DESIGNING A STRATEGIC PLAN DEVELOPMENT APPROACH FOR INTEGRATED AREA DEVELOPMENT PROJECTS

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DISSERTATION

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by

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Chapter 1. Introduction

1.1. Background

In recent years, it has become increasingly evident that spatial problems can no longer be resolved in isolation. Spatial problems are becoming more and more interconnected with other development-related issues. A s a result, not only densely developed regions such as metropolises and large cities, but also residential and industrial areas, inner cities etc., increasingly require integrated planning approaches to achieve optimal use of the available space and to develop sustainable and coherent areas. The three main forces that cause this growing need are:

- Spatial urge: the current environment is dynamic and complex. The various land use functions -real estate, infrastructure, agriculture, water and environment- are competing for space, but at the same time are intertwined. The several land use functions have to be aligned and coordinated if they are to make optimal use of the available space;
- Societal needs: consumers are demanding integrated land use functions since people prefer their daily activities, such as living, working, shopping and recreation, to be easily accessible, both in time and in means of transport; and
- Sustainable spatial solutions: a variety of stakeholders, each with their own specific interests and authority, are involved in spatial development projects. The resulting stakeholder processes have to be coordinated to achieve coherent and sustainable spatial solutions (Bult-Spiering & Dewulf, 2006).

Integration is a way of handling complexity: a solution that takes complexity into account will only arise if one considers the various problems coherently (Wesselink, 2007). An integrated approach should therefore be used when there is more than a single unambiguous problem or problem owner. In other words, developing integrated projects is a way of solving various interacting problems with multiple problem owners. As a consequence, when using an integrated approach, one has to respect the problems of other stakeholders. For example, when a municipality wants a water board to consider its spatial problems in their water management, the municipality should consider possible difficulties or problems of the water board in its spatial developments. Only in that way can one find a coherent solution for the various related problems.

In many different sectors, including spatial planning, water management, health care, environmental science, energy policy and education, the term ‘integration’ is used to refer to the fact that plan making, or analysis, is not limited to one particular process or phenomenon, but directed towards a larger set of interacting processes or phenomena. In policy science this cross-sectoral integration between different policy areas is called horizontal integration (Geerlings & Stead, 2003; Cowell & Martin, 2003; Kidd, 2007): not one particular problem or

goal is taken into account, but rather the multitude of interrelated problems and goals. In the field of integrated area development, horizontal integration is the coordination of multiple goals of several stakeholders concerning various land use functions within a given territorial area. Or, at a higher level of abstraction, the coordination of different policy sectors or the 'joining up' of different public policy domains and their associated stakeholders within a given territorial area. In addition to horizontal integration, policy science also distinguishes vertical integration (Geerlings & Stead, 2003; Cowell & Martin, 2003; Kidd, 2007). Vertical integration is defined as the 'join-up' between different tiers of government or the coordination between different administrative levels, such as the coordination of spatial issues at the local, regional and national level.

In this section a first exploration of integrated area development is reported. In the following sections, the current focus on the coordination of various land use functions, the interaction between several stakeholders and the strategic approach of integrated area development are described. Subsequently, Section 1.5 reports the problem definition and Section 1.6 the research aim. Finally, Section 1.7 describes the outline of this thesis.

1.2. Multiple land use functions

Current trends indicate that spatial problems of the future will be increasingly complex, and will be more and more intertwined, not only with other spatial issues but also with social development issues such as strengthening socio-economic developments and improving spatial quality. The trend towards coordinating and integrating multiple land uses is directed at making optimal use of the available space and developing sustainable and coherent areas. The main arguments for this trend are to make efficient use of the coherence and interrelationships between the various spatial functions and to increase spatial quality. Coherence is not only related to the spatial and functional integration of spatial functions in urban projects, but also to the interaction of an urban project as a whole with the spatial functions and facilities of its surroundings (Bult-Spiering et al., 2005). Spatial quality is often defined as diversity. A mixture of spatial functions is seen as an important determinant of this diversity (Bult-Spiering et al., 2005; Sociaal Cultureel Planbureau, 1999). Since high quality could be achieved when the mixture of spatial functions has a strong coherence, it is seen as important to coordinate the many land use functions accurately.

However, traditionally, the various land use functions have been split among several planning sectors, each focusing on their own specific aspects. Spatial planning is fragmented among many sectors such as urban planning, rural planning, infrastructural planning, water management and the environment. The problem with this kind of sectoral division is that the interrelationships between the various spatial functions may not be addressed (Carter et al., 2005). Or, as Lagendijk (2005) describes it, 'a major challenge in spatial planning is to accommodate various spatial-sectoral pressures and ambitions and to address tensions

between different forms of land use'. Even though the current trend is to develop coherent geographic areas and improve spatial quality, the sectoral fragmentation causes the individual stakeholders to focus on specific parts of the spatial development instead of on 'the area as a whole'.

Furthermore, the fragmentation in spatial planning causes other difficulties, such as differences in perspectives and viewpoints, non-harmonised policies and differences in formal procedures. Three important elements that, in practice, cause difficulties in the coordination of land use functions are the diversities in geographical and in institutional boundaries and the diversity in time horizons. Altogether, these various aspects make it a complex task to optimally coordinate several spatial functions.

1.3. Multiple stakeholders

Traditionally, a strong hierarchical approach was followed in spatial planning, in which the national government was responsible for long term and strategic decisions. Nowadays, it is argued that spatial developments are shaped through the interaction of many different stakeholders. Stakeholders are 'any group or individual who can affect or is affected by the achievement of the organisation's objectives' (Freeman, 1984). In the Netherlands, the hierarchical mode of planning has been replaced by regulatory relationships among stakeholders (Glasbergen & Driessen, 2005). Many authors have noted the increasing interdependence among stakeholders as a basic governing principle in a continuous process of negotiating (Stoker, 1998; De Bruijn & Ten Heuvelhof, 1999; Crosby & Bryson, 2005). In general, stakeholders are not able to achieve their own spatial goals without interacting with other stakeholders. They have to cooperate in order to be able to realise their spatial goals. Public stakeholders are increasingly dependent on private stakeholders due to financial reasons, private land ownership and lack of technical, financial and market knowledge. Conversely, private stakeholders are dependent on public stakeholders because of their authority and their knowledge of production schemes and procurement.

In policy literature, these changes are discussed under the heading of governance. Governance stresses social interaction and puts the collaboration between the various stakeholders central. The shift form government to governance implies the development of governing styles that involve a broad network of public, semi-public and private stakeholders. This network includes the national government, regional governments, municipalities, real estate developers, water managers, investors, environmental organisations, citizen organisations, etc. Governance seeks to enhance collective goals and is primarily concerned with the coordination and fusion of public and private resources (Pierre, 1999). Besides focusing on governing public and private stakeholders, governance also addresses the relationships between these stakeholders and the functioning of networks and coordination mechanisms (Bult-Spiering & Dewulf, 2006). The stakeholder perspective, as described above, is therefore used as a starting point in this thesis.

1.4. Integrated area development

Integrated area development is not new, but only recently interest in it is growing and new approaches are emerging. Compared to spatial projects of the past decade, the current integrated area development projects are broader, more integrated and more collaborative.

> '*The meaning of 'integrated development' has changed over time, so that concepts of 'integrated development' are now more inclusive and multi-dimensional than once was the case. The institutional forms that integrated area development has taken have also become more varied, ranging from special agencies to partnerships and looser initiatives'. (Cameron et al., 2004)*

Accordingly, different people have interpreted this concept differently, but under a very general catch-all concept of integrated area development. For some researchers and practitioners, the integrated area development concept involves the combination and concentration of different land use functions in a single area (Rodenburg, 2005). For others, the aim is to create mixed use developments (Hoppenbrouwer & Louw, 2005). There are also researchers that associate integrated area development with social or economic concerns (Cameron et al., 2004), while others focus on the collaboration between the stakeholders and the process of spatial planning, or more specific integrated area development (see for example Albrechts et al., 2003).

Integrated area development projects have the potential to include project goals that are based on an understanding of the way economic, social and spatial aspects of development problems are interrelated. Therefore, integrated area development projects are likely to be projects that have moved beyond a single sector. Even when single issues, such as housing, being considered, cross-cutting concerns such as poverty, gender, sustainability and economic development can be incorporated. In this thesis, the term 'integrated area development' is used for *holistic spatial developments of various interrelated land use functions by multiple stakeholders at various administrative levels.* The 'best' overall solution is the one in which the ratio between the potential added value and the required investment for each stakeholder has been optimised (Kenniscentrum PPS, 2003; P3BI, 2004).

In response to the more and more intertwined spatial issues, the trends towards developing sustainable and coherent areas and the shift from government to governance, recently, a strategic approach to spatial planning has become prevalent (Salet & Faludi, 2000; Albrechts, 2001; Healey, 2003; 2004). Increasingly, the way to solve complex spatial problems is assumed to depend on the ability to create strategic, coherent visions and new 'spatial identities' (Albrechts, 2001). Or, as Healey (2004) puts it,

> *'the reasons for a strategic approach in spatial planning are 'the persistent problem of coordinating public policy in particular localities: the search for ways of making urban regions more economically competitive by developing their collective 'asset base': a*

parallel search for spatial forms and relationships with the potential to promote the (often diffuse) objectives of 'sustainable development' and (...) articulating a strategic orientation with a spatial dimensions may have direct material benefits in capturing resources'.

Four fundamental dimensions of integrated area development can be identified (based on Born & Sonzogni, 1995): holistic[1], interconnective, strategic and interactive. 'Holistic' is used here in the dictionary sense of 'including much or all: of broad scope or extent: inclusive of many things'. In the context of planning, holism relates to the degree of inclusivity of spatial components and stakeholders. The interconnective dimension of integrated area development specifically addresses interrelationships and linkages. These relationships concern physical or spatial components, various parties that collectively make up the community of interest, efficient use of resources, etc. In practice, interaction among, and coordination of, diverse interests and entities constitutes a way of recognizing and addressing interconnections, thereby moving towards an integrative approach (Born & Sonzogni, 1995). The strategic dimension indicates the need to pragmatically scale down the effort and focus on key aspects of the integrated problem, selectively targeting the crucial issues and tasks essential to success (Born & Sonzogni, 1995). Finally, the interactive dimension is both interorganisational and cooperative. Authority, resources and information are dispersed, creating substantial interdependence among the various stakeholders. Further, there will always be some degree of conflict among the interests and values of stakeholders. The interactive dimension represents a quest for commitment to an acceptable solution among a broad array of interests. Translated into characteristics of integrated area development projects these dimensions of integrated area development include:

- Multiple land use functions;
- Multiple stakeholders;
- Multidisciplinary;
- Complex;
- Coherence;
- Interorganisational relationships, or, in short IORs; and
- Temporarily cooperation.

The Utrecht Centrum Project is a clear example of an integrated area development project since it aligns multiple land use functions in a geographic area and involves interaction processes between the interdependent public and private stakeholders that will jointly plan and realise the spatial development of the area. The purpose of integrated area development projects is to create mutual understanding of the goals and interests of the stakeholders, to

[1] Born & Sonzogni use the term 'comprehensive' instead of 'holistic'. In this thesis is chosen to use the term 'holistic' to prevent any confusion with the classic rational planning theory 'comprehensive planning' that was heavily criticised in literature as inapplicable.

Example of a typical integrated area development project

The 'Utrecht Centrum Project' is a large rehabilitation project for the city centre of Utrecht that aims at upgrading the train station and the area surrounding the train station. 'The motto of the municipality of Utrecht concerning the train station area is *'Niets doen is geen optie'* [It is not an option to do nothing]. The area needs a thorough facelift to make it safer and more pleasant to live in, as well as to accommodate the rapid growth of the city and the train station of Utrecht Central. The final goal is to realise a new city centre for Utrecht by unifying the new station area and the old city.' (gemeente Utrecht, 2003) A number of stakeholders are participating in the Utrecht Centrum Project to develop the train station area. These stakeholders are the municipality of Utrecht, the Ministry of Transport, Public Works and Water Management (V&W), the Ministry of Housing, Spatial Planning and the Environment (VROM) and the private companies Corio (owner of the Hoog Catharijne Shopping Mall), Jaarbeurs Utrecht (owner of a real estate complex for annual fairs) and NS Real Estate (railway company). These stakeholders have diverse goals and interests in the Utrecht Centrum Project. Since none of the stakeholders has the ability to realise its goals alone, they cooperate and have jointly developed a spatial plan to realise the new train station area. Their joint project's aims are to improve public transport and public space (squares, infrastructure, greenery) and to increase multi-functionality by combining living, working, shopping and recreation. These different objectives and land use functions have to be realised in a rather small area of about 100 hectares. Given the space scarcity in the area and the interrelationships between most land use functions, there is pressure to mix and integrate the various land use functions. The idea is that combining the different land use functions will lead to optimal use of the economic potency of the area. Further, redeveloping the train station area in a well-structured and coherent way will contribute to societal needs such as easy accessibility to the city centre and the train station, a safer and more orderly train station area, relief of the old city and more shops and facilities.

achieve commitment to the project, to find and exchange possible solutions and to develop a joint strategy for coherently planning and realising the area. Some other national examples of integrated area development projects are Zuidas (a large expansion to a transit area in Amsterdam South, combined with the development of several business areas, residential areas, recreational space and green areas), Sijtwende (the development of a 'city ring-road' in combination with a residential area and high-quality public transport near The Hague), Schaalsprong Almere (the substantial expansion of the city of Almere with 60,000 houses in a period of 20 years, including the development of infrastructure, employment, water and green areas) and Nijmegen-Mariënburg (development of a shopping and living area in the inner city of Nijmegen).

Related terms to integrated area development include multiple land use (Rowley, 1996; Stead & Hoppenbrouwer, 2004; Hoppenbrouwer & Louw, 2005), mixed use development (Needham, 2007) and integral development (Albrechts, 2006).

1.5. Problem definition

In the previous sections, an outline of integrated area development and the changes leading towards this integrated approach have been given. In short, the trend towards integrated area development is directed at the more and more intertwined spatial issues, at making optimal use of the available space and developing sustainable and coherent areas and at the shift from government to governance. The integrated, and more implementation-led and development-led approach is still in its infancy (see for example Salet & Faludi, 2000; Albrechts et al., 2003; De Graaf, 2005; Albrechts, 2006) and needs to be developed further. In this section a first exploration of the actual problem of strategic plan development in integrated area development projects is reported. This initial problem diagnosis is based on previous research (P3BI, 2004), planning literature and reports and eight pilot interviews with academic and professional experts.

Scientific relevance

In recent planning literature much attention is paid to planning approaches that consider the interaction process between the stakeholders as a way to strategically deal with complex spatial problems such as in integrated area development projects (Flyvbjerg, 1998; Albrechts, 1999; 2006). However, despite the increasing attention to such planning approaches in spatial planning (Salet & Faludi, 2000; Albrechts 2001; 2006; Albrechts et al., 2003; Friedmann et al., 2004; De Graaf, 2005), little is known of the use of these planning approaches in integrated area development projects. Planning literature focuses in particular on plan-making and formal decision-making (Mastop & Faludi, 1997; Alexander, 1998; Gualini, 2001; Carter et al., 2005) or on the implementation of plans (Healey, 2004). Hardly any examples of a strategic approach to integrated area development projects in their various stages are available. The transitions between plan development, political decision-making, formal adoption of the plan and plan implementation are hardly studied, even though these transition processes seem critical in effective plan development and implementation. Effective, strategic plan development requires a detailed analysis of what actually happens in integrated area development projects. To develop a better understanding of persistent problems such as coordinating public policy in particular localities (Flyvbjerg, 1998; Albrechts, 2006) and the suboptimal adaptations to the plan by decision-makers (Van Aken, 2004), planning research needs to cover the transition processes between the various phases of planning. Moreover, planning research should be integrated with planning practice and use a more design-oriented approach (Habiforum, 2001; P3BI, 2004; Informatieportal Gebiedsontwikkeling, 2008). By using a design-oriented approach, lessons and results from research could be integrated in the daily practice of the spatial planner.

Practical relevance

Practice shows that the plan making, and above all the decision-making, of integrated projects or policies often remains locked in fragmented considerations instead of integrated deliberations. Barriers to integrated area development are:

- Fragmented policies which frustrate integrated thinking (Habiforum, 2001; P3BI, 2004; Informatieportal Gebiedsontwikkeling, 2008) and thus the development of integrated visions (Habiforum, 2001; Kenniscentrum PPS, 2003; VROMraad, 2004);
- Fragmented policies which frustrate uniform decision-making (Habiforum, 2001; Kenniscentrum PPS, 2003; Adviescommissie Gebiedsontwikkeling, 2005);
- Insufficient clustering of policies (P3BI, 2004; Adviescommissie Gebiedsontwikkeling, 2005; Van der Cammen, 2006; Informatieportal Gebiedsontwikkeling, 2008) and resources (finances, land and legal procedures) (Habiforum, 2001);
- Fragmented and complex regulation and legal procedures (De Graaf, 2005; Adviescommissie Gebiedsontwikkeling, 2005);
- Collective benefits being difficult to express in financial terms (Habiforum, 2001); and
- Difficulties in actively involving and committing key stakeholders (public and private) at an early stage of an integrated area development project (De Graaf, 2005; Adviescommissie Gebiedsontwikkeling, 2005).

