

Leidsche Rijn

Utrecht



YPENBURG



# Bridging the gap between sustainable urban policies and sustainable urban development projects

A recommendation for public planners

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February 2, 2017

Final Presentation

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- ◇ Introduction
- ◇ Theoretical background
- ◇ Case study: RijswijkBuiten
- ◇ Case study: Bruisend Dorpshart  
Kaatsheuvel
- ◇ Cross case analysis
- ◇ Conclusion
- ◇ Recommendations

# Introduction

# Research motives

Demand of sustainability on several governmental levels



Global



EU



The Netherlands



Province



Municipality

# Research motives

## Public policy and the policy-implementation gap



Made on the public's behalf  
Oriented toward a goal or desired state  
Interpreted and implemented by public and private



# Research motives



Spatial planning agencies  
Grants permit

BUT



Changing State-Market relations



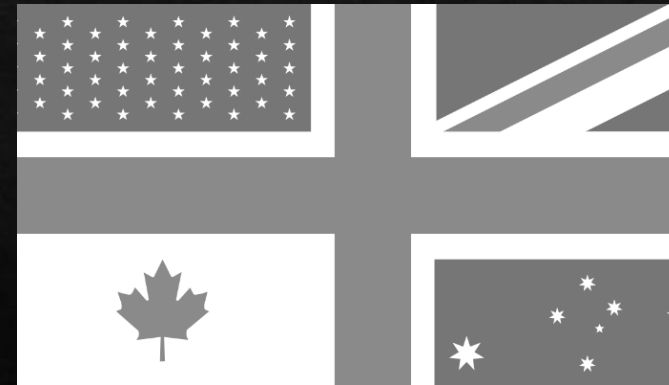
Municipality



and



ents



Neoliberalism

Privatisation

Less dominant role public sector

# The public planner



Public planners as  
market actors

Public planners



Tools to influence market decisions



# Research goal



The goal of this research is to better understand why implementation gaps in sustainable urban development projects exist,

what planning tools are

and how planning tools are used by public planners in practice.

To give a recommendation for public planners.



# Main research question

**How can public planners use planning tools to bridge the implementation gap between sustainable urban policies and sustainable urban development projects?**

- Literature review
- Case studies

# Theories

# Sustainable urban development characteristics

- ◇ 'Sustainable development is development that meets the needs of the present without compromising the ability of future generations to meet their own needs.' (Brundtland Commission, 1987)
- ◇ People, Planet, Profit (Elkington, 1998)
- ◇ A sustainable urban development project aims to realise economic-viable, social-responsible, environmental-friendly urban places (Williams & Dair, 2007)

# Sustainable urban development characteristics

Objectives sustainable urban development	
<b>Profit (economic)</b>	Create a favourable location for activity
	Stimulate local entrepreneurship
	Stimulate local employment
	Attracting long-term investments
<b>People (social)</b>	Social security
	Social interaction
	Comfort and a healthy living environment
	Social cohesion
	Human scale
	Demand-oriented development
	Good accessibility
<b>Planet (ecological)</b>	Good connection with public transport
	Stimulating bike-usage and walking
	Self-sufficiency (circular flows)
	Usage of renewable sources
	Decrease/prevent environmental pollution
	Support the living environment and respect ecological structures
<b>Spatial quality</b>	Varying density
	Mixed-use
	Preserving and highlighting distinctive (historical) quality
	Create identity (place-making)
	Flexibility: resistant against future changes and innovations
	Robustness: resistant against changing (weather) conditions
	Stewardship

*(From Buskens, 2015 based on Puylaert & Werksma, 2011; Adams & Tiesdell, 2010; Lodewijks, 2013; Gehl, 2010; Carmona et al., 2009; Macmillan, 2006)*

