, transparency and being open towards other ideas and initiatives from the municipal organisation. (Van Rooy, 2011, pp. 2-5)

## Recent developments in the field

In the field of urban development it can be noticed, next to the reaction on the impacts of the crisis, that it changes the urban area development practice. The role of the municipal actor, the stakeholders, the type of projects and the influence of sustainability on urban development's changes.

The role of the municipality in the urban development is changing. Next to the retrenching movement, caused by the neo-liberalisation influences that started in the 1980's, does the municipal organisation outsource more tasks and leaves more room for market parties. Initiatives for urban development projects come from private actors and from bottom-up initiatives and less from municipal visions (Heurkens, De Hoog & Daamen, 2014, p. 11). Spatial plans, visions or land-use plans are made by consultancy firms, property developers or by public-private entities, instead of by an in-house department of the municipality (Hobma & Heurkens, 2015, p. 5). In private-led development projects funding and carrying the risk is done by market parties, which of course also influence benefits, where this previously was done by municipalities (Heurkens, 2013, p. 14). And also tasks in the management phase of an urban area are left to market parties, for example by outsourcing the maintenance of the public space to a developing party in a concession for the coming twenty years (De Hoog, Franzen & Ginter, 2015, p. 30). Though, these examples do not mean that the municipality completely disappears in the process of urban area development. The role of the municipality is shifting from leading to supporting and make possible. Some authors call this 'facilitating'.

The roles and types of stakeholders involved in urban development projects are changing as well. The municipality has less financial and organisational power and therefore has to co-operate or even leave certain tasks to market parties to achieve its own societal goals (Peek, van Remmen & Tetteroo, 2012, p. 21). Nonetheless, does the municipal actor still have a lot of planning and legislative power to steer the framework wherein projects take place, and steer the outcome of urban development projects (Daamen, Heurkens & Pol, 2015, p. 32). Market parties are also influenced by the impact of the crisis, adapt to that and at the same time try to adapt to the new tasks they can take on in the urban development process (Peek, van Remmen & Tetteroo, 2012, p. 51). Next to these parties, do new parties get involved in urban area development like energy companies or neighborhood cooperations (Peek, van Remmen & Tetteroo, 2012, p. 26). These new stakeholders have different views on what makes an urban development project to a success, can have different goals or a different time horizon. Or the stakeholder isn't a company that tries to realise as much profit as possible, since its shareholders are societal parties, like for example is the case with the Wijk B.V. in Rotterdam (Daamen, Heurkens & Pol, 2015, p. 32).

Also the type of urban development projects change, due to the current scale of projects, the urban locations, and the way projects are managed and sustainability issues that have to be incorporated in these projects. Due to the decrease in financial and organisational power of the stakeholders, the scale of urban development projects is smaller (Peek, van Remmen & Tetteroo, 2012, p. 17), there is less speculation and real estate only developed if uptake by the market is certain (Adams & Tiesdell, 2013, pp. 184-190) or urban area developments are cut into smaller parts and these parts are strategically phased or deals are made with different stakeholders for different parts (Adams & Tiesdell, 2013, p. 243). Next to that in the Netherlands there is no longer land available for large-scale urban development projects outside existing urban areas (De Zeeuw, 2013, p. 183). The focus is on low-value inner-city locations that no longer satisfy the wishes and needs of their stakeholders (Ministerie van I&M, 2014, p. 9). This means that in the Netherlands's focus is on impoverished urban areas, inner-city brownfields, abandoned business parks and such for future urban plans and developments.

According to many authors do sustainability issues have more importance in urban area developments. For example, the Dutch Ministry of Infrastructure and Environment writes that '*sustainability should be a starting point for every urban development project*' (Peek, van Remmen & Tetteroo, 2012, p. 5). Also, academics, like Adams & Tiesdell (2013, p. 4) believe that all urban places need to have sustainable characteristics to become a durable successful place. Also, other authors in the field (for example Franzen et al, 2011, p. 9; Heurkens & Hobma, 2014, p. 367; Peek, 2011, p. 18) use comparable words and point out the importance to include sustainability in urban development projects. These words are supported by the fact that the built environment is responsible for 35% of the total energy consumption in Europe (De Jonge, 2016, p. 26), so changes in that sector can have a big impact on the future of our environment.

When looking more closely into publications that handle both topics of sustainability and urban development, three overall themes can be found. First, an extension of the life cycle of materials and the existing built environment, for example by transforming existing real estate (Peek, van Remmen & Tetteroo, 2012, p. 5) or develop urban areas that are adaptable so they can meet future needs (Ministerie I&M, 2014, p. 13). Second, energy savings both in new urban projects and in the existing built environment, for example by realizing more energy efficient buildings (Heurkens, De Hoog & Daamen, 2014, p. 12) or increase the urban density which leads to less energy consumption (Adams & Tiesdell, 2013, p. 23). And third, cost reduction realized by sustainability measures for example by spreading the investments and revenues of sustainability measures over time (Ministerie I&M, 2014, p. 13) or because a more sustainable building keeps its value for a longer time (Adams & Tiesdell, 2013, p. 36). These three themes are a part or should be a part, of every urban development project and process. This demands of new types of goals and the use, an adjusted palette of means in urban development projects and therefore different ways in how actors work when realizing a project.

### 3.3. Facilitating urban area development

In the previous sections, the changing field of urban development is described and several times is mentioned that *facilitating* should contribute to improving the process. Since the 1980's urban developments are more and more private-led and often is stated that this means that the role of the municipality has to change from leading to *facilitating* market parties. Also in the reactions to impacts of the crises, in organic development, new style development/ urban development 3.0 and in invitation planning *facilitating* is mentioned as a way of how the municipality should work. Furthermore, in the recent developments, the changing role of the municipality, the changing type of stakeholders and the type of projects should be coped with by the municipality, by obtaining the *facilitative* role. However, in this publication this role is often mentioned but is not yet defined. Below descriptions of what the *facilitating* role in practice should entail are studied.

#### Invitation planning and facilitating

Build upon the theory of Van Rooy (2011) on invitation planning, Groot Jebbink (2012) adds facilitating to this theory and studies the concept of *invitation planning and facilitating* in her Master City Developer-thesis. Based on a theoretical model developed by Daamen (2010, p. 36), an extensive literature review and two case studies, she generates a scheme. In this scheme, all activities, competencies and means of a municipal actor are incorporated that would practice this concept and would make an urban development project successful by doing that.

This concept of *invitation planning and facilitating* is shaped on the ideas that the municipality should *connect* market parties to its municipality to get those parties interested in developing in its territory. Furthermore, the municipality has to *test and estimate the added value* of plans of market parties to frameworks set by the municipality. Next, to that, the municipality should *let ambitions go and give space* to market parties by giving these parties more freedom by widening frameworks, make urban plans with fewer details or not define the land use of an urban area in advance. And final, within the municipal organization *all disciplines* should work side-by-side on a project and the *time span* of procedures should be minimalised within the municipal organisation. (Groot Jebbink, 2012, pp. 53-56)

In the developed framework eight preconditions of the inviting role of the municipality are given: vision on the municipality, vision in the urban area, public space in order, choice of role, responsibility and are, the budget for the process, preferable investment climate, and municipal competence. Activities that come with this role are: networking, indicate chances, exploit mental ownership, put on municipal property, communication and marketing, inform, building trust and allow time. For the facilitating role the following preconditions are formulated: area ambassador, serving leadership, streamlined allowance process, flexible land use plan, anchored choices, the budget for the process, agreement and municipal competencies. Activities that come with this role are: inform, communicate, taking responsibility, giving space, in time, connect, generate short-term profits, bring together financial flows, offer financial arrangements and reflection and evaluation. (Groot Jebbink, 2012, p. 113)

## Municipality of Amsterdam


The Project Management Bureau of the municipality of Amsterdam in 2013 described the state of urban development in the city in a report. The bureau writes that it considers itself no longer as the main developer in urban development projects. It views itself as a director that '*mainly ensures the societal interests*' and '*that - as a neutral party - in particular, provides serviced land to developing market parties*'. Next, to that, the municipality sees that '*in much urban planning and development projects the initiative shifts from the governmental actor towards market parties*'. According to the municipality, there are three forms of a facilitating role, that the municipal organization can play. In order of less to more municipal influence these roles are: 'pure facilitating', 'steering facilitating' and 'co-creation'. (Gemeente Amsterdam, 2013b, p. 11)








The 'pure facilitative role' is played when a market party '*knows what it wants and has an eye for public interests*'. The municipality informs market party on procedures, tries to persuade parties to go in right direction and grants the needed permits. In other words: officials help the market party actively through the municipal bureaucracy. In the case of 'steering facilitating', the municipality uses an active directive form. It '*connects, matches or mediates between market parties with shared interests*'. In some cases, the municipality steered facilitative by performing custom work for monuments and architectural appearance and stimulating for '*a solution-oriented municipal organization and staff*'. Concerning 'co-creation' the municipality writes that in some cases '*the organization commits itself to the plans of market parties for the long term, whereby there is mutual dependency - what can be the case on a financial or conceptual level.*' (Gemeente Amsterdam, 2013b, pp. 11-12)





## Practical examples of facilitating urban development

Like mentioned in the introduction chapter, is it hard to find examples of urban development projects wherein a Dutch municipality plays a facilitating role. In many publications is stated that the facilitating role is played, but this is not made concrete, nor do the authors provide examples. This is already discussed in the previous section. Nonetheless are there some publications that look into the facilitating role a little deeper and try to describe what this role entails in practice. These examples are gathered and studied for this report. A comprehensive overview can be found in appendix A. In this section, an overview of these examples and summary of the conclusions of that desk study in appendix A is presented.

The examples below are found after an extensive search operation on the subject. The selection criterium for the studied urban development projects is that the authors in their publications state that this project is exemplary for the facilitating role of the municipality and gives examples of what that is done to play that role. The sources of these examples are two publications of the Dutch Ministry of Infrastructure and Environment on the future of urban development in the Netherlands (Ministerie I&M, 2012; and Ministerie I&M, 2014), a master thesis on invitation- and facilitating planning (Groot Jebbink, 2012), two policy documents of the municipality of Amsterdam on urban development in the city (Gemeente Amsterdam, 2013a; and Gemeente Amsterdam, 2013b) and a series of publications by several academics on the facilitating role of the municipality in Rotterdam (Heurkens, De Hoog & Daamen, 2014; Heurkens, Daamen & Pol, 2015; Franzen, De Hoog & Ginter, 2015; and Franzen, De Hoog & Pennings, 2015).

Brainport Innovative Campus – Eindhoven		Provide extra space for the settlement of suppliers of high tech companies at the border of the existing campus. The municipality actively invests in- and manages its networks to build relations and trust for a longer term. Unknown if this <i>facilitating role</i> is played intentionally. (Ministerie I&M, 2014, p. 68)
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Binkhorst – Den Haag		Former and impoverished business area that should have been transformed and upgraded. Initiatives to develop left to market parties. Facilitating means adapting the master plan for developing parties and to provide subsidies to initiatives that are otherwise not feasible. (Ministerie I&M, 2014, pp. 69-70)
La Palisade – Vianen		An impoverished office park in Vianen with a high vacancy rate. Six investors try to stop the downgrading by investing in public space and improving accessibility by public transport. The municipality facilitates by creating a Business Investment Zone and investing in public space. (Ministerie I&M, 2014, p. 107)
Havenkwartier – Deventer		Former harbour, now impoverished urban area. The new flexible land-use plan is laid down in 2012. The municipal project manager has built networks with stakeholders and obtained information on several related markets. Municipality tried to build trust and networks to attract market parties. (Groot Jebbink, 2012, pp. 68-73; 84-85)
Gele Rijdersplein – Arnhem		Square that was vibrant till 2004. All retail and businesses have left, there is a high vacancy rate in the adjacent buildings. <i>Facilitating</i> market parties by including in the decision-making process. Though enthusiastic about developments in 2012, nothing is done since. (Groot Jebbink, 2012, pp. 92-98)
City center – Amsterdam		There is a handful of urban (re)development locations in the city centre of Amsterdam. <i>Facilitating</i> is done by giving space to investing parties, these parties are encouraged to invest in public space and the municipality tries to include flexibility in plans and regulations. (Gemeente Amsterdam, 2013a, p. 21; 57)
VU-MC Kenniskwartier – Amsterdam		Development of the urban area around the Vrije Universiteit. The municipality <i>facilitates</i> by adopting regulations, support solutions of the market by developing the public space and the infrastructure and by making the urban plan flexible for changes. (Gemeente Amsterdam, 2013b, p. 19)
Transformation Amstel III - Amsterdam		Business district with main offices near the Amsterdam Arena, with a vacancy rate of 27%. Municipality laid down a land-use plan that is not too strict: maximum volumes and multiple programs possible. A bottom-up approach is used to gather information of the stakeholders. (Gemeente Amsterdam, 2013b, p. 31)

Kantoren- leegstandconvenant – Rotterdam		Pilot wherein annually ten long-term vacant office buildings are appointed for redevelopment or transformation to another function. Municipality grants a premium for transformed buildings and tries to speed-up the land-use plan process. (Heurkens, De Hoog & Daamen, 2014, p. 26)
Caland Estate - Rotterdam		Redevelopment of a five-year vacant office building to dwellings. Municipality <i>facilitated</i> developer through the 'transformation window' (in Dutch: 'transformative loket'), where the developer could come with all its questions and through which all contact took place. (Heurkens, De Hoog & Daamen, 2014, p. 27)
De Wijk BV – Rotterdam		In the neighborhood Bospolder Tussendijken a company was created, to invest in the real estate of the area to improve sustainability, liveability and the social-economic position of inhabitants. Investments from municipality and enterprises, profits are in invested locally. (Heurkens, Daamen & Pol, 2015, pp. 32-33)
Hart van Zuid – Rotterdam		Redevelopment of public area, renew public amenities, improve public transport hub and realise new program. <i>Facilitating</i> was done by formulating a performance-oriented program of requirements for tendering parties. (Franzen, De Hoog & Pennings, 2015, pp. 9-11; Franzen, De Hoog & Ginter, 2015, p. 31)

The conclusions based upon the studied examples above are; in Eindhoven, Den Haag, Vianen, Deventer, Arnhem, Amsterdam, and Rotterdam there are examples of measures and means that can be associated with the municipal role of facilitator or capacity builder in the urban planning and development process in the Netherlands. The question can be raised, if these measures and means are part of an intended facilitating or capacity building role of the municipality in these example projects. Or that these taken measures and supporting means were taken anyway, regardless of the role and handling of the municipality, and awarded afterward as facilitating or capacity building by the authors who studied these examples.

Due to a lack of further information, no concrete conclusions can be made concerning the intentional execution of a facilitating, or concerning the capacity building role by municipalities in the Netherlands in the urban planning and development process. It could be the case that this role is executed by these municipalities, but it is not documented, and no related publications are available. It seems that publications concerning the role of facilitating or capacity building, the definition of the concept or what this role actually means or contains, is not yet clear by the authors themselves. Therefore it can be concluded that further research is required.

## 4. Literature study – the municipal actor

This chapter aims to provide the framework, built upon literature, wherein this research is undertaken. Therefore the municipality, the actor in the urban development process, will be studied. First the municipality as an actor in the urban development process is described. Followed by the roles that this actor can fulfil in this process. The chapter concludes with a theoretical study looking into the role that is the subject of this research: the role of capacity builder or facilitator.

A municipality (or municipal department) has several roles it can fulfil within the urban development process. The sections below present an overview of the theory on this matter. Like indicated in the introduction chapter and also pointed out in the previous chapter: theory on this subject has its gaps and there are not many authors who have published on this subject. The main researchers with publications that contribute to this field are: Adams & Tiesdell (2013) *Shaping places – urban planning, design and development*, Daamen, Franzen & Van der Vegt (2012) *Steering on value in Rotterdam*, Heurkens, De Hoog & Daamen (2014) *The knowledge motor – Initiatives for facilitating and learning in Rotterdam*, Heurkens, Adams & Hobma (2015) *Planners as Market Actors: The Role of Local Planning Authorities in UK's Urban Regeneration Practice* and Heurkens, Daamen & Pol (2015) *Facilitating as a basis – lessons from Rotterdam*.

### Municipality and other stakeholders

Before looking at the roles of the municipality in the urban development process, its relation with other stakeholders in that process needs to be studied. There are different views on the relation of the municipal actor with the market or market actors. Some authors see the municipality as a market actor itself. Adams and Tiesdell (2013, p. 286) write that public agencies and urban planners not have to become market actors, but have to realise that they are market actors, involved in market construction and reconstruction. Hobma & Jong (2015, p. 17) reason that municipalities in the Netherlands become market actors, when they form public private partnerships to undertake urban development projects. Accordingly they argue that in the Netherlands there is no strict division between the public and private domain and that '*municipalities can act outside the public domain and inside the private domain*'. In another perspective, Heurkens, Adams and Hobma (2015, p. 5) argue that municipal '*planners do not stand outside markets but take their place alongside other market actors. Planners who think consciously about the market impact of their actions will be better placed to take advantage of market operations where possible, and to challenge those operations where it is not. Acting within, and transforming real estate markets, thus becomes an effective means to connect strategy and action, in a world where policy implementation is dependent to a greater or lesser extent on other market actors.*' This in line with what Heurkens, Daamen and Pol (2015, p. 31) write about this subject: '*public roles and instruments have as a primary goal to influence investments and other actions of private parties in urban areas*' and thus being a big influence on the markets where the actors that take part in urban development projects act in.

When taken these viewpoints in account, it is clear that to some extent the municipality is not only taking part in urban development projects, but can behave like a market party itself. This has to be taken in consideration when looking at the different roles the municipality fulfils to achieve its goals. The municipality stands alongside these other actors. But this does not mean that the municipal actor per definition is a market actor: in some cases they can behave like one, in some cases it only has to be aware of the impact of its actions on the market and its actors. How it copes with this situation is described in the following sections.

### 4.1. Framework of municipal roles

The previous mentioned authors and publications all indicate four roles to steer urban development processes. Heurkens, De Hoog and Daamen (2014, p. 32) formulate these roles as creating, regulating, stimulating and capacity building. Adams and Tiesdell (2013) see these roles as policy instruments and call them shaping markets by making plans and reforming institutions (p. 201), shaping markets by strategic transformation (p. 201), market stimulus (p. 249) and capacity building (p. 269). The other authors have similar divisions of the roles of the municipality in the urban development process. Based on these categorisations the four categories that are used to structure this literature study are: shaping markets and plans, regulating markets, stimulating markets and facilitating markets.



In the following sub-sections the first three roles are studied, to understand the framework of roles, measure and means to steer the urban development process better. The theory on the fourth role, facilitating markets, will be studied extensively and thoroughly in the following section.

### Municipal role of shaping markets and plans

The municipal role of shaping markets and plans creates the environment wherein urban development projects can take place by making plans for the future development of urban areas. The municipality can give direction to its own handling and influence other stakeholders with this shaping and planning role (Adams & Tiesdell, 2013, p. 201). For example by adjusting policy frameworks and plans in such a way that it can influence a market actor to take part in an urban area development project (Heurkens, Daamen & Pol, 2015, p. 31). The municipality can also create potentials for market parties to get involved in the development of an urban area, for example by making a specific type of buildings or target group possible in an area, what can increase the feasibility for a market actor to take part in a project (Daamen, Franzen, Van der Vegt, 2012, p. 22).

Instruments available to municipalities to adjust the policy frameworks, to shape plans and to create potentials in an urban area are: the publication of plans, strategies, visions, etcetera (Adams & Tiesdell, 2013, p.202). When focussing on municipalities in the Netherlands, these are: urban policy documents, a housing policy vision, a masterplan or a covenant (Heurkens, Daamen & Pol, 2015, p. 31). These instruments do not have a regulating aspect, where market parties can build or appeal on. Though, these instruments let the municipality inform the market on the future plans and developments and therefore give direction in how these market actors can behave.

Due to their non-regulating aspect are these instruments not part of a formal process and are these plans and frameworks considered to be quite flexible. Despite this flexibility though, do these policy frameworks and plans provide certainty for market actors, especially when these actors are able to deliver input (Heurken, De Hoog & Daamen, 2014, p. 9). Flexibility and the input from other actors does not affect the municipal plan-makers' vision that they want to realise, but can add to support for these plans from these actors (Adams & Tiesdell, 2013, p. 209).

Concluding on the role of shaping markets and plans, the goal is to make plans that invite stakeholders, influence these stakeholders and their decision making environment, create potential for an urban area, achieve the vision and goals of the municipality for an urban area. Means available to the municipal actor are policy measures like shaping visions and plans, that have a non-regulating aspect and make clear what the envisioned future for an urban area is. Market parties can deliver input for these policy measurements – this can be part of the municipal strategy involve or create support from these parties or to include bottom-up ideas from society.

Below in table 3 a schematic overview of the municipal steering role of shaping markets and plans is given. Measures, goals and examples are included in the scheme.

Municipal role	Measure	Goal	Means
Shaping markets and plans	Make plans that invite market parties	Market parties see benefit in meeting municipal policy aspirations	Municipal vision Housing vision Structure vision
	Make plans that influence the decision environment of market parties	Adjust policy frameworks in favour of market parties	Flexible master plan Allow specific type of preferred buildings Covenant
	Create potential in an urban area	Make it feasible for market parties to invest/develop in an urban area	Flexible master plan Bottom up shaping Involve end users and other stakeholders

Table 3: municipal role of shaping markets and plans with its measures, goals and examples

## Municipal role of regulating markets

With the role of regulating markets, the municipality can steer urban development. This role is built upon regulations and regulatory policies, which can be nationally or locally effective, that form the boundaries wherein urban development projects can take place in the Netherlands. Land-use plans, ordinances, building permits, tender procedures and development contracts (Heurkens, De Hoog & Daamen, 2014, p. 10). According to Hobma & Jong (2015, pp. 11-12) a municipality has reactive and proactive regulating powers in the urban development process. The first category is when a municipality grants an environmental permit when a private actor meets all predetermined criteria. The second category enables the municipality to take development initiatives, such as urban expansion, infrastructure construction, land development or the development of a buffer zone. In some cases the municipality needs full ownership of the land control to achieve its planning objectives. Then the municipality can appeal on its pre-emption rights or via an expropriation procedure to acquire the land.

Next to the municipality, there are other governmental bodies in the Netherlands with planning powers that can influence the urban development process. The province has to draw up a structure vision to outline the proposed development of (a part of) the province, the spatial policy and how to implement these visions and policies (Hobma & Jong, 2015, p. 13). The Water authorities have to be consulted with the preparation of a new land-use plan, to take in account the consequences of the plan for the water regime (Hobma & Hong, 2015, p. 15). Next to that there can be European legislation that influences spatial development, for example the field of environmental protection and legislation can have a big impact on plans (Hobma & Jong, 2015, pp. 15-16). For this report I will only look into the regulation and legislation related to the municipality.

Regulatory policies not only limit the framework wherein market parties can act, but also provide certainty for the parties involved in urban development projects. Certainty is needed to make investment decisions on. For example a land-use plan makes clear what the restrictions for a piece of land are and this cannot be changed easily by the municipality (Hobma & Jong, 2015, p. 60). Though this does not mean that municipalities can enforce other parties to realise the land-use plan and so adopt municipal ideas on urban development, since there is no obligation for market parties that for example own land to realise this land-use plan (Hobma & Jong, 2015, p. 87). Regulating measures are especially effective when the municipal actor can persuade other actors to adopt municipal ideas on urban area development, rather than that these actors have their own ideas that might conflict with municipal policy (Adams & Tiesdell, 2013, p. 249). Therefore regulators have to find a balance to which extent shaping regulatory policies and regulatory means contribute to achieving municipal goals and do not only limit other stakeholders.

Besides the above mentioned public law examples, the municipality is bound to (or can use) private law (agreements) in order to achieve its goals in an urban development project. For example municipalities can purchase land, prepare undeveloped land for construction and sell it to developers. Next to that, municipalities can participate in public-private partnerships, a legal entity whereby risk is carried by both the municipal and the market actors. (Hobma & Jong, 2015, p. 17)

Thus, the regulating role of the municipality defined by formal law, but leaves room for new policies. With regulatory policies the municipality sets the boundaries of the framework wherein market actors can operate. Besides limitations do regulatory policies provide a form of certainty for market parties about programmatic issues and the procedures of an urban development project. Regulating means for a municipality in the Netherlands are: structure visions, land-use plans, ordinances, building permits, tender procedures and development contracts such as planning obligations for market actors or planning arrangements with market actors.

On the next page in table 4 a schematic overview of the municipal role of regulating markets, wherein the measures, the goals of these measures and some of examples of the means of these the measures are given.

Municipal role	Measure	Goal	Means
Regulating markets	Restricting and enabling choices available to market parties	Influence market parties to achieve municipal goals	Land use plan Development contract Planning obligations
		Persuade actors to adopt municipal ideas on public policy	Pre-emption rights Expropriation
	Lay down or decide on regulatory measures on procedures and programme	Certainty to market parties for investment decisions in an urban area	Land use plan Ordinances Building permits Tender procedures
		Risk assessment for market parties	Planning obligations Planning arrangement
	Entrepreneurial measures	Take part in the process to have more influence on the end result	Private law agreement Land purchase Public-private partnerships

Table 4: municipal role of regulating markets with its measures, goals and means

### Municipal role of stimulating markets

Stimulating markets means that the municipality can use financial means and measures to steer the development of an urban area. There are four categories of stimulatory means that can be distinguished from literature (Adams & Tiesdell, 2013, p. 268; Heurkens, Daamen & Pol, 2015, p. 32; Daamen, Franzen, Van der Vegt, 2012, p. 14): direct financial stimulus; taxation stimulus; land policy and project bonuses stimulus; and participation, risk and funding stimulus. The role of stimulating markets is played when development of an urban area is socially wanted or needed and development is not feasible for market parties. Or like Adams and Tiesdell (2013, p. 268) put it: *'where markets are thin or have failed, development has to be promoted by the state in the form of market stimulus'*. Heurkens, Daamen and Pol (2015, p. 31) add to that, that development potential needs to be raised for an urban area. Syms and Clarke (2011, p. 137-138) argue that stimulus can attract actors that otherwise would not consider or undertake development and that actors can be stimulated to deliver better quality in a urban development project.

Direct financial stimulus is when municipal measures have a direct effect on the financial side of a development project, make a project feasible or create potential in an urban area for market parties (Adams & Tiesdell, 2013, p. 276). Examples are subsidies, premiums or a development grant for market parties. Taxation stimulus can work in two ways, tax incentives like tax deductions for developing parties or penalties for discouraging undesirable developments.

Taxation stimulus measures have big anti-competitive impacts on market parties and on urban development projects. (Adams & Tiesdell, 2013, p. 277)

Land policy stimulus is when the municipality uses pricing of land to steer the outcome of an urban development project. For example for by lower price of land when market parties are willing to achieve (societal) goals of the municipality (Daamen, Franzen & Van der Vegt, 2012, p. 14). Also can land policy stimulus lower risks for market parties, for example when the municipality acquires all the land to make a development possible (Heurkens, De Hoog & Daamen, 2014, p. 35). Or in case of multiple land ownership in an urban area, the municipality can purchase and sell land in order to steer the development of the area (Adams & Tiesdell, 2013, p. 273).

Stimulus measures can also entail lowering risk for market parties, add funding possibilities for market parties or active participation in the development by the municipality. of the municipality. Lowering risks be achieved by providing market actors with accurate information on policies, the masterplan, public actor development commitments and the management of the area (Adams & Tiesdell, 2013, pp. 280-282). Adding funding possibilities is when the municipality takes part in the development itself, by giving a loan to market parties or by provide loan funds for, for example, historic buildings (Adams & Tiesdell, 2013, p. 283). Participation also lowers risk for and gives access to funds for market parties. In the Netherlands many forms of public-private

partnerships illustrate municipal participation in urban development projects. Despite functioning markets, stimulus means are needed to get market parties involved and raise potential. For example in an impoverished urban area where buildings are old and the public space unsafe, where the municipality can invest in infrastructure or can offer tax arrangements to mobilise private capital to invest in an urban area (Heurkens, Daamen & Pol, 2015, p. 31).

A municipality can use the above mentioned means in order to influence urban development projects to achieve its own goals when market parties aren't able to realise these goals. Though the stimulatory role of the municipality *'focusses on areas where market parties don't see potential for investments or developments in an urban area, but where from a societal perspective an intervention is needed'* (Heurkens, De Hoog & Daamen, 2014, p. 11), this does not mean all means are allowed. Under EU legislation many forms are considered as illegal state support and potentially have an anti-competitive impact (Adams & Tiesdell, 2013, p. 285) on the real estate and urban development market. Therefore, a municipality should have withholding attitude on these stimulatory measures to influence urban development projects.

Below in table 5 a schematic overview of the municipal role of stimulating market, wherein the measures, the goals of these measures and some of examples of the means of these measures are given.

Municipal role	Measure	Goal	Means
Stimulating markets	Influence outcome of financial appraisals	Raise development potential for market parties	Subsidies Premiums Discount on land price Development grant Tax arrangements Financial constructions
	Impacting on development costs and revenues	<i>and</i>	
	Impacting on development risks	Promote development where markets have failed	Investments in public space, infrastructure and real estate Land acquisition Public-private partnerships
	Access to funding		Public-private partnerships Loan guarantees Loan funds Mobilise private capital

Table 5: municipal role of stimulating markets with its measures, goals and means

#### 4.2. Municipal role of facilitator

The fourth role a municipality can fulfil in the urban development process is considered as a supporting role for the three before mentioned roles. This role has a concept that is formulated with a perspective from the United Kingdom and has a Dutch interpretation. In this section the concept of the municipal role as capacity builder, as formulated by the UK academics Adams and Tiesdell, is compared with its Dutch compeer, as formulated by several Dutch academics. Both concepts are studied in the following sub-sections and compared with each other, in order to come up with explanatory generalisation or categorisation of the two concepts combined.

Capacity building explained by Adams and Tiesdell – an Anglo-Saxon concept  
 Adams and Tiesdell (2013, pp. 286-287) argue in their book *'Shaping Places – urban planning, design and development'* that capacity building can be identified as a separate municipal role that enables other actors in the urban development process *'to operate more effectively within their own opportunity space, while influencing the opportunity space of other actors to wider advantage'* and that capacity building *'comes about as political power engages with the dynamics of real estate development'*. This municipal role, next to market shaping, regulating and stimulus, is about the way the municipality organises itself, possess the right skills and information, is open to change and new ideas and works together with other parties in the urban development

process. This role isn't formulated or formalised in official documents in the UK (where the authors are from), nor in the Netherlands. The role of capacity builder *'is intended to support the roles of market shaping, regulating and stimulus'* (Adams & Tiesdell, 2013, p. 286).

According to Adams and Tiesdell the municipality should take four areas in account, in order to fulfil its role as a capacity builder positively. First, it should be open towards new ideas, change, new market-shaping cultures and mindsets. Second, it should make available the right knowledge and market-rich information within the (sub) organisation that is concerned with urban development projects. Third, the organisation has to be part of networks, to engage relationships with other actors in the process. And fourth, it should have market-relevant skills and capabilities. These four areas look like stating the obvious, but (unfortunately) this isn't the case. Below these four areas will be explained.

The area of market shaping cultures, mindsets and ideas is about the municipal organisation that is responsible for urban development projects itself and how they should behave and see itself within the process. Adams and Tiesdell (2013, pp. 287-288) write: *'for planners working in the public sector, an important cultural mindshift is to see themselves as active participants in the development, communicating visions and championing innovation, rather than external controllers of development. In particular, capacity building helps planners to visualise that their task is one of making places rather than simply plans, and of achieving desirable change rather than merely resisting undesirable change.'* Thus, the municipal organisation should be open to input, including other viewpoints, from other actors within the process of urban development. Furthermore, it should be focussing on the end result of the development process and how to reach that, within the existing – or if needed by adjusting – regulatory frameworks and shaped plans that are in place.

The possession of market rich information and knowledge within the municipal organisation is another area of attention, to play the role of a capacity builder. This information and knowledge gives the municipality the ability to make better decisions. With more information and knowledge the municipality can have a head start on other actors in the urban development process. The authors explain: *'market rich information and knowledge enhances the confidence of planners and empowers them to consider a wider range of policy alternatives'* (Adams & Tiesdell, 2013, pp. 288-289), so this is not only about (relative) power but also confidence of the municipal organisation. Next to that, what kind of knowledge and market rich information is meant and why is this needed? The two authors argue that *'planners have traditionally been strong in collecting information on people and place (census and local surveys), but much weaker in obtaining that for real estate markets. Such initial information needs to be reinforced by better understanding of the motives and behaviour of private sector implementation agents in order to recognise which landowners, developers and investors are most likely to share policy agendas and which are likely to be more hostile.'* (Adams & Tiesdell, 2013, p. 289) In other words: the municipal organisation needs market rich information and knowledge to base its own decisions on, but also to understand the decision environment wherein the other actors in the urban development process have to act. By obtaining this information itself, the municipality empowers its own position in relation with the other actors involved in the process.

*Market-rooted networks* is another area wherein the municipal organisation involved in the urban development process has to invest in and has to take in account. Investing in market-rooted networks means that the municipality has to invest in networks and relations with all parties that could be involved in urban development projects. These networks have to provide the municipal organisation with market information, information on visions and goals of these actors and views that are developed bottom up within the market or society. Adams and Tiesdell (2013, pp. 289-290) explain that *'plan-shaped markets emerge not from remote pronouncements by planners, but from their close engagement with other market actors – presenting, hearing, arguing and exchanging views about how places should develop in the future.'* And that *'capacity building is this about enhancing relations across the development spectrum so that planners working for public agencies are well connected with other professionals and with those working within the development industry. At their best, they can generate a powerful coalition of shared interests to drive place making forward, in which market priorities and policy intend shape and influence one another. While it remains essential to maintain the probity of government decision-making, it is also important to promote mutual learning and sharing experience between public, private and voluntary sectors so as to break down barriers between them. This can occur through both*

*informal networks and formal organisations.* What these authors mean is that investing in market rooted networks helps the municipal organisation to understand how other actors in the urban development process think and act. And that connections made by formal or informal networks wherein the municipality and these actors take part, help to match interests and goals and so form coalitions to make these processes more successful. Furthermore, Adams and Tiesdell (2013, pp. 290-291) point out that *'market-rooted networks may thus better help planners to understand how market actors think, if they provide relatively loose connections across a broad range of such actors, rather than strong links to one or two particular developers'* and that market rooted networks can *'overcome potential distrust between public and private sectors is an important aspect of capacity building'*.

The fourth area is to obtain *market relevant skills and capabilities* within the municipality. This area focusses on the people and organisation of the municipality. Adams and Tiesdell (2013, p. 292) write that *'developing human capital involves enhancing the skills and abilities of key individuals and organisations. This is an important capacity-building action which facilitates more effective operation of market shaping, regulating and stimulus. It may include such activities as continuous professional development, on-the-job training, exposure to good innovation practice, expert seminars, field visits, and job swaps or secondments. Where particular skills are deficient in an organisation and cannot easily be developed among existing staff, capacity building may need to include targeted recruitment.'* This means, in order to be a good capacity builder, the municipality has to make sure that it has the right people with the right skills and in the right way organised. And that the organisation keeps learning, keeps innovating and tries to be constantly involved in market shaping ideas cultures, mindsets and changes, is involved in obtaining (more) market rich information and knowledge and is involved in investing in market-rooted networks. In other words: this means that the current status of the first three areas are not the final result, but these areas should always be developing and the municipal organisation should be organised and attract the right people to do so.

The conclusion, based on the information above, is that the capacity building role of the municipality in the urban development process entails that the municipal organisation acts in a way to get new ideas, information and knowledge about the market, the actors, their means and goals through its formal and informal networks it is part of, and to let the other parties get understanding on the municipal visions, goals and means to form coalitions that result in successful urban development projects.

#### Facilitating role – a Dutch concept

Several authors in the Netherlands, for example Heurkens, Daamen and Pol (2015), Heurkens, De Hoog and Daamen (2014), Heurkens (2013) and Daamen, Franzen and Van der Vegt (2012), work with the same framework of steering roles of the municipality in the urban development process like Adams and Tiesdell (see above), but come up with a Dutch variant of the concept capacity building, namely facilitating. Though this facilitating steering role is inspired or even build upon the concept of the authors from the United Kingdom, not all aspects of the facilitating concept correspondent with the concept of capacity building. Below (the Dutch version of) the concept of a facilitating role of the municipality in the urban development process is explained.

The above mentioned authors come up with definitions, examples and means of the facilitating steering role of the municipality in the urban development process, but do not categorise these examples or means, nor do they formulate a comprehensive definition. Based on a study of these publications, three categories can be formulated: collecting market information and knowledge, using market information and knowledge to adapt other steering roles and engaging relations with other actors. A definition of the concept of the facilitating role of the municipality in the urban development process will be formulated after these three categories are studied and described.

The first category is collecting market information and knowledge by the municipality, what means that the municipal organisation tries to collect information and knowledge on the real estate market and other markets where the other actors of the urban development process operate in. The collected market information and knowledge can help the municipality understand the decision environment of market actors better and understand which urban areas might be feasible for market parties to (re)development. Heurkens, Daamen and Pol (2015, p. 31) argue that a part of that facilitating role is *'when the municipality explores the potentials of an*

*urban area with private parties, consequently to support investment decisions'* and that this can be done when *'the municipality organises forms of consultation, discussion and debate wherein these potentials are mapped and validated'*. Or like Heurkens, De Hoog & Daamen (2014, p. 11) explain about the facilitating role: *'in practice does this mean that civil servants get more feeling with societal needs and development opportunities in urban areas. Together with initiating market parties the potentials of urban areas can be explored and improved.'* So next to understanding the decision-making environment and to identify which areas might be suitable for (re)development, seen from the point of view of market actors, market information and knowledge can also be used to see which developments take place in the markets these actors operate in. And how these developments might influence the urban development projects the municipality is currently involved in, or will be part of in the future.

The second category is to use the obtained market information and knowledge to adapt other steering roles of the municipality. This in order to influence the other actors in the urban development process and to realise projects successfully. When information obtained from market parties or other (societal) actors informs the municipality that adapting shaping policies or the regulatory framework would raise the potential for the (re)development of an urban area, this has to be considered. Accordingly *'facilitating is a pre-condition to implement municipal policies effectively, to shape regulatory instruments and for considerations regarding public investments'* (Heurkens, Daamen & Pol, 2015, p. 31). *'By fulfilling a facilitating role, civil servants can have insights that could lead to adjustments of shaping policies or regulatory frameworks. Next to that, these insight could lead to investments by the municipality in the area.'* (Heurkens, De Hoog & Daamen, 2014, p. 11) So next to raising the potential for (re)development of an urban area, the adaptation of the existing shaping policies and the existing regulatory framework can also lead towards stimulatory measures taken by the municipality. Of course, the municipal organisation has to weigh the options and see, to what extent these other roles need to be adjusted. And what their effects are on the actors involved (or that could be involved) in the (re)development of an urban area and on the effects on the area itself. This does not have to be a linear process, like Heurkens, Daamen and Pol argue (2015, p. 31) *'market information generated from facilitating activities, can be used by the municipality via "feedback loops" to adapt the instruments of the other municipal roles'*. Adaptations do not mean that all the existing shaping policies, regulatory frameworks and stimulatory measures have to be abolished. It could be the case that the policies have to be formulated less strict, that the boundaries of the regulatory framework are wider or that the stimulatory measures are not used in a way that they give space to (re)development potential by market parties. Heurkens (2013, p. 15) argues that *'a balancing act is part of the facilitating role'*, since too strict formulated policies, rules and stimulus can be smothering, but when none of the means related to these roles are used, *'the lack of certainty can also have a negative influence on the market parties'*. Thus, to conclude this category: on the basis of obtained market information and knowledge the municipality can adapt its shaping policies, regulatory framework or stimulatory measures. This in order to influence market or societal actors in the urban development process to create or raise potential for an urban area or even make a (re)development successful. This is a non-linear process and the adaptations got to have the impact that they influence all actors – including the municipality – positively.