By developing a process design for strategic plan development in integrated area development projects, an outline of an appropriate strategic planning approach could be offered to practitioners of integrated area development, such as project managers and/or people involved in developing integrated area development projects. Such approach will not prevent all indicated barriers, but offers a strategic planning approach how to deal with them.

Specific research focus

Moreover, based on an integrative perspective, integrated area development should cover *all* policy sectors that have a spatial impact. However, in practice, often most spatial sectors (e.g. urban planning, infrastructural planning, environmental planning and rural planning) are included in integrated area development except for water management. Even though the Netherlands has a long tradition of defending the land against flooding and land reclamation, in general water management is not, or only slightly, included in integrated area development projects (interviews Roestenberg, 2004; Fokkema, 2004; Roghair, 2005). However, in recent years, Dutch water management has undergone fundamental change. As a consequence of climate change and reduced natural resilience following flooding and water shortages, the Netherlands is gradually shifting its emphasis away from technical measures, such as building barriers and raising dikes, and starting to aim for new policy strategies that accept water flooding, rather than blocking it. A closer connection is emerging between water management and spatial planning in the Netherlands as a result of a new acceptance of flood plains, and the European Union's recent emphasis on managing water on the level of entire river basins (Woltjer & Al, 2007). Since the introduction of the legally prescribed Water

Assessment [*watertoets*] in 2002, water management aspects are more structurally considered in recent spatial plans. The strong separation between spatial planning and water management is changing, yet the actual attention for water aspects in integrated area development projects is far from the major focus on the other spatial aspects. Some examples of exceptions to the general rule are the Blauwe Stad and Meerstad projects (both large housing, water retention and landscape projects in the province of Groningen), the Wieringerrandmeer project (development of a lake combined with the development of green areas and the strengthening of the socio-economic development of the area by constructing residential areas, industrial area and recreational facilities in the province of Noord Holland) and the Hollandse Waterlinie project (a national project to preserve and strengthen cultural historic aspects in the spatial development of the Dutch Water Defence).

The emerging connection between water management and spatial planning raises the question whether it is useful to include water management up to par in integrated area development or whether it could remain a minor focus in integrated area development. Further, it also raises the question whether the issues in water management correspond to the identified issue in integrated area development mentioned above. To further identify barriers in integrated area development and to explore the interests in including water management in integrated area development, eight pilot interviews were held with academic and professional experts in the field of integrated area development, spatial planning and water management (see Appendix 1). Because of the readability of this thesis, the results of the pilot interviews are already reported here. In the interviews, the experts were asked for the major difficulties in integrated area development, and also for their interests in including water management in integrated area development projects and the kind of difficulties caused by this joining up of water management. The major issues according to the academic and professional experts were:

- The fragmentation into several policy sectors (7 out of 8);
- The distribution of risks between the public and private stakeholders (5 out of 8);
- The fragmented sources of (public) finances (5 out of 8);
- The difficulty to provide insight into the added value in financial terms (3 out of 8); and
- The lack of political courage to take difficult or unpopular decisions or decisions that deviate from the traditional state of affairs (3 out of 8).

These identified issues according to the experts correspond in general terms to the above described barriers as derived form literature and government reports.

Specific to including water management in integrated area development projects and the kind of difficulties caused by this joining up of water management the experts indicated the following. All interviewed experts were interested in including water management, although few experts made a reserve that is depends on the project's context to what extent water management should be included. The difficulties or barriers indicated by the academic and professional experts to include water management in integrated area development projects were:

- Integrating water in integrated area development projects provides added value (on a regional level) (8 out of 8), but is strongly context-dependent (2 out of 8), usually means putting an unprofitable top on the project (1 out of 8) and the costs are difficult to level [*verevenen*] between the stakeholders (1 out of 8);
- Water management project have longer time horizons in comparison to urban developments (2 out of 8);
- There is no culture of cooperation between urban planning and the water sector (4 out of 8). Traditionally, the water system was adapted to the land use (4 out of these 4), and the water sector focuses on management and conservation (1 out of these 4), while the focus of urban planning is more on fulfilling opportunities (2 out of these 4);
- Reducing water risks such as the protection against floods and drought is a government responsibility that cannot be delegated to private parties (2 out of 8); and
- New market mechanisms are needed to take water into account from the start of a spatial project and to achieve support and finances (1 out of 8).

To identify potential planning approaches for *integrated* area development projects, this thesis focuses on integrated area development projects that include water management.

1.6. Research aim

Based on the problem definition above, the aim of this thesis is to fill the described theoretical and practical knowledge gaps. The research aim addressed in this thesis is:

> *To design an Integrated Area Development & Management (IADM) approach based on insights from the strategic plan development of integrated area development projects.*

This research aim leads to the following research questions (RQ):

RQ1. What are the main characteristics of strategic plan development?
RQ2. How does the plan development for an integrated area development project evolve and how do the stakeholders perceive its performance?
RQ3. To what extent is the plan development of an integrated area development project strategic?
RQ4. What elements need to be included in the design of a strategic plan development approach for integrated area development projects?
RQ5. What planning design could guide a strategic plan development approach in integrated area development projects?

1.7. Thesis outline

In this chapter, integrated area development has been introduced. In Chapter 2, the research design is presented and discussed. In Chapter 3, the first research question (RQ1) regarding

the main characteristics of strategic plan development is discussed. This is achieved by reviewing the literature on planning approaches considering the interaction process between stakeholders and, based on that, developing a framework of analysis for the later empirical study. In Chapters 4 and 5, the second and third research questions are answered, based on empirical data. Chapter 4 reports the IJsselsprong case study and Chapter 5 the IJsseldelta Zuid case study. In both studies, the plan development (RQ2) is described, followed by a reflection on the extent to which these plan developments are strategic (RQ3). The lessons learnt from the extensive explorative research are used in Chapter 6 to diagnose what elements are needed in strategic plan development in integrated area development projects (RQ4). Based on this diagnosis, in Chapter 7 an 'Integrated Area Development & Management' (IADM) approach is designed (RQ5). In addition to the design of an IADM approach, this chapter presents initial experiences with the designed IADM approach as it was applied in a third case study. Finally, Chapter 8 reports the conclusions of the research. The structure of the thesis is also schematically depicted in Figure 1.1.

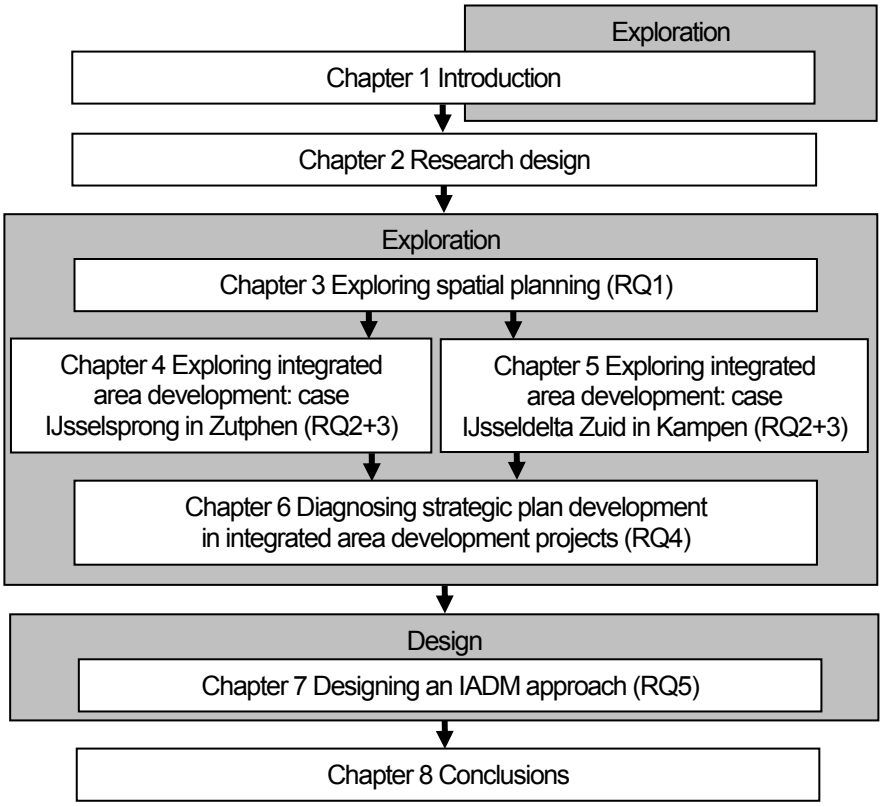

Figure 1.1: Thesis outline

Chapter 2. Research design

This chapter describes the research design as used in this thesis. The chapter consists of four sections. Section 2.1 describes the paradigmatic starting point, which guides the way data are gathered and analysed. Section 2.2 describes the scope of the research and presents an overview of the points of departure and the specific focus of the research. In Section 2.3, the research strategy is described, providing an outline of the plan that is followed to answer the research questions and thus achieve the research's aim. Finally, in Section 2.4, the research methods used are explained and further specified. Together, the four sections summarize the methodological approach of the research.

2.1. Paradigmatic starting point

There are many different views on how to obtain scientific results in the social sciences (see for example Guba & Lincoln, 1994; Johnson & Duberley, 2000). Therefore, it is important to be aware of the assumptions made by the researcher in the way he or she studies the social world.

In material system design, as in the physical sciences, differences in paradigmatic starting points do not play a significant role and therefore usually remain tacit. Most engineers and natural scientists hold world views that claim there is a material reality, independent of the observer and that it is possible to develop objective knowledge on this reality by observation and reasoning.

A key difference between the physical sciences and the social sciences is that in the latter human agents are involved. Human agents are reflective and oriented by meaning. They contemplate, anticipate and can work to change their social and material environments, and they have long term intentions as well as intermediate desires or wants (George & Bennett, 2005). This is also the case in integrated area development projects. Since many stakeholders cooperate and interact in integrated area development projects, there are several interorganisational relationships and also human agents. In every situation, these human agents -the stakeholders- consider, discern, define, attribute, question, dispute, affirm, reconsider and evolve the meaning of an event or action in a particular instance.

Given these characteristics, this explorative research is based on an interpretive paradigm. Interpretative research is concerned with meaning (Swanson & Holton, 2005) and presumes that human interaction is open to various interpretations. Social institutions such as contracts, money, the stock market and the organisation are not realities independent of the observer but exist because people collectively think they exist and believe in them. Such realities are socially constructed through intense and prolonged communication. Knowledge can be obtained by interpreting the communications and the actions of the people involved. Accordingly, in this research, one attempts to understand phenomena through the meaning

people assign to them. To achieve this, a stakeholder perspective is used for studying the process of integrated area development projects.

Interpretive research focuses on the full complexity of human sense-making as the situation emerges (Kaplan & Maxwell, 1994; Klein & Myers, 1999). Interpretive studies are aimed at producing an understanding of the context of the subject studied, and the process through which the subject influences and is influenced by the context (Walsham, 1993). Therefore, research methods should be used that include the context or environment of the subject. Qualitative research methods (Swanborn, 1991; Swanson & Holton, 2005) are primarily used to explicitly focus on the context of a subject. In this thesis, an extensive exploration of the planning process and the interactions between the stakeholders in integrated area development projects is carried out. Moreover, the context of an integrated area development project is explicitly analysed. This exploration is based on a combination of various qualitative methods. The triangulation of data collection methods includes case study research, observations, interviews and document analysis. Among other things, this exploration will create an insight into the backgrounds and the dynamics of goals, opinions and actions of the stakeholders in an integrated area development project and how stakeholders assess the planning process. Since the research follows the interpretative paradigm, not the researcher but the stakeholders themselves should indicate the performance. Performance then is perceived performance.

2.2. Research scope

This section describes the research scope of this thesis from a methodological perspective. It describes the methodological consequences of the theoretical and paradigmatic starting points.

Strategic approach

> *'Traditional land use planning -being a somewhat passive planning approach aimed at controlling land use through a zoning system and regulations- seems unfit for bridging the gap between plan making, political decision-making and implementation. Hence in many countries the need was felt for a different type of planning, moving away from regulatory policy and instruments to a more strategic and development-led approach (Healey, 2003; Albrechts, 2006) that aims to intervene more directly, more coherently and more selectively in social reality and development' (Albrechts, 2006).*

In response to this growing complexity, the problems of fragmentation, the dramatic increase in interest (at all levels, from local to global) in environmental issues (Breheny, 1991), a re-emphasis on the need for long term thinking (Friedmann et al., 2004) and the aim of returning to a more realistic and effective method (Albrechts, 2006), a more strategic approach to spatial planning has become prevalent (Salet & Faludi, 2000; Albrechts, 2001; 2006; Healey, 2003; 2004). Although there is a considerable body of scientific knowledge about strategic planning available, even as much practical knowledge about integrated area development,

there is little knowledge about strategic plan development in integrated area development projects. To contribute to filling this gap, the aim of this thesis, therefore, is to design a strategic IADM approach, based on insights gained from the strategic approach to plan development in integrated area development projects.

Stakeholder perspective

Accepting the interpretive paradigm, phenomena such as the plan development of integrated area development should be understood through the meanings that people assign to them. As was also argued from theoretical perspective, in this thesis, a stakeholder perspective is adopted.

Moreover, a stakeholder perspective is also relevant for other issues. These days, spatial planning mainly uses planning approaches that put stakeholders and their interaction process as central concern (see for example Alexander, 1998; Salet & Faludi, 2000; De Bruijn et al., 2004). Currently, it is commonly argued that spatial developments are shaped through the cooperation of many different stakeholders, such as the local, regional and national government, water boards, real estate developers, investors, citizens and other interest organisations. The involvement of, and cooperation between, various stakeholders is extensively described in the literature, see for example Freeman (1984), Mitchell et al. (1997), Albrechts (2001) and Bryson (2004). However, little attention is paid to the dynamics of stakeholder participation, the varying levels of involvement by stakeholders during several planning phases and their changing contributions in terms of resources (authority, finances, land, etc). Or, as De Graaf (2005) describes it, 'It is hardly considered how the organisation might change during the planning process'. This thesis contributes to the knowledge gap on the dynamic process involving the various stakeholders in integrated area development projects.

Interaction processes in the initiative and plan development phase

Integrated area development projects are cooperation projects between many different stakeholders. Cooperation involves interaction between two or more parties. In integrated area development, these interaction processes take place in an interorganisational setting. Together, the stakeholders establish the plan development for an integrated area development project. The project's goals and plan development appear to grow out of the interactions, both within the organisations and between the organisations and their environment. On this basis, the interaction process between the stakeholders is a key research focus in this thesis.

One of the difficulties that confronts integrated area development projects is how to actively involve and commit key stakeholders early in the project (see Section 1.5, and also De Graaf, 2005). Each stakeholder only participates and interacts based on their own perspective and solution criteria. This thesis will seek insights into the interactions among the various stakeholders in the initiative and plan development phase of integrated area development projects and thus contribute to knowledge on the early involvement of various

key stakeholders. For this, it is important to study the initiative and plan development over a long period in order to be able to analyse the actions, interactions and dynamics of plan development in integrated area development projects.

Project-based research

In the traditional planning model, policymaking or planning was seen to end with the adoption of a policy or the production of a plan. Policy was presented in the form of legislation, regulation or proposed programmes and projects. Implementing the plan was more-or-less taken for granted (Alexander, 1998; Louw et al., 2003). Little attention was paid to project planning at the 'operational level' or for the policy implementation phase. That is, project planning was considered unproblematic and remained a black box in literature (Albrechts, 2006). However, given that a more implementation-led and development-led approach to spatial planning is becoming common (Albrechts, 2006), it is useful to open this black box. The focus of this research is project-based (in contrast to policy-based). By having a project-based focus we will gain insights at the 'operational level' of stakeholder management of integrated area development projects.

2.3. Research strategy

The mainstream research in management and organisation science is description-driven, based on the paradigm of the 'explanatory sciences' (Van Aken, 2004; 2007). Recently, management and organisation science shows a growing interest in the design science paradigm and its potential for increasing the relevance and application of the research (Romme, 2003; Van Aken, 2004; Bate, 2007; Denyer et al., 2008). In 'The Sciences of the Artificial', Simon (1996) discusses the fundamental difference between 'explanatory sciences' -studies that attempt to describe, explain and predict social systems- and 'design sciences' -studies that create artificial knowledge of artefacts, policies or programmes in order to solve practical problems, as practiced in medicine and engineering-.

Design-based research has been promoted as a methodology that can help bridge the gap between research and practice (Romme, 2003; Van Aken, 2004). It intends to create specifications for interventions that can transform present practices and improve the effectiveness of organisations and that add to analysis and explanation (Denyer et al., 2008). The mission of design research is to develop knowledge for the design and realization of artefacts, i.e. to solve construction problems, or to be used in the improvement of the performance of existing entities, i.e. to solve improvement problems (Van Aken, 2004). In management and organisation science, the design character is mainly focussed on the behaviour and interaction of individuals, and presenting them in an action perspective, i.e. by presenting methods and instruments to guide the planning process in such a way that coherent and sustainable solutions for spatial problems can be found. Since the aim in this thesis is to design an IADM approach, a design-based research method is used.