# Obstacles for market actors to commit to SUDP



Existence



Timing involvement



Absence of power



Focus is new



Government direction



Energy efficiency



Real estate level



No integral approach

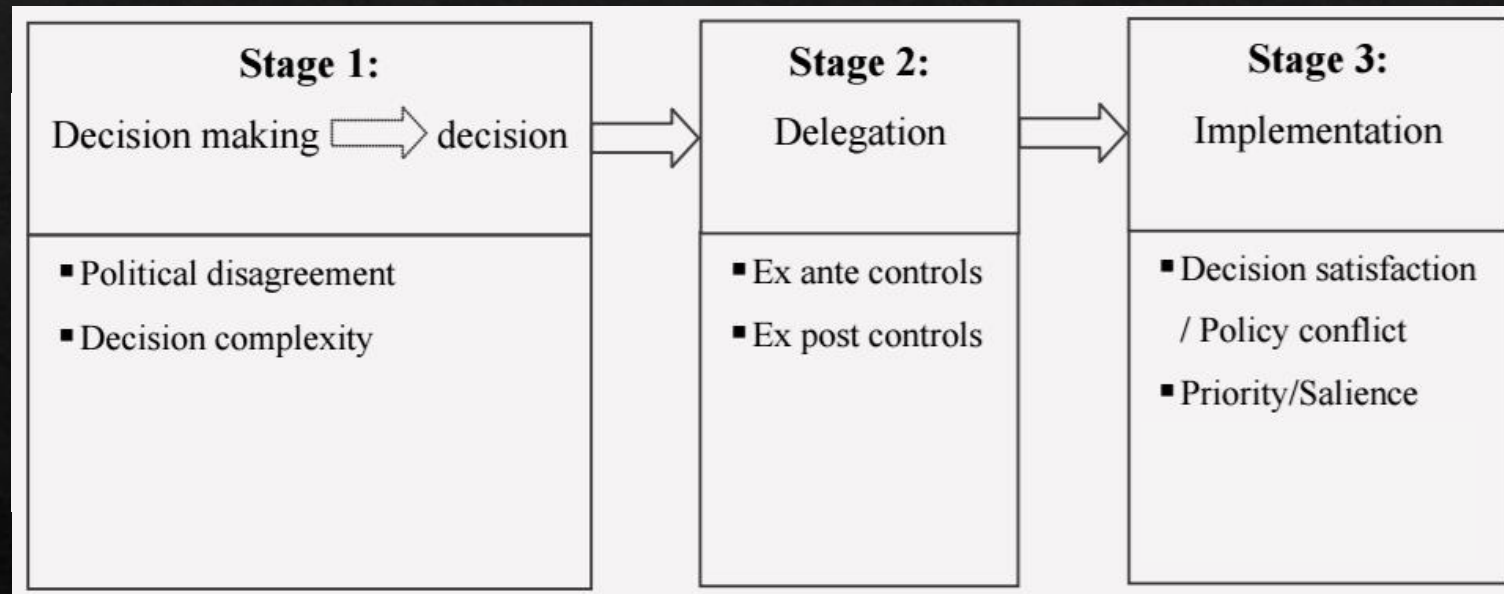
# The gap between decision and implementation in SUPs

im · ple · men · ta · tion

‘accomplishing, carrying out, fulfilling, producing or completing a decision. The decision is implemented with a certain level of compliance which can range from implementing a decision completely in conformity with the decision (full compliance) to implementing a decision totally different than prescribed (noncompliance)’

(Hill and Hupe, 2002: in Oosterwaal, 2011)

# The gap between decision and implementation in SUPs



The three stages from the decision-making to implementation (source: Oosterwaal, 2011)



# The gap between decision and implementation in SUPs

Stage	Main feature	Reason for limited success of SUP
Decision making	Political disagreement	Institutional systems
	Decision complexity	Sustainability as a wicked concept
Delegation	Ex ante controls	Institutional systems
	Ex post controls	
Implementation	Policy conflict	Asymmetry of costs and benefits
	Salience	Too late put on agenda

# The planning tools

Planning tools of Adams et al. (2005)

Decision environment

Direct state actions	Market-shaping cultures, mind-sets and ideas
Price-adjusting actions	Market-rich information and knowledge
Risk-reducing actions	Market-rooted networks
Capital-raising actions	Market-relevant skills and capabilities