The third category is the engagement of the municipality with other actors that are (or will be) involved in the urban development process. These engagements should be the basis from where the municipality can obtain its market information and knowledge, and it can use to discuss its adaptations to its means with, but also to create trust between the municipality and the other actors in the process. The form of these engagements can be formal and institutionalised or informal and momentary. For example to explore the potentials of an urban area *'informal coalitions between civil servants and (often local) societal parties that can generate support for urban (re)development'* (Heurkens, Daamen & Pol, 2015, p. 31). And Heurkens, De Hoog and Daamen (2014, p. 11) write that *'a goal of facilitating is creating and strengthen the bands between all actors. Trust and commitment can lower the risk of market parties. New relations can lead to new initiatives and solutions.'* Furthermore, argued is that for a municipal actor engaging in relations with market and societal parties, in line with the category described in the previous section, *'can enable urban development projects'* (Heurkens, De Hoog & Daamen, 2014, p. 18) or even can *'give market parties the confidence, as the municipality retrenches, to take the lead in urban (re)development projects and look at long-term benefits'* (Heurkens, 2013, p. 15). In short, by engaging in relations with market actors, the municipality can obtain market information and knowledge, can get input and feedback on shaping policies, regulatory frameworks and stimulatory measures to make urban (re)developments

more successful, create risk-reducing trust for market and societal actors and gives space to market parties to take the lead. This can be done in formal and informal forms.

The above described areas wherein a municipal actor can operate, is not how the municipality acts or plays this facilitating role currently in the urban development process in the Netherlands. In their research Daamen, Franzen and Van der Vegt (2012, p. 6) argue that the facilitating role of the municipality *'demands for different competences and procedures than [the municipality] is used to. New principles of co-operation and interaction needs to be explored and directing will be left to others.'* Though Heurkens, Daamen and Pol (2015, p. 32) write that *'the facilitating role of the municipality does not mean that the municipality has to abandon its directing role, but the facilitating role is about ability of the municipality to judge which municipal instruments are needed in an urban are and for how long'*. These two quotes are exemplary for literature on this issue. How facilitating actually works in practice is not been researched thoroughly yet.

A last note regarding the facilitating role of the government by Heurkens, De Hoog and Daamen (2014, p. 11) that has to be taken in account in relation to the previous section: *'facilitating is about creating custom made solutions. Legitimacy problems can arise, since the municipality is depending on the type of urban areas, the reliability of initiators and the integrity of civil servants.'* Heurkens, Adams and Hobma (2015, p. 5) write about this issue: *'Since other market actors seek to anticipate and influence what planners might do (and planners do likewise of other market actors), over time it becomes problematic to ascribe outcomes either to planning or the market, since what happens in practice derives from rich, complex and often messy interaction constantly taking place between the two. Insight is thus needed into the influence of market processes, context and social relations on the outcomes of public-private interactions in a hybrid market environment.'* So, not only due to the lack of thoroughly research, there is not much known on the impact of facilitating on the integrity of the municipality, the organisations and its personnel.

#### Comparing capacity building and facilitating

When looking at these two concepts and how they relate to each other, it stands out that concepts of the municipal role of *facilitator* and the municipal role as a *capacity builder* have more similarities than differences. The means, instruments and way of positioning the municipal actor within the urban planning and development process is much alike in both concepts. This is not strange, since the Dutch concept of facilitating is based on capacity building concept, which is formulated by the UK academics Adams and Tiesdell. Though, there are small differences that could be attributed to the fact that the formulators of these two concepts origin from different countries with different paradigms. Next to that, another reason can be appointed in the difference in these two concepts. When studying literature on both concepts, it looks like the original concept took shape by inductive reasoning and the translated version is the result of deductive reasoning, in other words: the new Dutch version is adapted to suit the development *practice* in the Netherlands. As a result some of the characteristics have been lost in translation and can't be found in literature by Dutch authors. Important is to note that the Dutch concept of *facilitating* is not described in literature by itself, it is only applied on cases in the Netherlands, whereby not all characteristics can be found.

Because the Dutch concept of *facilitating* is not formulated formally in theory, the comparison of fragments that are found in literature with the original concept of *capacity building*, should lead to a thoroughly formulated definition of the concept. When this new formulation of the concept has taken its form, it can be applied in- or compared with the urban development practice in the Netherlands. First the similarities will be described, followed by the differences and this will lead to the formulation of the theoretical concept.

All academics that write on either facilitating or capacity building acknowledge that the municipal actor operates as a market party as well. It is a market actor, since the municipality constructs and reconstructs market such as the real estate market, with its instruments that are related to all four roles (shaping, regulating, stimulating and facilitating/ building capacity). The municipality is not an external controller of the other actors in the urban development process, but takes part in projects – as a market actor – itself. The municipality has its own goals, instruments and can be responsible for parts of developments such as real estate, public space or infrastructure, just like the other actors in the process have their goals and instruments and are involved in the physical or physical part of the development.



The role of a municipality as a facilitator or as a capacity builder is intended on supporting or enabling the municipal roles of shaping, regulating and stimulating. These other roles form the framework wherein all the parties can act to successfully plan and develop an urban area and therefore should facilitate this process optimally. This can be done by adapting this framework – off course within the acceptable boundaries for the municipality and society – in a way that enables all actors to contribute to the urban development process in such a way that the potentials of an urban area are utilised to its full extent.

To support or enable the roles of shaping, regulating and stimulating, there are three categories wherein the municipality has to act. Both approaches come to the following three categories: First, the municipality needs information and knowledge about the market and its actors where it has to operate in. Second, in need of this information and knowledge and in order to build trust with other actors the municipality has to engage in relations with actors in these markets. Third, the municipal organisation should be open to new ideas, viewpoints, cultures and input from other actors and should adapt its organisation to have the right capabilities and knowledge and ability to keep learning from these new inputs and experiences. In short, these categories are: acquiring market information and knowledge, manage market rooted networks and to be an open and learning organisation.

Below in table 6 a schematic overview of the municipal role of capacity builder or facilitator, based on the Angl-Saxon concept and the Dutch theoretical interpretation of that concept.

Municipal role	Measure	Goal	Means
Capacity building and facilitating	Acquire market information and knowledge	Understand the market wherein market actors act	Collect information on: people and place, real estate markets, market actors and their decision making environment
	Manage market rooted networks	Build relations Build trust Get access to market information and knowledge	Engage and connect with stakeholders Build networks with stakeholders Adjust policies and regulations Create feedback loops
	Be an open and learning municipal organisation	Get input from stakeholders, with new ideas and viewpoints Keep developing and adapting the organisation to meet future requirements	Municipality sees itself as a market actor Open culture towards mind-sets and ideas Obtain market-relevant skills and capabilities Developing and learning organisation and people

*Table 6: municipal role of capacity building and facilitating with its measures, goals and examples*

### 4.3. Other aspects of the facilitating role

Before conclusions can be drawn on the facilitating or capacity building role as described and studied in the previous section, some aspects that are not present in the above mentioned literature need to be taken in account. First, a 2012 publication of the Dutch Urban Renewal Knowledge Centre (KEI) influenced theory created by the municipality of Amsterdam (2013) and the municipality of Rotterdam (2014) on the circumstances that influence the way a municipality fulfils its roles in the urban development process, this theory is presented in the following sub-section. Second Groot Jebbink (2012) and Langelaan (2016) have researched in their MCD thesis the concept and have tried to make it more concrete, building upon the 2012 dissertation of Heurkens. Findings from these two theses have to be taken in account for this research and are discussed in the succeeding sub-section.

## Potentials of the area and potentials of the actors

According to the municipalities of Amsterdam and Rotterdam (Gemeente Amsterdam, 2013b, pp. 11-12; Heurkens, De Hoog & Daamen, 2014, pp. 26-27) the facilitating role of the municipality is only played if the circumstances demand for that role. This approach comes from the Dutch Urban Renewal Knowledge Centre (KEI). That centre developed a model wherein the municipality can estimate to which extent it should be involved in an urban area development process. Based on the circumstances the municipal actor organises, handles and takes care of the urban development process (low potentials stakeholders, low potentials of the area), stimulate and tune the process (high potentials stakeholders, low potentials area), invest in and initiate the process (low potentials stakeholder, high potentials area) or release and wait for a process to start (high potentials stakeholders, high potentials area). This matrix-shaped model has four squares, wherein the role of the governmental actor in the urban development process is described, and these squares are organised at a horizontal and a vertical axis, see figure 15 below:

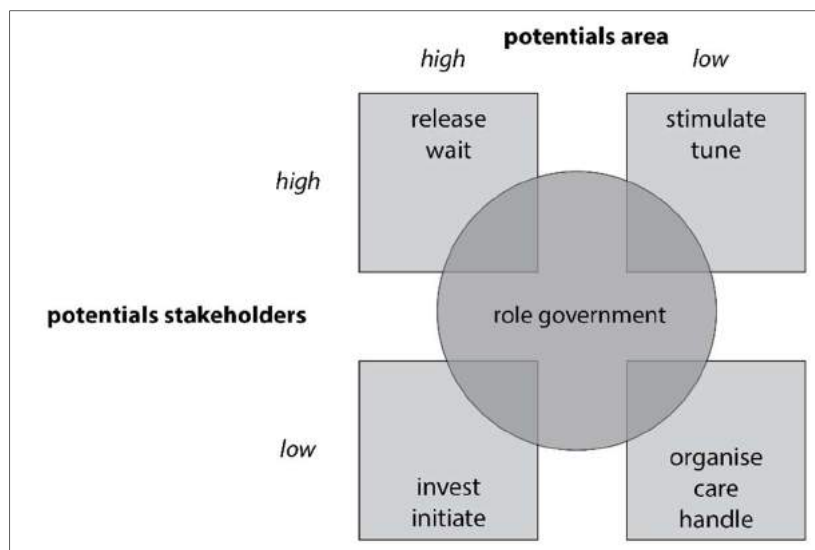


Figure 15: attitude of the municipality in urban development projects (KEI, 2012, p. 12)

This approach-framework, developed by the KEI, is a useful tool for municipalities in the decision making process to choose their approach in urban development processes, but is not – like mentioned in the publications, an indicator to see if the municipality should fulfil the facilitating role. This is the exact interpretation of the Dutch version of the word of facilitating, which means making possible or supporting other actors to fulfil their tasks. In the literature study chapter it becomes clear that facilitating is not an attitude nor an approach towards other stakeholders. This role is a role that the municipal actor should play all the time, not only leading up to or during an urban development process. This role supports the shaping, regulating and stimulating roles and should be captured in policy. Furthermore it should be anchored in the municipal organisation concerned with urban area development. This in order to improve the urban environment and to be successful in place making.

Concluding on potentials of an urban area and potentials of (market) actors in urban development projects: these potentials influence the approach of the municipal actor towards the other actors, but not the roles it can fulfil. Next to that does this influence to what extent the facilitating role is played by the municipality. This role needs to be played at all times, at all phases of the life-cycle of urban areas and throughout the entire municipality. The facilitating role needs to be played in order to support and strengthen the shaping, regulating and stimulating roles of the municipality in the development of the urban environment.

## Means of the facilitating role

In the examples described in the previous sections, different measures, means and skills are attributed to the municipality in order to play the facilitating role. Below three sources are studied that have been looking into these measures, means, skills, preconditions, activities, properties, experiences, etcetera that can be related to the facilitating role.

First the management wheel of Heurkens (2012, p. 105), developed for his PhD-dissertation on *Private sector-led Urban Development*. In this wheel an overview is given of the management activities and management instruments that a municipality has, in order to achieve its goals in urban development projects. The management activities that have to do with project management are: initiating, designing, planning and operating. Process management activities are negotiating, decision making and communicating. Management instruments are classified in tools or recourses. Tools are shaping, regulating, stimulating and capacity building. Management resources are land, capital and knowledge. The concepts of the wheel do not have a big influence on the attribution of measures, means and skills of the municipality to the facilitating, since most of the concepts can be awarded to the other roles. Nonetheless is the wheel mentioned here, since it has a some concepts that do and because it forms the basis of next source. The concepts that (partly) can be awarded to the municipal role of facilitating are negotiating, decision making and communicating.

Second the wheel of Groot Jebbink (2012, p. 118), who in her MCD-thesis has studied *'The Invitation Planning Question'* (In Dutch: *'Het vraagstuk van uitnodigingsplanologie'*) wherein she covers both the invitation and facilitating part of urban planning. Groot Jebbink has built her wheel upon the wheel of Heurkens (see above), but has a different and more concrete filling. Preconditions for the facilitating role and part of that role are: an area ambassador, serving leadership, a streamlined testing process, a flexible land-use plan, anchored choices, available budget for the process, an agreement and competences of the organisation. Next activities are formulated that come with the facilitating role: informing, communicating, taking responsibility, giving space, winning time, connecting, generating short term profits, bundling financial streams, offering financial arrangements, reflecting and evaluating. In the research these preconditions and activities are tested in two cases, to see if municipalities used these preconditions and activities in order to invite and facilitate. The conclusions are that not all preconditions and activities are used and a couple to some extent. The author suggests that municipalities use these measures in future urban area development projects.

Third the theory developed by Langelaan (2016, pp. 26-27), who in his MCD-thesis *'The facilitating government – a difference in interpretation'* has asked professionals from the field what the skills, activities, preconditions, knowledge and experience of a facilitating municipal department are. Based on more than hundred responses and a statistical analyses the author comes to the following. *Needed skills: help in thinking/ work together/ dialogue, making possible, stimulate and inspire, challenge/ seduce/ invite, listen/ understand, support/ guide in process and procedures, let loose/ give back/ market initiative, give space/ offer/ allow. Needed activities: financial/ fiscal/ juridical incentives, connect initiatives/ projects/ actors, create societal and political support, making available, deliver custom work. Needed preconditions: give direction by vision/ (land-use) plans, clear rules/ fair process/ inform what is unwanted, create good preconditions/ connect or tune the project/ take away barriers, determine frameworks (within there is freedom). Needed knowledge and experience: share experience and expertise. And needed personal properties: demand-orientated/ humble attitude/ be open to..., service/ serviceable.* A comprehensive list of concepts, of which many can be attributed to the roles of shaping, regulating and stimulating and not to the role of facilitating or capacity building.

In the table 7, on the following page, the findings of the three above mentioned authors are compared with the findings of the literature study. For practical reasons is the view of Heurkens incorporated in the view of Groot Jebbink. And since these two views overlap. These three views on facilitating means are organised by the trichotomy of measures, developed in the literature study in the previous sections.

Not all above mentioned means are incorporated in the table, because they are means that can be awarded to the roles of shaping, regulating or facilitating role and not the facilitating role. Or because these measures are jargon or incorporated in the vocabulary of practitioners from the field and do not cover what they actually mean. Nor do these concept add value or describe a phenomena that is not captured by the other concepts.

The means of Groot Jebbink (building upon Heurkens) and Langelaan in the table below, help to make the in the previous sections described means more concrete that are described in the previous sections to become more concrete and some means go even deeper into the matter. This helps with conceptualising of the facilitating role of the municipality in the urban area development process, further on in this chapter.

Measure	Means literature study (Chapter 4)	Means Groot Jebbink (2012, p. 118)	Means Langelaan (2016, pp. 26-27)
Acquire market information and knowledge	Collect information on: people and place, real estate markets, market actors and their decision making environment	Inform Communicate	Listen Clear rules, fair process and inform what is unwanted Determine frameworks Demand-orientated
Manage market rooted networks	Engage and connect with stakeholders Build networks with stakeholders Adjust policies and regulations Create feedback loops	Area ambassador Serving leadership Agreements Inform Communicate Give space Offer financial arrangements	Work together Challenge Invite Making possible Support in process and procedures Connect initiatives Create good preconditions Create societal and political support
Be an open and learning municipal organisation	Municipality sees itself as a market actor Open culture towards mind-sets and ideas Obtain market-relevant skills and capabilities Developing and learning organisation and people	Anchored choices Budget for the process Competences Reflecting and evaluating	Create societal and political support Deliver custom work Take away barriers Share experience and expertise

Table 7: means attributed to the three measures of the facilitating or capacity building role.

#### Conclusions on additional aspects

The actors that could be involved and their potentials do have an impact on to which extent the municipal actor needs to be involved in the urban development process. Though, this involvement does not influence the roles the municipality can play in this process, but does influence which means it can use and to which extent these means are used. This applies for all the roles, not just for the facilitating role, but for the shaping, regulating and stimulating roles as well. The potentials of the urban area have the same influence on the use of means of the municipality as the potentials of the (market) actors.

The measures linked to the facilitating role are supported by the means found in the literature study sections. These means are made more concrete as a result of studying the reports of Groot Jebbink and Langelaan. Not all the proposed means support the facilitating role, some support other municipal roles. Next to that are some of these means not applicable to any of the roles.

#### 4.4. Conceptualising the facilitating role

Within the framework of roles that the municipal organisation can play in the urban development process, the facilitating has role a supportive function towards the three other roles of shaping plan, regulating and stimulating markets. With acquired market information and knowledge, the management of market rooted networks and to be an open and learning organisation, the municipal organisation can use the facilitating role to provide input for plans and shaping markets, input for regulating markets and input for eventually stimulating of markets. It can adapt its plans for urban areas to suit urban development projects and realise these projects successful. The municipal organisation can adjust its regulatory means, in order to influence the decision making environment of other actors involved in urban development projects in such a way, that these projects will meet the societal goals of the municipality. And the municipality can change its stimulatory means, based on its information on the market, market knowledge and information of its relations in its built and maintained networks, so the feasibility of an urban development project is influenced positively, for all involved stakeholders.

Next to support these three other roles, the facilitating role of the municipality aims at improving urban quality in the future. Not just recent developments are looked at, it tries to get more information on all the phases in the life cycle of an urban area. Not just the planning and realisation phases, but also at the maintenance and initiatory phase of an urban area. With these the municipality tries to include other stakeholders like investors, developers, housing corporations, constructor, end-users such as inhabitants, local companies, tenants, workers, energy companies and public companies. This inclusion should also lead to bottom-up initiatives, inclusion of the interests of these stakeholders and support of these stakeholders for future urban area improvements and better place making.

Three measures supporting the facilitating role

The first measure belonging to the facilitating role is acquiring market information and knowledge by the municipality. This measure aims at municipal understanding of the markets wherein market actors and other stakeholders act. This understanding should contribute to make changes within the three other roles that the municipality can play: shaping, regulating and stimulating. The means that the municipal organisation can use for this measure are the collection of information on people and place, on the real estate markets in its broadest sense, on market information and on the decision making environment of these actors. More concrete does this mean that municipal officials do research on these subjects and collect available data from existing sources, or try to obtain the qualitative and quantitative data themselves.

The second measure is the management of market rooted networks. This measure aims at building relations with stakeholders, build trust with these parties and get access to market information and knowledge. These relations should lead to including the interests of these stakeholders in urban development projects, bottom-up initiatives and support of these relations for future projects. Building trust also contributes to support of these stakeholders of municipal plans and developments. Getting access to market information and knowledge adds value to the first mentioned measure of acquiring market information and knowledge.

The third measure is being an open and learning municipal organisation. Open towards the other stakeholders and learning concerning the capabilities and instruments needed for the municipal organisation concerned with urban development. The goals is to get input from stakeholders, with new ideas and viewpoints, keep developing and adapting the organisation to meet future requirements.

Means linked to the facilitating steering role

To these three measures that support the facilitative steering role of the municipally, concrete means can be linked. In table 8 below, an overview of the means is given. This table will be used to test the in this section conceptualised facilitating role in practice. This testing and the sharpening of the facilitating role is done in the case studies, that can be found in the following chapters of this report.

Measure	Means
Acquiring market information and knowledge	Collect information on people and place
	Collect information on real estate markets
	Collect information on market actors and their decision making environment
	Inform market actors and vice versa, communicate with market actors
	Listen to market actors
	Define clear rules, fair process
	Inform what is unwanted
	Determine frameworks
	Demand-orientated
Managing market rooted networks	Engage and connect with stakeholders
	Build networks with stakeholders
	Adjust policies and regulations
	Create feedback loops
	One contact person for certain issues

	Serving leadership/ invite/ make possible/ create good preconditions
	Give space
	Work together with market actors
	Connect initiatives
	Support in process and procedures
	Create societal and political support
Being an open and learning organisation	Municipality sees itself as a market actor (of market influencer)
	Open culture towards other mind-sets and ideas
	Obtain market-relevant skills and capabilities/ competences
	Developing and learning organisation and -people, reflecting and evaluating
	Budget for the process
	Deliver custom work
	Take away barriers
	Share experience and expertise

Table 8: means supporting the measure being an open and learning organisation

Fit the concept in the conceptual model

Making the concept of the facilitating role in the urban area development process in the Netherlands more concrete, adds to understanding the concept. The measures and means make clear what this role should entail. The combined means form the measures and the three measures combined form the facilitating role. When zooming out further, the concept can be understood even better. In figures 16, 17 & 18, is shown how the facilitating role fits in the framework of steering roles of the municipality to influence the context and processing system of the conceptual model.

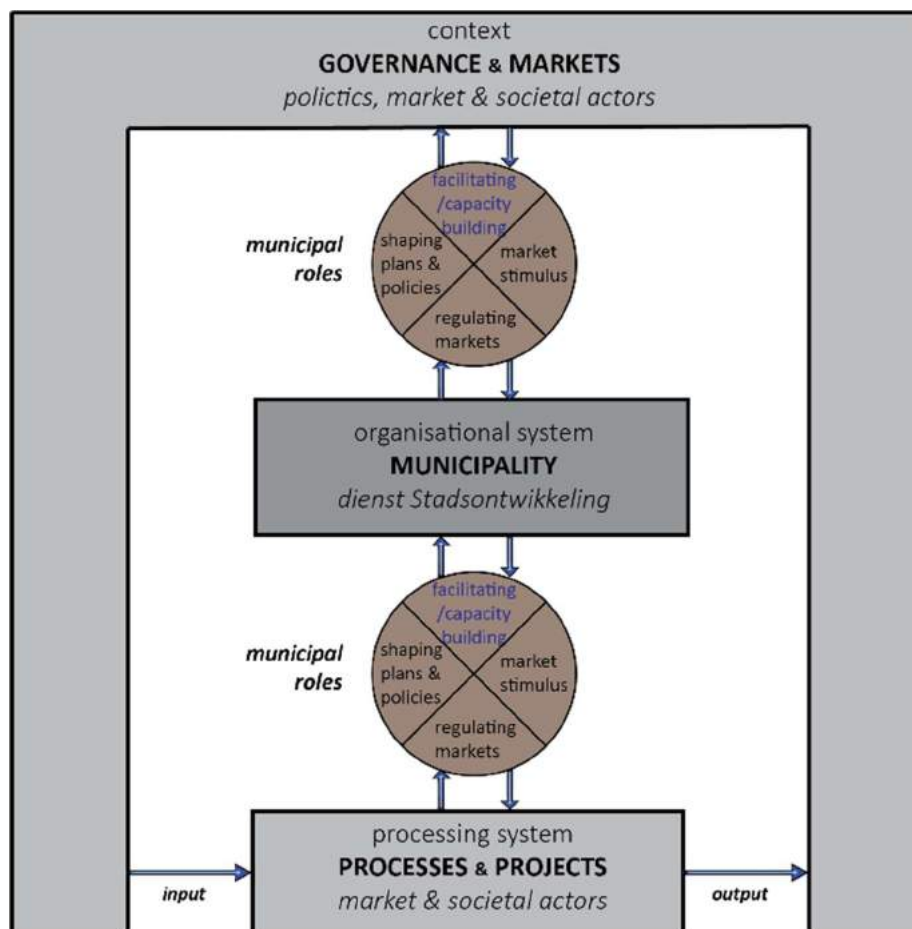


Figure 16: conceptual model for this research that includes the four municipal steering roles

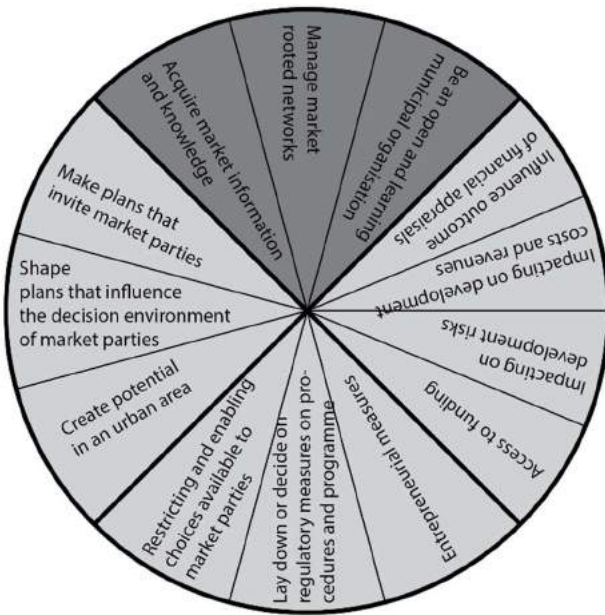


Figure 17: the measures that support the four municipal steering roles (the facilitating role dark grey)

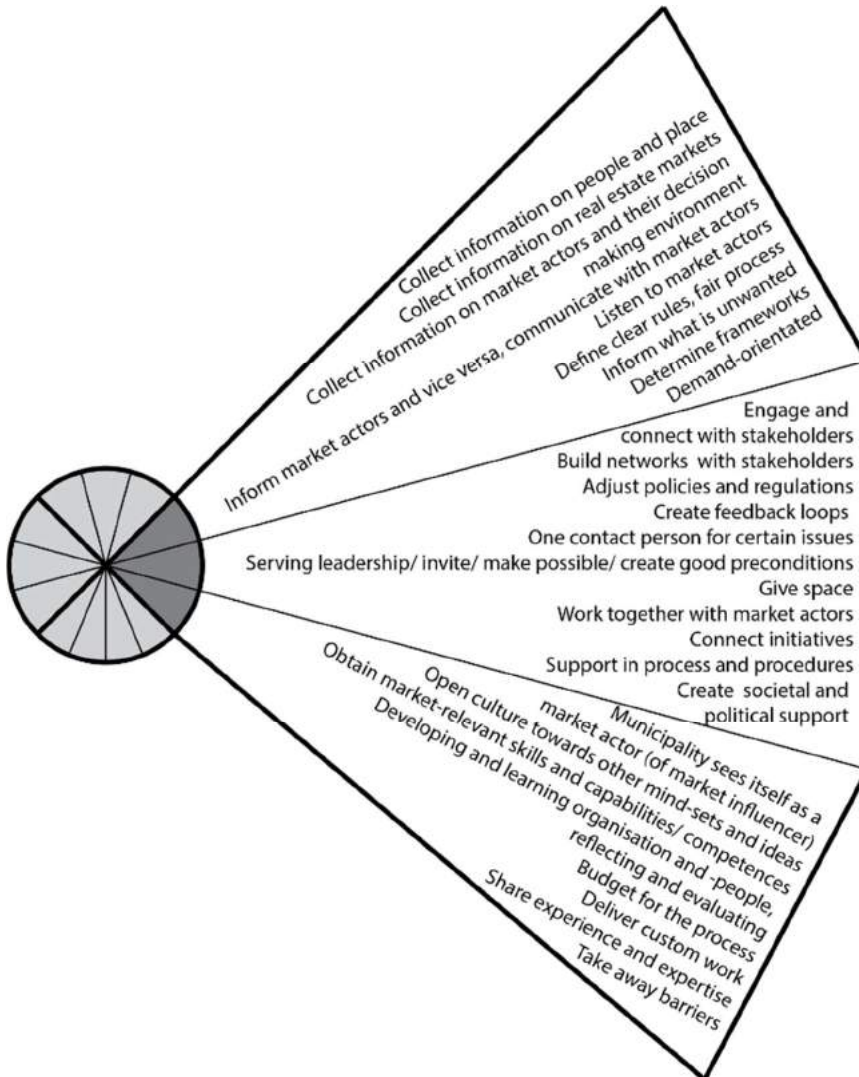


Figure 18: the means supporting the measures of the facilitating steering role of the municipality

## 5. Case study

In the previous chapters the theory behind the facilitating role of the municipality in urban area development projects is studied. In the following chapters this theoretical framework will be tested in practice, by undertaking five case studies. In this chapter the selection of the main case, the municipality of Rotterdam, the case study design, the case study approach and the selection of the five cases are presented. This chapter is additional to chapter 2 wherein the research approach and methods are discussed, this chapter zooms in at the practical side of this study: the case studies.

### 5.1. The municipality of Rotterdam

To find a municipality to study the facilitating steering role in the urban area development process in the Netherlands, available information was studied. When gathering publications on the facilitating role, the municipality of Rotterdam is mentioned and studied multiple times (Heurkens, De Hoog & Daamen, 2014, pp. 1-39; Heurkens, Daamen & Pol, 2015, pp. 30-32; De Hoog, Franzen & Ginter, pp. 29-31; Franzen, De Hoog & Pennings, 2015, pp. 1-35; Peek, van Remmen & Tetteroo, 2012, pp. 45-47; Ministerie van I&M, 2014, pp. 98-99; Daamen, Franzen & Van der Vegt, 2012, pp. 1-32) and looks like a testing ground and a receptive municipality for the subject of this research. Other large municipalities in the Netherlands are taken in consideration as well, for example Amsterdam and Utrecht, but due to less presence of these municipalities in the available information, due to the opportunities to access information and people for interviews and the below mentioned reasons, the municipality of Rotterdam is chosen.

In the municipality of Rotterdam the effects of the financial and economic crisis have had a big impact on urban area development. In the city less buildings have been built since the crisis struck (Gemeente Rotterdam, 2013, p. 7). Furthermore does the municipality cope with a high vacancy rate in office space, which has grown from twelve percent in 2011 to twenty percent in 2015 (Remoy et al, 2015, p. 7). These indicators prove that the demand for new buildings is low. As a result areas in Rotterdam are affected and impoverish due to this vacancy. This has a negative impact on the feasibility of new urban area development projects in Rotterdam. Another effect of the crisis is the lack of funding, which makes future projects even more complex (Van der Krabben, 2011, p. 10).

Not just the feasibility of urban area development projects is affected, also the municipality itself has to cope with the effects of the financial and economic crisis. When the construction of new buildings stagnated, the development of tax income and income from the sale of land decreased, which had a negative affect on the municipal budget (Ginter, 2015, p. 54). This meant a cut back in personnel and working with a smaller and more effective organisation (Ginter, 2015, p. 54). Also the city development department, concerned with urban area development, took a hit. When trying to adapt to these negative impacts (and the opportunities that arose from it), the municipal organisation was more receptive to new ideas and new ways of working. The city development department tried to reinvent itself by looking at the roles it plays in urban area development projects, by becoming 'a learning organisation' and by launching a 'knowledge- and innovation platform' (Heurkens, De Hoog & Daamen, 2014, p. 7).

The project teams of the city development department can be considered as the organisational system from the conceptual model. This organisational system is the case that is studied for this research. The management measures of shaping plans, regulating, stimulating markets and facilitating are used to influence the context and steer the processing system. The facilitating role is the subject of research within that case.

### 5.2. Case study design and approach

The goal of this case study is to acquire more information and examples on the facilitating role of the municipality in urban area development projects in the Netherlands. Furthermore, the concept that is defined and explained in the previous chapter of this report, will be discussed and tested in interviews with professionals working on



these projects. Additional, feedback from the field could lead to improvements or sharpening of the concept, the measures, means and tasks.

The study design and approach for this case study consists of the study of three cases of urban development projects in Rotterdam and the study of two cases, or initiatives, related to the municipal organisation. The difference between these three cases and two initiatives is the level of study and analysis, the initiatives derive from the three cases and look deeper into specific facilitative means. These cases are selected after meeting with and consulting Lonneke Vossen, who works as a Policy Advisor Market Approach for the City Development department of the municipality of Rotterdam, and after a meeting with Debbie Ginter, who is area account manager for the same organisation. The selection of these projects and initiatives for this case study is opportunistic: *'following new leads, taking advantage of the unexpected and fits an inductive research approach'* (Miles & Huberman, 1994, p. 28) Furthermore is this approach in line with the purposive sampling method and the sequential approach, described in the research design chapter of this report. Purposive sampling is when cases are not selected on a random basis and are relevant to the research question (Bryman, 2015, p. 418). The sequential approach is an evolving process whereby samples are added if they benefit answering the research question (Bryman, 2015, p. 418). This method and approach are what happens with this case study: the cases are selected on the basis that they are most relevant, can contribute to answer the research questions and the participants of the interviews will follow logically from the cases and the previous interviews. Though this approach and method suites this research, the fact that the results will not be generalizable (Bryman, 2015, p.148) has to be taken in account.

#### Operationalisation: methods and approach

In the three cases the methods for this study will be a desk study and semi-structured interviews. With the desk study an introduction to the case and an understanding of the assignment of that case will be explained. When sufficient information is collected, interviews will be held to get more detailed information. These interviews will be conducted with an municipal area manager/ project leader who is in charge of the project, with an involved representative of a market party and with another servant of the municipal organisation, but concerned with other tasks than the other civil servant. The contact with municipal area managers is established. Before a formal interview will be conducted, first an informal meeting will be organised wherein the results of the desk study will be discussed. This informal meeting should also lead to getting an idea of which (representative) of an market party could be contacted for an interview, for the selection of the second municipal servant the same approach will be used.

To study the two initiatives the same approach will be used. First a desk study will be performed to get more information on the case. Second there an interview will be held. Though, only one representative of the municipality will be interviewed and no market parties, since the focus of this research is on the municipal organisation of Rotterdam. This interview should lead to more information on the internal organisation of the municipality. The two initiatives that will be studied are an initiative wherein the municipality is part of formal organisation with governmental, societal and market parties and an initiative of the municipality to become a learning organisation. In the third section of this chapter these initiatives will be introduced and further explained.

#### Desk study & interviews

The operationalisation of the methods of the desk study and the interviews is done in the following manner: For each of the cases an appointment will be made with a representative of the municipality that is involved in the project or initiative that will subject of the case study. In this introduction meeting the case is discussed and the representative can help in finding, or suggest where to search for, the right kind of documents to perform the desk study part of the case study. With the acquired documentation the case can be studied: these documents can form an introduction, describe the development process, the actors and their interests and possible the facilitating measures and means that the municipality uses in order to play the facilitating role in these cases.

Following the desk study, interviews will be held to acquire better and more in-depth information, to discuss the process, the facilitating role of the municipality and to clarify findings from the desk study. For the urban development project cases the goal is to interview at least one representative of the municipal city development

department, one representative of an involved market (or societal) party and someone from another department within the municipality of Rotterdam. If there are more people available and willing to be interviewed, these opportunities will be used. For the initiatives part of the facilitating measures and means that come with the facilitating role, one or two persons will be interviewed.

For the interviews, the following set-up of questions is chosen:

- *How do you see the facilitating role of the municipality?* With this question is tried to obtain the vision of the interviewee on the subject, without being biased with information from the study in this report. Possible could this lead to completely different views or information.  
[This is followed by explaining the concept as defined in the previous chapter.]
- *Are these facilitating measures part of the urban development project? Could you provide me with concrete examples?* This question should lead to more concrete examples of facilitating means by the municipality, to test, add and sharpen the list of means as presented in the previous chapter. Or to find out that used means are not intended to use for the facilitating role, but for a different role.
- *Which of the means is the most important one in this project?* It can be interesting to find out what means and measures are used the most, have the biggest impact or are crucial for the urban development process.
- *Are there any means that are forgotten in the defined concept? What would you like to add?* There is a great chance that the concept as formulated in the previous chapter is incomplete and that aspects that have not been formulated before, appear to be important or to have a big impact on the urban development process.  
[Only in case of the representative of the city development department of the municipality, and if there is enough time and willingness:]
- *Can we go through the list of measures and means and can we discuss if these measures and means (and in what form) appear in this project?* With this (time consuming) question is tried to obtain extra information to describe the case better and to find small means or insights that otherwise not would have been found with general questions about the topics.

The above questions form the framework for the interviews that have a semi-structured character. The choice for this interview design is made, because structured interviews have the disadvantage of its rigid structure, what does not leave room for insights that do not match the research framework. Though, the interviews need some direction to obtain information on the cases and the facilitating role and therefore need some structure.

Next to the above questions, additional questions will be asked during the interviews. To keep the conversation going, get a better understanding of what is said, obtain more information or for other reasons that will improve the interview and the data deriving from it. Three people will be interviewed per urban area development case: one employee of the municipal city development department, one employee of an involved market party and a second involved employee of the municipality that preferably is not part of city development department or is from an external firm. For the initiative cases one or two people of the municipal organisation will be interviewed. Off course will civil servants and representatives of market parties be approached differently and will the questions of the interview deviate a little (see also the added comments in the above list of questions).

### 5.3. Selection cases

This case study is the study of a single case, with embedded cases to understand that single case better. Such '*a single case study entails the detailed and intensive analysis of a single case, for example the study on a single organisation*' (Bryman, 2015, pp. 66-67). A single an organisation, like the municipal organisation of Rotterdam concerned with urban area development. Since this municipality is studied as an exemplifying case, the case study objective is '*to capture the circumstances and conditions of an everyday or commonplace situation*' (Yin 2009: 48). Furthermore, '*a single-case study may involve units of analysis at more than one level. This occurs when, within a single case, attention is given to a subunit or subunits*' (Yin, 2014, p. 53). These different units of analysis occur whit the selection of the embedded cases: three urban area development cases will be studied and two cases looking into specific measures related to the facilitating steering role of the municipality in those

developments. A note to take in account formulating conclusions: *'with the embedded design the focus lays on the subunit level and can be difficult to return to the larger unit of analysis'* (Yin, 2014, p. 55).

The three urban development project cases that will be studied are selected on the basis of the following characteristics:

- In the selected cases, the municipality claims to take on the facilitating role. To some extent stating the obvious: If the municipality itself does not argue that it tries to take on a facilitating role, this will probably will not be the case either. Next to that, does this intention to fulfil the facilitating role also mean that people working on these projects are probably open minded towards research on this subject.
- The cases will be selected by a pragmatic approach. When the opportunity arises, when municipal representatives are willing to co-operate and connect me to other stakeholders that are willing to contribute to this research, this case will be selected.
- It will be interesting to select three cases that differ from each other in the type of development, phase of the life-cycle of an urban area they are in and/ or differ in the form of co-operation between the municipality and private parties.