The function of a process design, as the IADM approach will be, is to structure the design process such that it allows for subsequent management of this process and for coordination between the various parties involved (Van Aken, 2005). The IADM approach that will be developed is a general process design that has then to be tailored to the specific problem at hand. In other words, in solving a specific problem, one has to tailor the design based on the context of the project (Van Aken, 2004). The IADM approach is a means, or tool, for process managers to develop a strategic planning approach for a *specific* integrated area development project. Accordingly, the contexts in which the projects that will be analysed take place have to be explicitly taken into account. Not only design science but also organisation science (see e.g. Cassell & Symon, 1994) and planning research (see e.g. Bryson, 2004) stress the importance of taking the specific context into account. Consideration of the specific context corresponds to focusing on the full complexity of the situation as it emerges from the interpretative paradigm.

Design approach

Design knowledge is constructed through the reflective cycle (Andriessen, 2004; Van Aken, 2004). This cycle is also called the intervention cycle (Verschuren & Doorewaard, 1999). Figure 2.1 outlines the reflective cycle. The reflective cycle starts with a diagnosis and description of the actual problem. That is, the problem has to be defined and extracted from its 'messy' context (Schön, 1983). The second step is to design a first draft of a method that could help to solve the problem. The third step is intervening the problem with the proposed method. Therefore, the draft design is applied in practice in an attempt to solve the case-specific problem. In the fourth step, one reflects on the results. In other words, a design approach includes all types of research: descriptive, diagnostic, constructive and evaluative research.

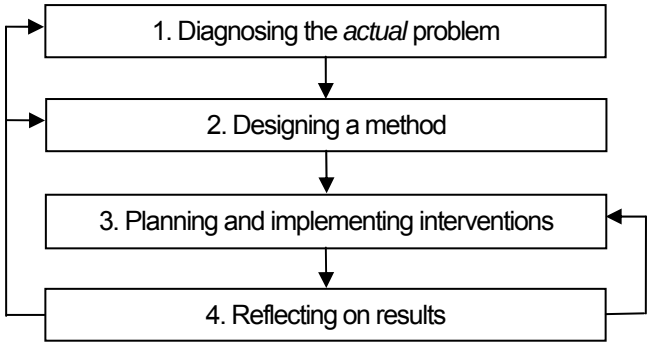

Figure 2.1: The reflective cycle (Andriessen, 2004; Van Aken, 2004)

Case study research

This design-based research includes an extensive explorative research (Step 1) since the actual problem in strategic plan development for integrated area development projects needs

to be clarified and defined from its complicated context. In-depth case study research enables a qualitative and holistic approach to the analysis of specific practical settings. The emphasis in case study research on the overall interplay of aspects, and its consideration of contextual conditions, makes it an appropriate strategy for this research. In-depth case research enables the researcher to explore 'how' and 'why' (Cassell & Symon, 1994) cooperation and interaction processes develop as they do in practice. The analysis of these processes in practice (*how*) and the motivations for the decisions taken (*why*) produces insights into the practice of integrated area development which are necessary inputs in designing a strategic IADM approach.

Other arguments for choosing case study research are that it stresses the rich, real-world context in which phenomena occur (Eisenhardt & Graebner, 2007) and that it is designed to help researchers understand people and the social and cultural contexts within which they live. Furthermore, case study research is well-suited to new research areas (Eisenhardt, 1989). It is particularly useful when the boundaries between the phenomenon of interest and its context are not clear (Yin, 2003), or when the phenomenon of interest cannot easily be studied outside its natural setting (Bonoma, 1985; Johnston et al., 1999).

Case studies typically combine various data collection methods such as archives, interviews, questionnaires and observations (Eisenhardt, 1989). This use of multiple sources of evidence is also called data triangulation. The more sources of evidence are used in the same study, the stronger the case study evidence will be (Yin, 2003). The commonly used methods in qualitative, organisational case research are observations, interviews and document analyses (Cassell & Symon, 1994). The case study is a research strategy which focuses on understanding the dynamics present within a single setting (Eisenhardt, 1989).

By analysing the plan development of integrated area development projects, insights will be generated into the cooperation and interaction processes between the stakeholders; into the dynamic goals and interests of the stakeholders as individuals and as a group; into interdependencies; into the influence of contextual changes; and into the planning approach itself. The plan development is typically a dynamic event. In general, the interests, and thus the behaviour, of stakeholders regularly change during such projects. Also the project's context can change over time. Furthermore, decision-making is to a great extent unending and several processes are strongly intertwined (Van Buuren, 2006). To be able to analyse the changes and untangle the complexity, a longitudinal case study approach is the most appropriate. A longitudinal study enables the researcher to extensively analyse the dynamics in both the interaction process and the decision-making. Apart from any decision itself, also the motivation and arguments behind this decision can be analysed with a longitudinal approach. Using such longitudinal approach does not conflict with the earlier described focus on the early plan development phase since integrated area development projects typically last for 20-30 years and their plan development phase lasts, in general, for 4-8 years.

The purpose of the case study research is to gain insight into, not to test, the planning approaches used in integrated area development projects. Therefore, theoretical sampling is

appropriate in this research (Eisenhardt & Graebner, 2007). Theoretical sampling involves cases being selected because they are particularly suitable for illuminating and extending relationships and logic among constructs, such as revealing unusual phenomena, replicating findings, or contrary replications (Eisenhardt & Graebner, 2007). The following case selection criteria are used:

- The project must be an integrated area development project that contains a complex spatial task involving various land use functions from different disciplines or sectors, and at least include a real estate task and a spatial water task;
- The project requires multiple stakeholder cooperation; that is, the project goals cannot be achieved by a single stakeholder. Several stakeholders from different government levels, and preferably both public and private stakeholders, need to cooperate in the project to achieve the spatial task; and
- The project is in the early phase of plan development.

In the following section the general design approach including the case study research is applied to the content and scope of this thesis: the plan development of integrated area development projects.

2.4. Research outline

This research explores planning approaches in integrated area development projects. Its aim is to design an Integrated Area Development & Management (IADM) approach based on insights from the strategic plan development in integrated area development projects. The analyses and diagnoses of the specific problems in integrated area development (Step 1 of the reflective cycle) is the *main activity* in this explorative research since the actual problem in the holistic field of integrated area development has to be clarified and defined from its complicated context.

The research consists of six stages which are linked to the four design steps of the reflective cycle. An outline of the research stages in relation to the steps of the reflective cycle they fulfil is presented in Figure 2.2. As discussed in Chapter 1, the starting points for this research were insights gained from previous research (see P3BI, 2004) and eight open, semi-structured interviews with academic and professional experts. Based on this initial research (Stage1), in combination with the lack of a theory for strategic planning approaches that could cover the full complexity and the various stages of plan development in integrated area development projects, the ambition to design an effective IADM approach came into being. To further this aim, first a framework of analysis is constructed based on spatial planning literature (Stage 2), followed by in-depth case study analyses (Stage 3). All three stages are used to diagnose the actual problems in strategic plan development in integrated area development projects. Subsequently, in Stage 4, a conceptual IADM approach is designed

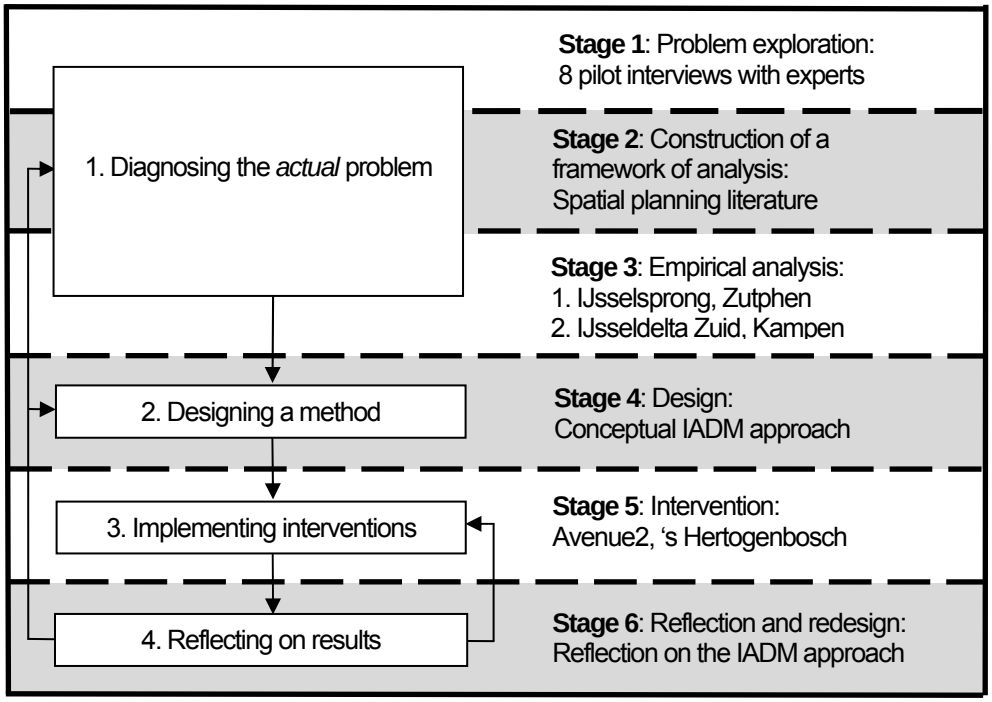

Figure 2.2: Outline of the research stages

based on the derived in-depth knowledge. This IADM approach was then applied in a workshop with stakeholders who were in the initiation phase of their own integrated area development project (Stage 5). Finally, in Stage 6, the results of this application of the IADM approach were reflected upon. Each of these six stages is discussed in more detail in the following sections.

Stage 1: Problem exploration

Stage 1 includes the initial problem exploration of strategic plan development of integrated area development projects. This initial exploration of the problem is based on a first exploration of planning literature and reports and on eight pilot interviews with academic and professional experts in the field of integrated area development, spatial planning and water management. Because of the readability of this thesis, this first exploration of the actual problem is already reported in Section 1.5.

Stage 2: Construction of framework of analysis

In Stage 2 a framework of analysis is constructed based on spatial planning literature. In this stage, a theoretical analysis is carried out to achieve insights into the main characteristics of planning approaches for integrated area development projects. From a review of the planning approaches, it appears that the current planning theories argue that spatial development is

shaped through the interactions of many different stakeholders. The choice of planning approaches that consider the interaction process thus fits the research scope of analysing, from a stakeholder perspective and interorganisational relations at the project level. To be able to analyse the plan development of an integrated area development project *in general* (RQ2) and to determine to what extent it is *strategic* (RQ3), the framework of analysis is separated in two parts: a framework of analysis for plan development and one for strategic plan development.

Stage 3: Empirical analysis

As were the previous stages, also the empirical analysis is part of Step 1 of the reflective cycle: diagnosing the *actual* problem. The empirical data is gathered through case study research, see also Section 2.3. Based on the described case selection criteria, the integrated area developments projects IJsselsprong in Zutphen and IJsseldelta Zuid in Kampen are selected. Case IJsselsprong is a complex spatial project that combines spatial flood protection measures with the development of a new urban area, the improvement of regional infrastructure and the development of an ecological network. Also case IJsseldelta Zuid is a complex spatial project aiming at developing spatial flood protection measures in combination with a new urban area, the strengthening of regional road infrastructure, ecology and recreation opportunities and coordination with the construction of the Hanze railway line.

As is already mentioned, in general, the plan development phase in an integrated area development project lasts several years. Intensive analysis of this phase would, therefore, ideally also take several years. A period that was not available for this research. Besides, there is also the risk that the initiated project will never really start or will fail to become an actual project. Since the research focus is on the first phase of integrated area development projects, it is not known whether the key stakeholders will actually commit to the project and agree to proceed. To be able to achieve insights in the sequence of events in the plan development phase, and to reduce the risk of restricted data collection because of project failure, it was decided to analyse two cases that are in different stages of the plan development: one case starting from its set up and the other case after an initial agreement is signed. The reason for selecting this partition is that in stakeholder management planning literature, and especially in the strategic planning literature, the initial agreement is seen as the starting point of the planning process. Stakeholders have to agree to do something to change an undesirable situation. According to the literature (Olsen & Eadie, 1982; Bryson & Roering, 1988a; Bryson, 2004), this initial agreement is an essential element of successful spatial planning.

However, practice shows that, in integrated area development, it is difficult to achieve such an initial agreement. Other integrated area development projects, such as the Utrecht Centrum Project, W4 near Leiden, Sijtwende in Voorburg and Delft Central Station Area, show that it takes several years, extensive discussions and substantial negotiations before an

initial agreement is actually achieved (P3BI, 2004; De Bruijn et al., 2004; Bult-Spiering et al., 2005), if they achieve one at all.

Based on these aspects, it was decided to analyse the first case, the IJsselsprong project in Zutphen, in-depth from its first set up. The analysis focuses on the initiation phase when there was no initial project plan or agreement. The second case, the IJsseldelta Zuid project in Kampen, was intensively covered from the moment that the Master Plan IJsseldelta Zuid was completed and an intention agreement signed by the key stakeholders. Relative to the IJsselsprong project, this is a following stage of plan development. As a result, the two cases are complementary, see also Figure 2.3.

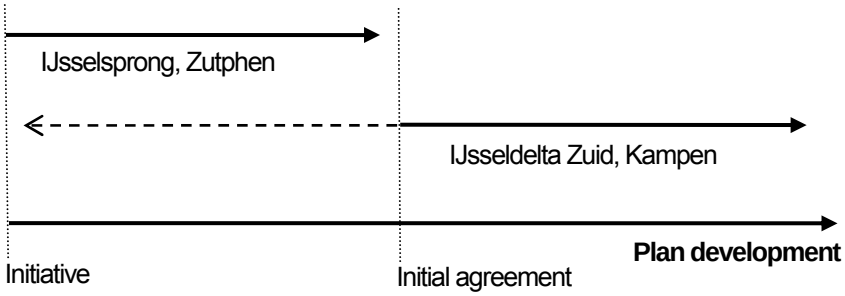

Figure 2.3: Partition of data collection over the plan development phase

Both integrated area development projects were studied in-depth over one year. Within each case analysis various data collection methods were carried out. The use of multiple sources of evidence -data triangulation- in case studies allows a researcher to address a broader range of historical, attitudinal and behavioural issues (Yin, 2003). The following data collection methods were carried out in the two case analyses:

- 21 interviews with all stakeholders represented in the Steering Committee (elected administrative representatives);
- 11 observations as a non-participant of the meetings of the Steering Committee;
- 22 observations as a non-participant of the meetings of the Project Group (civil servants);
- 7 observations as a non-participant of the meetings involving citizens and politicians;
- document analysis of 67 project meetings, including the document analysis of 32 Steering Committee meetings, 27 Project Group meetings and 8 other meetings;
- analysis of 42 documents and reports produced by the project organisation or by order of the project organisation; and
- analysis of 35 related policies and reports.

Based on these various data collection techniques, insights are gathered into the plan development in integrated area development projects and its dynamics. Besides analysing

how these dynamics take place, also the reasons *why* these dynamics takes place in the way that they do could be analysed.

Stage 4: Design of an IADM approach

Designing the IADM approach is Step 2 of the reflective cycle: designing a method. Based on the theoretical analysis and the two in-depth case studies, an 'Integrated Area Development and Management' (IADM) approach will be designed. Using the IADM approach should enable a process manager to develop and tailor a strategic planning approach for a specific integrated area development project.

Stage 5: Intervention

A workshop was organised to fulfil Step 3 of the reflective cycle: planning and implementing interventions. Due to permission and time aspects, it was impossible to intervene in the plan development of an integrated area development project over a long time period. Instead, a workshop was organised in a third case. In the workshop, the IADM approach was applied to the Avenue2 project in 's Hertogenbosch. The Avenue2 project is an integrated area development project that during the workshop was in its initiation phase. The stakeholders of the Avenue2 project were asked to apply the IADM approach to their project in a simulated, speeded up environment. Based on the experiences with the design in a workshop, the researcher can gain insights into the use of the IADM approach in practice.

Stage 6: Reflection

The final step of the reflective cycle involves reflecting on the intervention results. Within the workshop, new or complementary insights into the strategic plan development of integrated area development projects can be derived. One strives to gain insights into the applicability of the designed IADM approach and verify if the design does not show major failures. Based on the experiences in the Avenue2 workshop, adaptations to the IADM approach could be made. Finally, conclusions are drawn concerning the design of the IADM approach, the contribution made to the body of knowledge and the contribution made to an increased understanding of a strategic plan development in integrated area development projects.

2.5. Summary of the research design

The defined design-oriented approach consists of six sequencing research stages. Table 2.1 summarizes these research stages.