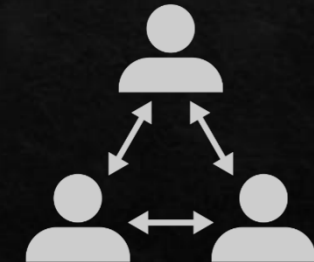
Shaping



Regulating

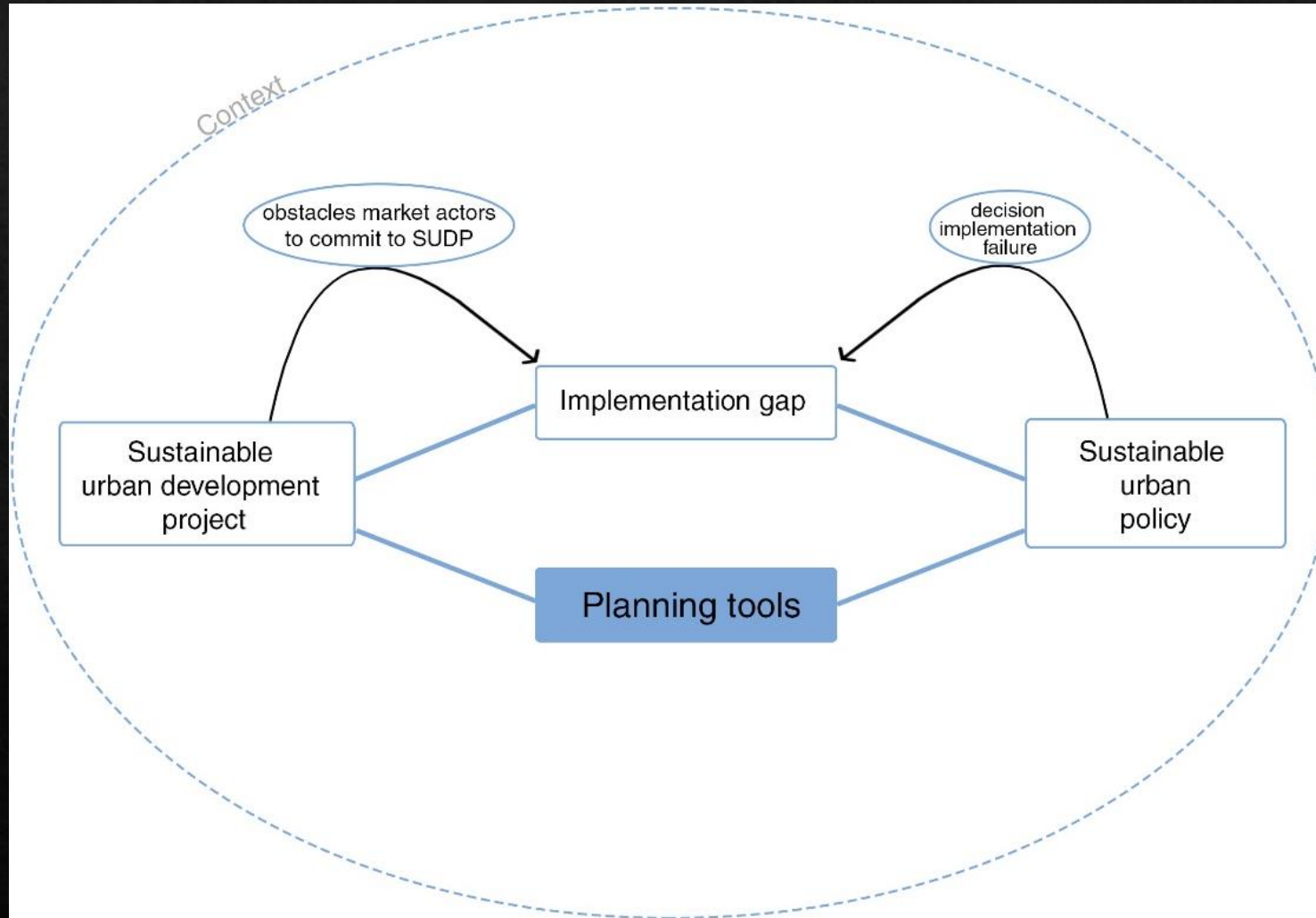


Stimulating



Capacity building

# Conceptual model



# Case study methodology

## 2. Identifying the gap

### Sustainable Objectives Project

Objectives sustainable urban development	
Profit (economic)	Create a favourable location for activity Stimulate local entrepreneurship Stimulate local employment Attracting long-term investments
People (social)	Social security Social interaction Comfort and a healthy living environment Social cohesion Human scale Demand-oriented development Good accessibility
Planet (ecological)	Good connection with public transport Stimulating bike-usage and walking Self-sufficiency (circular flows) Usage of renewable sources Decrease/prevent environmental pollution Support the living environment and respect ecological structures
Spatial quality	Varying density Mixed-use Preserving and highlighting distinctive (historical) quality Create identity (place-making) Flexibility: resistant against future changes and innovations Robustness: resistant against changing (weather) conditions Stewardship

- origins
- pre-formulated objectives

### Sustainable Urban Development Projects

Objectives sustainable urban development	
Profit (economic)	Create a favourable location for activity Stimulate local entrepreneurship Stimulate local employment Attracting long-term investments
People (social)	Social security Social interaction Comfort and a healthy living environment Social cohesion Human scale Demand-oriented development Good accessibility
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- realised objectives

## 1. Assessing the case

- about the municipality
- project characteristics
- extensive timeline

# Analytical case study model

### Implementation gap

- used planning tools  
*shaping*  
*regulating*  
*stimulating*  
*capacity-building*

- context

## 3. Explaining the gap

## 4. Evaluating the case

- differences planning tools
- differences context
- similarities planning tools
- similarities context

Case with small implementation gap:  