Besides these cases, two initiatives will be studied at a deeper level of study and analysis. These cases will look into two examples of facilitative means that are part of the three urban development project cases and ask for further study to explain and understand the facilitating role of the municipality better. These cases are selected based upon the following criteria:

- One of the initiatives can be linked to the facilitating mean of acquiring market information
- One of the initiatives can be linked to the facilitating mean of building networks
- One of the initiatives can be linked to the facilitating mean of being an open learning organisation

In the table 9 below the selected cases are given and the motivation for that selection:

<u>Case</u>	<u>Motivation</u>
Rotterdam Central District	This association is good example of building networks by the municipality. Next to that, according to the municipality does it play a facilitating role in this development.
Hart van Zuid	The municipality has used a different tender form. Next to that a new form of contract is signed with a consortium, wherein the parties of the consortium not only plan and realise the buildings and public space, but also are responsible for the maintenance of the public space for the coming twenty years. Next to these new forms, the municipality tries to perform a facilitating role. Furthermore, already a lot of research has been done on this case, but with different subjects and approaches. Information should be easy to gather due to that previous researches.
Nieuw-Kralingen	The development of this area started pre-crisis, in contrary to the two previous cases. Furthermore differs this area from the two others, because it will be mainly a residential area and in the way of contracting the developers and how the process is given shape.
Kennismotor	This initiative is in line with the theory that's supports the defined concept of the facilitating or capacity building role of the municipality. Next to that, the Policy Leader concerned with this initiative is accessible and probably willing to contribute to this research.
Vereniging Rotterdam Central District	This initiative is in line with the theory that's supports the defined concept of the facilitating or capacity building role of the municipality. Next to that, the Advisor Market Approach concerned with this initiative is accessible and willing to contribute to this research.

*Table 9: selected cases and motivation for that selection.*

Next to these criteria for urban development project cases and criteria for facilitating means initiatives cases, mentioned on the previous page, are there case specific characteristics that make cases interesting and relevant to study. These characteristics are given in table 10 & 11 on the following page.

<u>Case</u>	<u>Phase</u>	<u>Status</u>	<u>Type</u>	<u>Location</u>
Rotterdam Central District	Planning, development & operating	Started during crisis	Mainly offices, some dwellings and amenities, inner-city location	City centre, north-bank
Hart van Zuid	Development & operating	Pre-crisis	Public area, (public) amenities, commercial spaces and dwellings	Feijenoord, south-bank
Nieuw-Kralingen	Planning	Post-crisis	Mainly dwellings, relocation of primary infrastructure	Kralingen, north-bank

Table 10: selected urban development project cases

<u>Case</u>	<u>Mean</u>	<u>Type</u>
Vereniging RCD	Acquiring market relevant information & Building and maintaining networks	Association with market actors wherein the municipality takes place
Kennismotor	Being an open and learning organisation	Sharing knowledge and experience within the organisation

Table 11: selected municipal initiative cases

For these case studies, interviews are conducted to obtain more information about the cases and get more insights and to get input from different viewpoints. In table 12 an overview of all the interviews that are conducted for this research.

<u>Date, time and location</u>	<u>Interviewee/ contact person</u>	<u>Function and organisation</u>	<u>Subject of the interview or meeting</u>
Ma 12 juni 14:30u <i>DE café R'dam CS</i>	Lonneke Vossen	Beleidsadviseur Marktbenadering <i>Gemeente Rotterdam</i>	Discuss case selection and strategy for who to contact
Wo 21 juni 15:00u <i>De Rotterdam</i>	Frank Delhij	Beleidscoördinator <i>Gemeente Rotterdam</i>	Meeting about the Kennismotor
Ma 26 juni 15:00u <i>De Rotterdam</i>	Debbie Ginter	Gebieds-accountmanager <i>Gemeente Rotterdam</i>	Infor on the facilitaing role, Kennismotor, and case Hart van Zuid
Wo 28 juni 14:00u <i>De Rotterdam</i>	Frans de Jong	Gebieds-accountmanager <i>Gemeente Rotterdam</i>	Information on Hart van Zuid and on the municipal organisation
Wo 28 juni 15:00u <i>De Rotterdam</i>	Kees van Oorschot	Procesmanager RCD <i>Gemeente Rotterdam</i>	Explore case R'dam Central District
Wo 26 juli 09:30u <i>De Rotterdam</i>	Kees van Oorschot	Procesmanager RCD <i>Gemeente Rotterdam</i>	Interview case R'dam Central District
Wo 26 juli 11:30u <i>Stadhuis R'dam</i>	Bart van Ulden	Hoofd Jurist <i>Gemeente Rotterdam</i>	Interview case Hart van Zuid
Wo 23 aug 16:00u <i>Kantoor Amsterdam</i>	Ton Boon	Adjunct Directeur <i>Maarsen Groep</i>	Interview case R'dam Central District
Ma 4 sept 11:00u <i>De Rotterdam</i>	Arienne de Muijnck	Projectmanager <i>Gemeente Rotterdam</i>	Interview case Nieuw-Kralingen
Di 5 sept 11:00u <i>Lebkov Rotterdam</i>	Oscar de Grave	Bestuurslid/ Communicatie Vereniging RCD	Interview case RCD en case vereniging RCD
Di 05 sept 16:00u <i>Kantoor Nieuwegein</i>	Peter Klevering	Directeur Wonen Ballast Nedam	Interview case Hart van Zuid
Do 14 sept 11:00u <i>Kantoor Zoetermeer</i>	Patrick van Oosten	Projectontwikkelaar ERA Contour	Interview case Nieuw-Kralingen
Vr 15 sept 14:00u <i>Gr Handelsgebouw</i>	Erick Schouten	Gebiedsontwikkelaar Heijmans	Interview case Nieuw-Kralingen

Table 12: overview of conducted interviews for this research

## 6. Rotterdam Central District



Figure 19: impression of the Rotterdam Central District (DTZ website, retrieved 27/07/2017)

The Rotterdam Central District is the urban area on the north side of the city centre and its boundaries are formed by the Schiekade, Hofplein, Weena, the Statenweg, train tracks and the central train station, an impression of the area in figure 19. For the plan area that forms the Rotterdam Central District, see image 20 below. The area is characterised by high-rise buildings, the public transport hub Rotterdam Centraal Station, its infrastructure and by the diverse users of the area and the buildings. The municipality sees this area as one of the most high valued urban areas of the city, due to its accessibility by public transport, the housing of ICT- and business services corporations and the attraction of potential new businesses and inhabitants to this area (RCD, 2017a, p. 4).



Image 20: the Rotterdam Central District plan area (source: [www.rotterdam-centralsdistrict.nl](http://www.rotterdam-centralsdistrict.nl))

Around 12.000 people work at 360 different companies in the Rotterdam Central District and this number is expected to increase. Within the existing office buildings the vacancy rate is about 20%, and wherein this growth partly can be taken up. Due to the poor state of some office buildings and the fact that in the future the qualitative and quantitative demand for office space cannot be met, refurbishments and new developments are needed. Next to that, there also will be demand for dwellings and living area in the Rotterdam Central District.

This will be possible in the future, where transformation of existing buildings – next to new buildings – will be an important development to meet future demands. Furthermore the buildings, the public space and amenities in the area become more valuable to the inhabitants of Rotterdam and visitors of the city. Accordingly due to the new train station that feels like a new gateway to the city (completed in 2014), the renewed public space in the district and new initiatives like for example the new hospitality businesses in the Schieblok. (RCD, 2017a, p. 4)

### 6.1. Developments within the Rotterdam Central District

In 2007, the municipality published an urban plan for Rotterdam, which led to a vision for the development of the Rotterdam Central District that same year. Due to the financial and economic crisis this vision has resulted in only two new physical developments in the area: the refurbishment of the central station and the realisation of the high-rise building First Rotterdam at the Weena. In 2011 a new structure vision was developed for the area, which mainly committed the municipality to realise the previous planning and the intended development of the urban area. In 2016, the municipality and the association Rotterdam Central District (RCD) presented the report *Rotterdam Central District\_Next Step*, which builds upon the previous mentioned documents and wherein ambitions for development of the area are reformulated. Next to that, for this report a new analysis of the position of the location was made, the legal frameworks and established plans wherein the developments have to take place were presented, the description of the locations where new real estate can be developed are discussed, the phasing of the strategy for development of the area are given and a strategy for the entire process is presented. This report is a comprehensive bookwork for shaping plans and future developments in the Rotterdam Central District and is – at the moment of writing – still under construction. And not officially agreed on by the executive board of the municipality, nor by the municipal council of Rotterdam. Though still under construction, this document is used to further describe the case below.

The ambitions of the municipality and the Vereniging Rotterdam Central District for the area are that the district is a hospitable and welcoming entrance of high quality, is part of the city centre and where it is enjoyable to reside and live, a place where innovative companies are housed and where a 24 hour urban buzz can be felt. These ambitions are translated to a development strategy by the authors, which enhances the following points:

1. The attraction and retainment of different kind of users with an innovative character: small and big tenants, high and low rents and temporary and permanent owners and tenants.
2. A mix of owners, tenants and users and a mix of functions within the different sub-areas: next to offices, dwellings, shops, hospitality, amenities and room for temporary functions that will attract people to the area.
3. The transformation of outdated real estate: refurbishment of offices, transformation towards dwellings or other functions and with a focus of the transformation of plinths to public accessible functions.
4. The accessibility and connectivity of the location with local, regional, national and global destinations by public transport and by bicycle.
5. All developments have to contribute to a more sustainable urban area: circularity, energy transition, green or multifunctional roofs and cultural history.

The municipality uses these ambitions and strategies to steer future developments in the Rotterdam Central district, for example as additional conditions added contract that comes with the sale of land or granting permits to builders and developers. (RCD, 2017a, pp. 12-13)

In line with above mentioned plans and under influence of the municipal ambitions and strategy, the following initiatives have taken place or are developing at the moment in the Rotterdam Central District: next to the new developments of First Rotterdam and the central station, other recent developments in the area are the renovation or transformation of the office buildings Hofplein 20, Plaza aan het Weena, Weena 200, Hofplein 19 and the Delftse Poort. Within these and other buildings new tenants came to the area, companies expanded their office space and some buildings became multi-tenant due to the decline in employees, new ways of working and other developments at these tenant companies. The public space has been upgraded, whereby the central station functions as a new gateway to the city centre and new green walking routes have been developed. Next to that the plinths of buildings in the area have become more lively due to establishment of amenities such as



bars and restaurants. Furthermore, some office buildings are redeveloped to a hotel or apartment building and a couple of these redevelopments are taking place at the moment. Finally, the report indicates that the level of car usage in the area has dropped since more users of the area get there by public transport or by bicycle. (RCD, 2017a, p. 5)

Future real estate developments in the area are described in the *Rotterdam Central District\_Next Step* report and can be divided in two types of developments: renewal and renovation of existing buildings and the development of new locations. In that first category the municipality tries – after consulting the owners of older (office) buildings – to stimulate further renewal and renovation in the area, whereby new functions and dwellings have to be added to area. These redevelopments should take place within the existing buildings and the physical boundaries of these buildings. At the Schiekadeblok the innovative environment and the opportunities for creative entrepreneurs and start-ups in combination with leisure will be stimulated by the municipality. In that second category four locations are suitable for new developments: Weenapoint, Delftseplein, Conradstraat and the Schiekadeblok (see below in figure 21). The Weenapoint location is fully possessed by the Maarsengroep. The locations Delftseplein and the Conradstraat are municipal property. At the Schiekadeblok the buildings partly belong to the municipality and partly to other parties. (RCD, 2017a, p. 17)



Image 21: locations for new developments in the Rotterdam Central District (RCD, 2017b, p. 6)

## 6.2. Steering of urban development by municipality

The municipality, in co-operation with the Rotterdam Central District association, tries to steer the development of the area to achieve the common goals. These abstract goals, mentioned above, are translated into more concrete and measurable goals in other documents. For example, the number of dwellings that preferably have to be added at the different locations or a programmatic proposal for the locations in the district. These more quantitative and concrete goals are formulated based on market research on the real estate-, the office-, the dwelling- and the hospitality market by the municipality and local brokers (RCD, 2017c, p. 4). To achieve these goals, the municipality has different strategies, these strategies are influenced by the parties that own the land or real estate that will be (re)developed. Based on the ownership situation can the municipality enforce, influence or try to tempt developing parties to take the measures to achieve these goals.

With redevelopments, like refurbishments and transformations, the municipality influences the process to achieve its goals, by helping developing parties when their goals are aligned with the municipal goals. For example, by adapting the land-use plan for the developer when transforming offices to a hotel or to dwellings (RCD, 2017a, p. 5). Or by making temporary use possible in a vacant (office) building (RCD, 2017d, p. 6). And more rigorously by acquiring old office buildings so they can be demolished in the future and can be replaced by new

developments (RCD, 2017a, p. 14). With these plan making, regulatory and stimulatory measures the municipality influences the development of the district, in an attempt to achieve its own goals. These three roles are supported by the facilitating role. The municipality builds and maintains networks in order to acquire relevant market information, for example to find temporary tenants for buildings that have become municipal property, and to indicate what kind of permits these possible temporary tenants might need (Van Oorschot, 2017, p. 1).

The development of the Weena point, which includes the First Rotterdam, is done by the market party the Maarsengroep. This party possesses all the land and buildings in this part of the district (RCD, 2017a, p. 14) and therefore can develop, within the legal boundaries such as laid down in the land-use plan, what they want, without taking the goals of the municipality for the entire district into account. Nevertheless the municipality tries to influence this party, and the Maarsengroep is not incorporative. The developer wants to demolish one of the older buildings on its land and construct a new building at the same location. The design for this development has a slightly different footprint than the current building. In by the municipality laid down land-use plan, some restrictions for the development are taken into account, for example the maximum building height, maximum floor space and the type of functions within the building. In the business case for this development, the Maarsengroep came up with a design that does not completely fit in the framework of the land-use plan and the existing situation. Therefore the developer has asked the municipality to change the land-use plan for this site and to relocate cables and pipes in the ground. The municipality has a willing attitude towards these adaptations if the developer pays for the costs of these adaptations [but this is still part of negotiations!]. By having one person that communicates on all these and other issues on behalf of the municipality, the municipal organisation tries to fulfil a facilitating role. For this case the issues are: changing the land-use plan, estimating the costs and relocating the pipes and cables, the parking-norm and maintaining contact with the external appearance commission. (Boon, 2017, p. 3; Van Oorschot, 2017, p. 2)

Developments at the last two locations, by the municipality sometimes called *the crown jewels* of this urban development, the Conradstraat and Delftseplein, are subject of the tender procedure by the municipality. This tender procedure is for the sale of land, wherein the developer is contracted and obliged to realise real estate within the boundaries set by the municipality. The tender procedure contains three phases: preparation of the tender, the official tender procedure and the contract negotiations. Within the preparation phase, the municipality formulates a *program of wishes and requirements*, which will be presented to market parties who can give feedback for adjustments. The municipality weighs the feedback and possibly adjusts the program. The official tender procedure will be determined and made available, including the awarding-criteria, for interested parties. In the official tender procedure there will be a first bid-round, followed by a dialogue with market parties. After the second bid-round the final bids will be assessed and a decision will be made on which party is awarded the contract. Finally, a contract negotiation will start, based upon the bid and the program of wishes and requirements. With this tender procedure design, the municipality tries to steer the development from the perspective of different kind of roles: *shaping plans* by making a program of wishes and requirements for the location wherein quantitative and qualitative requirements for the development are formulated, *regulating* by laying down land-use plan, *stimulating* – if needed – by selling the land for a specific price and *facilitating* by building networks and obtaining market information. Building networks is done by inviting market parties to give their views on the program of wishes and requirements, obtaining relevant market information by asking these market parties which requirements regarding the program make future development feasible. (RCD, 2017d, pp. 20-24)

In the case of the Rotterdam Central District, three different approaches are chosen by the municipality on how to steer the urban developments in the area. These approaches can be distinguished upon the ownership situation of the land and buildings that will be developed. But these approaches can also be distinguished upon the period wherein these developments started: the examples of the temporary use come from when the financial and economic crisis had its biggest impact, the development of the Weenapoint started when the economy was recovering and already a little better and the development of the *crown jewels* started in a more prosperous period. Nonetheless, it is clear that the municipality uses measures of the facilitating role in each of these developments. Therefore does it seem like the municipality of Rotterdam intentionally plays a facilitating role in the urban development of the Rotterdam Central District.



### 6.3. Facilitating measures, means and instruments in this development

In the above description of the case and the examples of how the municipality tries to steer the urban development project of the Rotterdam Central District, examples of facilitating measures, means and instruments are mentioned. In this case the facilitating or capacity building role supports or complements the roles of shaping plans, regulating and stimulating of the municipality in their process to achieve municipal and societal goals for the city of Rotterdam. In Appendix B, the examples of these measures, means and instruments in the case of the Rotterdam Central District are studied more closely and a comprehensive overview is given. This analysis is based upon above information and interviews with Kees van Oorschot (process manager Rotterdam Central District for the City Development Department of the municipality of Rotterdam), Ton Boon (adjunct director of Maarsen Groep, investor, owner and developer of the buildings at the Weena Point like the First Rotterdam) and Oscar de Grave (secretary of the board of the Vereniging Rotterdam Central District).

Most mentioned and most important means

The most mentioned and most important facilitative means, that come forward in interviews with all three interviewees and from the analysis made in appendix B, are:

- **The collection of information by the municipality on (three means combined) people and place, real estate markets and on market actors and their decision making environment.** This is done by the municipality in for example informal meetups with the board of the RCD association, in bilateral meetings with stakeholders in the district, in meetings with the members of the RCD association and in a market consultation that was held at the Provada (real estate fair) with market actors such as investors and developers nationwide (next to the investors and developers that are part of the RCD association.)
- **Engage, connect and build networks with stakeholders (two means combined).** All interviewed stakeholders are positive about the collaboration between the municipality and market parties through the RCD association and consider this formal organisation as essential to improve the quality of the end-result of this urban development project.
- **Adjusting policies and regulations is an important facilitative mean to market parties and the municipal actor acknowledges this viewpoint.** In the Rotterdam Central District the mutual effort to create a shared vision wherein visions on the type of new developments (more dwellings) and the improvement of the liveability of the public space (more public amenities at street level) are shared, will improve the future quality and durability of the area. This also adds value for current and future building owners and end-users, since increasing the value of the entire area will radiate on individual buildings and companies in the area.
- **One contact person for certain issues.** In this case Kees van Oorschot is the first person to who stakeholders in the district can turn to for any matters that concern contact with the municipality. He connects these stakeholders with the right employees and monitors the contact. Both the municipality and the interviewed market parties value this mean as really important because it speeds up the process and procedures, decreases issues with municipal bureaucracy and prevents the market parties from having irritations, which improves the atmosphere and collaboration between the parties.
- **Create societal and political support.** The municipal process manager has a *bridge function* between political stakeholders, the municipal organisation and the stakeholders in the Rotterdam Central District. This works in all directions: political support can be gained for market parties, end-users and the municipal organisation, societal support from building owners and end-users for the municipal organisation and politicians. This is done actively by the process manager in the Rotterdam Central District.

Additional means found in this case study

Below an overview of additional findings, which were found studying this case. There are findings that are not part of the framework that is conceptualised in chapter 4, but are part of the facilitating role according to the interviewed stakeholders. These findings are:

- A facilitating instrument that Process Manager of the municipality of Rotterdam Kees van Oorschot mentions in the interview, is that **for a specific issue an instrument can be designed that did not exist yet.** The organisation can design tailor made instruments that become part of the primary process of

the municipality. This creativity and entrepreneurial spirit of a civil servant is, according to him, an important asset within the municipal organisation that can contribute to the facilitating role. Such a civil servant knows all the possibilities and the boundaries of the institutional context and knows what other actors in the urban development process want and need. As an example Kees van Oorschot mentions the City Lab initiative. Herein inhabitants of Rotterdam are able to pitch an idea for urban development or the (temporary) use of public space and municipal properties. These residents are supported financially and are helped by the municipal organisation. If their idea wins the annual competition, the municipality helps to realise the idea by financing the idea, making space or property available and helps with expertise of the municipal organisation.

- According to Kees van Oorschot the facilitating role is not just a **municipal role of the municipality towards market, societal and other external actors, but a role it has to play towards its own (internal) organisation as well**. The municipal project team should not only focus on external parties, but also on internal municipal organisation. For example connecting initiatives, building networks, knowing the decision-making environment of other departments, etcetera.
- Oscar de Grave believes that part of the facilitating role, is that **the municipality constantly behaves in the same way**. From the start of the process it should behave the same regarding legal frameworks, plans and visions and how the process is designed. Regardless of the economy, politics and other external factors, that influence the decisions and decision-making environment of stakeholders in the area.
- Next to that **the municipality should show – or proof – commitment to the project and which direction the process should go**. Since the municipality can have different interests (for example: revenue from sale of land, liveability of the area, reducing the vacancy rate, being an end-user of space in the area, etcetera), they should be clear in when which interests prevail and how this influences the mutual process of urban development and place making.

#### Most crucial means

According to the three interviewees, the most important or even crucial facilitative means for the municipality in urban development projects are:

- Municipality: according to Kees van Oorschot is the most important mean for the municipality to facilitate this urban development project his role. **Being the contact person for market parties** in their relations with the municipality, **coordinating all the parties and taking the interest of all stakeholders into account** in order to come up with a qualitative plan and process. (Kees van Oorschot did not formulate it this way, this is my conclusion after analysis)
- Investor/ developer: also Ton Boon of the Maarsen Groep addresses **the organisational power and willingness** of the municipality as the most important facilitating mean. This means all the procedures are followed as intended, within the expected time and with the right quality. An example is the realisation of the designed public spaces, since this has a big impact on the area and the buildings.
- RCD association secretary Oscar de Grave as well believes it is important for the municipality and its facilitating role to **be present in the area**, with **sufficient people** working on all the projects and issues in the district and that there is **enough budget available** for such an organisation to be effective.

#### Differences in views

Different interpretations and valuation of facilitative means by the interviewed stakeholders are:

- According **to the market parties the municipal budget for the process is insufficient**. The interviewed process manager of the municipality sees this differently since there is budget allocated for the process. The market parties would like to see a project organisation or bureau for this urban development project within the Rotterdam Central District area, with sufficient personnel power.
- For the municipality the frameworks wherein the process takes part are clear. To the Maarsen Groep as well, since these frameworks are rooted in Dutch Law. However, board members of the RCD association argue that the **frameworks were clear and rigid**. But since the economy recovers, these **frameworks become more fluid** to the municipal actor.

- According to the market actors the municipality should perform a more leading role to ensure the interest of all existing stakeholders and how this is translated into plans, for example with the two upcoming tenders. The mutual vision of the area, which is backed by the municipality, should be translated in how the area will be developed in the future and should be less subject to what interested parties for the tenders think and want.

#### 6.4. Conclusions case Rotterdam Central District

In the urban development project of the Rotterdam Central District the municipality aims at performing a facilitating role and uses means that support that. Also the interviewed market parties believe that this role is played by the municipality, though they have some remarks and possible improvements. A lot of the measures and means from the in chapter 6 defined concept are (to some extent) present and are intentionally used to facilitate the process. Especially means that come with the measure acquiring market information and knowledge, and most of the measure managing market-rooted networks as well. The means that come with measure of being an open and learning organisation are less present compared to the previous two measures. An overview of the presence of the means is given in table 13 below and an explanation of the shading in table 14:

Measure: acquiring market information and knowledge	Measure: managing market rooted networks	Measure: being an open and learning organisation
Collect information on people and place	Engage and connect with stakeholders	Municipality sees itself as a market actor (or market influencer)
Collect information on real estate markets	Build networks with stakeholders	Open culture towards other mind-sets and ideas
Collect information on market actors and their decision making environment	Adjust policies and regulations	Obtain market-relevant skills and capabilities/ competences
Inform market actors and vice versa, communicate with market actors	Create feedback loops	Developing and learning organisation and -people, reflecting and evaluating
Listen to market actors	One contact person for certain issues	Budget for the process
Define clear rules, fair process	Serving leadership/ invite/ make possible/ create good preconditions	Deliver custom work
Inform what is unwanted	Give space	Take away barriers
Determine frameworks	Work together with market actors	Share experience and expertise
Demand-orientated	Connect initiatives	
	Support in process and procedures	
	Create societal and political support	

Table 13: presence of facilitative means within the Rotterdam Central District case

Not applicable and/ or no example found in this case.	Not really applicable and/ or no good example found in this case.	It is not clear, based on the interviews, if this is the case or not.	To some extent applicable and/ or to some extent an example is found.	Applicable and/ or a good example is found in this case.
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Table 14: legend for the colours used in table X\* above.

## 7. Hart van Zuid



*Figure 22: visualisation of the structure vision of Hart van Zuid (Ballast Nedam, 2014, p. 1)*

The river Maas divides the city of Rotterdam in two parts. The south bank, where the district Rotterdam Zuid is located, is subordinated in comparison to the north bank. Rotterdam Zuid is less prosperous, has higher rates of unemployment, has less educated population, lower housing prices, a large number of social housing, stagnated economy and impoverished public areas (Programmabureau NPRZ, 2015, pp. 11-59). In Rotterdam Zuid there are a couple of areas where investments are made and as a result living standards have improved. An example of which is the Kop van Zuid and the area near the football stadium Feijenoord. The centre of this Rotterdam Zuid district, includes the Zuidplein mall and a public transport hub, plus the neighbouring amenities like: the event hall and conference centre Ahoy, the library, the swimming pool Charlois, hotels and other smaller amenities. This area is called 'Hart van Zuid' (the heart of south) and forms the urban area which is subject to urban (re)developed which is studied for this report.

The specific urban area which is the subject of this development project, lies in the middle of the south bank. This is situated in the bigger Rotterdam Zuid area (see figure 23). On the west side of Hart van Zuid lies the Charlois district. On the north and east side lies the Feijenoord neighbourhood and in addition, on the south side Zuiderpark (South park) is situated. On the north and east side of the area two busy roads divide the area from the adjacent neighbourhoods, another major road divides the Zuidplein area and the Ahoy area in two separate parts, for an impression see figure 22.

Hart van Zuid is well connected to the regional road and public transportation network. The metro station Zuidplein is a part of the public transportation hub. It also is, due to the metro, connected with the north bank of Rotterdam, including the city centre and the central station of Rotterdam. The final destination of one of the two northbound metro lines, is the The Hague Central Station which stops in the suburbs between Rotterdam

and The Hague. The southbound metro line goes through Spijkenisse and other towns neighbouring Rotterdam. Busses go to every part of Rotterdam, like the harbour and towns south and south-west of the city. A bigger road connects Hart van Zuid with the A15 highway, which is part of the ring road around Rotterdam. Two northbound roads connect the area with the north bank of the city via the Maastunnel and the Erasmusbrug.

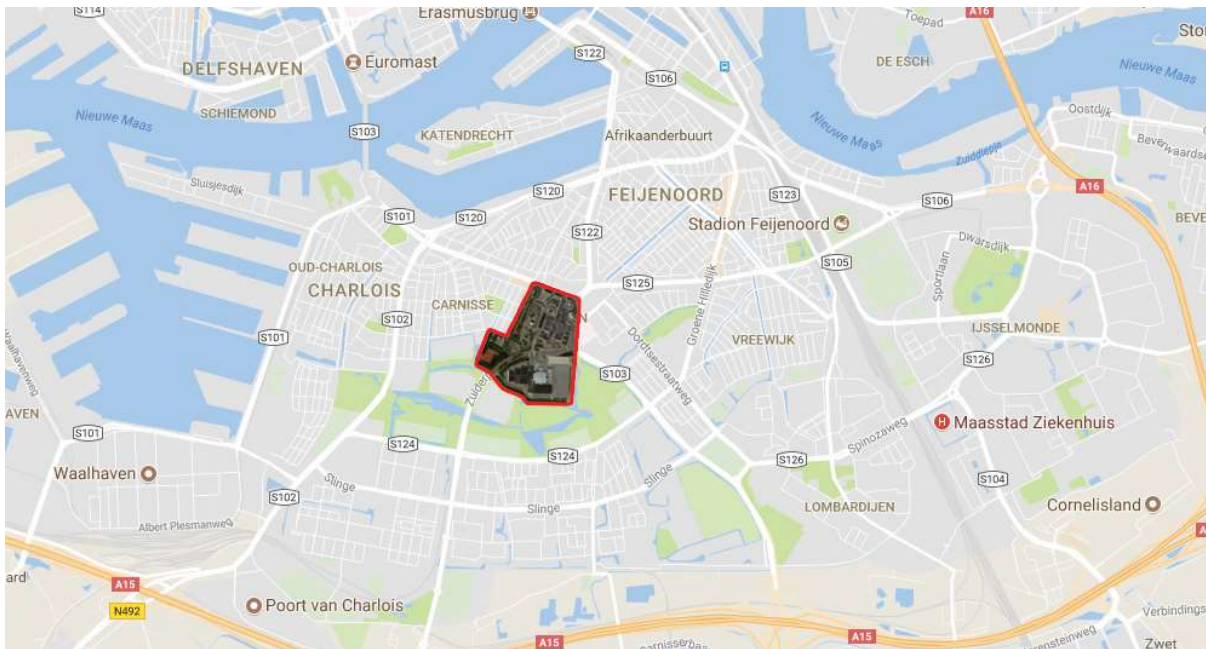


Figure 23: plan area of Hart van Zuid in the Rotterdam Zuid district (Google Maps & own production)

### 7.1. Developments within Hart van Zuid

The Hart van Zuid area is subjected to multiple issues, which are acknowledged by the city council, these form the basis for future development of the area. Accordingly, Hart van Zuid is a dissatisfactory place to live. In order to solve this problem, and the public space needs to be evaluated and improved. For example, by creating a new square (Plein op Zuid) with a new entrance to the mall and the public transport hub and new public buildings adjacent to the square and with new amenities such as hospitality. Additionally, the area will have its focus on pedestrians and thus only be accessible for *slow traffic*. Furthermore, the area around Ahoy needs an upgrade and a better connection (for pedestrians) with the rest of the area. The public transport hub will be renewed with an improved bus station and better connection to the metro station, the mall and the new square. The rest of the public space will be more sustainable, more comfortable to stay, with good sight lines and lively due to the adjacent amenities. (Gemeenteraad Rotterdam, 2013, p. 1)

The city council has also decided that new program should be realised in the area to give Hart van Zuid a boost. New real estate will be developed to house a hotel, a cinema, a new swimming pool, a house for art, extra space for retail and for hospitality. Also new dwellings will be developed. These developments should improve the local economy and make Hart van Zuid the centre for the residents of the entire south bank in Rotterdam. Finally a social program, with room for local entrepreneurs, local start-ups, events, youth and arts will be part of the development of Hart van Zuid, to realise a social return on the investments in the area. (Gemeenteraad Rotterdam, 2013, p. 1)

These issues and plans for the area are translated to a structure vision by the contractor, Ballast Nedam, that won the tender in 2013 for the entire development and for maintaining the public space in the following thirty years. In this vision the ambitions and goals for Hart van Zuid area are formulated: make the area the economic engine of Rotterdam Zuid, contribute to more jobs for the inhabitants of this district, let the public transport hub be part of improved public space and improve the sustainability and wellbeing of the area and users (Ballast Nedam, 2014, pp. 6-7). The program of requirements, what was formulated by the municipality on forehand,



leads to the following physical interventions in the area: a new *house of arts*, a new swimming pool, new high school building, a new cinema, a new hotel, dwellings in a new neighbourhood, a renewed conference centre, a new square including the public transport functions and new pedestrian areas: a boulevard through the area, connections with the neighbourhoods east and west of Hart van Zuid, and a connection with the Zuiderpark (Ballast Nedam, 2014, p. 24-28). An impression of these physical interventions are given on figure 24 below.

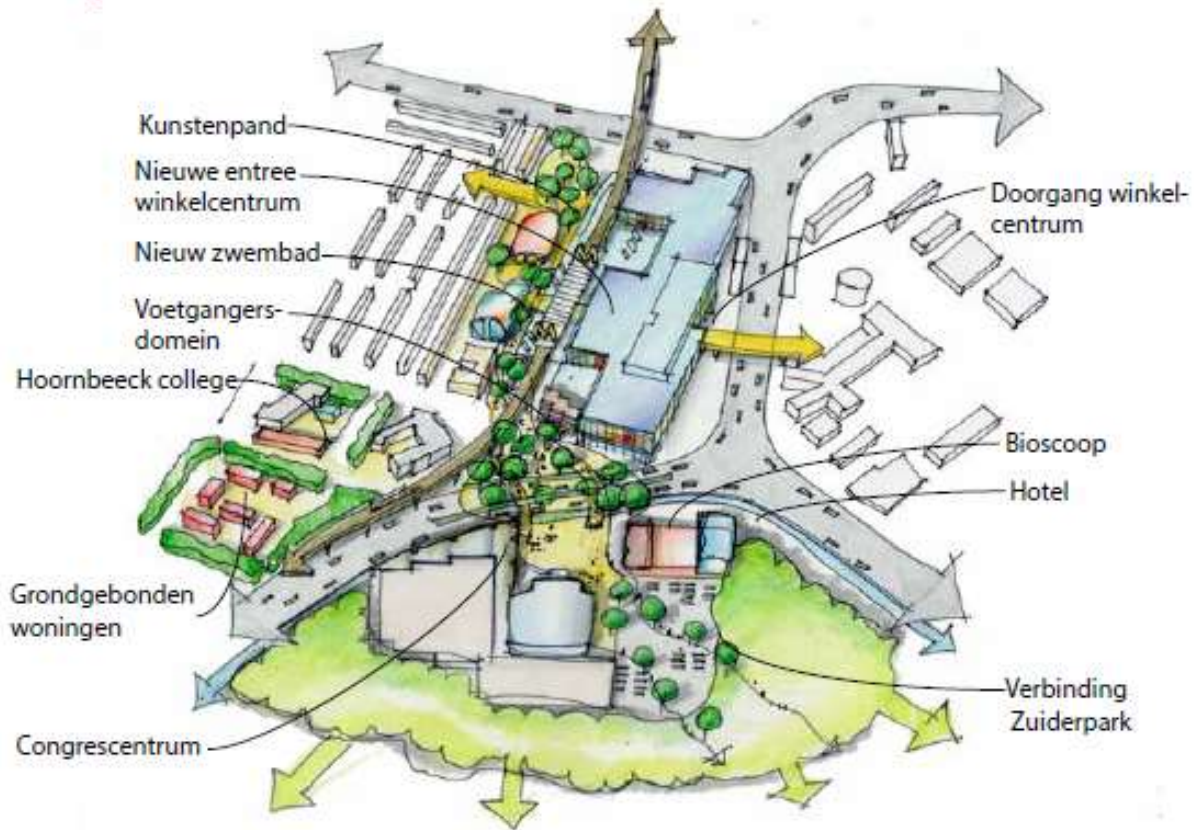


Figure 24: impression of the result of the developments at Hart van Zuid (Ballast Nedam, 2014, p. 33)

## 7.2. Steering of urban development by municipality

Below an overview of the process of the transformation and development in the Hart van Zuid area is given. It describes how the municipality operated and how that has affected the process, the parties and the realisation of the plans and developments. First the final agreement will be discussed. This is followed by a description of the process that has led to the agreement and how this process was shaped and characterised.

The execution of all plans and developments and the maintenance of the public space for thirty years is done by Ballast Nedam. This contractor is granted this long term, integrated, urban development project after a tender procedure. The task is not only to execute physical adaptations to the urban environment, since this task is interwoven with other municipal policy fields and challenges like labour and income, societal development and maintenance management of the public space. The task of the contractor entails multiple challenges, which are linked with each other, in an attempt to connect more successful initiatives in the area, with the more difficult issues. This should help to come up with an integrated solution for the entire Hart van Zuid area. (Hoog, Franzen & Ginter, 2015, p. 30)

The municipality has chosen for a tender procedure of a competitive dialogue with negotiation, wherein all developments of the area fall. For this dialogue with market parties, the goal is to find the best plan and a strong partner, who will develop the area for the coming twenty years. With this tender procedure for complex projects, quality should be added to the final plan and a partner that is committed for a long period should be found.

(Hoog, Franzen & Ginter, 2015, p. 30) Bart van Ulden hereby adds, that this form of tendering and contracting was chosen, because it should lead to a marriage between the contractor and the municipality. This in which, the contractor is stimulated by positive incentives instead of penalties for failing to comply contractual agreements. The contractor will be paid based on progress, instead upon delivered products which do not resemble the *flashy images* from the initial tender document. (Van Ulden, 2017, p. 2)

Not steering on the end-result, but steering on the booked progress, is in line with the assignment for the contractor at Hart van Zuid. The assignment was formulated by a program of requirements first, upon where the contractor made a vision for the area, what was part of the final tender bid. In the following negotiations the municipality and the contractor have come up with the provisional agreement on the quantitative and qualitative program, which is presented in the previous section. On the basis of this agreement the municipality laid down the land-use plan for the entire Hart van Zuid area. Though a lot is fixed in this land-use plan, changes can be made if this adds to the quality, pace of realisation or contributes in another way to a better process and end-result (Van Ulden, 2017, p. 4). For example: Part of the tender is that a *house for art* has to be realised, but where and how is not specified by the municipality. When it turns out that it would be better, quicker or less expensive to relocate the site for this building to somewhere else in the area, the municipality will facilitate this, by adapting the current land-use plan for the contractor (Van Ulden, 2017, p. 5). By agreeing up-front on these kind of issues and by complying to this agreement, does the municipality appear to be a reliable partner and commissioner, what is – according to Bart van Ulden – also a way of facilitating market parties (Van Ulden, 2017, p. 2).