Table 2.1: Summary of the design-oriented approach

Research stage	Data collection methods	Addressed in
Explorative research		
Stage 1: Problem exploration	- Eight pilot interviews with academic and professional experts; - First exploration of planning literature and reports;	Section 1.5
Stage 2: Construction of a framework of analysis	- Analysis of spatial planning literature	Chapter 3
Stage 3: Empirical analysis	- Two in-depth case studies: 1) IJsselsprong project in Zutphen; 2) IJsseldelta Zuid project in Kampen; Together including: - 21 interviews; - 40 meeting observations; - document analysis of 67 meetings; - analysis of 42 project reports; and - analysis of 35 related policies and reports.	Chapter 4 Chapter 5
Actual problem diagnosis based on findings in the Stages 1, 2 and 3		Chapter 6
Design research		
Stage 4: Design	- Design of a conceptual IADM approach	Section 7.1
Stage 5: Intervention	- Application of the designed IADM approach in a stakeholder workshop in case Avenue2 in 's Hertogenbosch	Section 7.2
Stage 6: Reflection and redesign	- Reflection on the designed IADM approach	Section 7.3

In this chapter the research design had been described. In the next chapter a framework of analysis is constructed based on spatial planning literature. This framework of analysis is used in the Chapters 4 and 5 to analyse the cases IJsselsprong in Zutphen IJsseldelta Zuid project in Kampen.

Chapter 3. Exploring spatial planning

This chapter is part of the explorative research. It addresses the construction of a framework of analysis based on spatial planning literature and thus answers the first research question: what are the main characteristics of strategic plan development? (**RQ1**) First, spatial planning is described in general in Section 3.1, followed by three theoretical planning approaches in Section 3.2. Then, a framework of analysis for plan development is built in Section 3.3 and, anticipating following research questions, a separate framework of analysis for strategic plan development in Section 3.4. Finally, Section 3.5 provides concluding remarks.

3.1. Spatial planning

Traditionally, spatial planning has had a strong focus on the physical planning result. It was basically concerned with the location, intensity, form, amount and harmonization of the land development required for the various space-using functions (Albrechts, 2006). The planning emphasis was on the development of an extensive plan that described the physical use of land in the desired final situation. Moreover, the basic idea of traditional planning was that the future shape of a city could be 'designed' by planners based on rational, scientific considerations and knowledge. Once adopted, the plan was supposed to be an unambiguous guide to action. However, many of these rational, comprehensive plans were difficult or even impossible to implement (Healey et al., 1997; Healey, 2003). Due to new challenges, the ever more complex problems, the emerging environmental and social considerations and the increasingly active population groups defending these values and/or their own local interests, the implementation of master plans became increasingly problematic (Tosics, 2003).

Furthermore, in the past, a strong hierarchical approach was adopted in spatial planning. The national government was responsible for long term and strategic decisions, and their spatial policies were implemented in a top-down manner. Nowadays, such a hierarchical mode of planning has been replaced by regulatory relationships among stakeholders (Glasbergen & Driessen, 2005). The current idea is that a form of planning that involves the various stakeholders following strategic ideas through to action may be more effective in linking policy to implementation than the technical plans of the past (Healey et al., 1997).

These changes have a considerable spatial impact. Traditional land use planning -being a somewhat passive planning approach aiming to control land use through a zoning system and regulation- seems unfit for bridging the gaps between plan making, political decision-making and implementation. To cope with these changes, a shift in planning has taken place from a regulative, bureaucratic approach towards a more development-led approach that aims to intervene more directly, more coherently and more selectively in social reality and development (Albrechts, 2004; 2006). Today it is argued that spatial developments are

shaped through the interaction of many different stakeholders (Salet & Faludi, 2000; Driessen et al., 2001; Albrechts, 2004; 2006; Healey, 2006). There is a growing recognition of the interdependence between stakeholders as a basic governing principle in a continuous process of negotiating (Stoker, 1998; De Bruijn & Ten Heuvelhof, 1999; Crosby & Bryson, 2005). This shift is also known under the heading of a shift from government to governance. Governance stresses social interaction in which the collaboration among the various stakeholders is central. In contrast to traditional spatial planning, more recent planning approaches focus on the participation, communication and interaction of the various stakeholders involved in the planning process. The following section describes these planning approaches that consider the interaction process between the stakeholders.

3.2. Planning approaches

Nowadays, the involvement of stakeholders and the interaction between them and their environment are of central concern in spatial planning processes. In general, none of the stakeholders is able to develop a large region by itself; a stakeholder depends on other stakeholders with complementary resources, such as land, authority or finances, to be able to plan and implement large spatial developments. Therefore stakeholders need to cooperate and coordinate their goals and interests if they want to develop an area. This research focuses on the 'stakeholders', the 'interaction process between these stakeholders' and the 'context in which the plan development process takes place', see also Section 2.2. Therefore, to accurately study cases, a perspective or approach is needed that considers these three elements. Three planning approaches seem relevant. These are communicative planning, interactive planning and strategic planning. Each approach uses a stakeholder perspective and focuses on the interaction process between the stakeholders. After introducing the three approaches, the most appropriate planning approach for this research is identified.

3.2.1. Communicative planning

Communicative planning, also known as collaborative planning (Fainstein, 2000; Healey, 2006), emphasizes the interaction process between the stakeholders at the level of developing strategies and frameworks (Healey, 2006). Many authors have elaborated on the idea of planning as a communicative action (Healey, 1992; Sager, 1994; Innes, 1995), because they see it as a way of achieving a democratic and participatory style of planning. Compared to traditional planning, planners are no longer characterised as 'designers', but have a role as communicator and networker. In communicative planning, communication and discourse are seen as key elements. The objective of communicative planning is to bring all the stakeholders together in the planning process and give each of them an opportunity to present their own ideas and arguments. This debate is supposed to lead to mutual understanding and empathy for each other's situations and interests and, finally, to a collective meaning and consensus over the chosen solution.

While communicative planning is a democratic and participatory style of planning (Innes, 1996; Healey, 2006), rules are needed to ensure the outcomes of the debates and discussions between the stakeholders are acceptable and socially worthwhile, as well as properly informed (Innes, 1996). To achieve this, the communicative planning model incorporates the four communication conditions defined by Habermas (1984), namely that effective communication should be comprehensible, true, sincere and legitimate. He states that if these conditions are not met, no genuine communication will take place. Elaborating on these conditions, Innes (1998) describes how they can be applied in deliberation processes

> *'All individuals representing an important interest in the issue must be involved. Everyone must be fully -and equally- informed and able to represent their interests. All must be equally empowered in the discussion; power differences from other contexts must not influence who can speak or who is listened to, or not. The discussion must be carried on in terms of good reasons, so that the power of a good argument is the important dynamic.'*

Communicative rational decisions, then, are those that come about because there are good reasons for them, rather than because of the political or economic power of particular stakeholders (Innes, 1996).

In communicative planning theory it is accepted that the ideal conditions for communicative rationality will never fully be met, but the attempt to approximate them should help to ensure that decisions taken are well-considered by all stakeholders. The main criticism of communicative planning is that all stakeholders are considered to be equally empowered, while in practice resources are unequally distributed among the stakeholders (see for example McGuirk, 2001). Communicative planners focus on power-neutral communication between stakeholders and rely on the possibility of finding consensus. They pay little attention to the position and resources of stakeholders and thus are little interested in negotiation aspects (Susskind & Cruikshank, 1987) since negotiation always concerns deal-making which is related to resources that are unequally distributed among stakeholders.

3.2.2. Interactive planning

Interactive planning (Salet & Faludi, 2000; Pröpper & Steenbeek, 2001; Glasbergen & Driessen, 2005) also considers communication as one of the key aspects in planning, but in addition also considers aspects of power between the various stakeholders. An interactive planning process is a process of collective conceptualization aimed at joint policymaking using a network of mutually dependent stakeholders (Bekkers, 1996). Interactive planning focuses on the plan development phase. The three essential aspects of interactive planning are:

- Collective conceptualization: By aligning the different problem definitions, opinions, perceptions and perspectives of the stakeholders involved, a shared vision can be created about the problem, potential solutions and the roles of stakeholders;

- Interdependency: In contrast to communicative planning, interactive planning does consider the positions and resources of stakeholders. None of the stakeholders has, in advance, a decisive role in the process. The various stakeholders, both public and private, have to cooperate because none of them owns the minimum required resources to develop an integrated area development project by itself. The most important resources are land ownership, authority and finances. These resources are not equally divided among the stakeholders and lead to processes of negotiation and bargaining; and
- Joint plan development: To be able to plan and implement large spatial developments, stakeholders have to cooperate. By coordinating their individual goals, interests and perceptions, they should achieve a shared vision. Through cooperation, the stakeholders can develop their spatial plans with shared responsibility.

A criticism of interactive planning is that it mainly focuses on the interaction process and pays little attention to the context and content of planning (De Graaf, 2005). It is primarily related to the stakeholders in a network and to achieving consensus on a suitable solution between these stakeholders. Due to the negotiation process, this consensus may have the form of a compromise or a 'package deal' (Driessen & Vermeulen, 1995). The main focus in interactive planning is on creating a shared vision, but without determining a joint strategy for the future.

3.2.3. Strategic planning

The implementation-driven strategic planning approach (Salet & Faludi, 2000; Albrechts, 2001; 2006; Bryson, 2004) is a planning concept based on the interaction process between the stakeholders that is needed to develop mutual understanding about the spatial problem, the relevant or strategic issues in the planning process and the way to achieve a solution. It adopts the philosophy that a planning approach needs to be based on an analysis of the context or environment of the project. In strategic planning, interactions among decision-makers, strategic planning teams and task forces are seen as a means of sharing information, identifying ideas of strategic importance and building coalitions of support. The interactions themselves clearly rely extensively on communication. Strategic planning, then, is seen as mechanisms for routinizing these interactions and communications (Bryson, 2000) and thus builds further on communicative and interactive planning. Strategic planning also includes contextual factors and focuses not only on the plan development but also the implementation. The objective of strategic planning is to search for an 'ideal fit' between the organisation (with its strengths and weaknesses) and the project's context (with its threats and opportunities). The goal is not only to find the optimal solution in terms of issue-solving, but also to create commitment among the stakeholders.

Strategic planning creates solid, workable long term visions and develops strategies at different levels, taking into account the power structures -political, economic, gender and cultural- uncertainties and competing values (Sager, 1994; Mintzberg, 1994; Poister & Streib, 1999; Albrechts, 2004; 2006). It designs plan making structures and develops content,

images and decision frameworks for influencing and managing spatial change (Albrechts, 2006). Thus, beyond developing a shared vision about the process and the content, the strategic approach also tries to develop commitment among the stakeholders and to develop a joint strategy for further plan development and implementation. The stakeholders' vision is achieved by solving strategic issues. In using strategic planning in integrated area development, the focus is both on creating coherence between land use functions and on managing an integrated process with many stakeholders. Moreover, the context of the project is explicitly considered.

The strength of strategic planning lies in its attempt to coordinate the various elements of an organisation's overall strategy across levels and functions. Its primary weakness is that its excessive holism and control can lead to a loss of focus on the mission, strategy and organisational structure, and exceed the ability of the participants to comprehend the project and the information it produces (Bryson & Roering, 1996). However, the intention with strategic planning is generally to focus on only selected critical issues (Bryson, 2004).

3.2.4. Conclusion on the planning approaches

In the previous sections, three planning approaches were presented: communicative, interactive and strategic planning. Table 3.1 presents an outline of the main characteristics of these three planning approaches.

In fact, all the three planning approaches are appropriate for reflecting on the plan development in integrated area development projects. However, it is argued that strategic planning is the most appropriate approach, because it elaborates on the communicative and interactive planning approach and provides solutions for the problems (rationality, dynamics and implementation, etc.) that confront the other approaches (De Graaf, 2005). Communicative planning puts the stakeholders central, and focuses on communication among these stakeholders. Interactive planning goes one step further by focussing on the overall interaction process between the stakeholders. Strategic planning goes one step further again by combining these aspects and also considering the context in which the project takes place and developing a strategy for implementation.

Today, ever increasing attention is paid to strategic planning approaches in European spatial planning (Salet & Faludi, 2000; Albrechts, 2001; 2006; Albrechts et al., 2003; Friedmann et al., 2004). Several of these authors stress that the environments in which public stakeholders operate have become increasingly uncertain and more tightly connected in recent years, and that today's planning requires a more pro-active and entrepreneurial style (Van Ark & Edelenbos, 2003; Bryson, 2004). They identify strategic planning as the most effective planning approach, because it produces workable spatial visions and strategies and is able to cope with the current dynamic and complex environment and its rapid developments. Compared to earlier days, context factors nowadays have much greater influence on the plan development. In contrast to other planning approaches, strategic

Table 3.1: Main characteristics three planning approaches

	Communicative planning	**Interactive planning**	**Strategic planning**
Project phase	Plan development	Plan development	Plan development and implementation
Main focus	Involving all stakeholders on an equal basis in the planning process to create mutual understanding and empathy, which should lead to consensus	Involving stakeholders in the planning process, considering their positions and resources, aligning the various problems and perceptions, resulting in a commitment package on the product (specification)	Involving stakeholders in the planning process, considering their positions and resources, to jointly determine the project goals and means, while taking the context into account, resulting in a commitment package and joint strategy
Key elements	Communication, discourse	Collective conceptualisation, interdependency, joint plan development	Strategic issues, joint strategy formulation, context consideration, implementation issues
Motivation	Genuine communication and rational decisions result in a democratic and legitimate product	The power of stakeholders influences the negotiation and bargaining process	Strive for an optimal fit between the external environment and the internal organisation to develop an optimal strategy
Results	Democratic and legitimate plan	Shared vision and commitment package	Commitment and joint strategy including an implementation plan

planning explicitly considers the context and attempts to continuously coordinate the project organisation with the context. In complex dynamic projects involving a broad network of stakeholders -as are integrated area development projects- problems have to be solved within their specific context since this partly determines the exact problem (De Bruijn et al., 1998). Further, increasingly, the way to solve complex spatial problems is assumed to depend on the ability to combine strategic vision and short term operational activities with a deeper focus on the various stakeholders (Albrechts, 2001; 2004). Both the strategic efforts and the focus on the various stakeholders are also part of a trend from government to governance: to break away from the sectoral organisation typical of many governments, and to widen governance relations to incorporate, in new ways, significant economic and local community stakeholders (Albrechts et al., 2003).

Other arguments in favour of selecting strategic planning in order to reflect on the plan development in integrated area development projects are:

- Its focus on both plan formulation *and* plan implementation, and thus the transition from the first initiative to plan development, political decision-making, formal adoption of the

plan and the actual implementation of the plan. This holistic approach offers a useful framework to achieve detailed insights into the plan development in integrated area development at the operational level;

- Strategic planning pays attention to the process, the product and the context of the spatial development, while both the latter aspects remain underexposed in communicative and interactive planning. The focus of strategic planning is not only on the interaction between the key stakeholders and their commitment to the project, but also on developing a joint strategy and a long term vision. Both these content-related elements are expected to be important in the design of the IADM approach;
- Decision-making in integrated area development projects by definition takes place in a politicized setting. Strategic planning is a suitable approach in politicized circumstances since identifying and resolving issues does not presume an all-encompassing consensus on organisational purposes and actions (Bryson & Einsweiler, 1988). Intensive attention to stakeholders and their interests, to external and internal environments and to strategic issues means that the actions ultimately agreed upon are more likely to be politically wise and that, therefore, organisational survival and prosperity are more likely to be ensured (Bryson, 2004);
- A key issue in integrated area development projects is coordinating the several spatial developments in an area and ensuring coherence. Strategic planning emphasises the qualities of an area and the spatial impacts and integration of investments. According to Moore (2000) and Bryson (2004), the purpose of strategic planning is to help stakeholders create public or added value. The focus on the spatial relationships (coherence) in the area is an effective way of integrating economic, environmental, cultural and social policy agendas since these all affect localities (Albrechts et al., 2003);
- Strategic planning is a bridging concept. Integrated area development projects are, almost by definition, complex and dynamic projects with many stakeholders with varied backgrounds, visions, interests and power. 'Strategic planning offers opportunities to bridge spatial levels (e.g. regional and local), different policy fields (e.g. urban planning and infrastructure) and different stakeholders (e.g. local government and water authorities). Further, it bridges attempts to develop new solutions and to ensure effective implementation.' (Hutter, 2007); and
- Finally, the current research aims to design a strategic IADM approach. Strategic planning focuses attention on the crucial issues and challenges an organisation faces, and helps key decision-makers decide what they should do about them. It can help them develop a coherent and defensible basis for decision-making and then coordinate the resulting decision across levels and functions (Bryson, 2004).

To summarise, strategic planning has been selected as an appropriate approach for reflecting on plan development in integrated area development projects because it offers an effective approach that is able to deal with the dynamics and complexity found at the operational level

in integrated area development projects. Strategic planning focuses on the key stakeholders and their interests, the external and internal environments and the strategic issues. It further accepts and builds on the nature of political decision-making as it takes place in integrated area development projects.

The following section describes the general characteristics of a plan development process. Subsequently, Section 3.4 presents a closer look at the strategic planning model, which will be used to establish the extent to which the plan development, as used in integrated area development projects, is strategic.

3.3. Framework for analysing plan development

This section describes the framework of analysis for plan development. To describe the way in which the plan development in integrated area development projects evolves in practice, and to be able to use the analysis as a basis for the design of the IADM approach, it is important to analyse a plan development process in its broadest sense and thus to include its dynamics, complexities and context. A thorough analysis of the actual problem within its specific context is also emphasised from design perspective (Van Aken, 2005).