RijswijkBuiten, Rijswijk

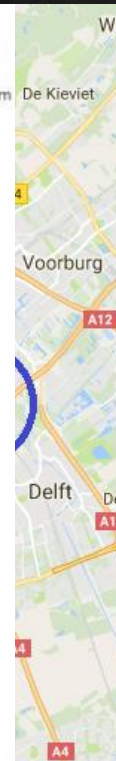
Case with large implementation gap:  
Bruisen, Dorpshart, Kaatsheuvel

# Case study methodology

<b>Interviewees RijswijkBuiten, Rijswijk</b>	
<b>Ronald van der Meij</b>	Alderman, Municipality of Rijswijk
<b>Cees Rieke</b>	Deputy director of Programmabureau RijswijkBuiten (municipal project leader)
<b>Joris Stouten</b>	Senior developer at Dura Vermeer
<b>Robbert van Rijswijk</b>	External consultant at Merosch
<b>Interviewees Bruisend Dorpshart Kaatsheuvel</b>	
<b>Gerard Bruijniks</b>	Alderman, Municipality of Loon op Zand
<b>Wilfried Janssens</b>	Municipal project leader, Municipality of Loon op Zand
<b>Christa Ippel</b>	Urban area developer at Heijmans
<b>Ernst van der Leij</b>	External consultant at Brink Management/Advies

# Case RijswijkBuiten

# Case study RijswijkBuiten





# Case study RijswijkBuiten

Objectives sustainable urban development in RijswijkBuiten		Pre formulated	Realised
<b>Profit (economic)</b>	Create a favourable location for activity	Yes	n.a.y.
	Stimulate local entrepreneurship	Yes	n.a.y.
	Stimulate local employment	No	No
	Attracting long-term investments	Yes	n.a.y.
<b>People (social)</b>	Social security	Yes	(indication) Yes
	Social interaction	Yes	(indication) Yes
	Comfort and a healthy living environment	Yes	(indication) Yes
	Social cohesion	Yes	(indication) Yes
	Human scale	No	No
	Demand-oriented development	Yes	Yes
	Good accessibility	Yes	Yes
<b>Planet (ecological)</b>	Good connection with public transport	Yes	n.a.y.
	Stimulating bike-usage and walking	Yes	Yes
	Self-sufficiency (circular flows)	Yes	Yes
	Usage of renewable sources	Yes	Yes
	Decrease/prevent environmental pollution	Yes	n.a.y.
	Support the living environment and respect ecological structures	Yes	n.a.y.
<b>Spatial quality</b>	Varying density	Yes	n.a.y.
	Mixed-use	Yes	n.a.y.
	Preserving and highlighting distinctive (historical) quality	Yes	Yes
	Create identity (place-making)	Yes	Yes
	Flexibility: resistant against future changes and innovations	No	No
	Robustness: resistant against changing (weather) conditions	Yes	n.a.y.
	Stewardship	No	No