In the planning phase this way of tendering and contracting was new to the municipality, but resulted the contract for the development the Hart van Zuid project to be a success. Due to this contact form and the positive incentive to pay the contractor on the basis of its progress, it is difficult for the contractor to finance the developments. For financiers like banks is it hard to calculate the risk of the development and tough to come up with a sum and interest percentage that the contractor could lend. This led to a high interest rate and a low sum of available money for the contractor. The municipality though, according to Bart van Ulden, has easier access to funding, since the municipality does not go bankrupt easily. The municipality than helped the contractor to get funding easier and cheaper, since this was in the interest of the municipality as well. In this case the municipality is not just the client who commissions the development of an urban and the public space. The municipality is a stakeholder as well: as a future tenant of *the house of arts*, as a future owner of the swimming pool and as an end-user of the area. (Van Ulden, 2017, pp. 2-4)

Finally, what is most interesting about this tendering and contracting process, was the isolation of the project team of the city department from the rest of the municipal organisation: the college of burgomaster and alderman and the city council. This team had a heavy mandate from their own organisation and the city executive board for the negotiations and the contracting phase. This was due to the size of the development and the value of the contract. But also because the team was protected against other stakeholders within the municipal organisation, they could interfere with the negotiations and the political sensitivity of the project. Lastly, the project team wanted to be a reliable partner for market parties. This mandate was given and other internal actors were not allowed interfere with the process. That meant that also the burgomaster, alderman, directors of the municipality and other civil servants were not allowed to give any public statements, before this was approved by the project team. This is a unique, according to head Juridical Affairs of the municipality and part of the project team Bart van Ulden. This did not mean that the project team had a *carte blanche*, of course they had to report to their directors, the responsible alderman and the city council, before any contract could be signed. Furthermore, this isolation resulted in people from different policy fields and departments to be forced to work together on this project in the same office. It made the connections between the different policy fields short and efficient, which made it easy to make decisions fast. This made the project team a strong counter-partner for market parties during the tender- and contracting phase, with the right mandate. This has contributed to an efficient and effective process and qualitative end-result of that process, according to the interviewed municipal employees. (Van Ulden, 2017, p. 4-6)

### 7.3. Facilitating measures, means and instruments in this development

In the above description of the case and the examples of how the municipality tries to steer the urban development project in Hart van Zuid, examples of facilitating measures, means and instruments are mentioned. In Appendix I, the examples of these measures, means and instruments in the case of Hart van Zuid are studied more thoroughly, and additionally a comprehensive overview is given. This analysis is based upon above information and an interview with Bart van Ulden (head jurist of the municipality of Rotterdam, former member of the municipal project team Hart van Zuid), an interview with Peter Klevering (director Ballast Nedam Wonen, formerly part of the tender team) and a meeting with (and publications) of Debbie Ginter (area manager of the City Development Department of the municipality of Rotterdam and former member of the municipal project team Hart van Zuid).

#### Most mentioned and most important means

The most mentioned and most important facilitative means, that come forward in interviews and meetings with all three representatives of the stakeholders and from the analysis made in the appendix, are:

- **The collection of information on people and place, real estate market, market actors and their decision making environment.** This is actively done by the municipality. For the Hart van Zuid project was this additionally done by the team. Due to the composition of the municipal project team, all disciplines could be covered. Even knowledge about the financials of running a hotel were included in the project team.
- **The communication of the municipal project team** with the market parties was good. The team listened to the market parties on what their ideas and visions were and informed what was wanted and unwanted for market parties, to make the development a success in the future.
- By using a tender to select a market party for the planning, development and management of Hart van Zuid for the next 20 years, **the rules, the frameworks, the procedures and regulations** wherein the developing parties have to operate **are quite clear**. For the municipal project team and the tender team of Ballast Nedam was it clear what was possible, were room was left for interpretations and tailor-made solutions. Because this was (and is) clear, the co-operation between the teams was good and they knew (and know) in what way they can help each other out, to make the project a success. For example when the land-use plan was given shape, input from all stakeholders was gathered and taken in account.
- **Adjusting policies and regulations and give space.** The municipality did not lay down a land-use plan, but formulated a performance-orientated program of requirements. The land-use plan is made by Balast-Nedam, approved by the project team and laid down by the municipality. In the performance-orientated program of requirements the exact location for the *art house* is not yet specified (only that it should be realised), nor is the exact form (building height, volume, floor space) specified, it stands accessible for a good solution, that contains the program, made up by the developing party.
- **Create political and societal support and support in process and procedures.** The municipal project organisation supports the market parties in contact with other departments and parts of the municipality. The project team tries to get political support for the vision and plans of Ballast Nedam, by functioning as a bridge between those stakeholders.
- **Take away barriers.** Because members from the municipal project team came from different (sub) departments of the municipal organisation, barriers were taken away. Internally this specifies that the right people are: part of the decision making process, informed about initiatives, and plans could be shaped faster and easier. For external partners, like Ballast Nedam it meant that in their contact with the project team, their issues and matters came directly at the desk of the right person or department, so business can be taken care of fast and easily. Like for example granting permits.

#### Additional means found in this case study

Next to the findings of facilitating means, measures and instruments above, the study of documents and the interviews with stakeholders in the Hart van Zuid, has led to additional findings of the facilitating role of the municipality in the urban development process:

- When a **project team** that is concerned with urban development **has a strong mandate from the municipal organisation and the local politics**, it is able to make choices that supports the process of



urban development and make it a success. This mandate furthermore supports and makes the execution of facilitating measures possible.

- The municipal team has **reduced risks for market parties by choosing for this form of tendering** and the time span of the planning, development and management of the area. By choosing this tender form, the municipality shows commitment to the project itself and to the scale of the project. And by contracting the market party in this way, that changing conditions in local politics cannot change the direction of the project, nor the level of involvement of the municipality. For the coming 20 years the municipality will be a tenant for the public buildings. For the coming 20 years politicians cannot change the vision and program of the planning, development and management of the area.
- According to Bart van Ulden does the facilitating role of the municipality also mean that **the municipality acts and proves to be a reliable partner**. In line with the above found mean, the municipality should stick to previously made promises, closed contracts and intentions. Changes in local politics, within the own municipal organisation or due to the economy, should not lead to changes in the project. Especially not when market parties do not support these changes, or when this has implications for their business case, like for example the feasibility of the development.

#### Most crucial means

- Municipality (Bart van Ulden): **the municipality proves to be a reliable partner for market parties**. (See above as well) A governmental actor should be a partner that lowers risk for market parties. For example because they have easier access to funding, by being a client or end-user as well. And not a reliability for a market party.
- Developer (Peter Klevering, Ballast Nedam): [he did not mention the following finding explicitly, this is my personal interpretation] the way **the municipal organisation helps the market party in the formal decision making process**, that leads to the actual development. Internally in the municipal organisation, with political and societal support. Help and organisational power when making the vision, support in all steps of coming to a land-use plan and in contact with all interest parties. And also later on in the project, for example with environmental permits.
- Municipality (Debbie Ginter): in a feedback e-mail on this chapter of the report Debbie writes that according to her, there are several crucial facilitating means that made the urban development process successful (so far). These means are: the **mandate of the municipal project team**, the **composition of this team with members from several sub-departments**, the **clear rules, fair process** and good preparation of the tender by the municipal team and **support of the team to other stakeholders in process and procedures**.

#### Differences in views

The previous sub-sections are the product of the municipal view and the view of the market party. There are some differences, between these two views, on what was successful in this process and what is part of the facilitating role. The two stated differences below are not facilitative means, but to some extent considerations that should be taken in account, by the municipality playing the facilitating role in urban development projects.

- **The municipality is a multi-headed monster** (in Dutch: veel-koppig monster). Each (sub) department with its own interests, viewpoints, power and responsibilities. These aspects can conflict between the (sub) departments and also changes in the political climate have their influence on the organisation. When the municipality forms a project team that should cope with all these differences and this complexity, not all the difficulties are resolved. For employees of the municipal organisation can it be clear how these difficulties relate to each other and what the impact for the project might be. They even can explain this to involved market parties. But this does not take away the fact that a municipal representative sometimes has to take multiple interests and responsibilities in account. Literally translated from Dutch: that a civil servant wears multiple hats at the same time. For a market party this can be difficult to deal with, these hats have overlap and can conflict, but this is not obvious or even known by the civil servant.
- Due to the tender form that was chosen by the municipality for the Hart van Zuid project, a competitive dialogue with consultation, **the municipality was keeping the tendering parties and itself from building strong networks and let these stakeholders and other interested parties not really engage with each**

**other.** For the tender bid, Ballast Nedam designed a vision for the area. This vision was not an actual plan, but still gave direction to the development project. When the tender was awarded to Ballast Nedam, other stakeholders were surprised (according Ballast Nedam, not according the municipal team), since they were not informed about the plans, nor consulted for input on that vision. While this project can have a big impact on their residential area, their work, their businesses or daily lives. If these parties were consulted, possible better ideas would have been part of the vision. And there would have been more societal support for the plan.

#### 7.4. Conclusions Hart van Zuid case

In the Hart van Zuid project (the tender, contracting, planning, the actual development and the future use of the area) the municipality has tried to play the facilitating role, complementary to the other roles. When looking at the measures and means part of that concept, many of these means are used by the municipal project team. Not all in the way intended or defined in that concept, for example building networks with stakeholders and determined frameworks. Some of the means to some extent, such as budget for the process and engaging and connecting with stakeholders. Next to that there are three means discovered in studying this case. These means, or behaviours, part of the facilitating role are: a municipal team with a strong mandate, reducing risk for market parties and to be a reliable partner to these market parties.

When looking at the concept from the sixth chapter and see if these means are applicable in this case, it stands out that all three measures of acquiring market information and knowledge, managing market rooted networks and being an open and learning organisation are applicable. Not all, but most of the means connected to these measures are applicable, an overview of the presence of the means is given in table 15 and 16 below:

Measure: acquiring market information and knowledge	Measure: managing market rooted networks	Measure: being an open and learning organisation
Collect information on people and place	Engage and connect with stakeholders	Municipality sees itself as a market actor (or market influencer)
Collect information on real estate markets	Build networks with stakeholders	Open culture towards other mind-sets and ideas
Collect information on market actors and their decision making environment	Adjust policies and regulations	Obtain market-relevant skills and capabilities/ competences
Inform market actors and vice versa, communicate with market actors	Create feedback loops	Developing and learning organisation and -people, reflecting and evaluating
Listen to market actors	One contact person for certain issues	Budget for the process
Define clear rules, fair process	Serving leadership/ invite/ make possible/ create good preconditions	Deliver custom work
Inform what is unwanted	Give space	Take away barriers
Determine frameworks	Work together with market actors	Share experience and expertise
Demand-orientated	Connect initiatives	
	Support in process and procedures	
	Create societal and political support	

Table 16: presence of facilitative means within the Rotterdam Central District case

Not applicable and/ or no example found in this case.	Not really applicable and/ or no good example found in this case.	It is not clear, based on the interviews, if this is the case or not.	To some extent applicable and/ or to some extent an example is found.	Applicable and/ or a good example is found in this case.
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Table 16: legend for the colours used in table X\* above.



realised as a buffer zone. The land in the area is in possession of NS Stations and the municipality of Rotterdam (see figure 26).

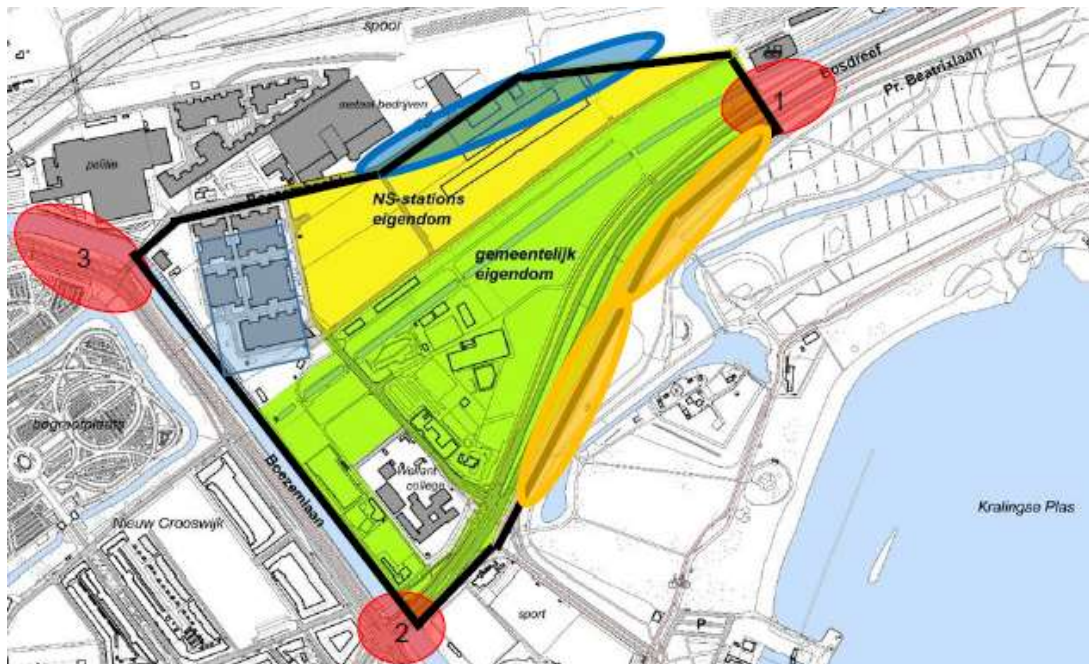


Figure 26: current situation of the plan area, with current ownership situation (Gemeente Rotterdam, 2016a, p. 4)

In 2016 a municipal report formulated the boundary conditions wherein the future development of the area can take place. This report, written by the city development department and the project management bureau of the municipality, comes with four types of categories of preconditions for future development:

- Commercial program: no new retail and new office space will be allowed.
- Housing program: : between 350-400 dwellings have to be realised, land-based and for the free market.
- Transportation: the Bosdreef will be relocated, access to the residential and commercial areas will be separated and the area will be well connected to public transport and the cycling infrastructure of the city.
- Urban- and landscape design: a living environment like the eastern part of Kralingen with lots of green, a relation with- and a soft border to the Kralingsebos, walking- and cycling paths have to go through the area, water will be included in the plan and parking has to be realised on the properties.
- Furthermore a map of the plan area with the land ownership situation was published.

The boundary conditions as set by the municipality in the report are, after being approved by the municipal council and the area commission Kralingen-Crooswijk, used by developers Heijmans and ERA Contour to formulate a vision for the area. These parties already made a study on the feasibility of the transformation up front and were advised by BBN. Based on that vision did the alderman responsible for city development decide to close an intention agreement with Heijmans and ERA Contour, for the sale of land and the development of the area. If these parties meet the requirements of the municipal report in their vision and the municipal council agrees, the contract will be closed and be permanent. Furthermore will the executive board of the municipality lay down a land-use plan that only makes developments in the area possible that are in line with the vision of Heijmans and ERA Contour. (Gemeente Rotterdam, 2016b, pp. 1-5)

The vision for the area by Heijmans and ERA Contour is not published yet. The plan was to discuss this vision with the municipal council on Thursday the 7<sup>th</sup> of September 2017. But because the former alderman Schneider resigned at the 29<sup>th</sup> of August 2017, the process got delayed. The new alderman Simons does not want to discuss this vision before some (last) issues are discussed and resolved by the municipal organisation, the developing parties and other interested stakeholders.

## 8.2. Steering of urban development by municipality

In this section is described how the municipality can steer the urban development project of Nieuw-Kralingen. The measures, means and instruments available to the municipality differ from the two other cases of this study. ( ). This is caused by the power that private parties have when they possess a considerable part of the land.. This has its implications on the form of co-operation between the public and private parties and the development will only take place when the economic and financial crisis do not have a big impact on the developing stakeholders anymore. More on these causes and effects can be found in the next section and in the conclusion chapter.

In 2007 did the municipality of Rotterdam publish a vision on living and housing in the city, wherein the Nieuw-Kralingen area was marked as a future residential area. When this vision was published, the document was accompanied with an invitation to market parties to come up with a vision and a plan for this area. At the time only the combination of developers Heijmans and ERA Contour showed their interest for developing the area. As a result, the process was started to develop the area and Heijmans and ERA Contour made a deal with the NS (Dutch Railway company) of purchasing the land in the future. When around 2008 and 2009 the financial and economic crisis struck, the development of the area was stopped. (De Muijnck, 2017, p. 2; Schouten, 2017, pp. 4-7; Van Oosten, 2017, pp. 1-4)

In 2014 Heijmans and ERA Contour intended to continue the process of development. The deal with NS was still valid, so the developing parties have a considerable interest in the development process. The municipality agreed on continuing the process and asked the developers to come with a vision for the area. This vision should be the starting point for the process. The assumptions from the 2007 municipal housing vision were still valid and the city development department made a document with qualitative and quantitative requirements for the development. These requirements were built upon the housing vision and approved by the municipal council. (De Muijnck, 2014, pp. 1-4)

The vision of Heijmans and ERA Contour complies with the framework from the municipal vision and the conditions from the municipal council. It was the basis for an intention-contract in September 2016 that will be effectuated in a definitive contract between the municipality and the developing parties. This should be closed in the second half of 2017. The vision of Heijmans and ERA Contour should have been discussed in the meeting of the municipal council meeting in September 2017, but due to unforeseen circumstances this has not been the case yet. In June 2017 the responsible alderman, Schneiders of Leefbaar Rotterdam, had to resign. This has caused some delays, since the new alderman, Simons of the same party, has to get familiar with the matter. Next to that, does he have a different viewpoint on some issues, what results in extra research on a couple of themes and issues by Heijmans and ERA Contour. (Most important issue: the relocation of the Bosdreef and how many lanes this road should have, this is a crucial route for the emergency services.) Furthermore is it questionable if the alderman and city council want to approve the vision on a short notice, since the municipal council elections are in March 2018 and municipal board has to decide on what issues they want to realise before the end of their governmental period. (De Muijnck, 2017, p. 6; Schouten, 2017, pp. 4-5; Van Oosten, 2017, p. 4)

Since the vision of Heijmans and ERA Contour is not approved by the municipal council, the contract between these developing parties and the municipality has not been closed yet. Therefore, the duration of the intention-contract is extended. In this contract the sale of land and imposing conditions will be arranged. With this contract the municipality can influence the development of the area by pricing of the land and determine the conditions for the development.. These are not known or publicly available since there has no decision been made yet.

Next to steering the plans and development of Nieuw-Kralingen with that contract, the municipality is also able to steer the process and the outcome with the land-use plan. The land-use plan for the area has not been made yet. This is also caused by the political decision making process: the vision of Heijmans and ERA Contour for the area will form the basis of the land-use plan. In the land use-plan the program, building heights, volumes, parking, public space and other issues will be arranged. This off course is no guarantee that the development will be like the plans in the visions, since the land-use plan only gives the land owner the right to build within the frameworks laid down by the land-use plan, but does not obligate the developing parties do so. A last measure of the municipality to influence the development, is through granting the environmental permits for the developments and test to see if they meet the framework of the land-use plan.



This steering of the plan and future developments is done by the project team of the city development department. They have a bridge function between the developers Heijmans and ERA Contour on the one hand and the municipal organisation, the municipal council and city board on the other hand. They prepare the decision making process for the alderman in the municipal council and take the wishes and demands of the members of the municipal council in account.

### 8.3. Facilitating measures, means and instruments in this development

In this chapter examples are mentioned on how the municipality steers the urban development project Nieuw-Kralingen, by facilitating measures, means and instruments. In Appendix I, the examples of these measures, means and instruments of Nieuw-Kralingen are studied thoroughly and a comprehensive overview is given. This analysis is built on the previous information and on interviews with Arienne de Munck (project manager Nieuw-Kralingen for the City Development Department of the municipality of Rotterdam), Patrick van Oosten (project developer of ERA Contour) and Erick Schouten (urban area developer of Heijmans).

Most mentioned and most important means

The measures of the municipality, like mentioned above, are discussed and analysed in Appendix 1. The means that are mentioned most and are the most important ones of the framework, according to the three interviewees, are:

- **Collecting information on people and place.** With the city vision from 2007 and later on, the municipality has a clear idea on how the city of Rotterdam should grow and that this should be accomplished by increasing the number of dwellings and making the city more compact. Not only the quantity is important for the composition of the inhabitants of the city, the municipality tries to keep more prosperous groups of inhabitants in the city. To do so, the municipality should be well aware of what the preferences of these groups are and in what kind of places these groups want to live. This is studied and researched constantly by the municipality and this information is used in the plans for Nieuw-Kralingen and this should add to the durability of the area that will be developed.
- **Collecting information on real estate markets.** Since the plans and developments for Nieuw-Kralingen concern a specific part, the upper part, of the dwelling market, extensive research is done on (future) demands for these kinds of dwellings. This is done by both the municipality and the developers. The outcomes of the two researches are discussed by all stakeholders and the result of that discussion forms the basis for the plan that describes the types of dwellings that will be developed in the plan area.
- **One contact person for certain issues.** For both Heijmans and ERA Contour it is clear to whom within the municipality to turn to regarding issues that regard this organisation. Arienne de Mucnk, the project leader for the City Development Department is that contact person and she can connect these developers to the right (sub) department of the municipality, or connects them for example to the alderman of the city board.
- **Create societal and political support.** The municipal project organisation concerned with the development project of Nieuw-Kralingen tries to raise political support for the project within the city council and the city board, regarding the vision and the program Heijmans and ERA Contour want to realise at the location. This team also tries to raise societal support for the views, wishes and demands of politicians like the interested alderman and members of the city council, from the developing parties and other stakeholders.

Additional means found in this case study

Besides these facilitating means, measures and instruments indicated above, additional findings of the facilitating role of the municipality in the urban development process are found when studying the documents mentioned in the previous section and in the interviews with the municipal project manager and the two developers of Heijmans and ERA Contour:

- Erick Schouten of Heijmans indicates that **an important task of the municipal project team is to align all municipal interests**, so these interests of the different (sub) departments of the municipality do no

slow or complicate the development process. If there are conflicting policies, visions and/ or political opinions, these conflicts should be resolved by the municipal team up front and should not reach the market parties. For example in Rotterdam the rules regarding noise in residential areas will be stricter, but with these new rules no development in Nieuw-Kralingen will be possible, especially not if the Bosdreef will be wider than the current plan foresees.

- Patrick van Oosten of ERA Contour has a similar point: **the municipal project team concerned with the development of Nieuw-Kralingen should at a certain moment make sure that the internal municipal organisation supports the made decision** and does not come with new questions and remarks that slow down the process.

### Most crucial means

In the three interviews is asked what the most crucial facilitative means of the municipality in this urban development projects are. The answers of the three interviewees are:

- According to Arienne de Muynck **the guidance of the decision making process is the most crucial mean for this project**. She points out that this is a process wherein the municipality and the market parties have to collaborate closely. For example the market parties need input for their vision from the municipal organisation and the market parties need the municipality to be clear and guiding in the process that leads to the contract, sale of land and the land-use plan.
- Patrick van Oosten addresses **the collaboration between the market parties and the municipality as the most crucial mean**. Both sides of the public private cooperation have to understand that they have mutual interests and help each other, so the development of the area will be successful. Helping each other out in the process, for example when issues with traffic occur, both parties study these issues and look for a solution that does not decrease the feasibility for the public, nor for the private party.
- Erick Schouten indicates **that the determined framework wherein the process and project have to take place is the most crucial mean**. This framework should be clear for all parties up front and should not change during the process of development. This has been the case in Nieuw-Kralingen and complicated the progress of the project negatively: the conditions regarding the quality and quantity of the future dwellings in the area was changed and this had (negative) implications for other policy areas of the municipality and for the feasibility of the project for Heijmans and ERA Contour.

### Differences in views

The urban development project Nieuw-Kralingen still is in the planning phase. The above addressed means and the below described differences in view focus on the planning phase and on the current issues in particular . Since there is a hiccup in the (political) decision making process, this is the focus of the interviewed stakeholder when looking at the facilitating role of the municipality. This is in contradiction with the two previous case studies where the planning phase, development phase and operational phase are not strictly separated and occur next to each other within the project area. The differences in views below are based upon the same sources as the sub-sections above and are:

- **The municipal organisation thinks it fully fulfils a bridge function between the city board and the market parties and tries to get their opinions, views and interests across**. This is certainly done by the municipal project team, but according to the market party representatives to some extent. **At the moment the project team does not have any grip on the city board and the municipal council and is not able to predict how these parties going to act regarding this project**. Because of the difficulties and tension within the local politics unexpected events do occur. These events influence the progress of the development of Nieuw-Kralingen negatively.
- To the municipal organisation it is clear which policies apply for this development project. And are the questions and requests from the political side of the organisation clear and logical. **The market parties address that this view costs them a lot of time, effort and money in this process and is not transparent**. The market parties have to pay for the municipal organisation that is working on this project. But from that same organisation do questions and requests occurs, what leads to a lot of extra work of the municipal organisation and to a lot of extra costs for the market parties.

#### 8.4. Conclusions case Nieuw-Kralingen

In the development process that will lead to the realisation of the new residential area Nieuw-Kralingen, the municipality tries to play a facilitating role. Regardless of the fact that all stakeholders up-front believed that this role means *letting go* by the municipality. Further research indicates that several facilitating means are used by the municipality to steer the development process. These means are mostly connected to the measures of acquiring market information and knowledge and to managing market rooted networks. Differences between the applicability of measures and means in the case of Nieuw-Kralingen and the other two cases can have two causes. First, the urban area development project is (still) in the planning phase, where the other cases are (partly) in the realisation and in the maintenance phase. Second does the form of public-private co-operation differ, where in other cases a tender is used that leads to a public-private partnership or the development of just one building, in Nieuw-Kralingen a concession should lead to a contract wherein the municipality sells land to the market parties. More on these differences can be found in the analysis chapter of this report.

This case study led to an overview of the applicable means of the facilitating role of the municipality. This overview is not given in the report, but can be found in Appendix I. A summary of that overview, the presence of the means, is given in table 17 below, a legend in table 18:

Measure: acquiring market information and knowledge	Measure: managing market rooted networks	Measure: being an open and learning organisation
Collect information on people and place	Engage and connect with stakeholders	Municipality sees itself as a market actor (or influencer)
Collect information on real estate markets	Build networks with stakeholders	Open culture towards other mind-sets and ideas
Collect information on market actors and their decision making environment	Adjust policies and regulations	Obtain market-relevant skills and capabilities/ competences
Inform market actors and vice versa, communicate with market actors	Create feedback loops	Developing and learning organisation and -people, reflecting and evaluating
Listen to market actors	One contact person for certain issues	Budget for the process
Define clear rules, fair process	Serving leadership/ invite/ make possible/	Deliver custom work
Inform what is unwanted	Give space	Take away barriers
Determine frameworks	Work together with market actors	Share experience and expertise
Act demand-orientated	Connect initiatives	
	Support in process and procedures	
	Create societal and political support	

Table 17: presence of facilitative means within the Nieuw-Kralingen case

Not applicable and/ or no example found in this case.	Not really applicable and/ or no good example found in this case.	It is not clear, based on the interviews, if this is the case or not.	To some extent applicable and/ or to some extent an example is found.	Applicable and/ or a good example is found in this case.
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Table 18: legend for the colours used in table X\* above.



## 9. Kennismotor (the learning organisation)



Figure 27 & 28: two images from the Kennismotor report (Heurkens, De Hoog & Daamen, 2014, p. 1 & 24)

From the start in 2012 does the Kennismotor function as a network for all employees of the municipality, to acquire knowledge and experience on the changing context wherein the city development department (Cluster Stadsontwikkeling) operates and what the consequences for the municipality on how to act are. Most important issue was how to tempt private parties to invest in the city. From 2013 the Kennismotor focussed more on stimulating and accelerating innovation and renewal of processes and products within the city development department. This came about in co-operation with – and tested by – external partners and other departments within the municipality. This is done by organising activities, offering innovative ideas a podium, handing out budget for innovation, stimulating innovative ideas and by looking for renewing ideas. Essential for innovation is renewal; renewal of products, services, processes and organisation forms. According to the municipality is innovation when two of these renewing forms are combined. The innovation process should be open, within networks, with interaction and where knowledge exchange are central issues. For an impression of the 2014 report see figures 27 and 28. (Gemeente Rotterdam, 2014f, p. 1)

This innovation and knowledge initiative of the municipality of Rotterdam is used for all types of new ideas and developments within the city. The scope of the city development department is wider than just physical urban development projects. Also social or economic developments in the city and its urban fabric are subject of this initiative, that supports the learning and innovation aspects of the organisation.

In 2014 and 2015 around 1,5 million euro was available for innovation at the city development department. This is divided within the Kennismotor in several session over several innovative projects and innovators. Around 10% is used for the first phase of this internal innovation process, where innovative ideas come about, are shaped and developed further. The rest of the budget is used on actual innovation projects, that have taken form or are adopted by the Kennismotor. (Gemeente Rotterdam, 2014f, pp. 1-2)

## 9.1. Activities and developments of the Kennismotor

According to Heurkens, De Hoog and Daamen (2014, p. 15) is the Kennismotor a good example of a learning organisation. In the first version of the Kennismotor, four activities that an organisation should undertake to become a learning organisation are embedded. These steps are socialising, articulating, combining and integrating. Socialising is about sharing individual experiences, for example by observing and imitating. Articulating is translating these experiences and knowledge to theory, models, images or metaphors to make it explicit and share it. Combining is when this knowledge is analysed, ordered and compared, which should lead to new configurations and combinations of knowledge. Finally, integrating is when this explicit new knowledge is integrated in the organisation and the ways of working of employees. Accordingly, these four steps are part of a continuous and iterative process.

More activities are carried out by the Kennismotor, appears from the 2014 evaluation by Heurkens, De Hoog and Daamen of this initiative. When in 2012 the Kennismotor was established, this was done in an attempt to attract market and societal parties to invest urban development in Rotterdam. A group of collaborators worked on the Kennismotor initiative, to get more knowledge on how to do this and how to change the organisation. To accomplish that, excursions are undertaken, stories of own successes are shared within the municipal organisation, a website with a regularly column is published and a new way of working with small developments in a neighbourhood came about. (Heurkens, De Hoog & Daamen, 2014, p. 15)

In the evolved and improved second version of the Kennismotor, which focusses more on innovation and co-operation, than sharing knowledge. A formal process wherein innovation budget is granted to new ideas and initiatives is developed. This process has five (gardening analogy) steps and activities, see also figure 29 below: first the Pokon-sessies, second the Sowing Cafe (Zaicafé), third the Germination Process (Kiemtraject), fourth the Plan(t) Cafe and fifth the Test Garden (Proeftuin). The first step is a session wherein important trends and developments for the city development department are captured. In the second step budget can be won to develop ideas from the first step and study the feasibility of these ideas. In the third step the granted budget is used to come up with a plan of action, build a team and to take part in workshops to develop the initiative further. In the fourth step the idea is pitched for a jury in a café-environment and innovation budget can be granted. This budget comes from different (sub) departments and at least two directors of (sub) departments have to support the initiative and become an ambassador for the project. In this stage does the plan have to meet some requirements, for example external partners and financing should support it and a cost-benefit analysis is made. If the fourth step is accomplished, the fifth step can be taken: experiment and refine the plan to develop it to the level that it can be incorporated in the primary process. (Gemeente Rotterdam, 2014g, p. 1)

### Innovatie bij Stadsontwikkeling:

## van idee tot uitvoering



Figure 29: the Kennismotor process of developing innovative ideas and initiatives (Gemeente Rotterdam, 2014g, p. 1)

## 9.2. Recent developments

According to Frank Delhij, in an email with feedback on this chapter, there is still budget for innovation available, but do the Kennismotor activities not take place anymore. The budget for innovation and knowledge are distributed in a different manner.

The reasons why the Kennismotor does not function anymore are not really clear. Maybe this is the case because the intended organisational change is accomplished, maybe because the people who took part went to new places or maybe because the current state of the economy does not cause the problems anymore which have led to the establishment of the Kennismotor. Frank Delhij, in his email, believes this is the case, since there are new people responsible for the budget.

Facilitating measures, means and instruments in this initiative

In the previous two sections the Kennismotor and the recent developments are discussed and some measures and means are mentioned. The Kennismotor initiative as a case is selected because of its relation with the measure of being an open and learning organisation. The means linked to this measure are mostly part of this study, but some of the means connected with the two other measures (acquiring market information and knowledge and managing market rooted networks) can be found in this case as well. These means will not be mentioned, since they are not part of the scope and the level of analysis of this case. Below an overview of the findings of this case study.

Most mentioned and most important means

The means from the framework, that is conceptualised in chapter 6 of this report, that are mostly mentioned in a meeting with Frank Delhij (policy coordinator of the City Development Department of the municipality of Rotterdam) and in a meeting with Debbie Ginter (area manager for Rotterdam Kralingen-Crooswijk) are:

- **Open culture towards mindsets and ideas.** Most steps in the garden-themed process of the Kennismotor are good example of an open culture and mind-set of the municipality. They invite people in from different departments, from private parties and other stakeholders in the city to contribute to the process. The (institutionalised) bottom-up approach to collect input, and then actually use this input to develop initiatives, shows that the Kennismotor is a good example of having an open culture towards (other) mindsets and ideas.
- **Obtain market-relevant skills and capabilities/ competences.** In the fourth step one of the requirements is to get a market party on board to support the innovation. To get to this point, market-relevant skills, capabilities and competences have to be part of municipal initiator, to understand the decision making framework and possibilities of these market actors and to get them on board for the initiative. These skills are obtained within the municipal organisation from other colleagues, through Kennismotor workshops or by meeting with market parties.
- **Budget for the process.** There is budget allocated for innovative ideas and initiatives within the city development department of the municipality, around 1,5 million euros per year. For the Kennismotor, 50% of the budget (so around 750.000 euro) was used for financing the five-step process (as described in the previous sections). The rest of this budget is granted to innovative initiatives that are the result of the Kennismotor process.
- **Take away barriers.** With the Kennismotor initiative barriers are tried to be taken away between the different (sub) departments of the municipality, between the municipality and market actors and between the municipality and societal stakeholders as well.
- **Share experience and expertise.** This is one of the goals and is included in the ways of working of the Kennismotor. Employees from different (sub) departments have to help each other out to realise their innovative ideas. This is done by sharing their previous experiences and expertise from their field of working with colleagues from other departments and other fields.

Most crucial means

The spoken municipal representatives did not explicitly mention the most crucial means related to this initiative are, but from studied documents and the held meetings, the following can be indicated:

- Frank Delhij told that one of the most important things, and to my interpretation possibly the most crucial mean that makes the Kennismotor to a success, is the **budget that is available for the process and awarded for the initiatives that are the result of the Kennismotor program**. Frank Delhij adds in an e-mail with feedback, that budget is not a goal but a mean. And accordingly most important to him are **new forms of co-operation, space for this co-operation and learning, plus obtaining new skills**.
- Debbie Ginter advocates the learning organisation, wherein employees obtain relevant skills and capabilities and share that with their colleagues. This could be the most crucial mean for her regarding the Kennismotor.

### 9.3. Conclusions case De Kennismotor

The in this chapter described case is an example of a facilitating or capacity building municipality. This only is the case for the facilitative measure of being an open and learning organisation, the other two measures are not part of this research. The open culture of the Kennismotor, obtaining knowledge and skills for employees of the municipality, sharing these things and the fact that the municipality has allocated budget for this process, are the means that support this measure in this case. When looking at the framework that is developed in the sixth chapter of this research, an overview of the applicable means and measures can be summarised in the table 19 below, a legend in table 20:

Measure: acquiring market information and knowledge	Measure: managing market rooted networks	Measure: being an open and learning organisation
Collect information on people and place	Engage and connect with stakeholders	Municipality sees itself as a market actor (or market influencer)
Collect information on real estate markets	Build networks with stakeholders	Open culture towards other mind-sets and ideas
Collect information on market actors and their decision making environment	Adjust policies and regulations	Obtain market-relevant skills and capabilities/ competences
Inform market actors and vice versa, communicate with market actors	Create feedback loops	Developing and learning organisation and -people, reflecting and evaluating
Listen to market actors	One contact person for certain issues	Budget for the process
Define clear rules, fair process	Serving leadership/ invite/ make possible/ create good preconditions	Deliver custom work
Inform what is unwanted	Give space	Take away barriers
Determine frameworks	Work together with market actors	Share experience and expertise
Demand-orientated	Connect initiatives	
	Support in process and procedures	
	Create societal and political support	

Table 19: presence of facilitative means within the Rotterdam Central District case

Not applicable and/ or no example found in this case.	Not really applicable and/ or no good example found in this case.	It is not clear, based on the interviews, if this is the case or not.	To some extent applicable and/ or to some extent an example is found.	Applicable and/ or a good example is found in this case.
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Table 20: legend for the colours used in table X\* above, grey means that this measure and linked means are not applicable.



## 10. Vereniging Rotterdam Central District



*Image 30: impression of the Rotterdam Central District (RCD website, retrieved 27/07/2017)*

Though a case study is done on the urban development process in the Rotterdam Central District, for an impression see figure 30, this case study zooms in on the Vereniging Rotterdam Central District (RCD) and its role in that process. The association is already mentioned in the case study in chapter 7. This case study has another different level of analysis and looks only in the role of the association and not at the other developments in the area. This leads to other perspectives on the facilitating role of the municipality and it tries to have a closer look at specific measures and means, to understand them better.

The Vereniging Rotterdam Central District is an association that has the municipality of Rotterdam, businesses like real estate owners, tenants, developers and other stakeholders with interests in the area as members. Furthermore businesses and organisations that are involved in commercial or societal activities in the Rotterdam Central District are part of this association. The statutory goal of the association is to organise and finance together with its member activities in the fields of place making and (area) marketing for the plan area and to sustain itself for as long as needed. The Rotterdam Central District is defined as the area between the Schiekade, Hofplein, Weena (including the Weenapoint), Statentunnel and the railway deployment in Rotterdam. (RCD, 2009, p. 4)

The association is led by a board, the members have a say in the general meeting. The board and association are supported by the bureau of the association, which is formed by one person, Oscar de Grave. The association is specifically involved in three areas: urban development, area marketing and as a business community. Regarding urban development the association is partner of the municipality in the area. As well as for developers, investors, tenants and end-users who are affected by developments in the district. Profiling means that the association is promoting the area and tries to attract new business activities, investors and visitors to the area. The business community creates new connections within the Rotterdam Central District, builds a solid network and cherishes new business activities. (RCD, 2017f, p. 1; RCD, 2017g, p.1)

The members of the association are: Alius Law, AKRD, Arconiko Architecten, Brink Groep, BMS Vastgoedbeleggingen, CBRE, CBRE Global Investments, Colliers, De Doelen, De Mik, De Nieuwe Poort, Design Brokers, DTZ Zadelhoff, Eneco, Flow Real Estate, Gemeente Rotterdam, GROOS, Groot Handelsgebouw, Hilton Rotterdam, Holland Casino Rotterdam, ING, JLL, Kraakmakend Ontwerp, Kleinhandel, Kraaijvanger Architects, Lebkov & Sons, LSI, LS&H Lawyers, Maarsen Groep, Mangrove, Meijburg & Co, Miniworld Rotterdam, Multicopy, Music Matters, Nationale-Nederlanden, Ooms Makelaars Bedrijfshuisvesting, Plein06, PPF Real Estate, Rabobank Rotterdam, RDAM GYM, Rotterdam Marriott Hotel, Rotterdamse Schouwburg, Spaces Hofplein, Straatman Koster Advocaten, Tamar Kiemel, Tupelo Translations, Unilever NV, Van der Stap notarissen, VALAD, VanStijl, Zonneveld ingenieurs and ZUS (RCD, 2017e, p. 3).