As described, the three basic characteristics of plan development are the stakeholders, their interaction process and the context in which the plan development takes place, see Table 3.2 (based on De Graaf, 2005). Based on these three characteristics, the plan development of the integrated area development projects will be analysed.

Table 3.2: Basic characteristics of the plan development (based on De Graaf, 2005)

Basic characteristics
The stakeholders [S]
The interaction process among the key stakeholders [I]
The context of the project [C]

The relationships between these basic characteristics are presented in Figure 3.1. The multiple stakeholders [S] need to interact [I] with each other (internal) and with the environment (external) to carry out the integrated area development project, while being influenced by contextual factors [C].

Apart from identifying the main characteristics of the plan development (**RQ1**), also the performance of the plan development according to the stakeholders should be determined to be able to evaluate the plan development (**RQ2**). When developing design knowledge through analysing plan development in practice, one should be acquainted with the perceived performance of the analysed plan development before being able to deduce design knowledge from the case analyses. Furthermore, also strategic planning theory focuses on

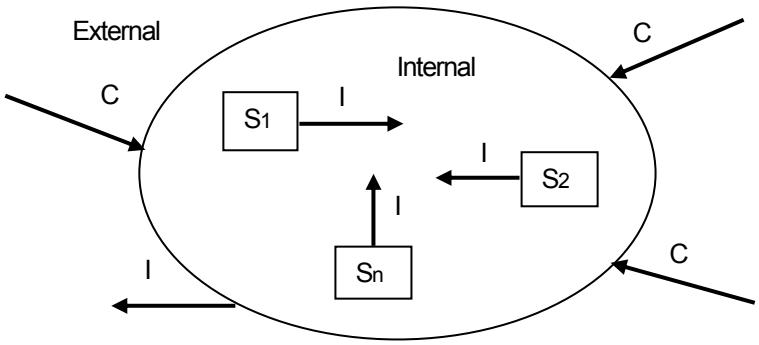

Figure 3.1: Relationships between the three basic characteristics

performance according to the stakeholders. As Nutt & Backoff (1995) describe it, 'strategic planning is about responding to perceived needs'. Stakeholder satisfaction is seen as the key to success in public and nonprofit organisations (Rainey, 2003) and also in corporate strategies (Freeman, 1984). Consequently, 'perceived performance' is added to the framework of analysis of plan development. In the following sections the stakeholder characteristics, the interaction process characteristics, the contextual factors and the perceived performance are further specified.

3.3.1. Stakeholder characteristics

Coordinating and integrating developments involving multiple land use functions implies the cooperation of many stakeholders. These stakeholders can be public or private parties. Each stakeholder has its own specific goals and interests in the integrated area development project. Public stakeholders will mainly have societal targets and responsibilities, while private stakeholders will mainly have commercial targets. Furthermore, some of the stakeholders will be interested in the overall integrated area development project, while other stakeholders will only have interest in a specific part of the project, for example a water board is particularly interested in the water-related issues, and a municipality may only be interested in the infrastructural part of a project.

The stakeholders in an integrated area development project are interdependent: in general, none of the stakeholders is able to develop the integrated area development project by itself. Interdependence is the extent to which (groups of) people depend on one another for their outputs (Thompson, 1967). It is determined by the allocation of resources between the various stakeholders, the goals they pursue and their perceptions of their resource dependencies (Kickert et al., 1999). The stakeholders in an integrated area development project operate within a social network and, more specifically, in an industrial or business network. Therefore, not only the stakeholders and their exchange relationships are important: the activities/resources and the various dependencies between them also need to be

included in the analysis (Håkansson & Johanson, 1993; Foss & Koch, 1996). The interdependency of stakeholders can be characterized using four crucial resources: authority, finances, land ownership and specific knowledge & skills (Teisman, 1998; De Bruijn & Ten Heuvelhof, 1999; Walter & Scholz, 2007).

Table 3.3: Framework for each stakeholder (based on Kickert et al., 1999)

Characteristic	Specification
Goals	Real estate goals
	Water goals
	Environmental goals
	Infrastructural goals
Resources	Authority
	Finances
	Land ownership
	Specific knowledge & skills
Dependency	Perception dependency
	Interdependency

Table 3.3 shows the framework that will be used to describe each stakeholder. Each of the stakeholders will be asked for their goals, resources and dependencies using open questions in semi-structured interviews. In addition, the outcomes of these interviews will be compared to the findings from the observations of the project meetings and the document analyses to check their consistency.

3.3.2. Interaction process characteristics

In integrated area development projects, various stakeholders interact to align their future decisions and actions in pursuit of mutual goals (based on Alexander, 1998). Interactions form the basis of social relations. In general, interaction is the behaving together, in some recognized relation to one another, of two or more people (McGrath, 1984). More specifically, interaction is the in the details of the daily routines, discourses and practices of the stakeholders, between structural driving forces and what the stakeholders do in specific episodes of the integrated area development project (based on Healey, 2003). The parties involved in interactive planning proceed through rounds of information dissemination and feedback, consultation and various negotiation and bargaining approaches (Susskind & Cruikshank, 1987; Born & Sonzogni, 1995; Glasbergen & Driessen, 2005), through which issues are brought forward, filtered and consolidated into strategies and action possibilities (Davoudi & Healey, 1995) from which they subsequently develop, adopt and implement their joint plan (Glasbergen & Driessen, 2005). Key facets of stakeholder interaction can be uncovered and understood by looking at the sequence of events and the discussions involved (Gulati, 1998). This sequencing includes the decision to enter into cooperation, the choice of structure for the cooperation and the dynamic evolution of the cooperation as the

project develops over time. Therefore, the focus in the analysis framework for the interaction process is on the cooperation structure (including the initiative) and the sequence and substance of events, see Table 3.4. Further, the various kinds of interaction going on within a project, and between different sets of stakeholders, are also affected by other driving forces, such as government policies, legal planning procedures, the impact of global conditions on local business interests, and the local manifestation of wider social and environmental movements (Healey, 2003). Accordingly, the analysis of the events should contain both the actions of the stakeholders and the project organisation, and externally imposed events.

In this research, the interaction process will be analysed by observing the distinguished aspects in a range of project meetings (Steering Committee, Project Group and resident meetings) over a period of one year. Further, an extensive document analysis of project documentation and relevant public policies will be carried out.

Table 3.4: Framework for the interaction process (based on Healy, 2003)

Characteristic	**Specification**
Cooperation structure	Project scale
	Type of initiative
	Initiator
	Lead
	Type of cooperation
	Type of process manager
	Type of approach
	Legal status
Sequence and substance of events	Legal procedures
	Planning policies
	Project planning
	Stakeholder and project activity
	Agreements
	External events

3.3.3. Contextual factors

The third basic characteristic is the context. The context is defined as external factors that could influence the process and/or the outcome of the integrated area development project, but that the project organisation cannot control. Bryson (2004) defines five types of contextual factors: political, economic, social (including the influence of external organisations), technological and physical environmental situation and trends, see Table 3.5. In interviews, each of the stakeholders were asked for important contextual factors that should be considered by the project organisation (using open questions).

Table 3.5: Framework for the context (based on Bryson, 2004)

Characteristic	Specification
Situation	Political
	Economic
	Social
	Technological
	Physical environmental
Trends	Political
	Economic
	Social
	Technological
	Physical environmental

3.3.4. Perceived performance

The first three parts of the analytical framework (stakeholder, interaction process and context) will be used to describe the plan development in the integrated area development project. Freeman (1984) argues that a corporate strategy will be effective only if it satisfies the needs of the key stakeholders. Therefore, this final component defines the perceived performance of the plan development process. However, each of the stakeholders may use different criteria to judge the planning process and may apply different weights to the same criterion (Rainey, 2003; Boyne, 2004). It follows that there is no fixed and universally applicable set of criteria for evaluating whether performance is good or poor (Boyne, 2004). Therefore, following Freeman (1984), the performance of the plan development process as perceived by the stakeholders is measured. Perceived performance, or stakeholder satisfaction, is often used as an indicator of impact or effectiveness (Hendrick, 2003). Table 3.6 shows the analysis framework for the perceived performance. The perceived performance will be measured by asking each of the stakeholders in interviews to score the performance of the used planning approach on a five-level Likert item.

Table 3.6: Performance as perceived by each stakeholder

Characteristic	Specification
Planning approach	1-5*
*1 = bad, 2 = poor, 3 = average, 4 = good, 5 = excellent	

3.4. Framework for analysing strategic plan development

This section describes the framework of analysis for strategic plan development. This framework of analysis will be used to reflect on the extent to which the plan development of the cases considered are strategic (**RQ3**). In Section 3.4.1, strategic planning is further described. Section 3.4.2 describes the Dutch setting for spatial planning. Section 3.4.3 focuses on the differences between public and private settings related to strategic planning. In

Section 3.4.4, a planning model for strategic planning in a public setting is described. Finally, Section 3.4.5 describes the way in which the strategic planning model will be used to reflect on the plan development in the integrated area development projects studied.

3.4.1. A closer look at strategic spatial planning

Strategic planning is a theoretical approach that has its roots in the military sector. In the 1950s, it was adopted in the business sector (Ansoff, 1980; Ackoff, 1970). Strategic planning is based on the perceived need for rapidly changing and growing corporations to plan effectively for, and manage, their futures at a time when the future itself appears increasingly uncertain (i.e. strategic planning by an organisation for its own future) (Albrechts, 2001). In the early 1970s, government leaders in the United States became increasingly interested in strategic planning as a result dramatic changes (oil crisis, demographic shifts, changing values, volatile economy etc.) (Eadie, 1983; Bryson & Roering, 1988b). In the 1980s, strategic planning was translated to the public sector (see Olsen & Eadie, 1982; Bryson et al., 1986; Bryson & Einsweiler, 1988).

In Europe, strategic planning is often closely linked to the concept of the modern nation state. Strategic planning is used here to direct the activities of others (different authorities, different sectors, private stakeholders). This difference in origin marks a clear distinction between the strategic planning tradition in Europe and that in the United States (Albrechts, 2001). Recently, a growing awareness of the usefulness of strategic planning (De Graaf, 2005) and its specific integrative role (Healey, 2006) can be observed in European spatial planning (Albrechts, 2001). The motivations for embarking on a strategic spatial planning process vary, but the objectives have typically been to articulate a more coherent and coordinated long term spatial logic for land use regulation, for resource protection, for action-orientation, for a more open multilevel type of governance, for introducing sustainability or for investments in urban and rural areas (Albrechts, 2006).

The concept of strategic planning has been perceived and used differently in various scientific disciplines. There is no universally accepted definition of strategic planning. Most authors define strategic planning by describing its characteristics. According to Olsen & Eadie (1982), Bryson (1988a; 1988b; 2000; 2004), Bryson & Einsweiler (1988) and Bryson & Roering (1988b; 1996) strategic planning may be defined as a:

> *'disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation (or other entity) is, what it does, and why it does it'.*

Or in a less strict way (Bryson, 2000):

> *'strategic planning is a means of organizing interactions in such a way that at least the key stakeholders focus their attention on what the focal organisation should be doing, how it should be doing it, and why'.*

At its best, strategic planning requires broad yet effective information gathering, clarification of the mission pursued and the issues to be addressed along the way, development and exploration of strategic alternatives and an emphasis on the future implications of present decisions (Bryson, 2004).

Specific to European spatial planning, Albrechts (2001) describes strategic planning as a:

> *'transformative and integrative, (preferably) public-sector-led socio-spatial process through which a vision, coherent actions and means of implementation are produced that shape and frame what an area is and might become'.*

As indicated, strategic planning is not a single concept, procedure or tool. In fact it is a set of concepts, procedures and tools that need to be tailored carefully to whatever situation is at hand if desirable outcomes are to be achieved (Bryson & Roering, 1996; Albrechts, 2001). Strategic planning is designed to help organisations respond effectively to new situations. It implies selectivity and a focus on that which really makes a difference to the fortunes of an area over time (Healey, 2004). Strategic planning suits situations in which there are many interdependent actions under the authority of many stakeholders and occurring over a long period in relation to an uncertain environment (Hopkins, 2001). Or, as Albrechts (2001) puts it:

> *'strategic spatial planning is used for complex problems where authorities at different levels and [in] different sectors and private stakeholders are mutually dependent'.*

3.4.2. Dutch spatial planning

Strategic planning can be applied in many settings. In this thesis, strategic planning is studied in the Dutch spatial planning setting. Since the context is a major issue in strategic planning, first some general characteristics of the Dutch planning system and governmental organisation are described before discussing the process model for strategic planning that is used to reflect on the two cases. This elaboration on Dutch spatial planning will help in interpreting the case analyses and being able to make comparisons with other planning systems.

In the Netherlands, spatial development is dominated by the public sector and is 'plan-led'. Dutch spatial planning and decision-making are embedded within a high-density institutional setting. According to Hajer and Zonneveld (2000), the Dutch system is unusual in its institutional comprehensiveness. Spatial planning is highly formalized and takes place according to many legal procedures. Tasks and responsibilities are shared among many governmental organisations. All levels of government have their own legally-defined planning documents, plus there is an array of informal plans and visions published by other departments and by coalitions of societal stakeholders. Dutch spatial plan development is mainly a government issue; unsolicited proposals from private parties are rare. Local governments financially depend much more on the national government than on private

capital. In general, private parties are only involved in a later stage of plan development. Usually the government, possibly after consulting private parties, determines the general project mission and framework, often by developing a Planning Brief [*Programma van Eisen*]. Subsequently, private parties might be invited to participate in the further development of the project plan within the government's framework.

Governmental organisation in the Netherlands is in the form of a decentralised unitary state with a three-tier administrative structure (Kortman, 2007). The three tiers are the national government, the provinces and the municipalities. Decentralisation is seen as autonomy for the lower-tier governmental bodies, and also as co-governance, such as when lower-tier governmental bodies are required by the national government to provide regulation and administration. This means that the Dutch governmental system is not an absolute hierarchy, and the lower governmental levels have a certain degree of autonomy. Nevertheless, higher-tier governmental bodies do supervise lower-tier ones (Helder, 1997) and both the national and provincial governments have supervisory tasks.

The water boards are a different form of decentralised public authority to the provinces and the municipalities. A water board is a government body of a functional decentralized administration with specific water-related tasks. The water boards take care of operational water management, except for the major waters that are managed by the national government [*Rijkswaterstaat*]. Just like a municipality, a water board also reports to the province.

3.4.3. Differences between private and public setting

As previously described, strategic planning originates from the private sector. However, in integrated area development projects, and by definition in Dutch spatial planning, public stakeholders are involved. Numerous academics and practitioners have noted that significant differences exist between the public and private sectors that may preclude simply extrapolating the latter's methods to the public sector (Hendrick, 2003) These differences are critical in understanding differences in strategic planning processes between the public and the private sectors (Smith Ring & Perry, 1985). There are three fundamental differences between the public sector and the private sector that affect the strategy formulation process (Nutt & Backoff, 1995; Klay, 1999; De Graaf, 2005) which are described below.

Public separation of policy making and policy implementation

To prevent the abuse of power and authority in the public sector, the constitution prescribes a separation between policy making and policy implementation. Legislatures initiate, but generally do not implement policy. Conversely, executive branch agencies can often only pursue legislatively authorized objectives (Smith Ring & Perry, 1985). This distribution of power and authority in the public sector differs from the situation in the private sector. As a result of this distribution, public plan makers have less decision-making power than private managers. Public parties need to carefully consider the political arena because of its decision-

making power. Compared to the private sector, this introduces an additional constituency: the political arena (Smith Ring & Perry, 1985; Nutt & Backoff, 1995; De Graaf, 2005).

Democratic principles

> *'As stated in the constitutions, public parties have to develop policy in a legitimate and democratic way. This means there have to be sufficient opportunities for the public to have a say in the strategy formulation process. The public should be given the opportunity to present views and arguments and to put forward problems and ideas. The need to take the public into account differs in the business sector. In the business sector, planners have more freedom to choose who to involve and who not to involve in the strategy formulation process. Planners in the business sector can, more or less, strategically choose which stakeholders they give access to their strategy formulation process. Public planners, however, do not have this freedom. They are obliged by law and constitutions to present their ideas to a broad range of public stakeholders and to listen to them.' (De Graaf, 2005)*

Further, 'public opinion is forged from multilateral adjustments in which claims about needs are made by elected officials, legislative bodies, the courts, interest groups, the media and the public itself. These claims are used to make needs seem salient, create budget requests, and get political support to deal with needs thought to have priority' (Nutt & Backoff, 1995). Therefore, public parties have to operate in a more open and diffuse context: compared to private strategic planning, another constituency has to be taken into account -the public arena- with a diverse set of stakeholders with different interests (De Graaf, 2005).

Formal procedures and control systems

The public sector has established a number of formal mechanisms that are deliberately designed to assure democratic decision-making (Smith Ring & Perry, 1985; Montanari & Bracker, 1986), including legislation requiring the public to be heard, legislation that prescribes certain procedures to be completed within fixed periods of time, or rules and procedures to ensure that environmental aspects are taken into account such as Environmental Impact Assessments, Water Assessments, or requirements regarding safety, noise and air pollution. Further, the public sector has established a number of formal processes, including Ombudsmen and ethics committees, to monitor the conduct of public officials (Smith Ring & Perry, 1985) These formal mechanisms and processes create restrictions for the public sector in terms of the strategic planning process (De Graaf, 2005), parallels of which are rarely found in the private sector (Smith Ring & Perry, 1985).