# Case study RijswijkBuiten



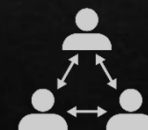
Development/investment plans  
 Regulatory plans  
*Land-use plan (with DPL instrument)*  
 Indicative plans  
*Masterplan*  
*Project plan by Merosch*



Direct state actions  
*Municipal PreEmption Rights Act*  
 Price-adjusting actions  
*Governmental subsidy for 5 NOM dwellings*  
 Risk-reducing actions  
*Rijswijk model ('bouwclaim nieuwe stijl')*  
*Municipal PreEmption Rights Act*  
*Continuity in team, Ambition check*  
 Capital-raising actions  
*Rijswijk model ('bouwclaim nieuwe stijl')*  
*'Self-subsidy' from land exploitation*



State/third party regulation  
*Development permit (Omgevingsvergunning)*  
 Contractual regulation  
*EPC 0 in contract development partner*


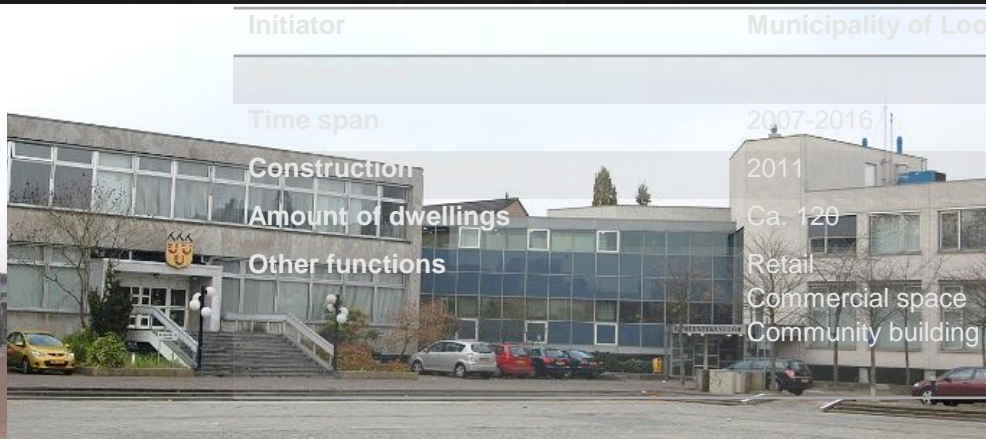
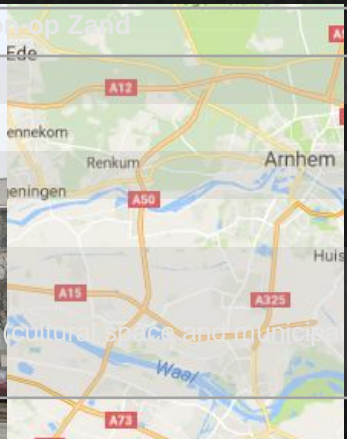


Market-shaping cultures, mind-sets, ideas  
*Using a development partner, active participation*  
 Market-rich information and knowledge  
*Knowledge of the real estate market, trends and developments, understanding each other's motives and risks*  
 Market-rooted networks  
*Good cooperation, trust, transparency*  
 Market-relevant skills  
*Determination, strong personality*



# Case Kaatsheuvel

# Case study Bruisend Dorpshart Kaatsheuvel

			<p>Initiator Municipality of Loosdrecht</p> <p>Time span 2007-2016</p> <p>Construction 2011</p> <p>Amount of dwellings Ca. 120</p> <p>Other functions Retail Commercial space Community building (cultural space and municipal offices)</p>
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# Case study Bruisend Dorpshart Kaatsheuvel