## 10.1. Activities of the Rotterdam Central District association

The association has multiple official and informal meetings and activities throughout the year. At the annual general meeting all the members are informed about the developments, financial situation and plans of the association. Furthermore the association organises quarterly afternoon drinks with all the *neighbours* and lunch concerts at locations in the district. It supports initiatives like the cinema on the square in front of the central station, the temporary outdoor stairs upon the Groothandelsgebouw (see figure 31) or the big Rotterdam flag at the façade of the Hofpoort office tower (see figure 32). This is done by connecting these initiatives with parties who are a member of the association and could make these initiatives possible. (De Grave, 2017, pp. 1-3; Van Oorschot, 2017, p. 3)

Activities related to urban developments in the district are also undertaken by the association. For example at the general meeting in 2016 the municipality presented their ambitions and plans for the area for the coming years (see figure 33). This was followed by a meeting, organised this year (2017) by the association, with the municipality and all interested members to contribute to an updated version of the vision for the Rotterdam Central District. This vision forms the basis upon where the city executive board and the municipal council base their decisions for further developments within the area. Also did the association host a work visit of the burgomaster and alderman of Rotterdam, see figure 34. Here the board presented the outcomes of the joint meeting and the shared vision of the association and the civil servants on the plans and developments in the area. This vision mainly focusses on (RCD, 2017h, p. 7; RCD, 2017i, p.1):

- the mix of functions and the aims to include more dwellings in the plans;
- the plinth-strategy for more liveliness on street level;
- reducing vacancy of office space by renovation and transformation;
- cherishing the unique mix of big and small;
- adding flexible and future-proof office environments where needed.



Figure 31: the stairs initiative, figure 32: the big Rotterdam flag, figure 33: invitation for the meetup of the municipality with association & figure 34: visit of the burgomaster and alderman at the district (Source all images: [www.rotterdam-centraldistrict.nl](http://www.rotterdam-centraldistrict.nl), retrieved 23-08-2017)

## 10.2. Steering of urban development by the association

The association is involved in shaping plans for urban developments within the Rotterdam Central District. For example the members of the association joined in a session with the municipality to come up with an improved vision for the area. The input of these parties varies in the type of subjects and to what extent they are included into this renewed vision for the area. Parties like building and land owners focus more on the type of target groups, type of developments, type of buildings, accessibility and views on parking in the area. Parties representing tenants, local entrepreneurs and (other) end-user have an eye for improving liveability on street level, type of businesses that need to be attracted, a strategy for the plinths and developments of the public space. (De Grave, 2017, p. 2)

This creation of a new and improved vision for the area is used by the RCD association to create societal and political support for developments and improvements in the area. Civil servants use this vision as a starting point for other plans for the area and as input for legally binding tools like tenders, land-use plans and contracts with developers who in the future will purchase land from the municipality. According to Ton Boon of the Maarsen Group, owner and developer of real estate at the Weenapoint and member of the RCD association, this vision provides, to some extent, certainty for market parties, Since the municipality has to come up with good arguments to change its vision on the district. These arguments will only appear in case of a major shift in the local political situation and even than does it take a lot of time and effort to come up with a new vision. Nonetheless does this vision provide no actual or juridical security, since a vision has no legal status: a market party cannot enforce any rights or claims from the vision. (Boon, 2017, pp. 2-3)

Next to influencing the urban development of the Rotterdam Central District by contributing to shaping municipal plans, the RCD association influences the developments in the area by its area marketing activities and by building a business community.

With the area marketing activities the association attempts to attract new businesses and tenants to the available (and the to-be-developped) office space in the area. These activities contribute to bringing down the vacancy rate and making future developments more feasible for market parties, since the demand for office space, business space and dwellings will increase. Next to that does this profiling attract hospitality businesses and amenities to the plinths of the buildings, what improves the attractiveness to visitors, end-users and clients of these businesses in the area. This adds to the liveability of the district, improves the area's business climate (vestigingsklimaat) and provides a more attractive image. (De Grave, 2017, pp. 5-6)

By building this business community, businesses and initiatives are linked to one another. For example building owners with tenants who need additional office space. Or in case of the owner of the Delfste Poort building who wants to install a new installation for the internal climate. He was linked to Eneco energy company by the municipality, which wants to build a cooling network in the area for buildings that will be developed in the future (and what contributes to the sustainability goals and policies of the municipality). Another example is that one-time or incidental use of spaces in temporary vacant buildings is found within the RCD business community. And lately the example of the big Rotterdam flag that is mentioned in the previous section, where inspired entrepreneurs and big Feyenoord fans wanted to give the area and the football club a positive impulse. Through the business community these local entrepreneurs and the building owners of the Hofpoort office tower found each other and helped each other out. Although not all examples have an impact on the physical space or developments, they do add value to the development of the entire Rotterdam Central District. (De Grave, 2017, pp. 3-5; Van Oorschot, 2017, pp. 2-3)

## 10.3. Facilitating measures, means and instruments in this development

In the previous sections of this chapter information on applicable measures and means in this case are already mentioned. These measures and means are discussed in interviews with Kees van Oorschot (process manager Rotterdam Central District of the municipality of Rotterdam), Ton Boon (adjunct director of the investor and developer Maarsen Groep, owner and developer of the Weena Point) and Oscar de Grave (secretary of the

Vereniging Rotterdam Central District). Below they are studied more closely, a more complete overview of the study is given in appendix 1.

Most mentioned and most important means

Based on the interviews, the following means are mentioned the most. These means apply to the association and not to the rest of the development process of district:

- **Collecting information on people, place and real estate markets** by the municipality. By being a member of the association, the municipality can use the other members of the association in a bottom-up approach to collect that information. This information is collected by municipal employees in informal gatherings such as drinks and work groups, and in formal meetings like the annual general meeting or meetings with the board of the association. The policy of the municipality is to collect this information structurally and actively.
- **Communicate with market actors, inform them, let them inform the municipality and listen to their concerns, wishes and demands.** Through the association the municipality tries to have direct contact with stakeholders in the area. In specific gatherings certain issues are discussed with interested stakeholders and these issues are taken in account by the municipality in their policy like the vision for the area. Also there are meetings within the association with specific groups of stakeholders, for example a meeting with all building owners
- **Build networks and engage and connect with stakeholders.** The association is used by the municipality and other actors in the area, to connect and engage with each other. Mutual interests and goals regarding the developments, place making, attracting new businesses and improving the liveability of the area, can get aligned and fine tune each other's ways of working.
- **One contact person for certain issues.** Within the association, especially within the board, there are people who form the central contact person for certain issues. These people are important to optimise the process of planning and developing the area for all stakeholders.
- **Connect initiatives.** The association is also a business club and this is used to connect initiatives like the banner on the building, supply and demand within the area for example for office space, connect other businesses and ideas to each other and to the right official of the municipal organisation (via the contact person of the municipality).
- **Create societal and political support.** The employees of the municipality use the association to get support for political standings on future developments for the area. In the protected arena of the association these ideas can be tested and sharpened. These civil servants also use the association in the political decision making process for the ideas of the stakeholders in the Rotterdam Central District, since it argues a bottom-up approach of ideas from society. Furthermore these employees can argue that their ideas that are backed by the association and have enough support from society.

Additional means found in this case study

In the case study of the Vereniging Rotterdam Central District, no additional means or instruments are found, while studying the documents and conducting the three interviews. Some additional means were found and indicated when studying the case of the urban development process in the Rotterdam Central District, of which this case is a continuation at a different (deeper) level of analysis.

Most crucial means

In the three interviews is asked what the most crucial facilitative means are for the Rotterdam Central District, not for the association specifically. Though, from these interviews some conclusions can be drawn on what the most crucial means are:

- Ton Boon states that one of the most important means for the municipality related to the RCD association is **collecting information on people, place, real estate markets, market actors and their decision making environment.**
- For Kees van Oorschot the most important mean is connected to the Vereniging RCD **building networks, engaging and connecting with stakeholders** through the association.



- Oscar de Grave mentioned in the interview the value of **connecting initiatives within the association** with each other. It was not explicitly mentioned as the most important mean, this is my interpretation.

#### Differences in views

In the conducted interviews and in conversation with the different stakeholders connected to the Vereniging Rotterdam Central District, it stands out that the municipal actor and the other actors have a different view to which extend the municipality plays a facilitating role. The market actors believe that *letting go* is an important aspect of this role, just like including all other interested stakeholders in the process of urban development. Both remark that **now the financial and economic crisis seems to be over and the real estate markets recover, the municipality falls back in old – non facilitating – habits**. For example the municipality does not include the association and its members enough in the decision making process (and preparations) for the tenders of the Concradstraat and the Delftseplein plots. Accordingly, **the municipality tries to steer the developments again with land policy**, like they did before the crisis and it claimed to play the facilitating role. The municipality argues that this is the case, because it wants to create an equal level playing field for all parties that want to tender.

#### 10.4. Conclusions case Vereniging Rotterdam Central District

The in this chapter studied case is an example of a facilitating or capacity building municipality. This only is the case for the facilitative measures acquiring market information knowledge and managing market rooted networks. The measure of being an open and learning organisation are not found and did not fall in the scope of this case study.

When looking at the framework that is developed in the sixth chapter, an overview of the applicable means and measures, the result of an extensive analysis in appendix B, can be found in table 21 and 22.

Measure: acquiring market information and knowledge	Measure: managing market rooted networks	Measure: being an open and learning organisation
Collect information on people and place	Engage and connect with stakeholders	Municipality sees itself as a market actor (or influencer)
Collect information on real estate markets	Build networks with stakeholders	Open culture towards other mind-sets and ideas
Collect information on market actors and their decision making environment	Adjust policies and regulations	Obtain market-relevant skills and capabilities/ competences
Inform market actors and vice versa, communicate with market actors	Create feedback loops	Developing and learning organisation and -people, reflecting and evaluating
Listen to market actors	One contact person for certain issues	Budget for the process
Define clear rules, fair process	Serving leadership/ invite/ make possible/ create preconditions	Deliver custom work
Inform what is unwanted	Give space	Take away barriers
Determine frameworks	Work together with market actors	Share experience and expertise
Demand-orientated	Connect initiatives	
	Support in process and procedures	
	Create societal and political support	

Table 21: presence of facilitative means within the Rotterdam Central District case

Not applicable and/ or no example found in this case.	Not really applicable and/ or no good example found in this case.	It is not clear, based on the interviews, if this is the case or not.	To some extent applicable and/ or to some extent an example is found.	Applicable and/ or a good example is found in this case.
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Table 22: legend for the colours used in table X\* above, grey means that this measure and linked means are not applicable.

## 11. Synthesis

In this chapter the collected data and information from the case studies in the previous chapters will be analysed, structured, assessed and explained. First the general findings of this research about the facilitating role are presented. Second the measures and means supporting the facilitating role are studied. Third the differences in views between the different actors in the cases is discussed. Fourth, the information of this previous sections is used to rephrase and redesign the framework of measures and means that support the facilitating role and is this framework put in perspective of the conceptual model for this research. Fifth and final additional information about the facilitating steering role of the municipality in urban area development projects is presented and discussed. The information of this synthesis chapter forms the basis upon where in the following chapter the conclusions for this report are drawn.

### 11.1. General findings about the facilitating role of the municipality

Most of the interviewed parties up front saw the facilitating role of the municipality in the urban development process as 'letting go'. They took the term 'facilitating' quite literally, which can be seen as supporting other actors in their primary process. This is not how I defined the facilitating role in chapter 6, based on the literature study and desk study. The municipality supports the primary process of urban development and not just the private party stakeholders. So the municipality facilitates *the process* and not the stakeholders acting in that process. The defined measures and means as described before are used to do so. They can be used at all time, regardless of the project, the involved stakeholders and the form of the process, to constantly facilitate.

**The facilitating steering role is about facilitating the urban area development *process* – not about facilitating only market party stakeholders, 'letting go' or leave initiative to other parties.**

Like explained above and earlier in this report, can the facilitating steering measures and means of the municipality be used during the entire life-cycle of an urban area. These means provide the municipal actor with valuable information to make decisions and to shape the process. To what extent the means are used, depends on the characteristics of the development: the type of development, the type of involved actors, the opportunities and risks, the type of juridical framework that will be applicable and societal and political sensitivity regarding the project. This comes forward from the interviews and has its influence on the applicability of the measures and means in projects. Most of the means seem to be applicable in all the studied cases, in one more than the other, some means are not used at all.

**The facilitating measures and means that support the facilitating steering role, can be used in all the phases of the life-cycle of an urban area to play this facilitating role.**

The facilitating role is complementary to the other roles of the municipality: shaping plans and markets, regulating markets and stimulating markets. Most of the means connected to the three defined measures relate to one of these three roles. This indicates that the facilitating role is not only about supporting the process, but also about supporting the other roles of the municipality in the urban development process. The rest of the applicable means can be linked to the ways of working of the own organisation and to the relationship with other stakeholders.

**The facilitating role of the municipality is complementary to the other roles in the urban development process of shaping plans, regulating and stimulating markets.**

## 11.2. Measures and means supporting the facilitating role

### Applicability of means

The (in chapter 4 developed) framework of measures and means that support the facilitating steering role of the municipality is tested in the case studies. From these studies it becomes clear which of these theoretical means are actually applicable in practice. In the previous case study chapters this applicability is discussed. In the cross-case analysis in appendix C this is further weighted and evaluated. The results are given in the table 23 below.

Measure: acquiring market information and knowledge	Measure: managing market rooted networks	Measure: being an open and learning organisation
Collect information on people and place	Engage and connect with stakeholders +	Municipality sees itself as a market actor (or influencer)
Collect information on real estate markets	Build networks with stakeholders	Open culture towards other mind-sets and ideas
Collect information on market actors and their decision making environment	Adjust policies and regulations	Obtain market-relevant skills and capabilities/ competences
Inform market actors and vice versa, communicate with market actors	Create feedback loops	Developing and learning organisation and -people, reflecting and evaluating
Listen to market actors	One contact person for specific issues	Budget for the process ++
Define clear rules, fair process	Serving leadership/ invite/ make possible/ create preconditions	Deliver custom work
Inform what is unwanted	Give space	Take away barriers
Determine frameworks	Work together with market actors	Share experience and expertise
Demand-orientated	Connect initiatives	
	Support in process and procedures	
	Create societal and political support	

Table 23: applicability of means in the empery, based on a cross-case analysis in appendix C.

In this table colour coding of the cell indicates if this mean is applicable: green means applicable, light green means to some extent applicable and red means not applicable. This corresponds with the colour coding in appendix C, whereby the orange and both variants of the red coding are merged to one category of not applicable.

Conclusions based on this analysis are that some of the means, as defined in chapter 6 of this report, are not applicable in the studied urban development projects. These means do not seem to be part of the urban development practice in the Netherlands. 9 of the 28 defined means do not seem to be applicable in all cases or to some extent. These measures can be valued as less important, based on their applicability. 8 of the 28 means are applicable to some extent and should be considered part of the facilitating role. 13 of the 28 means do seem to be applicable and because of their applicability an important part of the framework of means that support the facilitative steering role of the municipality.

### Additional means and municipal properties found in the case studies

When conducting the interviews for the case studies, not just the means as defined in chapter 6 of this report were found, the interviewees also came up with additional means. These means as well can be considered to be part of the facilitating role of the municipality in the urban development process. Next to these means did these interviewees, representatives of the municipality and representatives of market parties, indicate preconditions and frameworks wherein this role can or has to be played. These findings are discussed in the previous chapters, per case study, below they are structured, analysed and weighted.

The main findings, additionally to the means in the previous section are:

- *Facilitate internal organisation:* just like external stakeholders are facilitated, the internal municipal organisation have to be facilitated too. The internal municipal stakeholders should be included in the process of urban development when they occur to be an interested party because of their policy field or statutory powers.
- *Align the interests of the internal organisation:* within a municipality there can be many different (sub) departments with their own goals, objectives, policies, ways of working and interests. These internal politics should be resolved before the municipality deals with market parties and other stakeholder. So all the interests are aligned up front. And do not make the municipality change its course during the process due to these internal politics. In that in line with the mean of 'one contact person for certain issues', the municipality *speaks with one mouth*. So all the interested internal municipal stakeholders support all municipal decisions in the process and the project itself.
- *Designing new means:* when existing means and instruments are not sufficient to solve issues in the urban development process, the municipal organisation can design new means or instruments to cope with these issues. This demands for creativity and though in line with the mean 'deliver custom work', does this mean apply more in the initiative or planning phase, than in the development phase.
- *Transparent about interests:* the municipality should be transparent which interests they have in an urban development project. It should be open in which way the organisation is handling to defend these different interests. Examples of interest are: the sale of land to a specific bidder; policies for that area regarding target groups; improvements or liveability of the city; investments in real estate; public space or amenities; being the owner of real estate or land; being the end-user of the area itself; etcetera.

Next to these additional means, did these interviewees mention characteristics or properties that the municipal organisation and the municipal employees have to meet or have to own to play to play the facilitating role and influence the urban development process successfully:

- *Constant behaviour:* the municipal organisation should constantly behave and act in the same way and do not let circumstances influence that behaviour and how is acted. This applies for the different phases of one project, but also over a longer period of time, for example when economic conditions, the political situation or the municipal organisation changes.  
At first sight this is in contradiction with the demanded flexibility of the municipal stakeholder. With flexibility is meant a reactive adaptive attitude towards other stakeholders. With constant behaviour is meant that the municipality does not adapt from its intended course or the laid down frameworks for the development, when this affects other stakeholders negatively.
- *Reliability:* the reliability of the municipality and the municipal organisation should be an important issue for that organisation. With reliability is not just meant the organisational willingness to be transparent about the process and about decisions. And to understand the impact of its handling and the influence on the feasibility of projects for market parties. This is in line with the mean that 'the municipality sees itself as a market influencer', but comprehends more than that.
- *Show commitment:* in line with reliability should the municipality show its commitment to the development process and the end-result. This can be done by contributing to the process with organisational power, financial power and other available municipal assets. Or by keep pushing the process forward and not just delaying it to protect its own interests. And by having an interest in a successful end-result. Such as more liveable city for the inhabitants. Or being an owner, user or another stakeholder in the use-phase of the urban area.
- *Mandate:* the municipal organisation that is responsible for the urban development process of a project should have sufficient mandate from the municipal organisation and from the board and council of the municipality. If the project organisation has sufficient mandate the process in co-operation, negotiation and decision making with external stakeholders can go faster and be less costly, and therefore be more efficient and effective. Off course is there a risk in giving to much mandate to the project team, which could have an impact on the municipal and societal interests. Therefore an equilibrium have to be found.

The additional means and characteristics for the facilitating role of the municipality in the urban development process mentioned in this section, will be taken in account further on this report.

Most crucial means for the facilitating role of the municipality

Below a list of most crucial means of the facilitating steering role. This list is based upon the most important and most mentioned means found in the case study . Next to that, in the interviews is asked what the most crucial means are in that specific project. According to these findings, the most crucial means are:

- One contact person for specific issues (to form a bridge between the municipal organisation and external stakeholders)
- The municipality proves to be reliable partner (not a mean, more a characteristic though)
- Engage and connect with stakeholders (by the municipal project team)
- Create political and societal support (by guiding market parties through the juridical process)
- Budget for the process
- Obtain market relevant skills and capabilities
- Building networks & engage and connect with stakeholders
- Budget for the process
- Support in process and procedures (for all the juridical steps that have to be taken to realise the development)
- Work together with market parties (to serve the mutual interests of realising the development)
- Determine frameworks (so the process and the future decisions of the municipality are clear up-front for market parties)
- Collecting information on people and place, on real estate markets and on market actors and their decision making framework
- Connecting initiatives

### 11.3. Differences in views of the municipality and market actors

The municipal actor and the market actors in all the studied cases have different views on some issues. These differences can have its origin in different interpretations of which tasks a municipality should fulfil and what responsibilities it has. These differences do often occur related to financial and risk issues. The differences in views that are found in the case studies, are summarised and valued below:

- *Budget for the process*: market parties want the municipality to make more budget available for the project team that is responsible for the urban development process. This budget should be used for more organisational power of this project organisation, which should speed up the (decision making) process of planning and developing the area. The municipal representatives in some cases acknowledge this to some extent, but in most cases are content with the size and power of the project organisation.
- *Determine frameworks*: the frameworks wherein the decision making process for planning and developing the urban area change during the project. The municipal employees acknowledge that and state that this is a logical result of changing circumstances. The market parties believe that these changes can be prevented and say that the municipality does not realise what the impact of these changes are on the feasibility of the project and the margins of the developing parties.
- *Create political and societal support*: the municipal project organisation is constantly working on creating maximum support for the process. This support for market parties should come from the internal municipal organisation and the municipal board and council. To other way around does the municipal project team have to do that for market parties at these other parties. Although the municipal project teams puts a lot of time and effort in raising support, market parties argue that this not always is the case the other way around. And that the internal municipal organisation and politics are inconstant and unpredictable. These two issues increase risks for market parties.
- *Transparency*: the municipal organisation claims to be transparent and reliable, but according the market parties this is not always the case. This is in line with the previous point. The many (sub) departments of the municipality operate independent and cannot be transparent in how they come to

decisions, in contradiction to the municipal project team, which is transparent and open towards the other parties.

- *Level of openness*: the municipality often is quite open towards market parties, but these parties cannot have the same attitude towards the municipal team. This inequality can be a difficulty when people deal with each other on a daily basis. On the other hand can the municipality either be not open about everything, for example with delivering information on future plans and tenders. The market parties want the municipality to be more open about this process, but since there are many uncertainties and this could lead to a disturbance in the equal level playing field towards other market parties, the municipality cannot be as open as the market partners in the area want the municipality to be.

These found differences can contribute to a better understanding of the facilitating steering role and a better co-operation between municipal and market party stakeholders in urban area development projects. The question why these differences in views between these type of stakeholders exists cannot be answered in this report, since this not part of the scope of this research and this has not been studied. Though, this could be looked into in further research. Nonetheless, these differences will be taken in account when formulating conclusions about the facilitating steering role of the municipality and about public-private co-operation in urban area development projects.

#### 11.4. Rephrasing the facilitating means and measures

The measures and means, as earlier on conceptualised, have been tested and analysed in the case studies and in the previous sections. Looking at the applicability and the importance of the means in the urban development practice in Rotterdam, adaptations are made to improve the framework of facilitative measures and means.

The adaptations to the means related to the measure of *acquiring market information* are discussed below:

- *Collect information on people, place, markets and actors*: the means of 'collecting information on people and place', of 'collecting information on real estate markets' and of 'collecting information on market actors and their decision making environment' can be merged into one mean. Often in the conducted interviews, the interviewees did not understand what the difference between these means would be or why there was made a distinction. The tasks linked to these means were executed by the same person and performed in the same matter. For these reasons this new mean is conceptualised, wherein collecting information by the municipal project organisation is enclosed. This mean is key to play the facilitating role. The collected information should give the team better understanding of the possibilities, goals and ways of working of current and future stakeholders in one of the phases of the life-cycle of the urban area.
- *Communicate with-, inform- and listen to stakeholders*: also for the means of 'informing market actors and vice versa', 'communicating with market actors', 'listening to market actors' and 'informing what is unwanted' this is the case. These means are all about the co-operation of the municipal project team that is responsible for the urban development process with market party stakeholders and is done to shape the future development process.
- *Define (and design) the process and frameworks up front*: this mean is a merger of the two means that are both about designing the process and the frameworks in which all future stakeholders, including the municipality, have to act in the future development process. These two means from chapter 4 are 'defining clear rules and fair process' and 'determine frameworks'. This new and improved mean can be given shape by the juridical form of public-private co-operation, that determines how the process is organised and what frameworks come with that process.

The mean demand orientated', that was part of the framework in chapter 4, but was not found in the studied cases, is not part of the redesigned and rephrased framework of means and measures that come with the facilitating role. Because it deals with program that shouldn't be realised because there is no demand for it (like realising office space, (type of) dwellings, space for business, amenities or other categories), this is also part of the 'collecting information on people, places, markets and actors' mean.

Also the facilitative measure of *managing market rooted networks* and the means that are related to this measure are redesigned and rephrased:

- *Engage and connect with stakeholders*: this mean is the same as formulated earlier in this report, since it is proved to be applicable and valuable to the facilitating role. This mean is about the municipal project team that engages and connects with stakeholders from the plan area and includes their views in development and end-use phases.
- *Build networks with stakeholders*: this mean is also not changed. A proper use of this mean ensures that the municipal project team builds formal and informal networks with stakeholders involved in all phases of the life-cycle of the urban area. This ensures binding of these stakeholders to the area and each other into a tight co-operating network. This improves the durability and resilience of the area.
- *Connect market party and internal municipal stakeholders*: this mean captures the bridge function between the municipal project team on the one hand and the external stakeholders like market actors, societal actors and end-users and the internal stakeholders on the other hand (different (sub) departments within the municipal organisation). This mean is also about connecting internal stakeholders within the municipality with each other, so all policies, decisions and viewpoints are aligned. This new mean includes the means defined in chapter 4 of 'connect initiatives', 'work together with market parties' and 'create political and societal support'. Also the in the case studies found mean of 'align the interests of the internal organisation' is incorporated in this newly designed mean.

Some of the means from the original concept are partly incorporated in the three means above, some are missing. These means are, when they are not mentioned in the next block of text, part of the renamed third measure that comes with the facilitating role.

From the analysis appears that the means of 'serving leadership/ invite/ make possible/ create good preconditions', of 'give space' and of 'create feedback loops' are not applicable as part of the facilitating role, nor valuable to the interviewed people. Therefore these means are not part of the redesigned and rephrased framework of measures and means supporting the facilitating steering role of the municipality .

Furthermore it has become clear that the third measure of 'being an open and learning organisation' and its means are not used like was conceptualised earlier in the report. The concept of the *learning organisation* has become part of this research due to one publication on the Kennismotor by Heurkens, De Hoog and Daamen in 2014. This seemed to be in line what Adams and Tiesdell write in their 2012 publication *Shaping places*, but – in retrospection – this is not what these authors mean (pp. 286-287). What they do mean with the learning organisation, or with the 'organisational cultures, mindsets and ideas' is that the members of the organisation should keep learning new skills, capabilities and competences as the field can change over time. The theory behind the learning organisation is a different scientific concept. The applicability of that concept is not proven in the case studies. Therefore, this part of the measure of being an open and learning organisation and the means linked to that, 'developing and learning organisation and -people, reflecting and evaluating', 'take away barriers', 'open culture towards other mind-sets and ideas' and 'share experience and expertise', will no longer be part of the framework of measures and means.

The measure of being an open and learning organisation will be rephrased to *organising the municipal project team*. The means supporting that measure are:

- *Municipal project team is aware of influencing markets*: this mean is the same as defined in the sixth chapter of this research. The municipal project team should be aware that decisions made by the team or by other stakeholders of the municipality can influence the feasibility or the margins for market actors and could influence their business cases negatively (and causes the process of being unsuccessful).
- *Municipal project team obtains relevant skills, capabilities and competences*: like the previous mean, has this one not changed from the one defined in the sixth chapter of this report. The project team tries to obtain the skills, capabilities and competences that are needed to understand and steer the process, when appear that they are not part of the organisation yet.
- *Municipal project team facilitates the own organisation*: the means that are used for the previous two measures are also used in relation with the internal organisation. That means that the municipal project



team collects information from and for the internal organisation, communicates with the internal stakeholders up front, is clear about the process and frameworks wherein the development will take place towards its own organisation, engages and connects with the interested stakeholders, if applicable builds networks with these stakeholders and connects them internally, with external stakeholders and initiatives. This mean builds upon the additional found mean of ‘facilitating the internal organisation’.

With that third, rephrased, measure, not all means that seem to be applicable anymore. Some of the found means are actually not really means but pre-conditions who that have a positive impact on the facilitating role. These pre-conditions are about how the municipal team should be organised within the municipal organisation, to successfully steer urban area development projects. These found pre-conditions are:

- *Municipal project team with sufficient mandate*: one municipal project team is responsible for the entire urban development project and has a fixed composition and enough power and support from the organisation to make decisions speed up the process. Because of the fixed composition this team is recognisable for stakeholders throughout the entire process and contact persons and their responsibilities are known. Also should this team have enough mandate or support from the municipal organisation (and the municipal board and council) to make decisions regarding contracting, adjusting policies and adjusting regulations. This new mean incorporates the means from chapter 6 (and partly from the original measure of managing market rooted networks) 'adjust policies and regulations', 'one contact person for certain issue', 'support in process and procedures' and 'create political and societal support' (partly) incorporated.
- *Room for creativity and custom work*: within the municipal organisation employees are given room and encouraged to design new means that can improve the facilitating role of the municipality in the urban development process. Also initiatives to come up with custom made work to improve the process and the end result are encouraged. This mean includes the mean of ‘custom work’ and the additionally found mean of ‘design new means and instruments’.
- *Budget for the process*: this mean does not change and is the same like defined in the sixth chapter of this report. Sufficient budget should be available for a municipal project organisation so it can operate effective and efficient in the urban development process.
- *Municipal project team is transparent*: the municipal project is transparent about its ways of working and what interest they serve. If the team serves different or conflicting interests, the team is open about this towards it partners in the project. This new mean is built upon the additional found mean in the case studies of ‘being transparent’.

### Improved framework supporting the facilitating role

With rephrasing and rearranging the facilitative means and one measure, plus the formulation of pre-conditions for the municipal project team in order to play the facilitative role successfully, the framework as defined in chapter 6 can be redefined and reorganised (table 24).

measures	Acquire market information and knowledge	Manage market rooted networks	Organise the municipal project team
<i>means</i>	<i>Collect information on people, place, markets and actors</i>	<i>Engage and connect with stakeholders</i>	<i>Municipal project team is aware of influencing markets</i>
	<i>Communicate with-, inform- and listen to stakeholders</i>	<i>Build networks with stakeholders</i>	<i>Municipal project team obtains relevant skills, capabilities and competences</i>
	<i>Define (and design) the process and frameworks up front</i>	<i>Connect market party and internal municipal stakeholders</i>	<i>Municipal project team facilitates the own organisation</i>
<b>Pre-conditions</b>			
<i>Budget for the process</i>	<i>Municipal team with sufficient mandate</i>	<i>Municipal team is transparent</i>	<i>Room for creativity and custom work</i>

Table 24: framework of facilitative measures and means that are linked to the facilitating role of the municipality in the urban development process, plus the pre-conditions to play that role successful.

## Conceptual framework

Below in the figures 35, 36, 37 and 38 the above conceptualised facilitating steering role of the municipality in urban area development projects is combined with the conceptual model. That conceptual model is defined for this research in the second chapter.

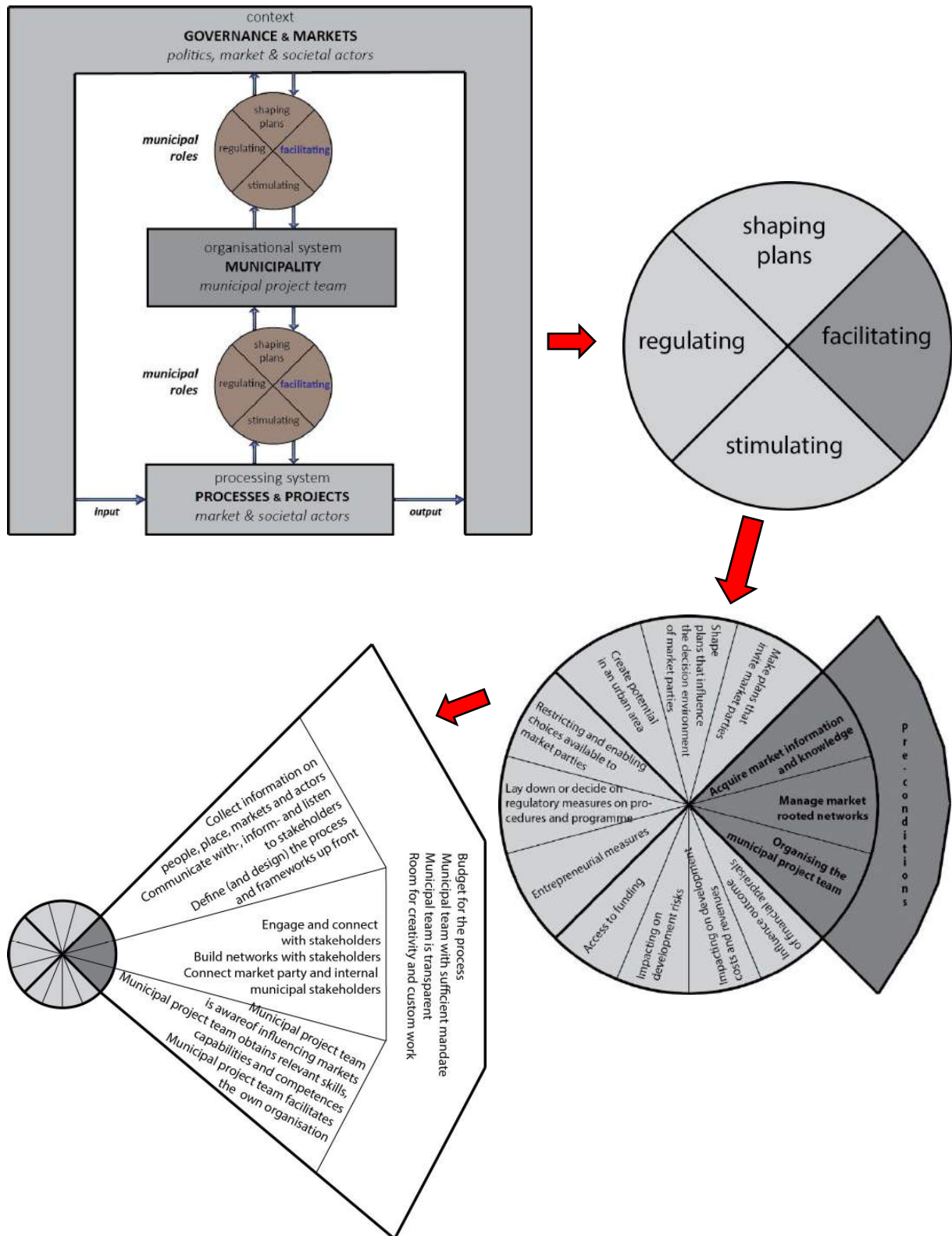


Figure 35, 36, 37 & 38: the facilitating municipal steering role, related to the other roles and supported by the three measures and preconditions and the means related to those measures.

### 11.5. Additional information on playing the facilitating role

Next to the framework of measures, means and pre-conditions (see above), are there other aspects of the facilitating role that also have to be taken in account, when evaluating that role, based upon studying the context, literature, practical examples and the cases in Rotterdam. These aspects that are part of the facilitating role of the municipality in the urban development process are:

- The facilitating role supports and is complementary to the other three municipal roles.
- The measures and means of the facilitating role can be used to steer in all phases of the life-cycle of an urban area.
- The facilitating role can always be played, regardless of the type of co-operation between public and private parties.
- The facilitating role is about facilitating the process, not about facilitating market parties.

These four aspects with additional information on the facilitating role that the municipality plays, are discussed and further explained in the following four sub-sections.

The facilitating role supports the other municipal roles

The measures and means of the facilitating role support the other three roles of the municipality in the urban development process. The roles of shaping plans, regulating markets and stimulating markets are supported with information, products, relations and organisation of the municipal project team from these facilitative measures and means, like pictured in figure 39 below.

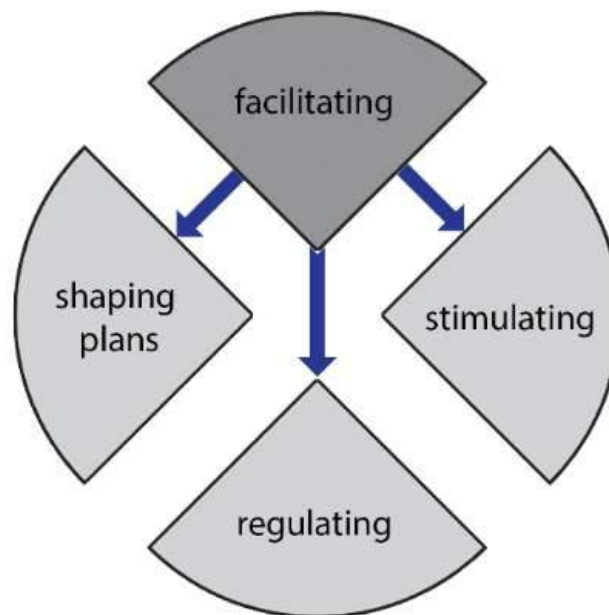


Figure 39: the facilitating role supports the other steering roles of the municipality

The role of shaping plans is supported with information obtained by using the mean of *collecting information on people, place, markets and actors* and with the means of *communicating with, inform and listen to stakeholders*. With the means connected to the measure of *managing market rooted networks* the stakeholders regarding the plans that will be shaped are linked to the municipal project team. Also the mean of *defining (and designing) the process and frameworks up front* can be used to improve the quality of the shaped plans. Furthermore, the mean of the *municipal project team facilitates the own organisation* can be important: it not only lets external stakeholders give their input, but also the internal stakeholders on the municipality. These measures and means are additional to the tools and instruments that the municipality already uses to play the role of shaping plans successfully.

The role of regulating markets is supports all the means linked to the measure of *acquiring market information and knowledge*. This information can be used to in steering the process of urban development by regulating

measures. Also the results of the measure of *managing market-rooted networks* can be used to improve the measures of the role of regulating markets in the urban development process.

The role of stimulating markets is mostly supported with the information obtained by the facilitating mean of *collect information on people, place, markets and actors*. With this information potentials of urban areas and the potentials of market actors can be estimated and considerations of stimulating measures can be judged. Also information from the means supporting the measure of *managing market-rooted networks* can be used in this process. Finally, the mean of the *municipal project team is aware of influencing markets* is useful to successfully play the role of stimulating markets.

In figure 40 below, the facilitative means and to which of the other municipal steering roles they support, are illustrated in a scheme. This scheme is based upon the above description of the relations between these means and roles above.