As a result of the public separation of power and authority, democratic principles and formal procedures and control systems, several authors (Montanari & Bracker, 1986; Nutt & Backoff, 1995; De Graaf, 2005) have concluded that strategic planning concepts can be used in the public sector provided planners take into account: (1) the political arena; (2) the public arena;

and (3) the formal procedures and controlling systems that ensure democratic decision-making. However, there is a debate about precisely *how* these differences influence the strategic planning process (see for example Boal & Bryson, 1987; Hendrick, 2003). Given the complicated environmental conditions, strategic planning in a public setting is more difficult than in the private sector. Strategic planning typically focuses on what an organisation should do to improve its performance. In the public sector in contrast, the value produced by public bodies lies in the achievement of societal purposes, rather than in generating revenues, and non-profit organisations again differ because they receive revenues from sources other than customer purchases (Moore, 2000).

3.4.4. Process model for strategic planning in a public setting

Planning literature offers literally hundreds of models of processes through which strategy could supposedly be formally developed and operationalised (Mintzberg, 1994). However, these process models tend to focus on the private sector. As described in the previous section, there are significant differences between the public and private sectors that preclude simple extrapolation of these models to the public sector. Bryson (2004) has developed an outline of a strategic planning process for the public sector, which he calls the Strategy Change Cycle, see Figure 3.2. Currently, the model is an outline of how organisations in the public sector could use strategic planning. Bryson's model is widely used in strategic planning research (see for example Frentzel et al., 2000; Berry, 2001; De Graaf, 2005; Wymer et al., 2006). The strategic planning process model is composed of ten steps to organise participation, create ideas for strategic interventions, build a coalition and implement strategies. These ten steps are described below and will be used as basis for the design of an Integrated Area Development & Management (IADM) approach.

Step 1: Initiate and agree on a strategic planning process

According to Bryson (2004), the strategic process begins with negotiating an agreement among the key decision-makers about the overall strategic planning effort and the key planning steps. The support and commitment of key decision-makers is vital if strategic planning in an organisation is to succeed (Olsen & Eadie, 1982). Moreover, the early involvement of key decision-makers is important since only they have access to the essential information and resources needed for the effective development and direction of the strategic planning process. Examples of vital information that key decision-makers have access to include 'who should be involved', 'when key decision points will occur' and 'what arguments are likely to persuasive at various points in the process'. They can also provide critical resources such as legitimacy, staff, budget, etc. Accordingly, the only general requirements are a dominant coalition, or at least a coalition of willing stakeholders that are able to sponsor and follow the process and a process champion willing to push it. Further, the involvement of key decision-makers outside the organisation is usually crucial to the success of public programmes where implementation will involve various parties

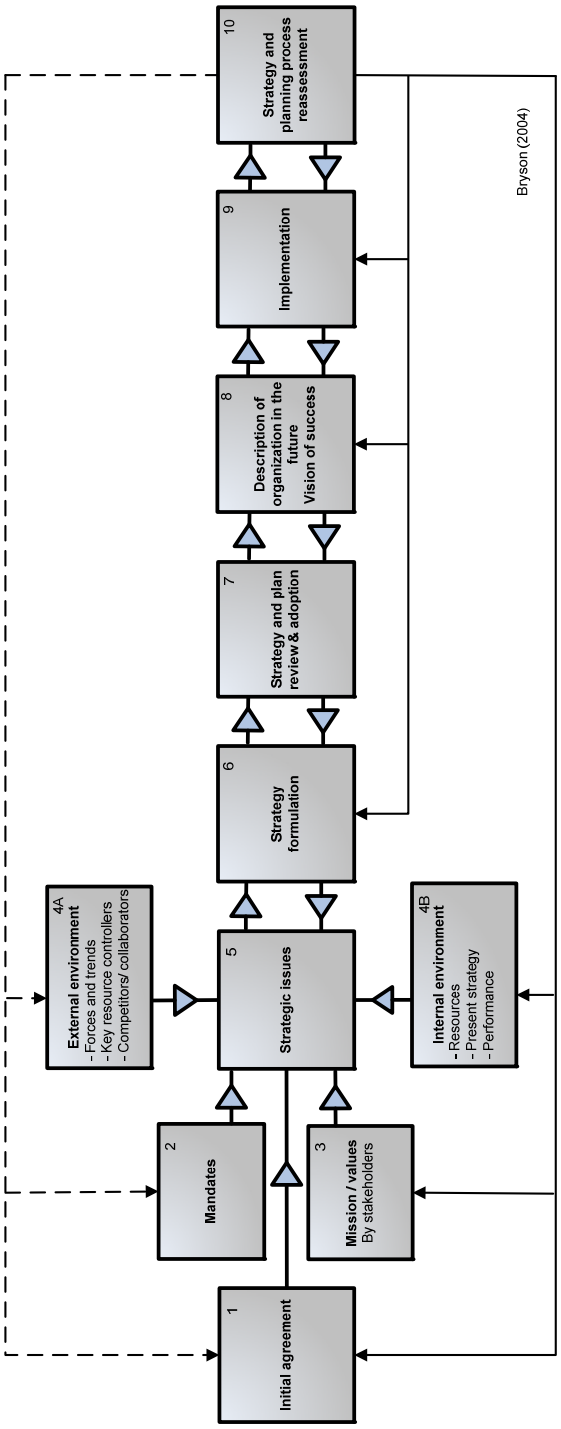

Figure 3.2: Strategic planning process for the public sector (Bryson, 2004)

and organisations (Nutt & Backoff, 1996; Huxham, 2003). Therefore, one of the initiator's first tasks is to identify who the key decision-makers are.

The initial agreement should cover the purpose and worth of the effort, who should be involved and the ways in which they should participate, the preferred steps in the process, the form and timing of reports, the commitment of the resources necessary for proceeding with the effort and any important limitations on or boundaries to the effort (Bryson & Einsweiler, 1988; Bryson, 2004). In practice a series of agreements must typically be struck among various parties as support for the process builds, and key stakeholders and decision-makers sign up. Attention to stakeholder concerns is crucial: the key to success in public organisations is satisfying key stakeholders (Rainey, 2003).

Step 2: Identify organisational mandates

The second step is the identification of the organisation's mandates. 'The formal and informal mandates placed on the organisation consist of the various 'musts' it confronts, that is, the various requirements, restrictions, expectations, pressures and constraints it faces. (…) Before an organisation can define its mission and values, it must know exactly what it is formally and informally required to do (and forbidden) by external authorities. Formal requirements are likely to be codified in laws, regulation, public policies, ordinances, etc. In addition, organisations typically must comply with a variety of informal mandates that may be embodied in norms or expectations of key stakeholders.' (Bryson, 2004)

In the public sector, such mandates impose more restrictions on the strategy formulation process than in the private sector (Smith Ring & Perry, 1985; Montanari & Bracker, 1986; Nutt & Backoff, 1995). De Graaf (2005) describes four origins of these additional restrictions in the public sector: First, there are mandates that come from the political arena. These may be mandates from the local political arena, consisting of council members, but may also be mandates from other organisations such as higher government bodies that impose claims. Secondly, there are mandates from the public arena, such as powerful private sponsors or landowners. Thirdly, the planning team has to adhere to legal procedures and policies such as spatial planning and infrastructure policies, and procedures that prescribe how to deal with the public or impose time constraints. Finally, public sector planners are confronted with more controlling bodies and constituencies than business sector managers (Smith Ring & Perry, 1985; Montanari & Bracker, 1986). These include higher governing bodies and the media who continuously watch over the planning team to monitor whether it acts in line with its mandates. Failure to identify these issues can cause considerable problems and therefore, public planners need to consider the mandates carefully (De Graaf, 2005).

Step 3: Clarify organisational mission and values

The third step in the strategic planning process is clarifying the mission and values, or the 'wants', of the organisation. The mission is a declaration of the organisational purpose. It

clarifies why an organisation should be doing what it is doing. For a public agency, there must be identifiable societal or political demands or needs that the organisation seeks to fill (Bryson, 2004). In a collaborative setting, this means identifying the collaborative advantage to be gained by working together, that is, what they can gain together that creates public value that they cannot gain alone (Huxham, 2003). According to Bryson and Roering (1988a), 'The mission and values have strong influence on the identification and resolution of strategic issues. The process draws in particular attention to similarities and differences among those who have stakes in the outcome of the process and in what the government's mission ought to be in relation to those stakeholders'.

According to De Graaf (2005) 'this step in the strategic planning model needs extensive attention in public sector planning, more than in the business sector. In the public sector, more organisations or individuals have access to decision-making, e.g. interest organisations and citizens. Public planners have the responsibility of giving these parties sufficient access to decision-making and have to consider their interests' or, as observed by Smith Ring and Perry (1985): 'Public managers cannot divest themselves of their responsibilities. Their planning must encompass various objectives, some of which may be conflicting or poorly defined.'

Together, the mandates (Step 2) and the mission and values (Step 3) indicate the public or added value the organisation will create and provide the societal justification and legitimacy on which the organisation's existence depends. The mandates are externally imposed and can be considered as the 'musts' that the organisation is required to pursue. The mission is developed more from the inside and may be considered more as what the organisation 'wants' to do. Jointly they frame the domain within which the organisation seeks to create public or added value (Bryson, 2004).

Step 4: Assess the external and internal environments

The fourth step in the strategic planning process is assessing the external and internal environments of the organisation. Together these two activities are also called a SWOT analysis (Strengths, Weaknesses, Opportunities, Threats). 'The planning team should systematically explore the environment outside the organisation to identify the opportunities and challenges the organisation faces (Step 4A). It should also systematically explore the environment inside the organisation to identify the strengths and weaknesses (Step 4B). Basically, outside factors are those not under the organisation's control and inside factors are those that are.' (Bryson, 2004) Opportunities and threats are usually (though not necessarily) more about the future than the present, whereas strengths and weaknesses are usually about the present and not the future (Nutt & Backoff, 1995). Monitoring a variety of forces and trends, including political, economic, social, technical and physical environmental ones, can help planners and decision-makers discern opportunities and challenges. Besides monitoring trends and events, the

planning team should also monitor important external stakeholders -especially those that affect resources flows (directly or indirectly)- such as relevant policy bodies, funders and regulators. 'The organisation might construct various scenarios to explore alternative futures in the external environment. (…) To identify internal strengths and weaknesses, the organisation might monitor resources (inputs), present strategy (process) and performance (outputs).' (Bryson, 2004)

'The analysis of the external and internal environment is similar to that of the private sector. However, the public arena and the political arena need to be given more attention, because they are characterized by a diverse set of stakeholders with changing and often conflicting interests. These stakeholders try to exert influence on the planning process and demand their piece of the pie'. (De Graaf, 2005) In particular, the political arena is fairly unpredictable, which is to an extent related to the political cycle (Smith Ring & Perry, 1985; Hendrick, 2003). In the public sector, the decision-makers at the top levels of the organisation are reviewed every two, four or six years via the election process (Smith Ring & Perry, 1985; Montanari & Bracker, 1986). The resulting policy cycle causes uncertainty because the election of other political leaders can lead to a change in the political structure or 'colour' of a public organisation, for example powerful political parties that primarily focus on economic objectives can be replaced by others that focus more on environmental objectives. Such policy shifts influence the strategy formulation process (Montanari & Bracker, 1986). 'In addition, public planners must consider the political cycle because political parties often make policy shifts at the end of the political cycle, in case they become aware that they are not able to achieve what they promised to the public. To still live up to their promises, they can make radical changes and decisions in, for example, budget reservations. The political cycle is of major importance because the planning process extends the periods of the political cycles.' (De Graaf, 2005)

Step 5: Identify the strategic issues facing the organisation

Together, the first four steps of the strategic planning process lead to the fifth, the identification of strategic issues. 'Strategic issues are fundamental policy questions or critical challenges affecting the organisation's mandates, mission and values, product or service level and mix, clients, users or payers, cost, financing, structure, processes and management. (…) Strategic planning focuses on achieving the best fit between an organisation and its environment. (…) Usually, it is vital that pressing strategic issues be dealt with expeditiously and effectively if the organisation is to survive and prosper.' (Bryson, 2004) The analysis of strategic issue is about the confrontation between the external opportunities and threats and the internal or organisational strengths and weaknesses. Through this confrontation, it becomes clear what the main problems are, or will be in the future, and if the organisation is able to cope with these opportunities and threats. Strategic issues, virtually by definition, involve conflicts of one sort or another. The conflicts may involve ends (what, means (how or how much), philosophy (why), location

(where), timing (when) and the entities advantaged or disadvantaged by the various ways of resolving the issue (who) (Bryson, 2004).

Step 6: Formulate strategies to manage the issues

Strategies are typically developed to deal with strategic issues: that is, they outline the organisation's response to the fundamental challenges it faces. According to Bryson (2004) 'a strategy can be defined as a pattern of purpose, policies, actions, decisions or resource allocations that define what an organisation is, what is does and why it does it. Strategies vary by level, function and time frame. Organisations develop strategies to deal with the issues they have identified. (…) The planning team should formulate strategies that can be adopted in politically acceptable, technically and administratively workable, results-oriented and legally and morally defensible form.' The basic idea of formulating a strategy is to find the optimal fit between the opportunities and threats, and the strengths and weaknesses. 'Effective strategies have effective linkages with the organisation's environment, even when their purpose is to change that environment and they create public value' (Bryson, 2004).

This principle is the same in both public organisations and private organisations. The main difference between public sector organisations and private organisations in strategy formulation is that private organisations usually formulate strategy with the aim of fulfilling economic criteria. An effective strategy in public organisations, however, is not primarily related to economic objectives but is concerned with responding to the perceived needs of the stakeholders. The market of a public organisation consists of a network of stakeholders and is determined by the priority of needs that call for action as perceived by organisational leaders, supervisory bodies, legislators, elected officials and other stakeholders who make up the network to which public organisations must respond. The effectiveness of a strategy is thus the degree of responsiveness to perceived needs (Nutt & Backoff, 1995). Another difference between the public and the private sectors in strategy formulation is that a public sector organisation is confronted with more constraints in strategy formulation than a private organisation (De Graaf, 2005). This has to do with the existence of more mandates and the many stakeholders who impose claims. As a consequence, there is less flexibility in developing strategies or, in other words, the bandwidth for developing strategies in the public sector organisation is narrower than in the private organisation.

Step 7: Review and adopt the strategies or plans

Once strategies have been formulated, the planning team may need to obtain official approval to adopt them and proceed with implementation. The same is true of formal plans. For a proposed strategy or plan to be adopted, it needs to address issues that key decision-makers think are important with solutions that appear likely to work. Also, the political climate and stakeholder opinions must be favourable and the barriers to effective action must be down. (Bryson, 2004) Considerable bargaining, negotiation and even

invention of items to trade may be necessary in order to find the right combination of exchanges and inducements to gain the support needed without bargaining away key features of the proposed strategies and plans (Susskind & Cruikshank, 1987).

Step 8: Establish an effective organisational vision

In the eighth step of the strategic planning process, the organisation develops a description of what it should look like once it has successfully implemented its strategies and achieved its full potential. This description is the organisation's 'vision of success'. Typically, this vision of success is more important as a guide to implementing strategy than it is in formulating it. The vision statement should emphasize purpose, behaviour, success criteria, decision rules and standards that serve the public, rather than the organisation, and create public value. (Bryson, 2004)

Step 9: Develop an effective implementation process

The ninth step in the strategic planning process is developing an effective implementation process. The developments called for by the adopted strategies must be incorporated throughout the system for these development strategies to be brought into practice. Implementation must be consciously, deliberately and strategically planned, managed and budgeted (Bryson, 2004). An implementation strategy document or action plan should guide the implementation and focus attention on necessary decisions, actions and responsible parties. According to Bryson (2004) such an action plan should detail the following:

- Implementation roles and responsibilities of stakeholders;
- Expected results and specific objectives and milestones;
- Specific action steps and relevant details;
- Schedules;
- Resources requirements and sources;
- A communication process;
- A review and monitoring and process; and
- Accountability processes and procedures.

Step 10: Reassess the strategies and the strategic planning process

The final step in the strategic planning process is reassessing the strategies and the strategic planning process. Once the implementation process has been under way for some time, the organisation should review the strategies and strategic planning process, as a prelude to a new round of strategic planning (Bryson, 2004). The purpose of this step is to review implemented policies, strategies, plans, programmes or projects and to decide on a course of action that will ensure that public or added value continues to be created.

The strategic planning process is an iterative, cyclical process (Bryson, 2004). One of the crucial features of strategic issue-driven planning, and political decision-making in general, is

that you do not have to agree on goals to agree on next steps (Innes, 1996; Huxham, 2003). You simply need to agree on a strategy that will address the issue, along with the organisation's and the key stakeholders' interests.