Objectives sustainable urban development in Bruisend Dorpshart Kaatsheuvel		Pre formulated	Realised
<b>Profit (economic)</b>	Create a favourable location for activity	Yes	Yes
	Stimulate local entrepreneurship	Yes	Yes
	Stimulate local employment	No	No
	Attracting long-term investments	Yes	Yes
<b>People (social)</b>	Social security	Yes	partly
	Social interaction	Yes	Yes
	Comfort and a healthy living environment	Yes	Yes
	Social cohesion	Yes	Yes
	Human scale	Yes	Yes
	Demand-oriented development	No	No
	Good accessibility	Yes	Yes
<b>Planet (ecological)</b>	Good connection with public transport	Yes	Yes
	Stimulating bike-usage and walking	Yes	Yes
	Self-sufficiency (circular flows)	No	No
	Usage of renewable sources	Yes	partly
	Decrease/prevent environmental pollution	Yes	partly
	Support the living environment and respect ecological structures	Yes	Yes
<b>Spatial quality</b>	Varying density	No	No
	Mixed-use	Yes	Yes
	Preserving and highlighting distinctive (historical) quality	No	No
	Create identity (place-making)	Yes	Yes
	Flexibility: resistant against future changes and innovations	Yes	No
	Robustness: resistant against changing (weather) conditions	Yes	Yes
	Stewardship	No	No

# Case study Bruisend Dorpshart Kaatsheuvel



Development/investment plans  
 Regulatory plans  
*Land-use plan*

Indicative plans  
*Bid book, Visual quality plan, Duurzaam Verbindend*



Direct state actions  
*Compulsory purchase*

Price-adjusting actions  
*ISV subsidy (Investeringsbudget Stedelijke Vernieuwing)*

Risk-reducing actions  
 Capital-raising actions



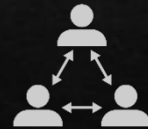
State/third party regulation  
*Development permit (Omgevingsvergunning)*

Contractual regulation  
*Duurzaam Verbindend part of contract*

**Bruisend dorps hart  
 Kaatsheuvel**

**Uitwerking Bidbook**

gemeente Loon op Zand  
 2701  
 09



Market-shaping cultures, mind-sets, ideas  
 Market-rich information and knowledge  
*Consultancy firm*