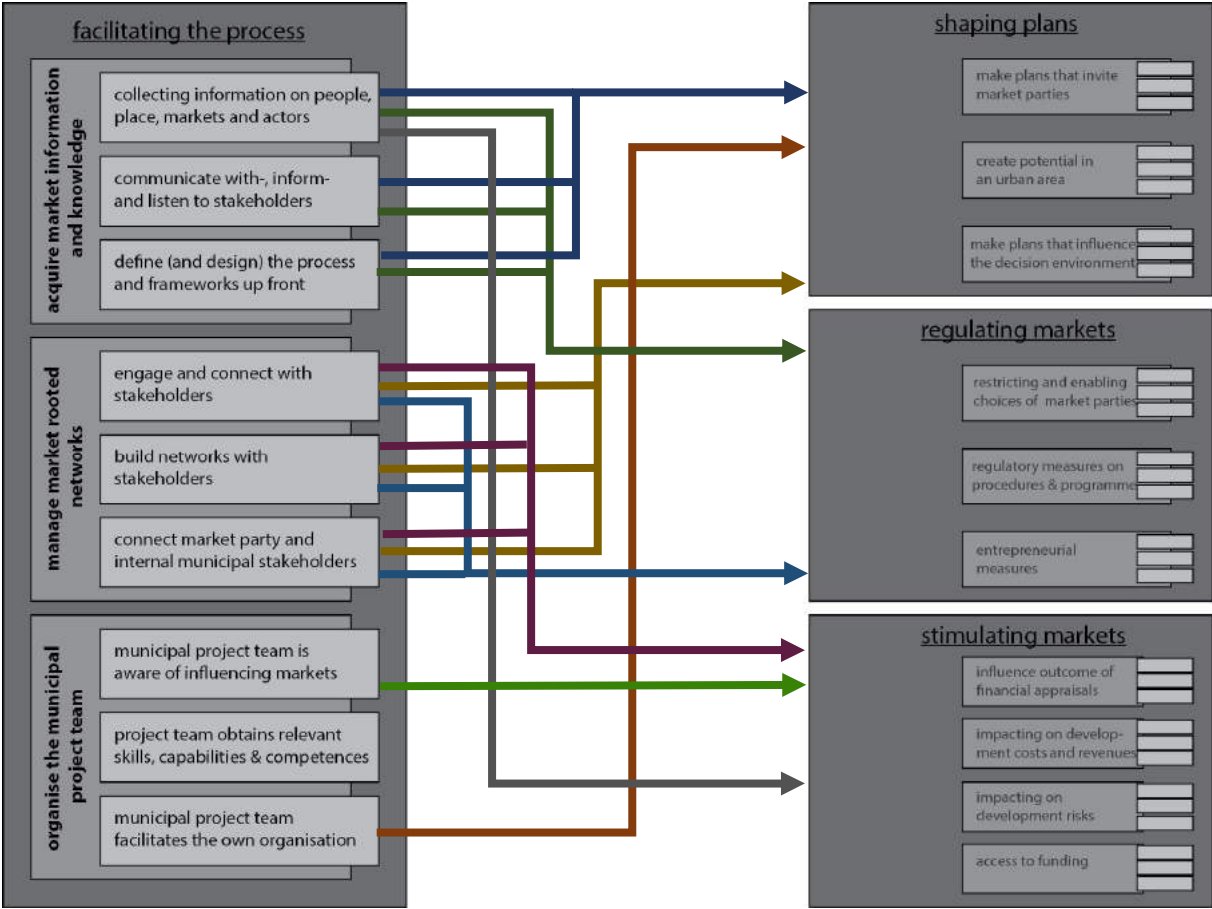


Figure 40: a schematic overview of facilitative means that support of give input to other steering roles

Facilitating does not depend on the type of public-private co-operation

The case studies show that the type of co-operation between the municipal actor and market party stakeholders in urban development projects, does not have an influence on the steering roles of the municipality. Also the roles of shaping plans, regulating markets and stimulating markets have to be used to successfully steer the process by the municipality, just like the facilitating role. In the case of Hart van Zuid ( a public private partnership), the Rotterdam Central District(the sale of land) and in Nieuw-Kralingen(a concession), the means and measures of the facilitating role seem to be applicable.

The facilitating role is about facilitating the process and not about the municipality that facilitates and helps private party stakeholders in the urban development process. And since the process is facilitated, it does not matter what the formal relation between the municipality and these external stakeholders is.

The facilitating role is part of all the phases of the life cycle of an urban area

The different measures and means of the facilitating role of the municipality can be used at all times, for all urban locations, during all phases of urban development and during all the phases of the life-cycle of an urban area. Where the other roles can be useful in one, two or three phases of this life-cycle, this does not apply for the facilitating role (figure 41).

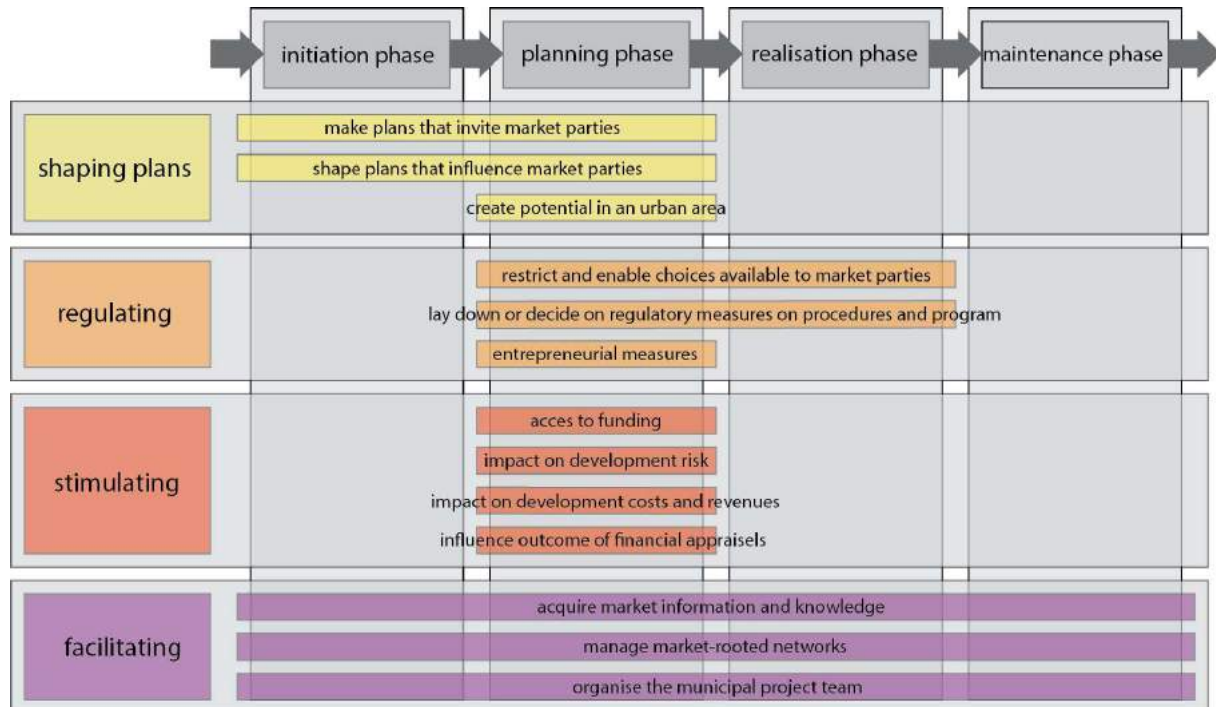


Figure 41: overview of the different roles and measures in the urban development process and their applicability in the different phases of the life-cycle of an urban area.

### Facilitate the urban area development process

The first section of the previous analysis chapter mentions that the municipality should facilitate the process of urban development. This differs from the common perception of practitioners and academics. The facilitating steering role is not about facilitating only market party stakeholders, 'letting go' or leave initiative to other parties. It is a misconception to literally use the meaning of the word facilitating. The Dutch term '*faciliteren*' has been used as 'container concept' for forms of public private co-operation, the municipal attitude in urban area development projects and to which extend the municipal stakeholder should initiate or take part in an urban area development project.

What the facilitating steering role does imply, is that the municipality facilitates the *process* of urban area development. This process is described in the context chapter of this report and is *when changes are made to the built environment in a geographically defined area, by multiple stakeholders that have to co-operate within juridical and financial framework to achieve their goals in a defined period of time.*

In this process the stakeholders, markets, juridical and financial framework and the location can be facilitated:

- Stakeholders like market parties, societal parties, the internal municipal organisation, political stakeholders, future end-users, current users, neighbouring users and residents that can be affected need to be facilitated by the municipal project team.
- Examples of markets are the construction market, the housing market, the office space market, real estate markets, etcetera.
- The juridical and financial frameworks are related to the three other municipal steering roles of shaping plans, regulating and stimulating.
- The location is where the urban area development project will take place.

Stakeholders can be facilitated by the municipal project team by:

- Communicating, informing and listening to them.
- Engaging and connecting with these stakeholders.
- Building networks with them and by connecting different stakeholders.

Markets can be facilitated by:

- Collecting information and
- Being aware that the municipal project team influences these markets.

The frameworks are facilitated by:

- Defining and the process up-front,
- Otaining relevant skills, capabilities and competences by the project team

The locations can be facilitated by:

- Collecting information on that place.

These above conclusions are visualised in figure 42 below.

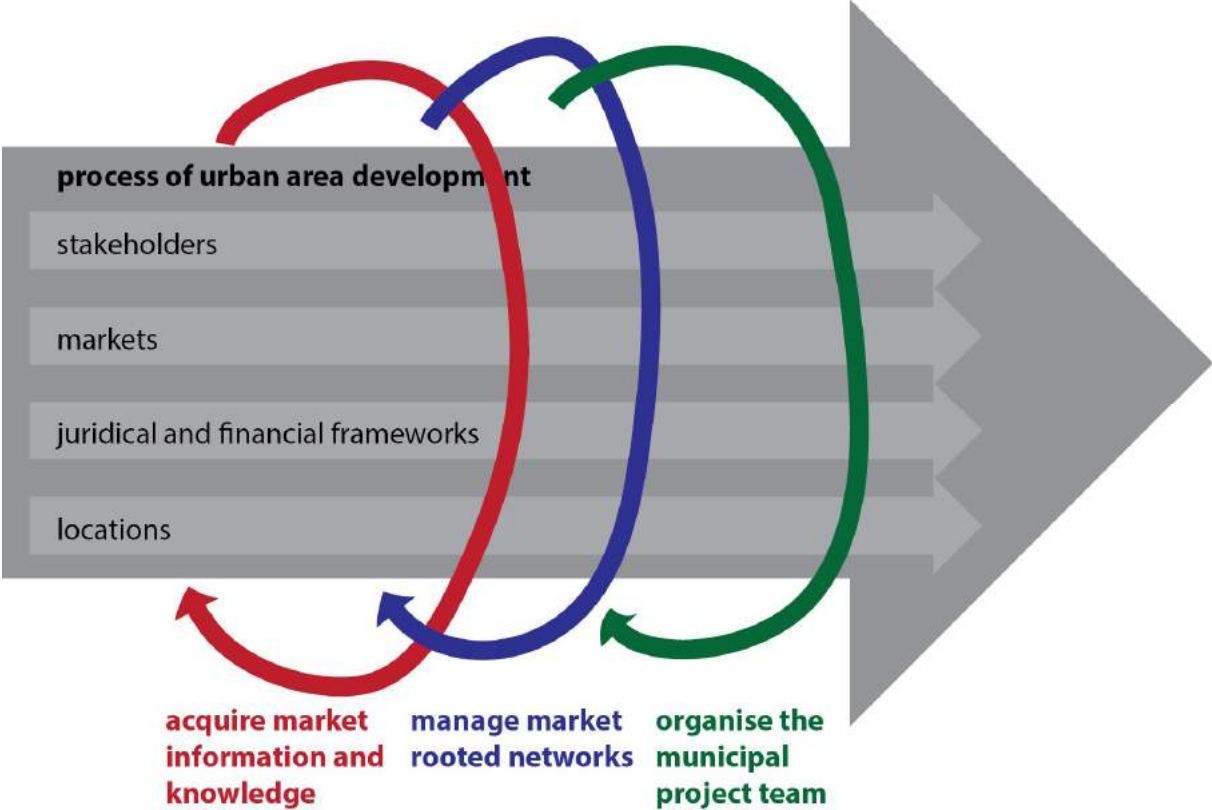


Figure 42: measures facilitating the process of urban area development



## 12. Conclusions

In this conclusion chapter all information from the previous chapters will be used to formulate the conclusions of this research. First the sub-research questions will be answered. Second, the main research question will be answered. And third, recommendations will be made.

### 12.1. Answering the sub-research questions

Below are the sub-research questions answered, that were formulated in the second chapter of this report to structure the research, give shape to the research approach and to answer the main research question.

- 1) *What is the context for the facilitating role of the municipality in the urban development process in the Netherlands?*

Urban development projects in the Netherlands take place in an geographically defined urban area, where multiple actors have to co-operate, to take measures that are available to them within a juridical and financial framework, to change the built environment and to achieve their goals within a defined period of time. The geographically defined areas where these projects take place nowadays are part of inner-city areas like former commercial areas, old harbour terrains, brownfields, impoverished urban areas and vacant terrains. The actors involved in these projects are governmental, societal and private parties and these parties. The governmental actor, in the Netherlands municipalities, has planning, organisational, legal and financial measures to influence urban development projects. Due to developments in the economy, politics and society, municipalities nowadays have less financial and organisational power than before. And as a result, for the municipality the role of facilitator becomes more important. In order to successfully realise urban development projects, in co-operation with societal and market party actors.

- 2) *What does a facilitating municipality in the urban area development process mean according to literature?*

The municipal role of facilitator in the urban development process in the Netherlands is a role that supports and is complementary to the three other roles. These three other roles are shaping markets and plans, regulating markets and stimulating markets. There are three measures that can be taken in order to fulfil the facilitating role. The first measure is acquiring market information and knowledge, which aims to understand the markets wherein market parties in the urban area development process act. Means that come with this measure are collecting information on people and place, real estate markets, market actors and their decision making environment. The second measure is managing market rooted networks. This measure aims at building relations, building trust and getting access to market information and knowledge. This measure supports the goal and means of the first measure and the other three roles. Means that come with this second measure are engaging and connecting with stakeholders, building networks with stakeholders, adjusting policies and regulations and creating feedback loops. The third measure is to be an open and learning municipal organisation. The goal is to get input from stakeholders with new ideas and viewpoints and to try to keep developing the organisation to meet future requirements. Means supporting this measure are that the municipality should see itself as a market actor, have an open culture towards mind-set and ideas, obtain market relevant skills and capabilities and keep developing and learning its own organisation and people.

- 3) *In line with literature, what are practical examples of a municipality that plays this facilitating role?*

In Eindhoven, Den Haag, Vianen, Deventer, Arnhem, Amsterdam and Rotterdam there are examples of measures and means that can be associated with the municipal role of facilitator in the urban area development process in the Netherlands. The question can be raised, if these measures and means are part of an intended facilitating role of the municipality in these example projects. Or were these measures and supporting means taken anyway, regardless of the role and handling of the municipality, and awarded afterwards as facilitating by the authors who studied these examples? It looks like in Amsterdam and Rotterdam some examples are formed by policies on the matter, but due to the summarily information, this cannot be concluded with certainty. Due to a lack of information, no hard conclusions can be drawn concerning intentional execution of a facilitating role by

municipalities in the Netherlands in the urban development process. It could be the case that this role is played by these municipalities, but that this is not documented and no publications are available on that matter. And it seems like that in publications on the facilitating role, the definition of the concept or what this role actually entails is not clear by the authors. Therefore: further research is needed.

4) *What are the similarities and differences between this theory and practice when it comes to the facilitating role of the municipality?*

The facilitating role in practice in the Netherlands, as found in the available sources, is built upon the existing theory on this subject. The similarities are that the means of the theory are put in practice by municipalities, though not always intentionally, to play this role. Often these means are awarded to the facilitating role afterwards, when a project is evaluated or used as an example to build theory on. Nonetheless, there are examples of means that are similar in theory to the practice, like the municipalities of Amsterdam and Rotterdam mention in their publications on the facilitating role. The differences between theory and practice can be big though. Practitioners do not know what this role actually entails and sometimes label specific means and measures as part of the facilitating role, but in theory these measures and means are attributed to other municipal steering roles.

5) *How to conceptualise this role of a facilitating municipality?*

The facilitating role is conceptualised in the previous chapter. A framework is conceptualised wherein the measures and means are incorporated to explain the role. This framework fits in the conceptual model of how the facilitating role relates to the other roles of the municipality to steer the urban area development process.

6) *How does the municipality of Rotterdam shape the facilitating role in urban area development projects?*

The municipality of Rotterdam does not shape the facilitating role in the urban development process in a particular way. The employees of the municipality, in this case from the city development department like process managers, project managers, urban area managers and (other) members of the project teams, do not get an instruction on how to play this role. These municipal representatives know that the facilitating role exists and try to use their interpretation of that role to steer urban area development projects. This is done additionally to the other municipal roles of making plans, regulating and stimulating. In all the studied cases do the municipal employees use means that can be awarded to the facilitating measures and the facilitating role. The interviewed representatives of the market parties acknowledge that these means are applicable and being used to steer the process. Not all of the means that are found in the literature study (see chapter 4) and in the desk study (see chapter 3), which are combined in the defined concept (see section 4.4 ) are applicable and can be awarded to the facilitating municipal role. In the previous chapter is made clear which means are and which means are not applicable and used by the municipality of Rotterdam in the urban development process. The applicability and usage of these means is how the *employees*, and not the organisation itself, shapes the facilitating role.

7) *How do market, societal and municipal actors involved in these urban area development projects experience this facilitating municipality? What type of improvements can be made to this role? What are the recommendations for practitioners working with - and researches studying this subject?*

Some aspects and means of the facilitating role of the municipality have been experienced and valued in the same way by the different type of interviewed stakeholders. Although many of the interviewees on fore hand saw the facilitating roll of *letting go* by the municipality, do all these different interviewed representatives of both the municipality and of market party actors experience some of the facilitating means as crucial or really important for a successful urban development process. Not all measures and means are used by the municipality or Rotterdam, nor do they seem to be applicable to play the facilitating role. According to the interviewed stakeholders, the municipality should intensify some aspects of the facilitating role in order to improve the urban area development process. This concerns means that give more organisational power and budget to the municipal team and means that make this team understand the wishes and demand of market parties better. Recommendations on the facilitating role will be given in section 12.3.



## 12.2. Answering the main research question

After answering the sub-research questions in the previous section, the main research question of this research can be answered:

*What does the facilitating steering role the municipality in urban area development processes in the Netherlands entail?*

The facilitating role of the municipality in the urban area development process is part of one of the four roles that can be played to steer this process. These four roles are: shaping plans, regulating markets, stimulating markets and facilitating. The facilitating role is supportive and complementary to these other three roles.

The concept of the facilitating role, as found in this research, is built upon three measures that can be used to play this role. These measures are acquiring market information and knowledge, managing market rooted networks and organising the municipal project team.

These measures are supported by a set of means. For the measure of acquiring market information and knowledge these means are: collecting information on people, place, markets and actors; communicating with-, informing- and listening to stakeholders; and defining (and designing) the process and frameworks up front. For the measure of managing market rooted networks these means are: engaging and connecting with stakeholders; building networks with stakeholders; and connecting external and internal stakeholders. For the measure of organising the municipal project team these means are: the municipal project team is aware of influencing markets; the municipal project team obtains relevant skills, capabilities and competences; and the municipal project team facilitates the own organisation.

Next to this framework of measures and means, there are four pre-conditions for the municipal project team that wants to play the facilitating role in the urban development process found in this study. These four pre-conditions are: budget for the process; a municipal team with sufficient mandate; a municipal team is transparent; and room for creativity and custom work.

Other findings regarding playing the facilitating role by the municipal project team in the urban development process are: 1) The measures and means of the facilitating role can be used to steer in all phases of the life-cycle or an urban area. 2) The facilitating role can always be played, regardless of the type of co-operation between public and private parties. 3) The facilitating role is about facilitating the process, not about facilitating market parties.

These above findings and conclusions describe and give a comprehensive overview of what the facilitating steering role of the municipality in the urban area development process in Rotterdam entails.

## 12.3. Recommendations

Though the facilitative municipal steering role is thoroughly researched in this report and a part of the gap in (both) academic and practical can be filled with the results, there are recommendations that have to be made and are found below.

Recommendations regarding research on the facilitating role are:

- Though this report contributes on reducing the gap in scientific knowledge on the facilitating role, additional research should be taken to further close that gap.
  - o This study only looks into the facilitating role in the municipality of Rotterdam. Studying other municipalities in the Netherlands could contribute in reducing that gap and also could further sharpen and improve the framework developed in this report and possibly make these findings more generalisable.
  - o Also the study of more embedded cases in the municipality of Rotterdam could improve and validate the findings in this report. When these embedded cases will be selected in a different manner, for example not because the municipality claims to play the facilitating role in that

particular case, this could also lead to valuable information and possible new insights. Or cases with a deeper scope could reveal even more information that could contribute in understanding and conceptualising the facilitative municipal steering role.

- Next to case studies, other methods to research the facilitating municipal steering role could be used obtain more knowledge on this concept. For example a quantitative approach, like Langelaan in 2016 used, could result in a lot more knowledge on the practical side of the facilitating role, to see if the framework of measures, means and preconditions developed in this report are used in practice in other municipalities across the Netherlands.
- There is a misconception among academics that facilitating is about the municipality making things possible for market parties to undertake urban area development projects. This research concludes that the facilitating role entails something else. The conclusions of this report should be communicated to ban that misconception.
- The differences between the views of public and private party stakeholders could be studied further, in order to understand the facilitating role better. And to see what kind of implications playing this role and using the means and measures has for both these types of stakeholders. The contradictions in these views is interesting, but also a little strange, since these parties co-operate with each other on a daily basis. It would be interesting to understand the viewpoints of market actors better, in order to improve the framework of facilitative measures and means further.

Recommendations for practitioners in the field working in urban area development projects in the Netherlands are:

- The above mentioned misconception also exists with practitioners who believe that the facilitating role is about the municipality making things possible for market parties, so they can undertake urban development projects. The facilitating role is about the municipality that facilitates the process. This interpretation should be communicated to practitioners and academics, to ban that misconception from the field.
- This misconception also exists by market party stakeholders. They often believe that the facilitating role is about the municipality helping them in the development process. Therefore they sometime attribute certain shaping, regulating or stimulating means to the facilitating role. By communicating what the facilitating role actually entails, these misconceptions could be taken away, what might improve the co-operation between public and private parties.
- In line with sub-research question 8: recommendations for practitioners in the field working with the measures and means of the facilitating role are:
  - To consider the facilitating role additional and supplementary to the other steering roles of the municipality. Not just the facilitating measures and means can be used to steer the process of urban development, also the measures and means of the other roles need to be used to steer the process successfully. The facilitating role is not the solution for all your problems.
  - Facilitating does not mean *let go and wait for market parties to take initiative*. This role needs to be played at all times, in all projects and by all project teams of the municipality.
  - See the framework of measures, means and pre-conditions and the other findings in this report (see the previous chapter) to understand the facilitating role better.

## 13. Reflection

This chapter reflects on this graduation thesis and the graduation thesis. This is done by reflecting on the used methods and on the results of this study. Next to that the process that has led to the end-resulted is evaluated. And finally I will reflect on myself and my personal development during this graduation process.

### 13.1. Reflection on the methods and results

In this section the methods and results of this research are reflected. For this reflection the internal and external validity are studied, some other remarks regarding the used methods are given and the results in relation to problem definition and the research objectives are discussed.

#### Validity and remarks

The external validity of this research, '*whether the results of a study can be generalised beyond the specific research context*' (Bryman, 2015, p.47), is difficult because of the chosen research design. Because of the case studies, the opportunistic selection criteria, the purposive sampling method and the selection of Rotterdam as a front-runner case, the findings in this report cannot be generalised to another context. These conclusions apply to the municipality of Rotterdam and cannot be generalised to other municipalities in the Netherlands. Nonetheless do the findings contribute to the understanding of the facilitating role of the municipality and could these findings be used in other municipalities in the Netherlands. The findings should be studied in other cases in order to make them more generalisable. For example the relation of the facilitating role with other roles to steer the urban development process, the findings that the found facilitating means and measures can be used in all phases of the life cycle of an urban area, that this role always can be played, regardless of the form of public-private co-operation, or the finding that the municipality should facilitate the process and not the stakeholders involved in the process.

The internal validity of the conclusions is also a point of discussion and reflection. Like Bryman (2015, p. 47) explains: '*internal validity is concerned with the question of whether a conclusion that incorporates a causal relationship between two or more variables holds water.*' The causal relationship between the found data in the literature study and in the case studies in relation with the results and conclusions of this report, is tried to be proven in the eleventh chapter of this report. In these analysis and evaluating chapters the results are analysed, structured, weighted, selected and rephrased. All of these steps are supported by arguments that should explain the made decisions. With these arguments causality is tried to be proven between the results and conclusions.

Another issues concerning the internal validity of this research is the possibility that interviewees gave socially desirable answers to the questions. This cannot be prevented, but is tried to take in account when conducting the interviews, by rephrasing the same question differently, by summarising answers sharper than formulated by interviewees and by letting interviewees react on statements of other interviewees. This has resulted in differences between the different kind of stakeholders (see section 11.3) , which are the result of the opposite of socially desirable questions. But the fact that this can happen and probably has happened in this research, is tried to be taken in account by formulating the conclusions not on just one sources, but on many and by acknowledging multiple interpretations are possible.

Other remarks on the conducted research and the formulated conclusions should be made related to the selection of the studied embedded cases. Due to the opportunistic approach when selecting the cases and the purposive sampling method a bias can occur. The studied cases are selected upon that the municipality claim that it plays the facilitating role in these urban development projects (and the other two initiatives as well). Other cases, in which the municipality does not claims to play that role, could be interesting to study, to see if the facilitating role is played in these cases. As mentioned in the conclusions, there are a lot of misconceptions whether the facilitating role, or parts of it, is played. Presumably more often than municipal representatives know and acknowledge. This could be the case the other way around as well, handling of the municipal organisation is considered to be facilitating, when this actually is handling related to the three other roles that the municipality can use to steer the urban development process. These difficulties have been taken into account in the synthesis chapter (chapter 11) of this research.

## Problem statement and research objective

When taking internal and external validity in mind and when looking at the conclusions of this research, the earlier defined problem statement and goal of the research can be evaluated.

The problem definition, formulated in the introduction chapter (chapter 1) is:

*In the changing context wherein urban development projects in the Netherlands take place, the governmental actor adjusted itself by taking on a facilitating role. This facilitating role of the municipality in the urban development process is insufficiently understood and hardly conceptualised, because of a gap in scientific and practical knowledge on this subject.*

With this report it is tried to better understand the facilitating role of the municipality in the urban development process. This is done by studying the concept by looking at the context, performing a literature study, looking at practical examples of a facilitative municipality and by performing a case study. These studies have led to the conclusions of this research, wherein the concept is understood a little better. The facilitating role to steer the urban development process is also conceptualised, wherein the measures, means and pre-conditions to play this role are defined and explained and where upon a framework is built.

Next to understanding, this research has contributed to reduce the gap of knowledge on this subject. With the cases studies is tried to incorporate practical knowledge and with the literature study this is done regarding the existing scientific knowledge. By combining this obtained knowledge, new theory is formed, that can be used to fill that gap in scientific knowledge and to fill the gap in practical knowledge to some extent.

The research objective, formulated in the introduction chapter (chapter 1) is:

*To understand and conceptualise a facilitating government in the urban development process, by looking into the goals and means of the local government (the municipality), by exploring the roles they perform/carry out, and by investigating the institutional context wherein this actor has to operate.*

With this research, in all the previous chapters, it is tried to better understand facilitating role, the institutional context is studied and this role is conceptualised. This conceptualisation has led to a framework that includes the measures, means and pre-conditions that are linked to this role. Furthermore, in the literature study the goals of the municipality and the measures and means that are related to the other roles to steer the urban development process are looked into.

## Title of this report

With the title of this report '*Facilitating urban are development – a hype or a valuable municipal role?*' I would like to challenge the people, academics and practitioners in the field, to be aware of what they say and write about the facilitating municipal steering role in urban area development projects. Like in the introduction chapter is concluded: a lot is written about this subject, but the concept is never explained. Next to that, the concept often is used or explained incorrectly. This report adds to the body of knowledge on the subject and clearly explains what the role is about. Though the use of the word facilitating is subject of a trend – maybe even a hype? – the actual concept is valuable to the Dutch urban area development practice. Knowledge of the proper use of this role can improve this practice. For all stakeholders, for all projects and processes and for all urban areas in the Netherlands.

## 13.2. Reflection on the process

Next to reflection on the contents of this report, a reflection of the process is given below. Herein the execution of the research is discussed, the differences between the intended an the actual process and planning are evaluated.

In the execution of the research different techniques are used to gather data. The context is studied by looking at recent publications in journals, books, governmental reports, graduation and promotion theses. In the literature study relevant publications on the facilitating role were searched and found in several books, articles,

governmental evaluations, governmental policy documents and publications. The desk study was performed by studying publicly available information on the websites of several municipalities, studying publications of research institutes and studying several articles in journals. As mentioned in the problem statement there is a gap in knowledge on the facilitating role. The found and studied publications in many cases only referred to this role, but did not explain it. Next to that, a lot is written about the facilitating role, but the quality is poor. What is written is not based on any research and does not refer to any theory. In many cases a lot of the available literature is linked to one source, but this source does not define or explain anything. Though, there are some valuable sources. These valuable sources could all be traced back to one origin: a chapter on the concept *capacity building* in the book of Adams and Tiesdell (2012, pp. 286-295) on shaping places. This chapter is a first attempt to define that fourth steering role of the municipality in the urban development process, but no solid theory either, since it is not backed by much research or scientific sources. This lack of information on the facilitating role of the municipality, made the process of studying this subject difficult and slow. Nonetheless it was important to study all these sources, to prove this gap in literature and to underline the relevance of this research.

Next to the data collection in the theoretical part of this research, as discussed above, information was gathered in the empirical part of this research. In the case studies this was done by contacting a municipal representative that was linked to a case and by asking for information on the case. By interviewing these municipal representatives and one or more representatives of market party stakeholders, more information was tried to be obtained. Some of the municipal representatives shared a lot of documents with me, even the ones that officially were not published yet. Other representatives only directed me in the direction of public available documentation on the cases. Nonetheless, a lot of information was available to study these cases. When performing the interviews, more useful information about the cases found. Next to that was I able to study the facilitating role in these cases thoroughly. Although a lot of data was gathered via these representatives, this approach could also have its difficulties. Because I was relying on the willingness, co-operation and availability of these representatives, I was dependant on these people. And therefore I sometimes felt like I could not state something in a confronting way or continue questioning a specific issue when the interviewee indicated enough was said about it. Nonetheless, all the information that I wanted to gather was collected and even some difficult issues were discussed.

When analysing the results of the studies and conceptualising the framework of measures, means and pre-conditions linked to the facilitating role, some difficulties occurred. In the previous section the internal validity of this research is discussed and one of the difficulties is related to that subject, or to the causality building the conclusions on. Because of the qualitative and explorative nature of this research, the obtained data is open to interpretation. When analysing and structuring this data, decisions have to be made on the interpretation and structuring. These decisions have a significant impact on the results and conclusions of this research. For example valuing the feedback of market party representatives on the applicability of means linked to the measure of *being an open and learning organisation* as less important than the feedback from the interviewed municipal representatives, makes means of this measure suddenly applicable instead of questionable. And this decision influences the definitive conceptualised framework of measures, means and pre-conditions supporting the facilitative role significantly. Although these kind of decisions are discussed extensively in the report, and I believe I did the right thing, this is a remark that should be kept in mind when presenting the results and conclusions of this report.

A last remark on the process, is the impact of interviewing representatives from public and private parties and the impact of their different viewpoints on issues. This research focusses on the functioning of that public party, specifically on the facilitating steering role of the municipal actor in the urban development process. The viewpoints of representatives of that organisation on what measures and means are important to steer the process and which indicators indicate a successful process and successful end-result, differ from the viewpoints of the interviewed market party representatives. For example, civil servants indicate one contact person and a more flexible attitude towards market parties as important means, but market actors say that means that speed up the process and bring some money to the table are more important to them. These different, sometimes even contradicting, viewpoints are difficult to translate to one framework of measures and means. This is creatively

solved by rephrasing some means to pre-conditions or sometimes not take one side of the story in account (see also the previous issue) to come to conclusions.

### 13.3. Personal reflection

Next to a reflection on the results and the process, a short personal reflection is at its place to conclude this report with. By undertaking this research I have obtained a lot of new knowledge, learned a lot about the world of non-academic-practitioners and improved some of my skills. Furthermore have I met a lot of interesting people, talked with them about my study, about the field, about a career in this field, about my ambitions and on strategies for my career and personal development in the future.

Looking at the process of my graduation, I can reflect on the subject of my report, the used methods and how I got to this point in my report.

The subject of my graduation was decided on in 2015, when the crisis had a bigger impact on the urban development practice than it does nowadays. The facilitating role at that time was mentioned as a solution for problems that occurred in the field. Later on, spring 2017, when I re-started working in my thesis this subject seemed a little outdated. But it appeared that the facilitating role is still applicable, is used and still is worth studying.

One of the methods to study this subject, the literature study appeared to be difficult, since not much could be found on the subject of the facilitating role that actually would contribute to this research. In the end a handful of reliable sources were found. That handful of sources proved to be sufficient to understand the facilitating role better and continue the research.

In the next phase, when studying the cases, new issues arose. It appeared that not many people in the field understood the concept that was subject of my research. This took some time to explain and get interviewees to understand what I meant and what I was looking for. Still it was hard to get good information and build conclusions based on causality. Although difficult, it turned out to be possible.

The planning that I made was ambitious and maybe a little tight. Especially since I was relying on the willingness and availability of people for interviews. In the beginning, in July, I managed to get a lot of information from interviews with municipal representatives. But then, due to the holiday season, some hick-ups caused delays. I had to interview a lot of people at the end of August and in the beginning of September. Unfortunately this meant that organisation an expert meeting was not possible anymore. But due to some opportunities at the latest moments, I could interview some interesting representatives of market parties. This adds a lot of value to the results of the report.

Reflecting on my personal development during this graduation research, I notice that I have learned new skills and that I have improved some of my skills and competences. A new skill I learned is writing scientifically in English. This still isn't on the level it should be though, but my writing skills have improved significantly. Another new skill I obtained is writing a research proposal and a report. A skill that I have improved is conducting interviews, by asking the right questions, guiding the interview by summarising and by rephrasing answers. These skills were partly learned during the qualitative research course focussing on interviewing, but have a lot improved during this research. Another skill that has improved is my persistence to get the right information from people or perseverance to let a setback not disappoint me to stop doing what I need to do. Furthermore I noticed that I had to come in shape for this research project. At the beginning (in March, when I restarted working on my thesis) my concentration level and endurance, my ability to read and understand relevant publications and my intrinsic motivation were at an all-time low. Since then, step-by-step improvements were made. In June/ July these improvements were at a level that I could function as a normal student again and since September I feel like I'm in shape again and are happy again in undertaking this research.

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Appendix A – example cases

In this appendix a desk study based on scientific literature, a master thesis, policy documents, municipal evaluations and brochures and other sources is done, to learn more about the recent facilitating role of municipalities in the Netherlands. Several examples throughout the country are described and studied, in order to compare these examples with the theory on this matter, studied in the previous literature study chapter. The examples – or cases – are selected based on a quick-scan of literature, available documents and an online search. All examples that could be found are taken in account, if these examples actually had some facilitating or capacity building aspects. This quick-scan is not an in-depth case study, but more a shallow start to explore the field.

### 1.1. Example cases

Below examples of urban planning and development projects in the Netherlands are studied and the aspect of a facilitating municipal role is pointed out. The facilitating role is awarded by the authors of the documents referred to. After a short description of the example this role is discussed and is compared with the theory from the literature study chapter that precedes this chapter. The three measures to play the role of a facilitating municipality are – according to that theory – acquiring market information and knowledge, manage market rooted networks and be an open and learning organisation. In this section eight examples of urban planning projects wherein the municipality played a facilitating role are studied. These examples are selected on the fact that they are the only recent examples findable, where the authors write that the municipality has this facilitating role.

#### Brainport Innovatie Campus – Eindhoven



Figure X\*: impression of the future Brainport Innovation Campus (Ministerie I&M, 2014, p. 68)

Urban development of the High Tech Campus in Eindhoven to provide space for the settlement of suppliers of high tech companies at the border of the existing campus. The municipality has as a goal to *'facilitate the co-operation between the educational institutes and high tech companies'*. The first part of the development, 15 of the 65 hectares should take place between 2015 and 2020 and is not realised yet. (Ministerie I&M, 2014, p. 68)

Based on the short description of this example by the Ministry of Infrastructure and the Environment, it is clear that with *'facilitating'* is meant that the municipality should function as an important actor in a network of market parties. In a way the term of capacity building, which covers the same subject, is probably a little better at its place here. Since the municipality of Eindhoven is concerned with expanding the Brainport Innovation Campus, because it adds to the local economy, it is obvious that the municipality lobbies to try to let market parties such as educational institutes and high tech

companies settle at the campus. Though, it does not seem like municipality actively invests in or manage its network to build relations and trust for a longer term. It looks like it does that because of the short term gain of this urban planning and development project. Unfortunately it does not become clear based on the information of this source – and after trying to find more (reliable) sources – that this facilitating role of the municipality of Eindhoven is part of policy or just an example of coping with the local conditions and opportunities in the urban area of the Brainport Innovation Campus.

#### Binkhorst – Den Haag



Figure X\*: the current situation in the Binkhorst Area (Ministerie I&M, 2014, p. 69)

A former and impoverished business area in Den Haag that should have been transformed and upgraded to a new working and living area. First plans with strict design and planning are let go. Initiatives to develop are given to market parties, what has to be done in a wider framework than before. The role of the municipality is *'to only facilitate initiatives of other actors'*. Developments should grow organic, what means that there is not a final urban design or planning. Facilitating here means adapting the master plan so it suits the developing parties and to provide subsidies to initiatives that are otherwise not feasible. (Ministerie I&M, 2014, pp. 69-70)

The plans for this urban planning and development project in Den Haag have not been finished yet in 2017, three years after this publication. It seems like the municipality had an important role in the process, but let this go when the project was unsuccessful. In this regard, facilitating has become letting go the initiative and leading role of the municipality and therefore uses one of the measures that are described in theory: manage market rooted networks. Means that come with that measure are: engage and connect with stakeholders, build networks with stakeholders, adjust policies and regulations and create feedback loops. The first three of the four means can be spotted when studying this example. But it is not clear that the municipality actually uses these means in order to play the facilitating role and in that way try to manage the urban planning and development project at the Binkhorst. It looks more like a last resort to keep the boat floating. And when studying other documents on this urban planning and development project, this idea stands out. The way the facilitating role is played cannot be regarded as a good example and does not look like it is played intentionally.

## La Palissade – Vianen



Figure X\*: impression of the improved office park La Palissade (Cocon Vastgoed, retrieved 01-06-2017)

Impoverished office park in Vianen with a high vacancy rate, whereby six investors try to stop the downgrading of the area. This is done by investing in public space and trying to improve accessibility by public transport. The municipality facilitates the development by creating an Business Investment Zone, by investing in public space when the other actors invest in their real estate and by managing the financial streams of the developments. (Ministerie I&M, 2014, p. 107)

In this urban renewal it looks like the municipality of Vianen has used two of the three measures that come with playing an facilitating role in urban planning and development projects. First, the municipality has tried to acquire information and knowledge on the local (real estate) market. Vianen found out that the vacancy rates in La Palissade were not the result of a lack in demand for office space, but the vacancy was a result of the poor state of the buildings, the poor state of the public space and the difficulties with accessibility of the office park by public transport. Second, the municipality used its network with the six owners of the buildings at La Palissade and other actors like the public transport company and the province to come up with a solution that was supported by all actors. The municipality invested in public space and together with its governmental colleagues in public transport and the public space, but only if the owners of the real estate would invest in their buildings. This mutual investment was the result of a well-managed and maintained network.

The facilitating role of the municipality of Vianen in the redevelopment of the impoverished office park La Palissade can be regarded as an example of a municipality that plays this role in addition to its other three roles of shaping policies and plans, regulating and stimulating. The question remains if this role is chosen by policy makers and municipal servants, or awarded afterwards by the authors. Unfortunately more information on this matter is nowhere to be found, not when looking further on national level – where the information originally is from –, nor on the level of the municipality of Vianen, where the redevelopment has taken place.