3.4.5. Reflecting on strategic plan development

The strategic planning process proposed by Bryson (2004) is a normative process model for strategic planning in the public sector. The model prescribes the actions that should be taken in a strategic process. In this thesis, the ten elements of Bryson's strategic planning process model are used to reflect on the extent to which the plan development in an integrated area development project is strategic (**RQ3**). After describing the plan development in its broadest sense (including the dynamics, complexity and context of the project), each element or step of the strategic planning process model will be discussed for the two integrated area development projects studied. This reflection will include a discussion on whether the steps are (or are not) used in the cases, how the steps are used and in what order the steps are used.

3.5. Concluding remarks

These days, the central idea is that spatial developments are shaped through the cooperation and interaction of various stakeholders. The focus in spatial planning is in particular on planning approaches that consider the interaction process between the stakeholders. Based on an analysis of three planning approaches -communicative planning, interactive planning and strategic planning- strategic planning is identified as the most appropriate planning approach for studying the plan development and designing an 'integrated area development & management' (IADM) approach, in particular because of its attention to interaction, power positions, contextual factors and implementation. Strategic planning is a disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation (or other entity) is, what it does, and why it does it (Bryson, 2004). European strategic spatial planning is a transformative and integrative, preferably public sector led, socio-spatial process through which a vision, coherent actions and means of implementation are produced that shape and frame what an area is and might become (Albrechts, 2006).

Based on the literature study and using strategic planning theory, the methodological approach, as described in Chapter 2, can be specified further. To design an IADM approach, first an extensive description of the two cases is needed based on the main characteristics of strategic plan development (**RQ1**). To be able to describe the way in which the plan development in an integrated area development project evolves in practice (RQ2), a framework of analysis is developed based on the three basic characteristics of 'stakeholders', 'interaction process' and 'context'.

Second, perceived performance is included as forth element to this analysis framework in order to be able to evaluate the analysed plan development (RQ2) and deduce design knowledge. Table 3.7 shows the outline of the framework of analysis for plan development.

Table 3.7: Framework of analysis for plan development

Basic characteristics	**Elements**
Stakeholders	Goals
	Resources
	Dependency
Interaction process	Cooperation structure
	Sequence and substance of events
Context	Situation
	Trends
Perceived performance of the plan development	

Third, in this chapter the elements of the strategic planning process model of Bryson (2004) are identified as appropriated elements to assess the strategic level of the plan development in an integrated area development project (RQ3). Key characteristics of Dutch spatial development include the domination of the public sector, the mainly 'plan-led' developments and its embeddedness within a highly formalized and high-density institutional setting. Bryson's model is a model specific to the public setting and is widely-used. As basis for designing a strategic IADM approach, the ten elements of Bryson's model are used to verify in how far the two cases already meet an original strategic planning process model. The model provides an outline of how organisations in the public sector could use strategic planning. Table 3.8 shows the outline of the framework of analysis for strategic plan development.

Table 3.8: Framework of analysis for strategic plan development (based on Bryson, 2004)

	Elements in strategic plan development
1	Initiate and agree on a strategic planning process
2	Identify organisational mandates
3	Clarify organisational mission and values
4	Assess the external and internal environments
5	Identify the strategic issues facing the organisation
6	Formulate strategies to manage the issues
7	Review and adopt the strategies or strategic plan
8	Establish an effective organisational vision
9	Develop an effective implementation process
10	Reassess the strategies and the strategic planning process

With these insights, a framework for analysing the plan development of integrated area development projects is constructed and thus part of the explorative research is carried out. Related to that, the first research question (**RQ1**) is answered by defining the main characteristics in strategic plan development. The analysis of the actual problem in practice follows in the next two chapters. In Chapter 4 the IJsselsprong project in Zutphen is explored and in Chapter 5 the IJsseldelta Zuid project in Kampen. For both cases insight is provided into the evolvement of the plan development and its perceived performance (RQ2) and the extent to which this plan development is strategic (RQ3). Subsequently, in Chapter 6 the empirical findings are combined and the actual problem diagnosis in strategic plan development for integrated area development projects is presented (RQ4). Based on this diagnosis, a conceptual IADM approach is designed (RQ5) in Chapter 7.

Chapter 4. Exploring integrated area development: case IJsselsprong in Zutphen

Chapters 4 and 5 address the empirical exploration of the plan development in integrated area development projects. With that, both chapters answer the second and third research questions: 'how does the plan development of an integrated area development project evolve and how do the stakeholders perceive its performance?' (**RQ2**) and 'to what extent is the plan development in an integrated area development project strategic?' (**RQ3**). This chapter describes these issues for the IJsselsprong project in Zutphen. Subsequently, Chapter 5 describes these issues for the IJsseldelta Zuid project in Kampen.

The integrated area development project IJsselsprong was studied in-depth for little more than a year during the period June 2006 - July 2007. In the IJsselsprong project, this corresponded with the initiative phase and the first part of the plan development phase, see also Figure 4.1. By analysing the plan development of the IJsselsprong project in-depth over a longer period of time and starting from its set up, insights could be generated into the initial interaction and decision-making processes between the stakeholders; into the dynamic goals and interests of the stakeholders as individuals and as a group; into interdependencies; into the influence of contextual changes; and into the planning approach itself including its dynamics.

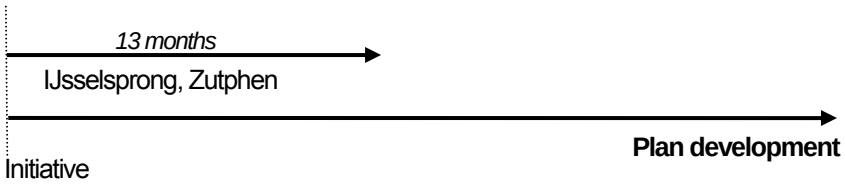

Figure 4.1: Data collection period in the IJsselsprong project

To analyse the plan development process, 8 meetings of the Steering Committee (elected administrative representatives) and 14 meetings of the Project Group (civil servants) were observed as a non-participant, as were 5 information and participation meetings with residents. In addition, the documents of 14 Steering Committee meetings, 18 Project Group meetings and 6 other meetings were analysed. Further, all key stakeholders in the IJsselsprong project were interviewed (9 interviews) and all documents, reports and policies used or produced by the project organisation were analysed. Table 4.1 reports a summary of the data collection methods used in the IJsselsprong project. The observations focussed on the collective plan development process of the IJsselsprong project, including the development of a joint mission and vision, the interdependency, the interaction process,

discussion issues, the cooperation structure, the project strategy, external events, actions and agreements. The interviews focussed in particular on the points of view of the individual stakeholders such as individual goals, resources, commitment, relevant context factors and perceived performance. Further, the initiative phase is reconstructed based on the interviews. Finally, the project documentation is used to describe the actual agreements and the official arguments.

Table 4.1: Summary of the data collection methods used in the IJsselsprong project

Data collection methods
- 27 meeting observations, including 8 observations of Steering Committee meetings, 14 observations of the Project Group and 5 observations of meetings involving citizens and politicians; - 9 interviews with the elected administrative representatives in the Steering Committee; - Document analysis of 38 meetings, including the document analysis of 14 Steering Committee meetings, 18 Project Group meetings and 6 other meetings; - Document analysis of 11 reports produced by the project organisation or by order of the project organisation; and - Document analysis of 19 related policies and reports.

In the following sections, a detailed analysis of what actually took place in the IJsselsprong project is made, plus an analysis of the extent to which the project was carried out strategically. First, Section 4.1 presents a brief introduction to the IJsselsprong project. Then, Section 4.2 presents the general characteristics of its plan development process. More specific this section includes, in Section 4.2.1 a description of the stakeholders, including their backgrounds, project goals, resources and dependencies. In Section 4.2.2 the exploration of the interaction process, embracing the cooperation structure and the sequence and substance of events. In Section 4.2.3 the exploration of the relevant contextual factors that were identified in the IJsselsprong project and in Section 4.2.4 a description of the performance of its process according to the stakeholders. Next, Section 4.3 describes the extent to which the plan development of the IJsselsprong project was carried out strategically through reflecting on the IJsselsprong project based on the strategic planning process described by Bryson (2004). Finally, Section 4.4 provides some concluding remarks.

4.1. Introduction

The IJsselsprong project is an integrated area development project in the eastern part of the Netherlands. The project covers an area of about 3 x 12 km (roughly 3,600 hectares) and is situated to the west of the city of Zutphen, along the River IJssel, see Figure 4.2. This large area is spread across three municipalities: Brummen, Voorst and Zutphen. The project is a complex spatial project that combines spatial flood protection measures with the development

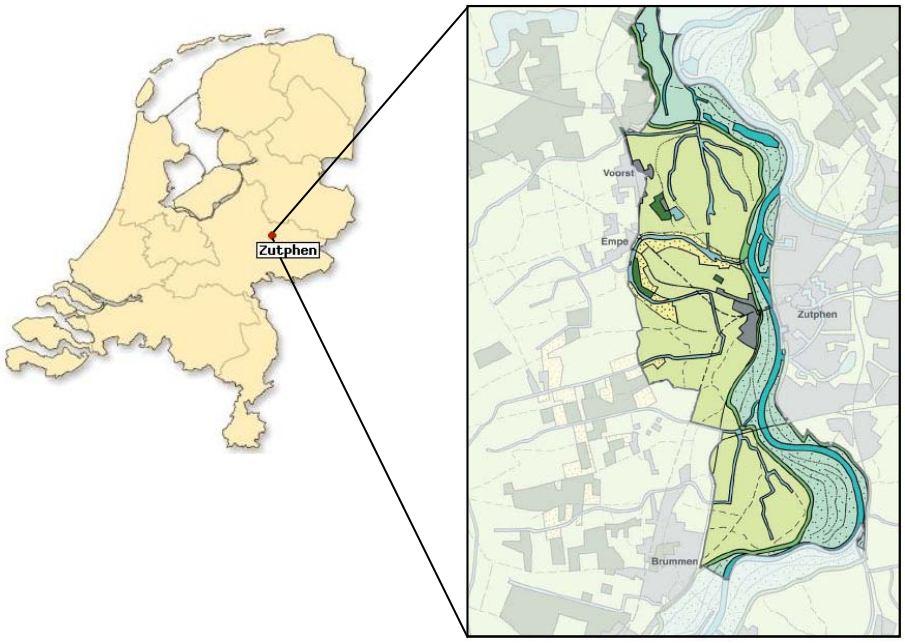

Figure 4.2: The plan area of the IJsselsprong project; spread over three municipalities

of a new urban area. Its goals are in the fields of urban planning, rural planning, water management, infrastructure and the environment.

The IJsselsprong project is a regional government initiative and combines various spatial objectives and interests from a wide multi-stakeholder perspective. The main goal of the IJsselsprong project is to integrate the various spatial plans in the region and develop them coherently for a better result. The incentive for the regional government bodies to start the IJsselsprong project was the National Spatial Planning Key Decision 'Space for the Rivers' [*Planologische Kernbeslissing 'Ruimte voor de Rivier'*], or PKB in short. The PKB is a joint policy developed by the Ministry of Transport, Public Works and Water Management (V&W), the Ministry of Housing, Spatial Planning and the Environment (VROM) and the Ministry of Agriculture, Nature and Food Quality (LNV). During the observation period, the PKB policy was adopted by the national government and advanced to the 'plan development phase'. The PKB has two objectives: river flood protection and improving the spatial quality (Ruimte voor de Rivier, 2006). Specific for the IJsselsprong area, the national PKB policy prescribes three flood protection measures. In the long term, it prescribes: a dike resiting at Cortenoever (municipality of Brummen) and one in the Voorsterklei (municipality of Voorst) plus the construction of a bypass near Zutphen, see Figure 4.3. In the short term, *either* the two dike resitings *or* the bypass is required. In this thesis a bypass is defined as a meandering flood canal with high environmental and, if desired, also high recreational value. Since the bypass is about twice as expensive as both dike resitings together, the PKB prescribes the two dike resitings as

Figure 4.3: Prescribed PKB measures for the IJsselsprong area: two dike resitings (left) and spatial reservation for a future bypass (right)

short term measures and a spatial reservation for the construction of a bypass in the longer term. Nevertheless, the PKB endorses that the bypass has more opportunities to improve the spatial quality than the dike resitings. Therefore, the national government provides the option of 'exchanging' the prescribed flood protection measures within the PKB. This option for an 'exchange decision' [*omwisselbesluit*] offers lower government levels and private parties the opportunity to develop a regional alternative to the prescribed PKB measures.

The IJsselsprong project is a project with the intention to develop such a regional alternative to the national PKB policy. Its aim is to *adjust* the prescribed flood protection measures and to develop them coherently with other spatial developments in the region. In the IJsselsprong area, several spatial developments are planned by various government bodies. However, since the national government has prescribed the two flood protection measures, this is in conflict with the spatial developments that several lower-tie government bodies had also planned in the IJsselsprong area, as announced in their local and regional spatial plans and visions. These include the Regional Spatial Plan Gelderland, the Regional Spatial Vision Stedendriehoek and the three Spatial Development Visions of the municipalities of Brummen, Voorst and Zutphen. Resulting from a regional agreement between seven municipalities and the province of Gelderland (Stuurgroep IJsselsprong, 2007b), a large-scale housing construction was planned in Zutphen De Hoven. Zutphen De Hoven is located on the west bank of the IJssel, see Figure 4.4, and is one of the adopted extension areas to meet the regional housing demand. The plan is to develop 3,000 houses in this area. Further, an objective of the regional government and the regional municipality cooperation 'Stedendriehoek' is to improve and replace the regional N345 road near Voorst and Zutphen and the N348 near Brummen. Moreover, various local and regional governments have planned ecological developments in the IJsselsprong region.

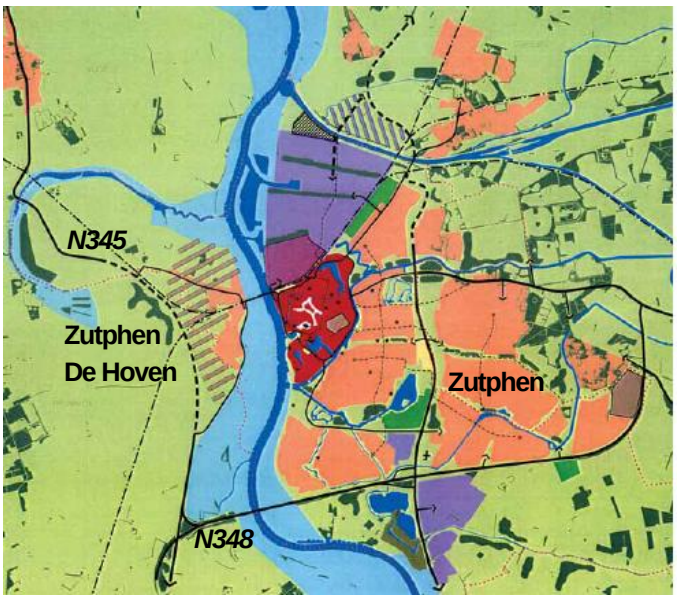

Figure 4.4: Regional spatial development map

Since the various intended spatial developments are intertwined, integration and coordination of the various spatial plans is needed. Further, coordination is required because the regional spatial plans conflict with the national flood protection policy. The local and regional governments in the IJsselsprong region want, for various reasons, to develop a regional alternative to the prescribed PKB. Their main arguments are the need to develop a long term, sustainable and coherent spatial plan, preserving the forelands at Cortenoever and Voorster klei and preventing, or at least reducing, the spatial reservation in the IJsselsprong area. By avoiding or reducing the spatial reservation for the bypass, it will be possible to develop parts of the IJsselsprong area. Figure 4.5 shows an overview of the national PKB versus the regional IJsselsprong alternative.

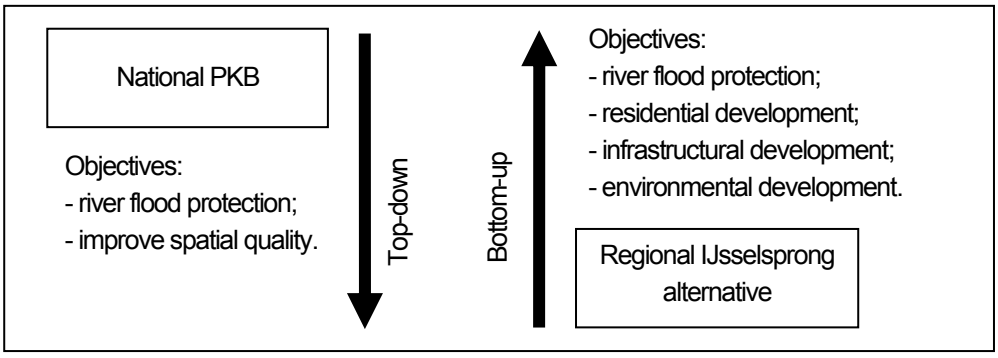

Figure 4.5: The national PKB versus the regional IJsselsprong alternative

4.2. Plan development in the IJsselsprong project

The plan development of the IJsselsprong project is described in four parts: stakeholders, the interaction process, contextual factors and the perceived performance.