Market-rooted networks  
*Fairly good cooperation*

Market-relevant skills  
*Determination*

# Cross case analysis

# Cross case analysis

RijswijkBuiten

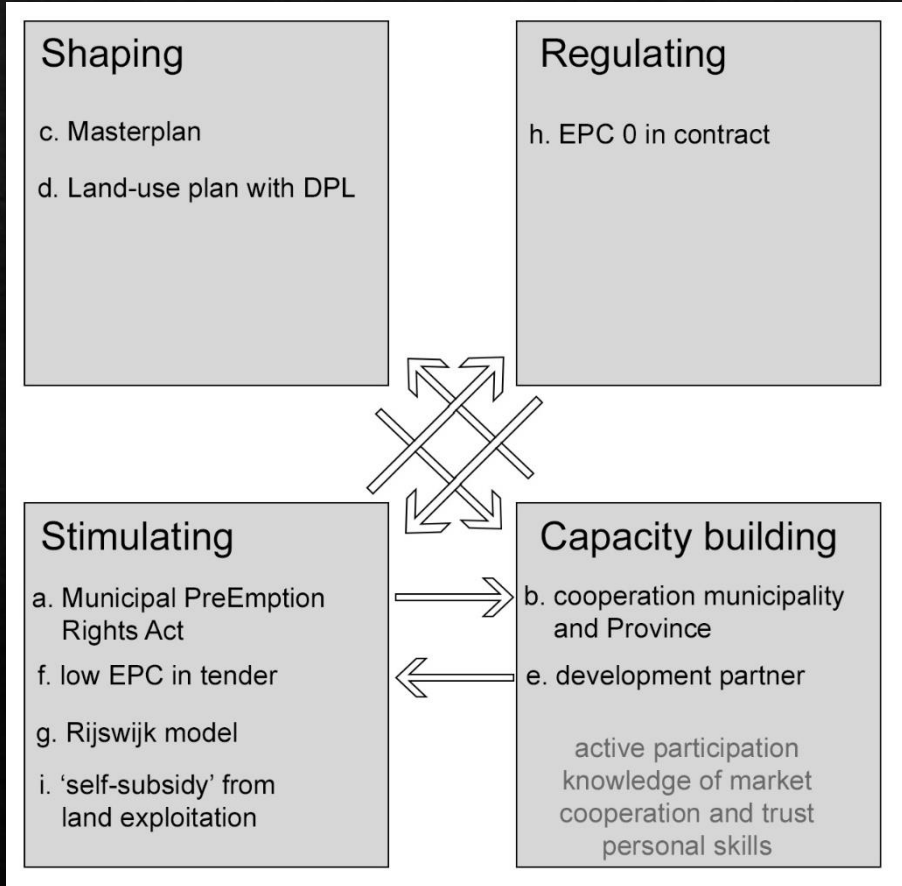


Bruisend Dorpshart

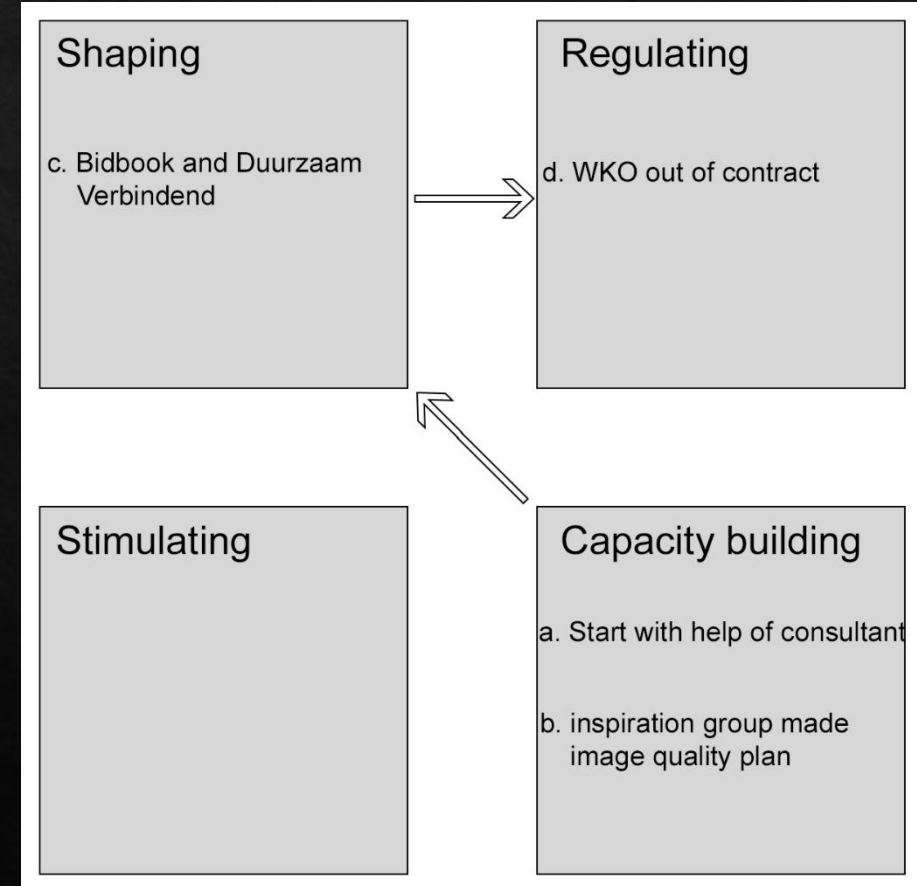




# Cross case analysis

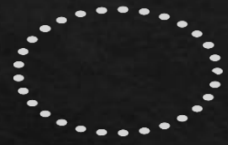


RijswijkBuiten



Bruisend Dorpshart Kaatsheuvel

# Cross case analysis



Context

Differences



Similarities



# Conclusion

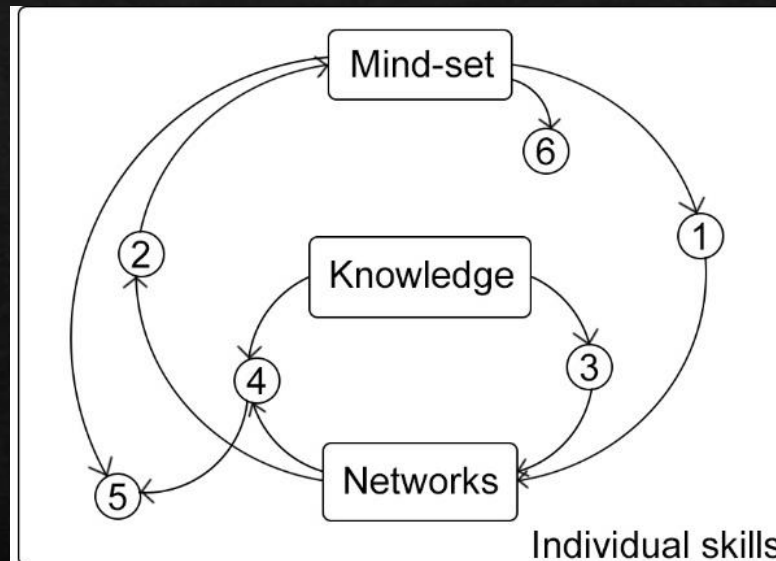
# Conclusion

**How can public planners use planning tools to bridge the implementation gap between sustainable urban policies and sustainable urban development projects?**

# Conclusion

Reasons for limited success SUP implementation	Main feature of implementation gap	Shaping	Regulating	Stimulating	Capacity-building
<b>Sustainability as a wicked concept</b>	Decision complexity	Make substantive analyses of socio-economic trends to have a clear and apparent evidence base. Engage other stakeholders in the process to gather information. This enables to operationalize sustainability into concrete goals.			Information and knowledge about sustainability, the market and development process is needed to be able to operationalize sustainable goals. Networks/relations can be beneficial to share knowledge and precedents
<b>Institutional systems</b>	Ex ante controls	Give clear explanations of what the intentions of the plan are to have less room for interpretation by the market actor	Regulation should be beneficial for sustainability objectives instead of conflicting. 'Change building codes and zoning standards to support sustainable outcomes, link planning applications and development approval processes to sustainable objectives, and create non-financial incentives for sustainable behaviour.' Rules for methods and procedures should be clear	Price-adjusting and capital-raising actions can help overcome conflicting formal (financial or economic) institutions.	A change of mind-set could help to bypass formal and informal institutions. Knowledge of the institutional system is necessary for this.