## Havenkwartier – Deventer



Figure X\*: impressions of the current situation of the Havenkwartier (Groot Jebbink, 2012, p. 71)

South-east of the city centre of Deventer lies the Havenkwartier. This is an impoverished urban area that used to be an active harbour for the city, but nowadays is not used in that manner any more. The area consists of two docks, old harbour buildings which are mostly vacant, old industrial heritage like two silos and abandoned public space. In 2004 the municipality has made a masterplan to redevelop the area to a mixed urban area with room for dwellings, offices and amenities. The city council rejected the plan, mainly because of a lot of resistance of companies located in the area, but the municipality already had acquired a lot of land and buildings in the area. When the financial and economic crisis struck, it became clear that there was no need for new dwellings and offices, that would be the motor of the redevelopment. (Groot Jebbink, 2012, pp. 68-73)

In 2012 the redevelopment has come to life again and the city council even approved and lay down the new land-use plan for the area. The municipality has taken an inviting and facilitating attitude with this urban planning and redevelopment process. The land-use plan has been given shape after extensive cooperation with local businesses in the area and is flexible and mostly describes what is possible and not what is not possible. For the buildings owned by the municipality, users are found for temporary use. Rents in other buildings are subsidised by the municipality to attract new users. In conversations with the current users, the municipality has tried to build trust again and tried to get the current users involved in the plan making process. Thus inclusion and attempt to win trust of these parties again was important, after the lobby in 2004 against the municipal plans by companies located in the area. One project manager, appointed by the municipality and financed by the land exploitation, fulfils the role of central contact point for all parties. (Groot Jebbink, 2012, pp. 84-85)



In Deventer the municipality has used multiple measures to play a facilitating role in the urban planning and redevelopment process of the Havenkwartier. The municipality, represented by its project manager, used all its capabilities to acquire market information and knowledge, to understand the markets wherein the market actors housed in the area act. The municipality was well informed on developments in the real-estate markets, rent-price markets and in the decision environment wherein the market actors have to make their financial decisions. Next to that, the municipality heavily invested in its network with the actors that operate and are stakeholders in the Havenkwartier. Not only did they build relations and trust with these actors, by involving them in the plan making process. The municipality also adapted policies and regulations to make plans of market actors possible – of course within the framework to what is acceptable for the municipality on financial and societal level. And due to these networks, the municipality had access to market information that it otherwise would not have. Finally, the third facilitative measure, be an open and learning organisation is not mentioned or studied by the author Groot Jebbink in her thesis. Therefore it is not clear if there are means used that come with these measures. Nonetheless the conclusion on this example is that the municipality of Deventer plays a facilitative role in this urban planning and development project, as this role is defined in the literature study chapter.

Gele Rijdersplein – Arnhem



Figure X\*: current state of the Gele Rijdersplein (Groot Jebbink, 2012, p. 94)

Adjacent to the north-east side of the city centre of Arnhem the Gele Rijdersplein is located. Though located next to the city centre, and geographically being part of this centre, the square has no connection with that area. Nor do the functions have a relation with the city centre of Arnhem. In the area some older buildings can be found, that used to be part of industry housed at the square. Furthermore there is a big fountain, given by AKZO-Nobel after the Second World War to the inhabitants of Arnhem. At the Gele Rijdersplein where shops and commercial buildings, but a lot are vacant since local entrepreneurs left the area. These entrepreneurs believe that business took a downturn in 2004, after the municipality banned parking in the area. And not just the commercial

spaces have a high vacancy rate, the office buildings around the square cope with the same problem. In 2004, 2009 and 2011 plans were made to redevelop the square. These plans came about by municipal efforts and initiatives of market parties and initiatives of local stakeholders. None of these plans is realised. (Groot Jebbink, 2012, pp. 92-95)

In the latest version of a plan for redevelopment of the Gele Rijdersplein, there is no room to realise new program on the square. This was part of the feasibility of earlier plans. Nonetheless there is money available from a fund, financed by the real estate taxes in Arnhem, that can be used to improve the public space of the square. Developments in the existing building have to be paid with its own future revenues, though there are subsidies available from the fund. A project manager of the municipality for the entire city centre is contact point for market parties and internal for the municipal organisation itself. Due to the economic conditions (in 2012), the redevelopment will be done in phases and step-by-step. The municipality tries to let the owners of the offices and other commercial buildings at the square to be redeveloped to dwellings. The municipality is willing to change the land-use plan and to subsidize a feasibility study for market parties for the redevelopment of individual buildings at the square. (Groot Jebbink, 2012, pp. 97-98)

The municipality has tried to play a facilitating role in order to let market parties redevelop the Gele Rijdersplein and its surroundings. The municipality tried to build a network by establishing an area committee, where all stakeholder could take part and have influence on the planning part of the development. Next to that a project manager of the city tried to include the stakeholders in the decision making process and helped developers with the municipal bureaucracy. In that way the municipality invested in market rooted networks. These investments also helped in gathering market information and in trying to understand market actors and their decision making framework better. Two of the three measures that a municipality can use to play a facilitative role in urban planning and development projects are used in order to achieve societal goals. This role is complementary to the other three roles a municipality plays: shaping plans, regulating and stimulating. Though there is one important remark for this example of the Gele Rijdersplein in Arnhem: the study of Groot Jebbink is done in 2012 and then the physical aspect of the redevelopment was not started yet. And nowadays, it seems like the project is still in progress. Therefore it is hard to see of the measures that come with the facilitative role actually worked out.

City centre – Amsterdam



Figure X\*: impression of the city centre of Amsterdam (Gemeente Amsterdam, 2013b, p. 21)

The municipality of Amsterdam facilitates urban development projects within the city centre by *'giving investing parties space and are encouraged to invest in the public space as well'*. The municipality has a *'modern role and tries to connect parties and accelerate initiatives'*. This is done by building in flexibility in existing regulation and by using municipal investments as catalyst. Examples of urban planning and development projects whereby the municipality facilitates are in the east part of the city centre: the Amstel- and Roeterseilandcampus, the redevelopment of the Weesperstraat and the redevelopment of the former navy terrain. (Gemeente Amsterdam, 2013a, p. 57)

The municipality of Amsterdam feels like it plays a facilitating role (also see the next section), but the little information available on that findings by the municipal authors makes it hard to see if this actually the case. Nonetheless there certainly are measures taken by the municipality that come with playing the facilitating role. In the process that is described in the report of the municipality of Amsterdam, it is clear that the municipality is constantly trying to acquire information and knowledge on the markets wherein the market parties act when taking part in the developments. The municipality found out that it can use this information to adapt the other roles in the urban planning and development process: shaping plans, regulating and stimulating. Next to that, the municipality is trying to build and maintain a network with market parties that are or will be stakeholders in the described projects. Within that network, the municipality connect parties, shares information and is clear about its own intentions. This also adds to the trustworthiness of the municipal organisation. Furthermore, based on the gathered information and knowledge and based on their experiences with parties in its network, the municipality adjust regulations, plans and the ways of stimulating to support the market parties and achieve its own societal goals. The third measure of the facilitating role – be an open and learning organisation – is not described or discussed. And just like the example of Deventer, where it really looks like the municipality fulfils a facilitating role, it is not clear if this role is part of municipal policy and embedded in the ways of working of the organisation, or that the label is awarded afterwards.

VU-MC Kenniskwartier – Amsterdam



Figure X\*: impression of the future VU-MC Kenniskwartier (Gemeente Amsterdam, 2013b, p. 19)

The area between the Vrije Universiteit, the VU Medical Centre and the A10 highway has undergone a metamorphoses. Existing real estate is demolished or renovated and new buildings have erected for

education, research, high-tech companies, amenities, dwellings and hotels. The municipality facilitates this multi-hundred million euro project. This is done by adapting regulations, support solutions of the market by developing the public space and the infrastructure and by making the urban plan flexible for changes. (Gemeente Amsterdam, 2013b, p. 19)

In this urban redevelopment the municipality of Amsterdam was mainly facilitating the market parties responsible for the project. This is not the same as a facilitating role. Since the initiative, financing, project management, realisation and end-use already was being taken care of, the municipality did not have to play a big part in this project. It helped the parties to achieve their goals, but did this within its roles of shaping plans, regulating and stimulating. It did not have to use its role of facilitator, on this case the label of capacity builder fits a bit better, since the development could take place by just playing the other roles. However, aspects of these three roles could have been changed due to a facilitative or capacity building role, but this just is not the case. Due to the interests of the market parties, their potential and the potential of the area, this development could come about a little easier than the other described examples in this section.

Transformation Amstel III - Amsterdam

Amstel III is a ribbon shaped urban area in Amsterdam Zuidoost, next to the Amsterdam Arena. Offices are built in 1983 and for 27% vacant since 2007, due to mono culture and poor state of the public space. The municipality approached several market parties to attract amenities from the wish list of the current users like a kindergarten, lunchroom, hairdresser, hotel, supermarket and gym. The municipality asked the market parties what it would take to let them settle in Amstel III. The municipality came up with land-use plan that was not too specific: maximum sizes and borders of buildings and maximum building heights where determined, which should leave space for future development of the public space and infrastructure. Next to that was the land-use plan programmatically flexible: the market could determine the function of a building, where only limitations where determined for the number of offices. Finally, the municipality helped the developers and investors with all municipal procedures and provided all applicable and relevant information that it holds. (Gemeente Amsterdam, 2013b, pp. 30-31)



Figure X\*: the Amstel III area (Gemeente Amsterdam, 2013b, p. 31)



In this urban redevelopment project the municipality used multiple means that come with two of the three measures to play a facilitating role. And to support the roles of shaping plans, regulating and stimulating. The municipality invested in building a network with the market actors like owners, investors, companies that are renting office space and de end-user as well. Based on the gathered information from these actors regulative and stimulating measures could be taken to make this urban planning and redevelopment project a success. Also that gathered information and knowledge helped in shaping plans that had enough support from these mentioned parties. A note can be that without the facilitative role this project would not even have been started. The question can be raised to which extend this role was taken or chosen if the situation was different. For example when the potentials of the area would have been a lot better, like in the example VU-MC Kenniskwatier.

#### Kantorenleegstandconvenant – Rotterdam



Figure X\*: offices in Rotterdam and part of the covenant (Stadszaken, retrieved 01-06-2017)

This covenant is a pilot wherein annually ten long term vacant office buildings are appointed for redevelopment or transformation to another function. Market parties have to take the initiative, the municipality facilitates. Based on information of market parties a list of bottlenecks is formulated and issues are tackled. For example by granting a premium on transformation and demolition and speeding up the process on the land-use plan. (Heurkens, De Hoog & Daamen, 2014, p. 26)

The kantorenleegstandconvenant, a covenant between market parties and the municipality about the reduction of the office vacancy in the city, of course is not an urban planning and development project on itself. Though it is a tool that citywide can be used to make urban planning and development projects successful. And according to the authors a good example of the facilitative role that the municipality can play. When looking at this initiative after studying the literature on that role (see the literature study chapter), it becomes clear that in that framework the facilitating role of the municipality can only be appointed to some extent. The municipality acquires market information and knowledge on which it can make decision to adapt land-use plans or grant permissions. But it does not look like the municipality has acquired this information and knowledge itself: it looks like market parties who have taken the initiative actively provide the municipality with this information and knowledge in order to increase the chance of realising their plans. It also does not look like that the municipality – in this case – has invested in building and maintaining a network. Though, a side note is that the information above is quite summarily and is maybe not enough to build conclusions on.

#### Caland Estate - Rotterdam



Figure X\*: impression of the transformed Caland Estate (Heurkens, De Hoog & Daamen, 2014, p. 27)

The Caland Estate is a former office building that, after five years of vacancy, is transformed to nine apartments and two penthouses. This transformation took place after collaboration between a developer and the municipality. The municipality facilitated the developer through the 'transformation window' (in Dutch: 'transformatie loket'), where the developer could come with all its questions and through which all contact took place. With the use of the 'transformation window' it became clear what the new use of the building could be. Procedures where more insightful for the developer and there was one contact person for all contact with the municipality. (Heurkens, De Hoog & Daamen, 2014, p. 27)

Like the previous example, this is not an urban planning and development project. In this case the example of a facilitating role is a policy measure that has resulted in a new way on how the municipal organisation is organised. This policy measure can be the result of facilitating measures like building market rooted networks and acquiring information and knowledge by the municipal organisation on the market and market parties. Market parties – part of the network of the municipality – have let know that one of the major issues for them in realising urban planning and redevelopment projects is bureaucracy and this is tried to be taken away by the municipality. Though not an urban planning and development project and the reactive attitude of the municipality, this example is good example in how the municipality made changes to its other roles, based on information acquired by building and maintaining networks – part of the facilitating role. To some extent, the remarks taken in account, this example can be considered as playing the facilitative role.



Figure X\*: picture of Bospolder Tussendijken (Stadsontwikkeling, retrieved 01-06-2017)

In the neighbourhood Bospolder Tussendijken in Rotterdam a company was created, with the aim to invest in the real estate of the area and improve the sustainability of these buildings. This in order to improve the liveability and the social-economic position of the inhabitants of the neighbourhood. Big enterprises, who are not located in the area such as the Rabobank, are committed for the long term and profits of the company go into a neighbourhood fund. Local residents and entrepreneurs are tempted to actively take part in the improvements themselves. The municipality facilitates the urban planning and development projects undertaken by private parties, by making the process faster and more cost efficient. Private parties are also rewarded financially when societal goals are met, like improvements in school performance of scholars or for every unemployed inhabitant that finds a job. (Heurkens, Daamen & Pol, 2015, pp. 32-33)

The Wijk BV is a good example of a facilitating or capacity building governmental actor in the urban planning and development process. The municipality takes multiple measures to fulfil this role: it has acquired market information and knowledge and has managed and maintained its market rooted networks well. Means that are used for the first measure is that the municipality has collected information on people and place, on the real estate market and on the actors and their decision making environment. Examples of means to build networks are the municipal engagement with stakeholders and to build networks with these parties, both societal parties and commercial parties. Furthermore the municipality has adjusted policies and regulations based on its collaboration with these parties.

However being positive of this example from practice on the facilitating or capacity building role of the local government in Rotterdam, it is still hard to award this label after studying summarily descriptions of this example. There is not more publicly accessible information available on this example. Further research on this example is desired in order to validate the conclusions above.



Figure X\*: impression of the future Zuidplein area (Franzen, De Hoog & Ginter, 2015, p. 30)

The Hart van Zuid project is an urban planning and redevelopment in Rotterdam in the area around Zuidplein. The municipality has made a flexible program of requirements, in a competitive dialogue market parties where challenged to come with a holistic plan and approach for the entire area. The plan had to include the integration of multiple areas, organising infrastructure, upgrade public space, develop a theatre and redevelop the municipal swimming pool. The municipality did not make a masterplan or used other policies to shape and plan the development of the area, this was left to the tendering market parties. (Franzen, De Hoog & Penning, 2015, pp. 9-11)

The municipality has actively tried to involve possible and future societal and market stakeholders to formulate a performance-orientated program of requirements for the tender of planning, developing and maintaining the urban area. Also an external advisory board for this project was formed with actors from several disciplines, but not involved with the project itself, who had experience and knowledge on the area, the decision making process and the market parties. Finally, the project team of the municipality was multi-disciplinary, had the mandate to make decisions and shared its information internally to learn from the each other and the team members with another discipline and therefore another perspective. (Franzen, De Hoog & Ginter, 2015, p. 31)

This example shows that the municipality can play the role of a facilitator or capacity builder in urban planning and development projects. Since the project was shaped by a competitive dialogue whereby a performance-oriented program of requirements was formulated, the municipality acquired market information and knowledge from the parties that made a tender bid. Also involving other stakeholders in the formulation of this performance-orientated program of requirements, shows that the municipality has used this measure belonging to the role of facilitator or capacity builder. Next to that, the municipality has built and invested in its market rooted network actively. This is done by involving

stakeholders to formulate the program of requirements for the tender as well. Finally also measure of being an open and learning municipal organisation seems to be used. Means like obtaining market relevant skills and capabilities and by developing a learning organisation and people are examples of that.

Just like in the previous examples in Rotterdam as De Wijk BV and the Calland Estate, and also in the examples from other parts of the Netherlands, the side note has to be made that the number of sources and the interests of the authors of these publications, make that further research is needed in order to come up with conclusions that can be validated.

General conclusions on the examples in Rotterdam

The municipality of Rotterdam actively tries to play a facilitative or capacity building role in urban planning and development projects. The three examples mentioned above come from publications that try to shape this role and this is done on the same theoretical framework as in this report (see the previous chapter). These publications (Heurkens, De Hoog & Daamen, 2014; Franzen, De Hoog & Penning, 2015; Franzen, De Hoog & Ginter, 2015) and other publications (for example: Daamen, Franzen & Van der Vegt, 2012; and Daamen, Heurkens & Pol, 2015) write and explain this facilitating role. But this is done in such summarily matter, that it is not clear if this is a good example of facilitating or capacity building municipality. More information is needed to conclude on this. Next to that it is not clear if these measures and means are part of policy or are intended to play a facilitative or capacity building role, or awarded afterwards by the authors. On this also more research is needed.

## 1.2. Conclusions on practical examples of the facilitating role in the Netherlands

This chapter is concluded by answering the third and fourth research questions. These questions covers the conclusions of the sections above, that have discussed the facilitating or capacity building role by municipalities in the Netherlands in practice. This information and conclusions is also used in the next chapter to further conceptualise the facilitating or capacity building role.

The third sub-research question is:

### **1. What are examples in theory of a municipality that actually fulfils this facilitating role in practice?**

In Eindhoven, Den Haag, Vianen, Deventer, Arnhem, Amsterdam and Rotterdam there are examples of measures and means that can be associated with the municipal role of facilitator or capacity builder in the urban planning and development process in the Netherlands. The question can be raised, if these measures and means are part of an intended facilitating or capacity building role of the municipality in these example projects. Or that these taken measures and supporting means were taken anyway, regardless of the role and handling of the municipality, and awarded afterwards as facilitating or capacity building by the authors who studied these examples. It seems like in Amsterdam and Rotterdam some examples are formed by policies on the matter, but due to the summarily information, this cannot be concluded with certainty.

Due to a lack of information, no hard conclusions can be drawn concerning intentional execution of a facilitating or capacity building role by municipalities in the Netherlands in the urban planning and development process. It could be the case that this role is played by these municipalities, but that this is not documented and now publications are available on that matter. And it seems like that in publications on the role of facilitating or capacity building, the definition of the concept or what this role actually means or contains is not clear by the authors. Therefore: further research is needed.

The fourth sub-research question of this report is:

### **2. What are the similarities and differences between this theory and practice when it comes to the facilitating role of the municipality?**

The facilitating or capacity building role in the Netherlands in practice builds upon the existing theory on this subject. The similarities are that the means of the theory are put in practice by municipalities, though not always intentionally to play this role. Often these means are awarded to the facilitating or capacity building role afterwards, when the practice is evaluated or used as an example to build theory on. Nonetheless, there are examples of means that are similar in theory to the practice, like the municipalities of Amsterdam and Rotterdam mention in their publications on the matter. The difference between the theory and practice can be big. Practitioners do not know what this role actually entails and sometimes label means and measures as part of a facilitating role, but in theory these measures and means are attributed to other roles and other measures. Next to similarities and difference, it has to be pointed out that, already mentioned above, there is no strict distinction between theory and practice and therefore do these two influence each other. This influencing does not make the concept of the facilitating or capacity building role more clear, it often adds to vague definitions and vague formulations of what this role could or should be and in that perspective this reports tries to become more concrete on the concept, by performing an empirical study to build the concept further on.

## 1.3. The municipality of Amsterdam on the facilitating role

The examples of facilitating municipalities in urban planning and development projects throughout the Netherlands, given in the previous section, are found in literature to explain this facilitating role afterwards. Though, the Project Management Bureau of the municipality of Amsterdam has written about the phenomena and tried to define its new role in urban planning and development projects in a report. No of the other municipalities in the Netherlands – with the exception of the municipality of Rotterdam, see the following section – has done this. The report and its conclusions are discussed below.

In its 2013 report on the state of urban planning and development, the municipality of Amsterdam writes that it considers itself no longer as the main developer in urban planning and development projects. It views itself as a director that '*mainly ensures the societal interests*' and '*that - as a neutral party - in particular provides serviced land to developing market parties*'. Next to that, the municipality sees that '*in many urban planning and development projects the initiative shifts from the governmental actor towards market parties*'. According to the municipality there are three forms of a facilitating role, that the municipal organisation can play. In order of less to more municipal influence these roles are: 'pure facilitating', 'steering facilitating' and 'co-creation'. (Gemeente Amsterdam, 2013b, p. 11)

When elaborating on these roles, the municipality writes the following. The 'pure facilitative role' is played when a market party '*knows what it wants and has an eye for public interests*'. Then the municipality tries to inform the market party on procedures, tries to push the party in the right direction and grants the needed permits. In other words: officials help the market party actively through the municipal bureaucracy. In the case of 'steering facilitating', the municipality uses an active directive form. It '*connects, matches or mediates between market parties with shared interests*'. In some cases, the municipality steered facilitative by performing custom work for monuments and architectural appearance and stimulating for '*a solution-oriented municipal organisation and staff*'.

About 'co-creation' the municipality writes that in some cases '*the organisation commits itself to the plans of market parties for the long term, whereby there is mutual dependency - what can be the case on a financial or conceptual level.*' (Gemeente Amsterdam, 2013b, pp. 11-12)

These three roles are formulated by the municipality of Amsterdam, based on the 2012 essay of KEI (Dutch knowledge centre for urban renewal) titled 'Urban renewal on invitation'. In the part on new roles for governmental actors, the authors of the essay state '*that the role of the government varies per area, depending on local circumstances*'. The authors created a theoretical scheme (see the previous chapter), wherein four different categories of roles are given. The role that the local government has to play, depends on the potentials of the area and the potentials of the market parties. If both are high, the government has to 'let loose', if both are low, the government has to 'direct, sponsor and take care'. If the area potentials are high, but the potentials of the market parties are low, the government has to 'invite and initiate'. And when the potentials of the area are low and the potentials of the market parties high, the governmental actor should 'stimulate and adjust'. (KEI, 2012, pp. 11-12)

The publication of the Project Management Bureau of the municipality of Amsterdam describes the facilitating role as a role that is adaptable and should be adapted to the circumstances wherein an urban planning and development project takes place. This is a quite reactive approach and differs on that aspect from the theory that is studied in the literature study chapter. Though the means that the municipality can use for its facilitative role in the urban planning and development process are quite similar, when that theory is compared with the Amsterdam practice. When studying both views on the facilitating role of the municipality, it stands out that in Amsterdam the organisation and its ways of working have not changed to fulfil the facilitating role. The municipal organisation is nonetheless ready to perform this role, it has the means and instruments, but is quite reactive in its working and therefore also misses out on precautions that should make it easier to perform the role. For example the municipality is aware of available market information and knowledge, but doesn't collect this information constantly. The examples in the previous section also show that the municipality is part of networks with market parties, but here applies as well that this is not part of policy, to invest in networks. These networks and connections with market parties seem to grow along the way and are not actively invested in. Finally, from the examples and the documents of the municipality of Amsterdam, it does not appear like the municipal organisation responsible for urban planning and development invests in itself, its employees and capabilities to become an active learning organisation.

That these means, goals and instruments of facilitating municipality in the urban planning and development process differ is not strange. The theory that is studied for this report has a non-Dutch origin and the theory whereon the municipality of Amsterdam bases its role is. The attitude and role of the municipality of Amsterdam is based on the publication of KEI – the Dutch Knowledge Institute for Urban Renewal, which is written on a request of the Dutch ministry of Domestic Affairs, the Dutch provinces and the Association of Dutch Municipalities (In Dutch: Vereniging Nederlandse Gemeenten) and is written within an administrative sciences paradigm. Wherein the theory in the literature study has a more holistic approach, within the much wider urban development and planning sciences paradigm. Nonetheless, next to differences, there are similarities and these examples in Amsterdam are good examples to understand the urban planning and development context in the Netherlands a little better.

Appendix B – Analysis cases

## Method of analysis

For every three project cases, three people are interviewed to understand the case better and to get to know more about the facilitating role. In this appendix are these cases analysed, based upon the concept that is formed in the sixth chapter of this research. All the in that concept defined measures and means are tested during the interviews, to see if these measures and means are applicable or are an example of the facilitating role. In the next pages these measures are weight and analysed by putting them in a table and see what the three interviewed stakeholders have to say about these measures and means. Next, these measures and means are categorised, like in the table below:

Not applicable and/ or no example found in this case.	Not really applicable and/ or no good example found in this case.	It is not clear, based on the interviews, if this is the case or not.	To some extend applicable and/ or to some extend an example is found.	Applicable and/ or a good example is found in this case.
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Next to that, are the most important findings and examples taken in account in the chapters 8, 9 and 10 of the report. Also differences (of interpretation) between the stakeholders will be discussed in those parts of the report.



## Analysis case Rotterdam Central District

Mean	Applicable, examples and instruments in the case of Rotterdam Central District			
	<b>View municipality</b> <i>Based on the interview with Kees van Oorschot, process manager for the Rotterdam Central District of the municipality of Rotterdam.</i>	<b>View private party</b> <i>Based on the interview with Ton Boon, adjunct-director of Maarsen Group – investor/ developer (who own the land and buildings at Weena Point).</i>	<b>View private party</b> <i>Based on the interview with Oscar de Grave, secretary of the Vereniging Rotterdam Central District</i>	<i>Applicable?</i>
<b>Measure: acquiring market information and knowledge</b>				
Collect information on people and place	Actively done by the Afdeling Onderzoek & Business Intelligence of the municipality of Rotterdam, though this not done specifically for the Rotterdam Central District.	This actively done by the municipality and used by the municipality and within the RCD association for place making in the area.	The municipality is well informed about people and place within the district, this sometimes is done through the association RCD	Yes (Not just for this case)
Collect information on real estate markets	There is regularly contact with real estate brokers on the uptake of for example office space by the market or what the need for dwellings is. This also done when the municipality holds a market consultation round for a future development.	To market parties is it clear that the municipality is well informed on the state of real estate, housing, office and other building-related markets.	The municipality has held a market consultation at the Provada (real estate fair), where it tried to obtain information about the view of market parties on the two future tenders in the area.	Yes
Collect information on market actors and their decision making environment	Usually do market parties report themselves at the municipality, for example in tender procedures. These parties inform the municipality on their views, wishes and possibilities.	According to Ton Boon communicates the municipality with real estate owners in the area to assess the current state of the real estate market. Nonetheless are the wishes and interests of the market parties not always taken in account by the municipality.	This informally done within meetups with the board of the association, but also formally in special events with that goals, as well as in the official market consultation.	Yes
Inform market actors and vice versa, communicate with market actors	This is done in a consultation round, or when a developer signs up for a tender an informal talks are held about their viewpoints and future criteria for the tender.	The municipality is quite open about their plans about possible developments in- and their plans for the Rotterdam Central District.	This is done by the municipality, but could be better. Especially communicating with market actors on future plans and considerations.	Yes
Listen to market actors	In the above mentioned talks the viewpoints and input of market parties is taken in account.	During the crisis, the municipality listened more to market actors than now. But they still do that.	Yes, but some extend. On certain matters this is actively done like vacancy, on other matters not.	Yes



Define clear rules, fair process	With the tender procedures all market parties know what to expect about the rules, the process and the awarding criteria for future urban developments. When a development is political sensitive or where more actors have interests and these do not always match, for example at the Schieblok, the process is not clear up front.	For the Maarsen Group it is clear how the process is shaped, how long certain steps can take regulatory (for example the term for challenging the land-use plan) and internally by the municipal organisation.	The rules and process are quite clear, but some aspects that influence the process are not. For example the planning of the municipality and when they invest in extra personnel power in certain phases of the project.	Yes
Inform what is unwanted	Based upon the above mentioned contact with market parties does the municipality what kind of developments are wanted and unwanted. But different market parties haven different views on what is unwanted.	The Maarsen Group has addressed that accelerating the tenders from 2030 to 2020 of the Conradstraat and Delftseplein means extra competition in the office market within the RCD area, where they together are fighting vacancy at the moment. This came up when the municipality asked to the opinion of the Maarsen Group on this intended plans.	I interpret that Oscar de Grave means that this used to be like that, but that this is less important to the municipality in now and possibly in the future.	Yes
Determine frameworks	With the tender procedure the frameworks are determined thoroughly. Next to that has the Project Management Bureau of the municipality standardised ways of working.	The framework for further development of the land and the existing buildings at the Weena Point was always clear to the Maarsen Groep, since these frameworks are determined by Dutch law.	The frameworks are known for the association, but become less rigid along the way, now the economy gets better.	According to some yes, to some not.
Demand-orientated	With information of the market demand and what is desirable for developers looks the municipality at what is needed, but that does not mean that developments go in that direction. That is not the case when demand does not matches the municipal or societal goals.	With the future tenders, this is not the case according to the Maarsen Groep. Though do they understand the actions of the municipality, since the economy allows the municipality to become more active again in urban developments and steer with land policy.	With the market consultation is the municipality handling demand-oriented according to Oscar de Grave	To some extend
<b>Measure: managing market rooted networks</b>				
Engage and connect with stakeholders	The municipality takes part in the Association RCD and has a <i>Klankbordgroep</i> of stakeholders in the district whit who it meets on a regular basis.	Through the RCD association do the municipality and the Maarsen Groep engage and connect with each other. Next to that are there bilateral meetings.	Yes, intensively through its active membership of the RCD association, like being part of the board of the association.	Yes

Build networks with stakeholders	Taking part the Association RCD, the municipality organises its own networks if there are not any available.	Yes, see above.	Yes, see above.	Yes
Adjust policies and regulations	Visions and the land-use plan can be adjusted when a developer comes up with a good plan that does not fall match these plans, but when it does match municipal policy or is the start for adjusting policy.	When a market party has good arguments, the municipality is open towards adjusting policies and regulations, for example changing the land-use plan.	The municipality asks for input from different stakeholders within the district and adjust its plans upon this input. A concrete example is the vision for the area, that actively aims at a mix of functions and realising dwellings and improving the liveability of the public space in the district.	Yes
Create feedback loops	No example	No.	No examples found.	No
One contact person for certain issues	A projectleader or a process manager is the contact person for stakeholders in the area. In this case that is Kees himself.	The process manager is the first to talk to for the Maarsen Groep and this person connects them to the right contact person within the municipal organisation.	Nowadays that is the case with Kees van Oorschot, process manager of the area. He is the contact person between the municipal organisation and between the stakeholders in the area. This is an improvement.	Yes
Serving leadership/ invite/ make possible/ create good preconditions	The municipality helps to make a lot possible and takes the lead in projects if needed, for example by the Project Management Bureau.	To some extend does the municipality create good preconditions, they do make a lot possible for developers when asked for by these parties.	This is the case according to Oscar de Grave, but it could be better, the municipality could better take a leading role when it comes to the mutual interests of the members of the association.	To some extend
Give space	In tenders space is left for market parties, for example ambitions of the municipality are given, but not quantified. Though, not everything is left to market parties, boundaries are given, for example maximum height of the building.	Within the legal boundaries (for example the land-use plan) is there a lot possible for market parties, especially when they own the land themselves.	According to the non-municipality board members of the association the municipality sometimes gives to much space a	Yes, but not like is meant in the theory
Work together with market actors	In the planning process, shaping the vision for the area, the RCD association is highly involved.	To some extend does the municipality work together with Maarsen Groep. Primarily within the RCD association on placemaking and on marketing the area.	On some issues is the co-operation of the municipality with other stakeholders good, on some issues this could be improved.	Yes

Connect initiatives	Good examples of connecting initiatives can be found in finding tenants for temporary use of vacant buildings. Next to that in line with sustainability ambitions of the municipality, Eneco is connected to building owners in the District and could lead to a cooling system for all buildings in the area.	Through the RCD association does the municipality connect initiatives, but for the Maarsen Groep this has not been the case (yet?).	The organisation actively connects initiatives of stakeholders in the area and is even looking for new opportunities for its members. The role of the municipality therein is cooperative, for example for granting permits or connect initiatives to the right civil servant.	Yes
Support in process and procedures	Market parties are helped through the bureaucracy of the municipality, so that in the plan shaping process or in the juridical phase the right initiatives pop-up on the right moment at the right decision making authority.	The municipality has helped the Maarse Groep in their contact with municipal departments and supported them in procedures like realising the land-use plan, changing cables and pipes in the ground, with the accessibility of the construction site, with environmental permits and many more.	Like mentioned above, does the municipality supports initiatives with the municipal procedures and bureaucracy.	Yes
Create societal and political support	This is done with for example the <i>Klankbordgroep</i> to get societal support for initiatives. Also plans of market parties are taken to the alderman or the city council commission before they are definitive or official, to assess under what conditions what is or is not political feasible.	According to Ton Boon does the process manager together with RCD association create political support for developments within the district.	This is done by the process manager. Though does it looks like this is sometimes difficult, since the process manager represents the interest of the municipal organisation, interests of politicians, interests of end-users and of owners of buildings, what can conflict.	Yes
<b>Measure: being an open and learning organisation</b>				
Municipality sees itself as a market actor (or market influencer)	The municipality has high societal and sustainable ambitions and uses its power that comes with the selling of land for its goals. Also enforcing the development of certain or functions amenities. It knows it can influence the market parties and feasibility with this behaviour.	The municipality knows it impacts markets and market actors, for example by the two future tenders for the towers at the Delftseplein and the Conradstraat, what will influence the real estate markets within the RCD are heavily.	According to Oscar de Grave does the municipality sometimes forget it not only influence the future real estate market with the two upcoming tenders, but also influence the current office market in the area and it's owners with these tenders.	Yes
Open culture towards other mind-sets and ideas	The temporary initiatives that came about during the crisis are good examples that the municipality is open towards other mindset and ideas. Post	Not clear from the interview with Ton Boon if this is the case, from a market actor perspective.	On some issues is the municipality open to other mind-sets and ideas, to some issues not really or less. This is	To some extend

	crisis view on this, is that these initiatives more and more have to be in line with municipal policy.		also depending on political and internal organisational issues.	
Obtain market-relevant skills and capabilities/competences	The municipality offers a lot of training and courses to keep its workforce up-to-date. Also within the department knowledge is shared of personal expertise of people.	Not applicable, since this an internal municipal measure and presumably not visible, nor interesting for an external party like an investor – developer.	This is not clear for board members of the RCD association, whether the municipality is trying to obtain these skills and capabilities.	To some extend
Developing and learning organisation and -people, reflecting and evaluating	There are some initiatives, but they are not applicable for this case.	n.a.	n.a.	Not specific
Budget for the process	There is budget for the process, for example: there are many employees at the Project Management Bureau.	According to Ton Boon should the municipality realise a project bureau for the developments in the Rotterdam Central District, just like in other areas. Own conclusion: by not doing this, does it seems like the municipality does not make enough budget available.	According to Oscar de Grave should the municipality invest more in the association (now 25.000 euro per year) and in the process, if they take the Rotterdam Central District really serious.	Different interpretation between market actors and the municipality
Deliver custom work	Custom work is often part of the way of working of the municipality. Because this such a big development, highly visible for the city and political sensible.	Yes, this is done by the municipality. Also on request of a market party, as long as it has strong arguments for this.	Custom work is delivered by the municipality when for example the association organises events or connects initiatives of stakeholders.	Yes
Take away barriers	It is hard within a big organisation like the municipality to take away barriers. It looks like the organisation is working on it, but there are no big brake-throughs yet.	n.a.	Not clear for Oscar de Grave to see if this is the case.	No
Share experience and expertise	There are some initiatives, but they are not applicable for this case. Within the organisation itself there are lectures where people tell about their experiences, there is a weekly newsletter wherein developments are presented and there is a weekly coffee moment where people share their successes.	n.a.	n.a.	To some extend

## Analysis case Hart van Zuid

Mean	Applicable, examples and instruments in the case of Rotterdam Central District			
	<b>View municipality</b> <i>Based on the interview with Bart van Ulden, head jurist of the municipality of Rotterdam.</i>	<b>View private party</b> <i>Based on the interview with Peter Klevering, director Living (wonen) of Ballast Nedam Development.</i>	<b>View municipality</b> <i>Based on a meeting with Debbie Ginter, area manager of the City Development Department of Rotterdam and her publications.</i>	<i>Applicable?</i>
<b>Measure: acquiring market information and knowledge</b>				
Collect information on people and place	Project team did this their selves and in co-operation with tendering parties and other stakeholders like neighbouring residents, tenants, owners, entrepreneurs, end-users, etcetera.	According to Peter Klevering is the municipality well informed about people and place. Nonetheless did Ballast Nedam do some additional research for their vision for the area.	This was done by several members of the project team, accordingly to their own roles in the team.	Yes
Collect information on real estate markets	Same as above.	The municipality has a lot of real estate knowledge in-house. For example when Ballast Nedam talked about a hotel, within the municipality someone knew how the exploitation works and what the numbers are.	See above.	Yes
Collect information on market actors and their decision making environment	Same as above, but not explicitly found in documents or mentioned in interviews.	The municipality knows quite good what the capabilities and capacities of market actors are. As a result is Heijmans no an extra partner in the development of Hart van Zuid. This was a demand of the municipality when the financial outlook for Ballast Nedam was bad and a risk for the project according to the municipality	See above.	Yes
Inform market actors and vice versa, communicate with market actors	This was done up-front when making the program of requirements and on the official moments when notifying the tender, during the negotiations in the tender and contracting phases	According to Peter Klevering the co-operation with the municipal team was good and worked well both ways.	According to Debbie Ginter was there good contact with several market parties along the process.	Yes
Listen to market actors	On forehand market parties were consulted. During the negation in the tender- and in the contracting phase, the	The municipality listens to market parties when this is needed, this has never been a problem. At a certain moment has the	See above.	Yes

	project team was receptive for the viewpoints and the decision making environment of market parties.	municipality embraced Ballast Nedam's vision for the area.		
Define clear rules, fair process	By choosing for a competitive dialogue with negation, the rules for the process were clear up-front.	The process was and is quite clear for Ballast Nedam, the rules as well, since these are mainly build upon Dutch law. And other issues were part of the contract between the parties.	The tender form was the basis for the rules the process. This was clear for tendering parties up front and by Ballast Nedam, who won the tender.	Yes
Inform what is unwanted	This was done up-front when making the program of requirements and during the tender- and contract negotiations.	In meetings and other gatherings of Ballast Nedam and the municipality unwanted matters can be part of the conversation.	By consulting local stakeholders like inhabitants of neighbouring areas and end-users was tried to inform the team what was unwanted. When it comes to the tendering parties, this was arranged in the dialogue and contracting phase.	Yes
Determine frameworks	By making a program of requirements first, did the contractor formulate a vision and thereafter the municipality laid down the land-use plan, this process is a good example of giving frameworks first, before making strict requirements of closing contracts.	The frameworks are quite clear. Even if they are not that rigid, for example with the land-use plan that not specifically states the location of specific building, only an area where it may be realised. Next to that are many frameworks determined up front in the tender, these frameworks cannot be changed along the way, since they form the basis upon how the contract is granted to Ballast Nedam and not to other parties.	The frameworks are determined by the tender.	Yes
Demand-orientated	It does not become clear from the documents and the interviews that the municipality is demand driven. It does not seem to be the case, because of the high public interest of the development for the municipality.	This was not subject of the interview, nor did this become clear in answering other questions.	Not clear.	Not clear
<b>Measure: managing market rooted networks</b>				
Engage and connect with stakeholders	Up-front the municipality tried to engage and connect with as many stakeholders (neighbouring residents,	The municipality kept Ballast Nedam away from the stakeholders for the entire tender phase of the project. After the	This was mostly done by trying to obtain information with a bottom-up approach.	To some extend

	tenants, owners, entrepreneurs, end-users) as possible. When the tender process started, this was stopped.	contract was signed, Ballast Nedam itself connected to different stakeholders.		
Build networks with stakeholders	With some stakeholders networks were build. For example with a feedback group, with the entrepreneurial association of the mall, but not with the possible contractors	There were no formally formed networks wherein the municipality took part, when Ballast Nedam initiated these networks, the municipality took part as well, since they are a stakeholder on many fronts (client, building owner, tenant, end-user, subsidy giver)	This was not structurally done by the group, only for finding input from stakeholders, but no formal networks are formed.	To some extend
Adjust policies and regulations	Some policies and regulations are adjusted in order to make this development successful, for example adapting the land-use plan, but no municipal policies were changed.	To some extend is the municipality receptive to adjust policies and regulations. Peter Klevering says Ballast Nedam should have good arguments to request for that.	Not really. Only the way the land-use plan is laid down, or how it leaves room for future changes can be considered as adjusting policies and regulations.	Yes
Create feedback loops	Not clear from documents and interviews if this is the case, presumably not.	Not found, nor mentioned in the interview.	Not applicable.	No
One contact person for certain issues	Within the project team one person part of the team for the entire tendering and contracting part of the project, wherein these people were the contact person for a specific policy field for all external stakeholders.	For Peter Klevering was it clear who of the municipality he should turn to for what issues. And who was in charge, to who he could escalate.	Yes, this was one of the lessons from this case that made the evaluation. All the different members of the municipal team where a contact person for a certain issue. Nonetheless, there was not one contact person for all the external stakeholders.	Yes
Serving leadership/ invite/ make possible/ create good preconditions	I believe that this project is a good example of all concepts mentioned in the left cell. See above for more information.	The municipality is leading to give direction to the plans and development, but leaves space for Ballast Nedam to come up with their own tailor-made solutions.	Same as what Bob van Ulden states.	Yes
Give space	The municipality left space for developing parties to come up with their own vision and build a plan upon that vision.	Market parties were given space and challenged to solve indicated problems in their own way. For example, there is not enough budget for a certain development that is part of the plan, than the developer	Yes, space was left for entrepreneurial solutions by the tendering parties, within the by the municipality laid down framework.	Yes!