	Political disagreement	Shape an institutional framework which encourages sustainability that can serve as a basis for decisions to make	'Social' regulation can help to turn political disagreement into compromise, which has a positive effect on implementation		Information and knowledge about the issue can help decrease the disagreement. Personal skills as being convincing can also result in more agreement between decision-makers
<b>Asymmetry of costs and benefits</b>	Policy conflict	Shaping tools encourage market actors to see benefit for themselves in meeting policy objectives.	Use regulation to persuade market actors to adapt their ideas according to the policy, instead of sanctioning	To reduce non-compliance because of financial reasons can be done with price-adjusting and capital-raising instruments. This can for example also be public-private partnerships where risks and rewards are shared.	The implementation of a decision should not be completely delegated to the implementer, but there should be a form of collaboration. Trust, knowledge and personal skills are needed here.
<b>Too late put on agenda</b>	Salience of a decision	Create an institutional framework that encourages and rewards integration in the development process. Translate abstract sustainability policy aims into project goals or objectives.	Incorporate sustainability measures into regulation, to make it mandatory to integrate in the process.	Financial incentives could make it stimulating to integrate sustainability in the process. A risk-reducing action such as having accurate market information to match perceived risks to real returns, could also create interest in the subject as it builds confidence for market actors.	By being an active participant in the development process as a public planner, influence can be exerted on integrating sustainability measures in the process.

# Conclusion



1. Municipal PreEmption Rights Act - *stimulating*
2. Masterplan and Land-use plan - *shaping*
3. Low EPC in tender - *stimulating*
4. Rijswijk Model - *stimulating*
5. EPC 0 in contract - *regulating*
6. 'self-subsidy' - *stimulating*

# Recommendations

# Recommendations

## Human capital



Knowledge  
Talents  
Skills  
Training  
Experience  
Building relations  
Trust  
Respect  
Transparency  
Mind-set

## Relation between choice of tools and moment



Make realistic objectives

Knowledge of the market

Spread awareness of the  
importance of the project objectives



Thank you for your attention

Questions?