		is challenged to come up with an own innovative tailor made solution for that problem		
Work together with market actors	This is done extensively on fore-hand when formulating the program of requirements, during the tender negotiations and when contracting the contractor.	The municipality, after the tendering and contracting phase, is co-operative towards Ballast Nedam and their works in the area. Both the market party and the municipality had a special team with counterparts that were full time committed to the tender and the development.	In the realisation phase is this done extensively, by the new project group of the municipality that has it's office in Hart van Zuid.	Yes!
Connect initiatives	Different end-users are connected to each other by the municipality to combine their needs and wishes: for example local entrepreneurs and start-ups, youth and arts initiatives, who in the future will share a building in the area.	This is actively done by the municipality in the planning phase, before Ballast Nedam won the tender. The municipality connected many initiatives in and around the area to each other. For example to connect the different potential users to the new swimming pool.	Some really good examples of connecting initiatives, local initiatives are linked to the future buildings and their users, to see what can be combined.	Yes
Support in process and procedures	The contracting party is helped by the project team with municipal procedures and through bureaucracy by the one contact person per policy issue, for example when the municipality laid down the land-use plan.	In the tendering phase, but also in the following phases, the municipality has been helpful and supportive in making things possible for Ballast Nedam. According to Peter Klevering did the municipal project team of sliced through the entire municipal organisation.	This was one of the key successes or lessons in the evaluation of this project. The project group aimed at helping tendering candidates with the process by providing information about the project itself, as well about the process and procedures (which should be clear since this was a European tender procedure)	Yes!
Create societal and political support	Societal support is created by including neighbouring residents and the association of mall shop in the creation of the program of requirements for the tender. With including societal goals in the program of requirements the project team has tried to obtain political support for the plan and developments.	The employees of the municipality were the factor that created political support for the plans of Ballast Nedam. The 20 year duration of the project also creates support for plans of the developer with politics and society.	This was an important task of the project team, since the political sensitivity, the scale and the public money that will be invested in buildings and public space of Hart van Zuid.	Yes
<b>Measure: being an open and learning organisation</b>				

Municipality sees itself as a market actor (or market influencer)	According to Bart van Ulden was the project team aware of the influence of their decisions and choices on the market, market actors and feasibility of the plan for these actors.	Peter Klevering thinks that the municipality is well aware on their influence on the market, on market parties like Ballast Nedam and what the implications of municipal handling are for these parties.	Not clear in the documents and not discussed in the meeting with Debbie Ginter.	Presumably
Open culture towards other mind-sets and ideas	By organising societal support for the plan and the negotiation in between the initial and final bid of the tender, the project team tried to see the project from many different perspectives. According to Bart van Ulden was the project team receptive for input from these actors and other viewpoints.	This is not explicitly mentioned in the interview, but it seems like this is the case.	The way the project team was organised, with members from different sub-departments of the municipality, and how the team operated with their mandate and the political sensitivity, the team was open towards other cultures, mindsets and ideas. But this could be only the case for this team and not for the rest of the municipal organisation.	Yes
Obtain market-relevant skills and capabilities/competences	To understand market parties better, the team tried to use and obtain skills and capabilities. This also was the case when team different members with different backgrounds and skills tried to learn each other each's skills to understand decisions of the team and of tenders better.	Peter Klevering thinks that these skills, capabilities and competences are certainly present within the municipal organisation and the project team.	By sitting together in the same office, representatives of different department obtained each other's skills, which could be market-relevant. But this was not done intentionally.	Yes
Developing and learning organisation and -people, reflecting and evaluating	This is not actively done. According to the interviewees evaluating – obviously – is a standard procedure and part of the processes of the municipality. Furthermore a report is published with <i>handreikingen</i> for future projects.	Not discussed in the interview.	Debbie Ginter advocates the learning organisation and is involved in initiatives like De Kennismotor and the Erasmus Leergang. She wrote an evaluation report on the tender and the contracting phase, with lessons for the organisation. So to some extent can be argued this is present in this project.	Yes
Budget for the process	There was budget for the process for forming an independent project team, with an own office and full-time staff.	Not discussed in the interview.	Yes, there is and was enough budget for an external office and a special	Yes

			project team during the entire (and still continuing) process.	
Deliver custom work	Because of the size of the project, the complexity and the new form of tendering (for the city development department of the municipality), this project primarily was made up out of custom work.	If needed, this is possible thinks Peter Klevering.	See information from interview Bob van Ulden.	Yes
Take away barriers	By taking people with different skills, from different departments and put them together in one team with their own office is tried to take down the barriers between the (sub) departments within the organisation.	Not discussed in the interview.	By creating one office wherein the members of several municipal sub-departments worked together, organisational barriers were/ are taken down for this project.	Yes
Share experience and expertise	Within the existing structures for sharing experience and expertise is this done. Furthermore is a evaluating report written with <i>handreikingen</i> .	Not discussed in the interview.	Lessons from the tendering and contracting phase are gathered in an evaluation written by Debbie Ginter and advisors of TU Delft.	Yes

## Analysis case Nieuw-Kralingen

Mean	Applicable, examples and instruments in the case of Rotterdam Central District			
	<b>View municipality</b> <i>Based on the interview with Arienne de Muynck, project manager of the City Development Department of the municipality of Rotterdam</i>	<b>View private party</b> <i>Based on the interview with Patrick van Oosten, project developer at ERA Contour</i>	<b>View private party</b> <i>Based on the interview with Erick Schouten, manager urban area development at Heijmans</i>	<i>Applicable?</i>
<b>Measure: acquiring market information and knowledge</b>				
Collect information on people and place	For the municipal vision on living (woonvisie) and for the preparation of the decision of the municipal council on the vision for the area is this researched thoroughly.	The municipality does this constantly and has its advisors for different kind of issues and themes.	The municipality has a lot of specific teams, that understand the several sub markets in the city, like for example the retail market of residential market.	Yes
Collect information on real estate markets	See above. This is also adjusted by the municipality when the economy changes (gets better or worse).	Like ERA Contour does the municipality consult local real estate brokers to collect information on the local (in this case) housing markets.	Yes, like mentioned above, does the municipality have specific teams who investigate the real estate market of the city.	Yes
Collect information on market actors and their decision making environment	The municipality tries to understand the business case of the market parties, to see what implications changes to the process have.	This is done by the municipal organisation, but is not always taken in account in the political decision making process.	This is not mentioned explicitly in the interview, but this does seem the case.	To some extend
Inform market actors and vice versa, communicate with market actors	This is done extensively within this project according Arienne de Muynck.	Through meetings and informal gatherings of the mutual project team, information is exchanged by the actors of this development.	The municipality and developers inform each other and communicate on a regular basis.	Yes
Listen to market actors	When market parties come with good arguments to change things to improve the feasibility of this project, the municipality is willing to listen.	According to Patrick van Oosten shows the municipality willingness to listen to market parties like ERA Contour. Off course there is discussion, but all parties want this project to succeed, so they come closer on certain issues and themes.	Addressing issues to the project team is no problem for Heijmans.	Yes
Define clear rules, fair process	Up front the rules and the process is discussed with Heijmans and ERA Contour. Though are there changes and delays due to the municipal decision	The process is discussed by the municipality and the developing parties (ERA Contour and Heijmans) on forehand,	The process was determined up front, but has been changed along the way. For example the vision for the area was already created, when politicians	Yes, but changed along the way

	making process, but the market parties understand this.	wherein the steps and planning (in general) are laid down.	asked for the starting point (uitgangspunten) of the plan. These points were made up afterwards. The process was not linear, like intended on forehand by the parties.	
Inform what is unwanted	In meetings with market parties is discussed, what is wanted and what is unwanted. For example the relocation of the road, how many lanes it should have and what that means for the feasibility of the project.	Since there is an informal way of working with each other, all parties are heard in meeting. In these meetings does the municipality informs the viewpoint of the market parties, including what is wanted and what is unwanted.	This is done within the meetings of all the stakeholders, but to some extend and not actively by the municipality.	Yes
Determine frameworks	The frameworks wherein the development have to take place are discussed with the market parties and are part of the contracting phase.	The municipality, Heijmans and ERA Contour together have determined the frameworks wherein the development can take place.	Up front does it look like the frameworks are determined, but along the way they change. For example the quantity of dwellings that have to be incorporated in Nieuw-Kralingen.	Yes
Demand-orientated	The development is more supply-orientated than it is demand-orientated. Through the living vision of the municipality is tried to realise a living area with a certain type of buildings (single houses) for a possible certain market (upper segment).	The municipality has a strong vision on what to realise on this location, qualitative and quantitative. This is supply driven and is slightly adjusted if the feasibility of the development is in danger.	This does not seem the case, when talking to Erick Schouten. This is also not mentioned during the interview by him.	No
<b>Measure: managing market rooted networks</b>				
Engage and connect with stakeholders	The municipality engages with stakeholders in meetings with these stakeholders on certain issues. Often this are issues of themes that the municipality puts on the agenda.	There are not many more stakeholders than the municipality (including the three nursery and the police station) and the developers. There are connections with other stakeholders like the steam train museum and the existing businesses in the area, but this is incidental.	Since the relation between the municipality and the developers is not a collaboration, the project is awarded, the municipality is not as engaged and connected with stakeholders like in public-private partnerships. Also the fact that the development is a green field development, makes it not really necessary for this case..	To some extend

Build networks with stakeholders	There are no informal networks build with stakeholders, just the formal meetings and temporary project groups.	There are some meetings with stakeholders, but no networks or regular gatherings are organised.	Like mentioned above, there are no formal networks build with stakeholders, due to the kind of development. There are some meetings with other stakeholders though, but not on a regular basis or institutionalised.	Not really
Adjust policies and regulations	On the basis of the vision that is produced in co-operation with Heijmans and ERA Contour, the municipality will lay down the land-use plan. The land-use plan could be adapted if this improves the process and/ or the end-result.	The land-use plan is given shape by input of the developers. The developing parties have to finance the entire decision making process, so the municipality is willing to adjust policies and regulations, if this serves the process and if the developing parties pay for the process.	This is possible, when the developers come with good arguments and civil servants can persuade decision makers to do so.	Yes, who pays lays down
Create feedback loops	No example given by Arienne de Muynck.	No example from the interview.	Not discussed, no example found.	No
One contact person for certain issues	Project manager Arienne de Muynck is the first person for market parties and other stakeholders to contact for all issues. She directs internal and external stakeholders in the right direction and connects them.	Arienne de Muynck is for Patrick van Oosten of ERA Contour the first and main contact person of the municipality, for all issues. Next to that are specific work group meetings wherein specific teams and issues are discussed and can be addressed by market parties.	For Heijmans, just like for ERA Contour is Arienne de Muynck the first contact person for all issues regarding the municipality.	Yes
Serving leadership/ invite/ make possible/ create good preconditions	Since this will be a development wherein the municipality sales the land, a concession, and is not involved in the development itself juridically or with its organisation, the municipality does not perform a leading role, but tries to make things possible for the market parties.	No example from the interview.	This does not seem the case, judging on what Erick Schouten tells in the interview.	No
Give space	No example of this can be found.	No example from the interview.	Not mentioned, no example.	No
Work together with market actors	Civil servants work together with the market parties and their advisors. For example does the traffic expert of the municipality collaborate with the consult who makes a new traffic plan for the	In work groups and in the main project team do all interested parties work together. In these collaborations are all parties equal.	Since the crisis is more and more gone, a lot of restrictions and objections are resolved. Nowadays all stakeholders want to realise the development, all parties are willing to accomplish that.	Yes

	Bosdreef, upon request of the alderman of the city who is responsible for traffic.		These developments have contributed to a better collaboration with all stakeholders, wherein all stakeholders are equal.	
Connect initiatives	There are not many initiatives, since this is a greenfield development of a residential area to connect. Though, stakeholders like the local police station, the steam train museum and the businesses in the area are invited to take part in the project groups on issues relevant to them.	Since this is a greenfield development and there are not many interested parties like current residents or current building or land owners and the development will be a residential area, there are no initiatives (at the moment) that have to be connected to each other within the development area.	No examples given. Interested stakeholders are connected, but no initiatives for in the area (yet). Erick Schouten tells that Heijmans is open to incorporate initiatives into the development if this is requested by other stakeholder. For example to house a health centre in the area.	Not really
Support in process and procedures	The municipal organisation tries to help Heijmans and ERA Contour in the process and procedures and these parties pay the municipality for that as well.	Patrick van Oosten indicated that the municipal team tries to help ERA Contour and Heijmans with the process and procedures that have a relation with the municipal organisation. But that the process team not always can influence that process and these procedures.	Not mentioned explicitly. Though does it seem like this is the case, like Patrick van Oosten told in his interview.	To some extend
Create societal and political support	According to Arienne de Muynck is this one of the most important means: to create support for wishes and demands of politicians with the developing parties and vice versa. Next to that is the municipal organisation included in this triangular-relationship.	This is one of the most important tasks of the municipal team regarding this development, and is really difficult since the turbulent political situation in Rotterdam. With a new alderman comes new wishes and demands for the developers from the politicians. And can ideas of the developers that already had support become questionable. The municipal project team tries to guide this difficult situation.	The civil servants from the project team try to build bridges between the developers and the politicians. To some extent they are successful, but in some matters they cannot influence the politicians like the new alderman good enough to keep the project going, what causes delay.	Yes, attempts
<b>Measure: being an open and learning organisation</b>				
Municipality sees itself as a market actor (or market influencer)	The project manager and her team are aware of the impact of changes, wishes and demands from the municipal side on the market parties and what this means for the feasibility of their business case.	Patrick van Oosten believes that the municipal organisation understands that influences the market with their handling, but that the politicians can forget this and look like to have other interests.	According to Erick Schouten do some municipal employees realise that they influence the market and market actors with their wishes, demands and questions. But there are a lot of	To some extend



			municipal employees who do not seem to know this and do not realise that their questions and remarks mean a lot of extra work for the developing parties (what brings costs to the table).	
Open culture towards other mind-sets and ideas	Not discussed in the interview, no idea if this is the case.	Not really discussed in this interview.	Not discussed, nor mentioned in the interview.	No idea
Obtain market-relevant skills and capabilities/competences	Members of the project management team are municipal specialists with skills and capabilities that are market-relevant.	Not explicitly mentioned by Patrick van Oosten, but in between the lines he acknowledges that this is the case.	Could be better according to Erick Schouten. Some employees do so, but for example some do not understand a land exploitation, but do influence that exploitation with their actions.	Yes/No
Developing and learning organisation and -people, reflecting and evaluating	No sign of this during the interview, nor in the obtained documentation.	No view on this by an external party like the developer ERA Contour.	Not discussed, nor mentioned in the interview.	No
Budget for the process	The developing parties pay the municipal organisation for all the work they have to do for the project. Though, Arienne de Muynck says that certain expenses, for example investigations on certain issues on request of politicians, are paid by the municipality itself.	The developing parties have to finance the municipal process that leads to the development. So: no, there is no municipal budget for the process.	A little to no municipal budget for the process, since the developing parties pay for the entire process.	No
Deliver custom work	If needed, custom work will be delivered, but this is not the case though.	This is not discussed in the interview.	Not discussed, nor mentioned in the interview.	Not discussed
Take away barriers	Not clear if this is part of the project management organisation.	No view on this by an external party like the developer ERA Contour.	Not discussed, nor mentioned in the interview.	Not discussed
Share experience and expertise	Also not clear, based on the obtained information and the conducted interview with Arienne de Muynck	No view on this by an external party like the developer ERA Contour.	Not discussed, nor mentioned in the interview.	Not discussed

## Analysis case De Kennismotor

<b>Measure: being an open and learning organisation</b>		
Means	Applicable and instruments	Present?
Municipality sees itself as a market actor (or market influencer)	Within the Kennismotor-sessions market parties and societal actors are invited to contribute to knowledge development of the municipality. This can have a mutulative character, this works both ways, so also the other way around. This can lead to better mutual understanding.	Yes
Open culture towards other mind-sets and ideas	Most steps in the garden-themed process of the Kennismotor are good example of an open culture and mind-set of the municipality.	Yes
Obtain market-relevant skills and capabilities/ competences	In the fourth step one of the requirements is to get a market party on board to support an innovation. To get to this point, market-relevant skills, capabilities and competences have to be part of municipal initiator.	Yes
Developing and learning organisation and -people, reflecting and evaluating	Some authors (Heurkens, De Hoog and Daamen) argue that this is present within the Kennismotor process.	Can be argued
Budget for the process	There is certainly budget allocated for the process, up to 10% of the budget (around 150.000 euro) is used for this according to the municipality.	Yes
Deliver custom work	Custom work must be delivered, but within the documents nothing indicates that this is actually the case.	Presumably
Take away barriers	With the Kennismotor initiative barriers are tried to be taken away. The initiative attracts people from other departments and tries to involve/ connect multiple (sub) departments with an idea or innovation	Yes
Share experience and expertise	This is one of the goals and is included in the ways of working of the Kennismotor.	Yes

## Analysis case Vereniging Rotterdam Central District

<b>Measure: acquiring market information and knowledge</b>		
Means	Applicable, examples and instruments?	Present?
Collect information on people and place	Through the RCD association has the municipality regularly contact with stakeholders from the district like building owners, tenants, entrepreneurs and other end-users. In that contact information on these people and place(making ) in the area is collected by the municipality.	Yes
Collect information on real estate markets	In the same manner as above, the municipality is collecting information on real estate markets.	Yes
Collect information on market actors and their decision making environment	This is done to some extent. The municipality believes this regularly the case, market parties have a different view on this. It is also difficult to for the municipality to collect this information, without sharing information with these market parties and giving these parties a competitive advantage over market parties who are not part of the RCD association.	To some extend
Inform market actors and vice versa, communicate with market actors	Like discussed above, this regularly is the case. This is done through formal gatherings and informal meetings of the members of the association.	Yes!
Listen to market actors	In coming to a mutual vision for the area, does the municipality listen to the stakeholders in the district. And what their views, wishes and demand regarding certain issues are.	Yes!
Define clear rules, fair process	Because the municipality has many roles and functions and that these roles and functions can conflict. For example the municipality is the owner of the buildings and the public space, is also regulator, has city-wide goals, will sell land and is working on a tender for two lots in the district, these interest can conflict. Market party members of the association also have issues with these kind of matters as well. They can be an investor and developer and therefore are interested in future tenders, but this also creates competitions for the office space they already rent out in other buildings they possess in the district. Because of these difficulties, the process is often not clear for all parties and cannot objectively be considered as fair.	Not really
Inform what is unwanted	When communicating and listening to market parties in formal gatherings and informal meetings of the association, parties can address what is considered as unwanted to them.	Yes
Determine frameworks	Through the RCD association frameworks are not determined by the municipality.	No
Demand-orientated	This does not seem to be the case regarding the RCD association.	No
<b>Measure: managing market rooted networks</b>		
Engage and connect with stakeholders	With the annual general meeting, with special meetings regarding the renewed vision for the area and with mutual initiatives like a work visit of the city executive board, organising area drinks (buurtborrels) and many small one time initiatives do the municipality and the association RCD engage and connect with each other and	Yes

	other stakeholders (like the members of the RCD association).	
Build networks with stakeholders	The business community of the RCD association is an example of an existing network that the municipality helped building, by being an member and by participating in the RCD association.	Yes
Adjust policies and regulations	The policies and regulations are not adjusted because of the input of the RCD association, but the association and its members do influence the process and deliver input to the municipality for (re)new(ed) policies and regulations regarding the Rotterdam Central District	To some extend
Create feedback loops	This in not formally found by studying this case, but it could be argued that these feedback loops are present. Stakeholders give feedback at informal meet-ups with the municipal representatives that are part/ member of the association	Yes, but formally not found
One contact person for certain issues	Process manager Kees van Oorschot is the contact person of the municipality that all stakeholders can contact for all types of issues. He connects these contacts to the right people, window or department within the municipal organisation and keeps an eye on the progress.	Yes
Serving leadership/ invite/ make possible/ create good preconditions	The municipality invites the association to take part in the process of urban planning and development and makes initiative possible for members of the association (as well as for any other stakeholder in the city). Serving leadership or creating good preconditions cannot be found in this case study.	Not really
Give space	The municipality leaves space for private parties to take initiative and undertake developments in the district, but this is not applicable for the case of the RCD association on its own.	Not applicable
Work together with market actors	Within the association do the municipality, market and societal actors work together. Side by side do they work on the vision of the area, improving the district with developments and initiatives. This is one of the primary goals of the association RCD.	Yes!
Connect initiatives	Within the business community of the RCD association are initiatives connected. Initiatives of building owners, tenants, businesses, end-users and the municipality are linked. For examples see the previous section.	Yes!
Support in process and procedures	The municipality does support stakeholders in the Rotterdam Central District, but this is not applicable for the case study of the RCD association.	Not applicable
Create societal and political support	By creating the vision of the area together with the association and its members, does the municipality create societal support in the district for the plans and for the direction that the area is heading. The other way around does this work as well: with this vision and for example the work visit of the city executive board to the association, do the association and its members, together with the civil servants working on this vision, create political and societal support for their input, vision and wishes.	Yes!

## Appendix C – cross case analysis applicability means

In the interviews the means as described in chapter 6 (conceptualising the facilitating role) are tested and discussed, to see if they are applicable in that specific case. Furthermore is discussed in the interviews what the most important means to play the facilitating role in that case. Next to that is asked which of the means supporting the facilitating role are crucial.

The results of the interviews are discussed in the previous chapters. In this subsection all results are compared and weighed to each other. This is done by using the outcomes from the tables in the conclusion sections of each case study chapter, which are based on the specific cases analyses in appendix I. For the three measures separately the outcomes are compared in tables, below in this section. In these tables the same colour coding is used as in the previous chapter. Though in the most left column, the colour indicates to which extent this mean is applicable in general. To indicate this, the results of the applicability per case are taken in account. When these results differ per case, the evaluation in appendix I is studied to have another look at the applicability per case. If cells are grey, the applicability of these means is not taken in account.

#### Measure: acquiring market information and knowledge

In table X\* below the means linked to the measure of acquiring market information and knowledge are compared to each other in a cross-case analysis.

Mean	Rotterdam Central District	Hart van Zuid	Nieuw-Kralingen	Kennis-motor	Vereniging RCD
Collect information on people and place	Yes (Not just for this case)	Yes	Yes	-	Yes
Collect information on real estate markets	Yes	Yes	Yes	-	Yes
Collect information on market actors and their decision making environment	Yes	Yes	To some extend	-	To some extend
Inform market actors and vice versa, communicate with market actors	Yes	Yes	Yes	-	Yes!
Listen to market actors	Yes	Yes	Yes	-	Yes!
Define clear rules, fair process	Yes	Yes	Yes, but changed along the way	-	Not really
Inform what is unwanted	Yes	Yes	Yes	-	Yes
Determine frameworks	According to some yes, to some not.	Yes	Yes	-	No
Demand-orientated	To some extend	Not clear	No	-	No

Table X\*: cross-case analysis of means related to the measure of acquiring market information and knowledge

In the table on the previous page are these above described conclusions translated to the shading of the most left column of the table. This method will be used for the other two measures as well.

When looking at the applicability of means related to the measure of acquiring market information and knowledge of the facilitating municipal role, it stands out that the following means seems to be applicable in all the studied cases:

- Collecting information on people and place
- Collecting information on real estate markets
- Collecting information on market actors and their decision making environment

- Inform market actors and vice versa
- Communicate with market actors
- Listen to market actors
- Inform what is unwanted

Because these means are applicable in all the cases and are used by the municipality in the intended way to support the facilitating role, these means can be considered to be part of that role that the municipality can play in urban planning and development projects.

The means below do seem to be applicable to some extent:

- Defining clear rules, fair process
- Determine frameworks

When looking deeper into the cases where these means seems not to be really applicable, it becomes clear that the municipality tried to use this mean as an instrument in that specific urban planning and development process, but that the market parties did not perceive this in that way or are not satisfied to which extend the municipality has used this mean. Though the market parties indicate these means are important and should be part of the way the municipality tries to play the facilitating role in the urban planning and development process. Therefore these means can be considered part of the facilitating role of the municipality.

One mean does not look applicable in most of the cases:

- Demand-orientated

This mean is described in chapter 6 as *'acquire information on the demand from market parties, do not create demand or what is asked for by the municipality'* and with it is meant that in urban planning and development projects the municipality should steer on the fact that only floor space of specific categories will development if there is demand for this type. Although most interviewed parties agree on the fact that only the type of space should be developed for markets wherein a demand for that space is, none of the interviewed parties addressed that as a task of the municipality. They indicate that by not doing that, the future urban area will be more durable and resilient, just like the adjacent areas or the rest of city. 'Demand-orientated' therefore should no longer be considered as a mean supporting the measure of acquiring market information and knowledge as part of the facilitating role of the municipality.

Though part of 'demand orientated' mean is the collection of information on the demand to specific type of space, like for example dwellings (and the many variations within that concept), office space, business space, retail, industrial, etcetera. And this collection of information could be part of the means of 'collecting information on real estate markets' and 'inform what is unwanted' that are part of the means connected to the measure of acquiring market information and knowledge.

Measure: managing market rooted networks

In table X\* below the means linked to the measure of acquiring market information and knowledge are compared to each other in a cross-case analysis.

Mean	Rotterdam Central District	Hart van Zuid	Nieuw-Kralingen	Kennis-motor	Vereniging RCD
Engage and connect with stakeholders	Yes	To some extend	To some extend	-	Yes
Build networks with stakeholders	Yes	To some extend	Not really	-	Yes
Adjust policies and regulations	Yes	Yes	Yes, who pays lays down	-	To some extend



Create feedback loops	No	No	No	-	Yes, but formally not found
One contact person for certain issues	Yes	Yes	Yes	-	Yes
Serving leadership/ invite/ make possible/ create good preconditions	To some extend	Yes	No	-	Not really
Give space	Yes, but not like is meant in the theory	Yes!	No	-	Not applicable
Work together with market actors	Yes	Yes!	Yes	-	Yes!
Connect initiatives	Yes	Yes	Not really	-	Yes!
Support in process and procedures	Yes	Yes!	To some extend	-	Not applicable
Create societal and political support	Yes	Yes	Yes, attempts	-	Yes!

Table X\*: cross-case analysis of means related to the measure of managing market rooted networks

To indicate which of the means related to the facilitating measure managing market rooted networks by the municipality are applicable, table X\* and the previous chapters are studied. The means that are applicable in all the cases are:

- Adjust policies and regulations
- One contact person for certain issues
- Work together with market parties
- Create political and societal support

Means that seem to be applicable in most cases, but not all cases are:

- Engage and connect with stakeholders
- Build networks with stakeholders
- Connect initiatives
- Support in process and procedures

These means do not seem applicable in the case of Nieuw-Kralingen, but like discussed in the case study in chapter 10, this could be because:

- 1) The case of Nieuw-Kraling is a greenfield development, where only the municipality with its three nursery and the police station and some small industry companies that will not be affected by the development are interested stakeholders. Also, the location of the area is quite isolated regarding other residential areas and will therefore not have a big impact on their daily life.
- 2) Next to that, since the area will be developed to a residential area, the future residents are not known yet. So these future end-users of the area will not start any initiatives yet, that the municipality can connect to each other or to the developing parties.
- 3) Finally, this case is an urban planning and development project that still is in the planning phase, and not in the development phase, wherein these means are needed more for the municipality to play the facilitating role.

The two means from the in chapter 6 defined framework regarding the facilitating role of the municipality that do not seem applicable are:

- Serving leadership/ invite/ make possible/ create good preconditions
- Give space

The first of these two means is explained in the mentioned chapter as 'a municipality takes a supporting position on certain issues, what increases the potentials of market parties'. With that is meant that the municipality can

address certain issues as important, for example by mention these issues in a vision or in policy documents such as the need for a specific type of dwellings or the need for investments in the public space. Addressing these kind of issues increases potentials, or lowers the risks, for developing parties. The reason that this mean does not seem to be applicable for the measure of managing market rooted networks is presumably the case, because these means can be considered as being part of the municipal roles of shaping plans and regulating markets.

The second mean 'give space' is previously in this report described as '*leave space for market parties, but stay involved, when these parties have enough potential themselves*'. This mean builds up-on the idea, that is discussed in section 4.6, that there are other factors impacting the urban planning and development process: the potentials of the area and the potentials of the involved actors. This theory claims that when involved actors have low potentials, they should be supported by the municipality. In my view this can be done by the municipality within the roles of regulating markets and stimulating markets and can this mean be considered to not be part of the facilitating role.

The mean that is not applicable, according to the case studies and the table above, is:

- Create feedback loops

The definition of this mean is also given in chapter 6 and is '*let market parties give feedback and actually use this (to improve the process)*'. This mean is not applicable in the case studies for the facilitating role and is not mentioned in the interviews. This probably is the case because the municipal actor and the market parties do not want to interfere and comment on each other's internal way of working, especially not during the process. In retrospective, when discussing this issue in the interviews, they do have these kind of comments, but presumably this is considered as unwanted when these parties are depending on each other and have to co-operate. Off course the process is adapted by the municipality when it does not work properly, but this is not formally included in the way of working and therefore not applicable for the facilitative role as studied in this research.

Measure: being an open and learning organisation

In table X\* below the means linked to the measure of being an open and learning organisation are compared to each other in a cross-case analysis.

Mean	Rotterdam Central District	Hart van Zuid	Nieuw-Kralingen	Kennis-motor	Vereniging RCD
Municipality sees itself as a market actor (or market influencer)	Yes	Pre-sumably	To some extend	Yes	-
Open culture towards other mind-sets and ideas	To some extend	Yes	No idea	Yes	-
Obtain market-relevant skills and capabilities/ competences	To some extend	Yes	Yes/No	Yes	-
Developing and learning organisation and -people, reflecting and evaluating	Not specific	Yes	No	Can be argued	-
Budget for the process	Different interpretation between market actors and the municipality	Yes	No	Yes	-
Deliver custom work	Yes	Yes	Not discussed	Pre-sumably	-
Take away barriers	No	Yes	Not discussed	Yes	-

Share experience and expertise	To some extend	Yes	Not discussed	Yes	-
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Table X\*: cross-case analysis of means related to the measure of being an open and learning municipal organisation

Based upon the results from the case studies, which are summarised in the table above, it is hard to indicate which means are applicable for the facilitative measure of being an open and learning organisation. The two cases that almost have no examples of these means, the Rotterdam Central District case and the Nieuw-Kralingen case, influence the results heavily. On the other hand are the cases of Hart van Zuid and the Kennismotor exemplary for this measure and was that the reason to select these cases. This measure of being a learning and open organisation is an internal matter for the municipality, that is why the interviewed market parties have a (negative) influence on the outcomes in the cases of the Rotterdam Central District and Nieuw-Kralingen. In both these studied cases, one representative of the municipal organisation and two representatives of market parties are interviewed.

One could argue that only the first mean mentioned in the table has something to do with both the internal municipal organisation, as with the market parties that are involved in the urban planning and development process. This mean seems to be applicable in (almost) all cases and can be regarded as mean that supports the measure of being an open and learning organisation. The other means will be studied again with only the input from the interviewed municipal representatives and can be found on the next page.

Below in table X\* an improved analysis of the facilitative measure of being an open and learning municipal organisation, wherein only the view of municipal representatives is taken in account. For the Rotterdam Central District is this Kees van Oorschot (process manager Rotterdam Central District), for Hart van Zuid that are Bart van Ulden (head jurist of the municipality and former member of the Hart van Zuid project team) and Debbie Ginter (former project manager Hart van Zuid), for Nieuw-Kraling this is Arrienne de Muynck (project manager Nieuw-Kralingen) and for the Kennismotor is this again Debbie Ginter (area manager for the city development department) and her colleague Frank Delhij (policy coordinator for the city development department).

Mean	Rotterdam Central District	Hart van Zuid	Nieuw-Kralingen	Kennis-motor	Vereniging RCD
Municipality sees itself as a market actor (or market influencer)	Yes	Yes	To some extend	Yes	-
Open culture towards other mind-sets and ideas	Yes	Yes	Pre- sumably	Yes	-
Obtain market-relevant skills and capabilities/ competences	Yes	Yes	Yes	Yes	-
Developing and learning organisation and -people, reflecting and evaluating	Not really	Yes	No	Can be argued	-
Budget for the process	Yes	Yes	To some extend	Yes	-
Deliver custom work	Yes	Yes	Yes	Unclear	-
Take away barriers	No	Yes	Not really	Yes	-
Share experience and expertise	Yes	Yes	To some extend	Yes	-

Table X\*: cross-case analysis of means related to the measure of being an open and learning municipal organisation, seen only from representatives of the municipality

The following means related to the facilitative measure of being an open and learning organisation are applicable in all cases, when looking from a municipal viewpoint:

- Municipality sees itself as a market actor (or market influencer)
- Obtain market-relevant skills and capabilities/ competences
- Budget for the process

And the next means are applicable in almost all cases:

- Open culture towards other mind-sets and ideas
- Deliver custom work
- Share experience and expertise

Furthermore, some means do not seem to be applicable in most of the cases, but can be found:

- Developing and learning organisation and -people, reflecting and evaluating
- Take away barriers

These last two means can only be considered part of facilitating role of the municipality when filtered out of the data, in order to get these results. Because of that, it does not seem likely that these means are part of this role. The concept of a learning organisation can be the subject of an entire graduation research project and therefore will no longer be considered part of the framework.

The similarities between the conceptualised framework of the facilitating role of the municipality in the urban planning and development process and this role as studied in practice are:

- The measures of *acquiring market information* and knowledge and of managing market-rooted networks are in practice applicable and valuable for the facilitating role of the municipality.
- When combining the most applicable, applicable and most crucial means as found in the case studies and comparing them with the framework from theory, the following facilitative means of the municipality in the urban planning and development process are part of both:
  - o Collecting information on people and place
  - o Collecting information on real estate markets
  - o Collecting information on market actors and their decision making environment
  - o Inform market actors and vice versa
  - o Communicate with market actors
  - o Listen to market actors
  - o Inform what is unwanted
  - o Defining clear rules, fair process
  - o Determine frameworks
  - o Adjust policies and regulations
  - o One contact person for certain issues
  - o Work together with market parties
  - o Create political and societal support
  - o Engage and connect with stakeholders
  - o Build networks with stakeholders
  - o Connect initiatives
  - o Support in process and procedures
  - o Municipality sees itself as a market actor (or market influencer)
  - o Obtain market-relevant skills and capabilities/ competences
  - o Budget for the process
  - o Open culture towards other mind-sets and ideas
  - o Deliver custom work
  - o Share experience and expertise
- In the case studies was confirmed that the facilitating role is supportive and complementary to the three other roles (shaping plans, regulating and stimulating) that the municipal actor can play to steer the urban planning and development process.

The differences between the framework, that was conceptualised as a result of the literature study and the desk study with practical examples, and the empirical situation, as studied in the cases, are:

- The measure of *being an open and learning organisation* is differently defined in theory as how some aspects of this measure are used and acknowledged in practice. This measure seems to be defined

differently in the theory, where the concept in chapter 6 is built on, with an emphasis on the learning organisation, wherein the empiricism the emphasis seems to be on being an open organisation, with the right kind of capabilities, skills and knowledge. And not on learning these capabilities, skills and knowledge, but to have this. How this is obtained is not part of the municipal role of facilitating in the urban planning and development process, but is part of how the organisation functions as municipality.

- A number of means that were found in theory, but seem not to be applicable in the studied cases and therefore not part of the facilitating role:
  - o Demand-orientated
  - o Serving leadership/ invite/ make possible/ create good preconditions
  - o Give space
  - o Create feedback loops
  - o Developing and learning organisation and -people, reflecting and evaluating
  - o Take away barriers
- Next to that are there means found in case studies, that are not part of the framework of chapter 6. These additionally found means are:
  - o Facilitate internal organisation
  - o Align the interests of the internal organisation
  - o Designing new means
  - o Transparent about interests
- Furthermore appeared from the case studies, that the municipal organisation should have the following characteristics or properties in order to successfully play the facilitating role in the urban planning and development process.
  - o Constant behaviour
  - o Reliability
  - o Show commitment
  - o Mandate
  - o Risk is managed by the public-private form of co-operation

These differences and similarities will be used in the following section, in order to rephrase the means and measures of the facilitating role and to (later on) come up with an improved version.

## Appendix D – Interview transcripts

The interview transcripts aren't published online, but are available on request by sending the author of this report an email. Also the recordings of the interviews are available on request. For requests send an email to [sdukker@gmail.com](mailto:sdukker@gmail.com)