4.2.1. Stakeholders

In the spring of 2006, the municipality of Zutphen (local authority) and the province of Gelderland (regional authority) took the initiative to establish the IJsselsprong Steering Committee to achieve the various spatial objectives in the IJsselsprong region in a coherent and sustainable manner. Together with the municipalities of Brummen and Voorst, the Veluwe water board (local water authority) and the regional cooperation Stedendriehoek (cooperation between the municipalities of Apeldoorn, Brummen, Deventer, Epe, Lochem, Voorst and Zutphen), they initiated the IJsselsprong project to develop an integrated spatial plan. This integrated spatial plan would form a holistic regional alternative to the prescribed national flood protection measures and be coherent with other spatial objectives in the area.

Although the incentive for the IJsselsprong project was to develop a regional alternative to the nationally prescribed flood protection measures, the regional stakeholders invited the Ministry of Transport, Public Works and Water Management (V&W) and the Ministry of Housing, Spatial Planning and the Environment (VROM) to participate in the IJsselsprong project. With the option for an exchange decision, the national government welcomes opportunities to improve the spatial quality when implementing flood protection measures in conjunction with the other spatial developments in a region. After some procedural formalities, both ministries started to participate in the IJsselsprong project in the autumn of 2006. Following this, about a half year after its initiation, all layers of government (local, regional and national) and both the spatial planning and the water sectors, were represented in the IJsselsprong project, see Figure 4.6.

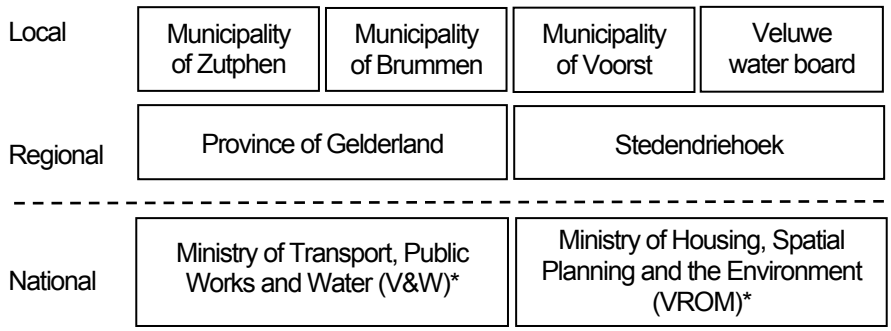

Figure 4.6: Stakeholders in the IJsselsprong project

** Stakeholders started to participate about a half year after the project initiation*

In the following sections, the backgrounds, goals, resources and dependencies of each stakeholder are described. These descriptions are based on interviews with the representative in the Steering Committee of each stakeholder (see Appendix 2 for the list of interviewees). The stakeholder descriptions start with the six regional initiators, followed by the two ministries that were involved to coordinate the development of the regional alternative with the national government's needs.

Province of Gelderland

The stakeholders indicated that the province of Gelderland was the main initiator of the IJsselsprong project. The province is one of the twelve regional authorities in the Netherlands and is located in the eastern part of the country. Gelderland is the largest province, with 56 municipalities and a total area of some 5,100 km². All three municipalities involved in the IJsselsprong project are located within the province of Gelderland. In total, the province has over 1.9 million residents.

The goals of the province of Gelderland are summarized in the Regional Spatial Plan Gelderland and the Coalition Agreement Gelderland 2007 - 2011. The province supports the national task of 'flood protection'. The goal of the province itself is to develop robust, long term flood protection measures (coherently with other spatial developments). Therefore, the province chose to actively participate in developing a regional alternative rather than giving their backing to the dike resitings and the spatial reservation. Further, the province of Gelderland is responsible for implementing their regional part of the National Ecological Network [*Ecologische Hoofdstructuur*] before 2018. The IJsselsprong area is situated in the National Ecological Network Veluwe-Achterhoek region and the regional task is to develop an ecological network between the Veluwe nature reserve and the River IJssel. A specific responsibility of provinces is regional infrastructure. In terms of the IJsselsprong project, the provincial goals are to solve the traffic problems in the north-south direction with the N345 Zutphen-Apeldoorn and the N348 Arnhem-Zutphen-Deventer regional roads. Further, the province is responsible for carrying out the housing construction obligations according to the regional allocation. In the Stedendriehoek regional cooperation, arrangements have been made between the province and the seven cooperating municipalities to identify the IJsselsprong area as one of the major new regional urban areas for 3,000 houses. For the province, it is important to use an integrated approach in the IJsselsprong project. By using an integrated approach, the multiple land use functions can be coordinated and spatial quality guaranteed. This is also the main reason why the province has put its infrastructural goals forward in time to be included in the IJsselsprong project. Finally, a derived objective for the province is to lead the IJsselsprong project and so strengthen the regional government's position.

The province of Gelderland has put €950,000 at the RUPs (Regional Implementation Program Stedendriehoek) disposal for the plan development of the IJsseldelta Zuid project for the years 2006 - 2008. Further, the province nominated the IJsselsprong project as one of

their eight regional 'key projects' in the Coalition Agreement Gelderland 2007 - 2011 and, in that context, has allocated €120 million for the eight 'key projects' over the period 2007 - 2019. Finally, the provincial executive proposed that the provincial council should allocate €3 million for agricultural structural strengthening in the IJsselsprong area and €1.5 million for buying land and the realisation of public-private partnerships (PPP). In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of the province are specified affirmative the research framework in terms of its goals, resources and dependencies. In Appendix 3, the stakeholder characteristics of all stakeholders are reported extensively.

Table 4.2: Summary of the stakeholder characteristics as assessed in spring 2007: goals in the project according to the stakeholder

Stakeholder	**Goals**			
	Real estate	**Water**	**Environment**	**Infrastructure**
Province of Gelderland	+	+	+	+
Municipality of Zutphen	+	-	-	+
Municipality of Brummen	-	-	+	+
Municipality of Voorst	-	-	+	+
Veluwe Water Board	-	+	-	-
Stedendriehoek	+	+	-	-
V&W	-	+	-	-
VROM	+	+	-	-

Municipality of Zutphen

Also the municipality of Zutphen (a local authority) is seen as an important initiator of the IJsselsprong project by the other stakeholders. Zutphen is a medium-sized town with a population of almost 47,000 people. Zutphen is an old, historic Hanseatic town and is situated between the River IJssel and the Twente Canal. The town is primarily located on the east bank of the river, but the district of Zutphen De Hoven is situated on the west bank. Zutphen is located about ten kilometres south of the city of Deventer and the A1 motorway and is a traffic junction for six regional roads.

As with many stakeholders, Zutphen has to deal with several spatial developments in the IJsselsprong area. The main developments are the prescribedPKB measures and the construction of 3,000 houses as demanded in the Regional Spatial Vision Stedendriehoek 2030. A major goal of Zutphen is to avoid the prescribed spatial reservation for the bypass. Such a block on the IJsselsprong area would make other spatial developments impossible, and the municipality of Zutphen, among others, had planned to construct 3,000 houses in this area. If the bypass would be developed as a short term flood protection measure, at least its exact location would be known and the remaining area could be used for other spatial developments. Further, spatial coordination between the bypass and other spatial developments would be possible.

Another important goal for Zutphen is solving the current infrastructural problems in the IJsselsprong area. Zutphen aims to improve the traffic flow through the district of De Hoven over the existing northern bridge linking it to the city centre and to stop the exceeding of noise and air quality norms along the N345 regional road in Zutphen. Moreover, Zutphen sees environmental development as an opportunity in the IJsselsprong project and mentions it as a challenge to solve all the spatial problems at a high-quality level at once.

The plan development costs for the period 2006 - 2008 (until the exchange decision) are estimated at €1.5 million (Stuurgroep IJsselsprong, 2006). The province of Gelderland agreed to contribute €950,000 in total for 2006 - 2008 (Provinciale Staten Gelderland, 2006). The municipalities of Zutphen, Brummen and Voorst and the Veluwe water board agreed to finance the remaining costs according to an agreed division 4:3:2:1 (as agreed in November 2006). Summarised, Zutphen pays 40% of the local part of the plan development costs. In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of the municipality of Zutphen are described, affirmative the research framework focusing respectively on its goals, resources and dependencies.

Municipality of Brummen

The municipality of Brummen is a local authority and one of the six regional participants in the IJsselsprong project. Brummen has 21,500 residents of which about 8,500 live in the village of Brummen itself. Brummen is situated in the centre of the province of Gelderland, between the Veluwe national park and the River IJssel. The total area of the municipality of Brummen is about 8,500 hectares.

The planned area of the IJsselsprong project covers the northern and eastern parts of Brummen. The PKB has marked the Cortenoever river foreland in the eastern part for dike resiting. The municipality's borders follow an old IJssel meander, and the northern part of Brummen surrounds the district of Zutphen De Hoven. The motive for Brummen to participate in the IJsselsprong project is the prescribed flood protection measures. Brummen hopes to avoid the dike being resited at Cortenoever and to preserve the local agricultural area. Besides preventing the prescribed dike resiting, Brummen has two other major goals in the fields of infrastructure and the environment. The first is to reduce the nuisance of traffic short cuts across the northern rural area of Brummen. The traffic in this area has increased, especially from the southern bridge in Zutphen. This is mainly a result of the new houses in the southern part of Zutphen and because of traffic delays at the northern bridge in Zutphen, between the city centre and Zutphen De Hoven. The other main goal is to develop a robust ecological zone between Brummen and Zutphen De Hoven, which is also part of the Regional Spatial Vision Stedendriehoek 2030.

Brummen agreed to pay 30% of the local part of the plan development costs for the period 2006 - 2008. In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of the municipality of Brummen are described in terms of its goals, resources and dependencies.

Table 4.3: Summary of the stakeholder characteristics as assessed in spring 2007: resources in the project according to the stakeholder

Stakeholder	Resources				
	Authority	**Finances**	**Land**	**Specific knowledge**	**Other**
Province of Gelderland	Regional	€950.000,- Proposal that provincial council allocates €4.5 million	-	Databases on ground water and soil quality	Nomination N345 as bottleneck and IJsselsprong as 'key project': €120 million for 8 key projects
Municipality of Zutphen	Local	40% of local plan development costs	-	-	Communication advisor
Municipality of Brummen	Local	30% of local plan development costs	-	-	-
Municipality of Voorst	Local	20% of local plan development costs	-	-	Availability of relocations for cultivation under glass
Veluwe Water Board	Local	10% of local plan development costs	Owner of some land near water	Water expertise Databases on water streams, levels, quality	-
Stedendrie-hoek	-	Only indirect	-	-	-
V&W	National	- (as long as no exchange decision has been taken)	-	Water expertise Water models and databases	Assistance of Quality team Facilitation and process experience
VROM	National	Allocation of €1 billion for 23 projects	-	Public Private Partnership expertise Spatial design expertise Land policy expertise	Nomination IJsselsprong as National Spatial Strategy Project Facilitation and process experience

Municipality of Voorst

The municipality of Voorst is another local authority and also a regional participant in the IJsselsprong project. The municipality has 23,500 residents. The village of Voorst is situated in the south of the municipality, and has about 2,600 residents. The municipality is situated in the centre of a city triangle: Apeldoorn-Deventer-Zutphen. The total area of the municipality is about 12,000 hectares and it stretches over about 20 km along the west bank of the River IJssel.

The plan area of the IJsselsprong project covers the south-eastern corner of the municipality of Voorst. The PKB has identified the river foreland of Voorsterklei for dike resiting. The main goals of Voorst in the IJsselsprong project are to prevent the dike being resited in the Voorsterklei and to solve the N345 traffic problems at the regional level. The N345 Zutphen-Apeldoorn road cuts the village of Voorst in to two and causes traffic, safety

and liveability problems. For over two decades, there have been discussions about the liveability problems due to the N345 in Voorst, but so far no measures have been taken. Another goal of Voorst is to preserve or strengthen the agricultural-historical landscape. They argue that compensating environmental measures should be taken for the current developments in the area, and that the Beekse Poort ecological area should be considered when deciding about spatial developments in the area.

Voorst agreed to pay 20% of the local part of the plan development costs for the period 2006 - 2008. In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of the municipality of Voorst are described, focusing on its goals, resources and dependencies.

Veluwe water board

The Veluwe water board is a local government agency and one of the six regional participants in the IJsselsprong project. The water board is responsible for water management and water defences in the Veluwe river basin. The Veluwe river basin is the largest unified environmental area in the Netherlands, with a total area of 136,000 hectares. The area is bordered by the River IJssel to the east and north, the lakes around the IJsselmeer to the west and the Vallei & Eem river basin in the south. The Veluwe river basin covers 19 municipalities, including the three municipalities involved in the IJsselsprong project.

The two main goals of the water board are: 1) improving the flood protection before 2015, as is prescribed in the PKB, 2) to carry out essential adaptations to the regional water system in a justifiable manner considering the ecology and the landscape. The bypass, for example, should not need to drain the Veluwe. Also the groundwater level should not fall because of the need to conserve the current vegetation, ecology and landscape. Moreover, any real estate and infrastructural developments have to comply with a Water Assessment [*watertoets*].

Developing a bypass in the IJsselsprong project is not a direct goal for the Veluwe water board. In terms of robustness, a single water system (the current situation) is more desirable than a divided water system (a bypass situation). However, because the bypass is societal more desirable, the Veluwe water board participates in developing a well functioning bypass.

The Veluwe water board agreed to pay 10% of the local part of the plan development costs for the period 2006 - 2008. In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of the Veluwe water board are described, affirmative the research framework focusing on its goals, resources and dependencies.

Stedendriehoek

The Stedendriehoek is the sixth participant in the IJsselsprong project. The Stedendriehoek is a regional cooperation between the municipalities of Apeldoorn, Brummen, Deventer, Epe, Lochem, Voorst and Zutphen. Voorst is situated in the middle of the Stedendriehoek, and the other six municipalities surround it. These seven municipalities are spread over two provinces: the provinces of Overijssel and of Gelderland. However, the plan area of the IJsselsprong

project is fully located within the province of Gelderland. The Stedendriehoek is a regional cooperation that does not have any public authority. The authority lies with its partners.

Since the Stedendriehoek has no legal power or authority by itself, it does not bring separate goals in the IJsselsprong project. Only the individual Stedendriehoek partners have authority. However, the Stedendriehoek has explicitly opted for the bypass because of the opportunities to increase the spatial quality and to coherently develop the various spatial plans in the area. The Stedendriehoek participates in the IJsselsprong project to ensure the project meets the regional housing construction obligations and the flood protection norms in a regionally acceptable manner. Additionally, the provincial contribution to the IJsselsprong project comes through the 'Regional Implementation Programme Stedendriehoek' (RUPs). In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of the Stedendriehoek are described in terms of its goals, resources and dependencies.

V&W (Ministry of Transport, Public Works and Water Management)

V&W is the national authority for water management and is subdivided into several units. The first split is between the Directorate-General Water (DGW) and the Directorate-General Rijkswaterstaat (DG RWS - Directorate General for Public Works and Water Management). The DGW is responsible for water policy and has produced the National Spatial Planning Key Decision 'Space for the Rivers' - the PKB. The DG RWS is responsible for policy implementation. Departments of DG RWS relevant for the IJsselsprong project are: PDR - Programme Direction 'Space for the Rivers' [*Programma Directie Ruimte voor de Rivier'*] and RWS DON - Rijkswaterstaat Direction East Netherlands [*Rijkswaterstaat Directie Oost Nederland*]. The PDR is in charge of the plan studies for projects mentioned in the PKB.

Since the IJsselsprong project is a regional alternative rather than a prescribed PKB project, V&W is not responsible for its plan study. Nevertheless, V&W has participated in the IJsselsprong project since the autumn of 2006 and will facilitate the regional initiative. V&W can facilitate this because of its process experience and its administrative network. Moreover, the participation of V&W is important since it provides the main connection (such as the exchange of data, choices, state of affairs and considerations) between the local and regional government with the national government.

RWS DON is responsible for managing and maintaining the water sector in the East Netherlands region. Through V&W, RWS DON facilitates the IJsselsprong project by calculating the intended flood protection measures. Further, the participation of V&W and its departments is desirable because the level of exploration of the regional bypass alternative needs to be comparable to the level of exploration of the prescribed PKB measures. Provided they are comparable, the national government should be able to decide whether an 'exchange' of the prescribed flood protection measures for the regional alternative is acceptable.

As described earlier, V&W signed up two objectives in the PKB: river flood protection and improving the overall environmental conditions, such as protecting valuable characteristics of

Table 4.4: Summary of the stakeholder characteristics as assessed in spring 2007: dependencies in the project (perception according to stakeholders, interdependency based on observation)

Stake-holder	**Perceptions dependency & observed interdependency ***							
	Gelderland	Zutphen	Brummen	Voorst	Water Board	Stedendrie-hoek	V&W	VROM
Province of Gelderland	X	Finance Knowledge Goals	Finance Knowledge Goals	Finance Knowledge Goals	Finance Knowledge Goals	Goals	Authority Finance Knowledge Goals	Authority Finance Knowledge Goals
Municipality of Zutphen	Authority Finance Knowledge Goals	X	Finance Goals	Finance Goals	Finance Knowledge Goals	Finance Goals	Authority Finance Knowledge Goals	Authority Finance Knowledge Goals
Municipality of Brummen	Authority Finance Knowledge Goals	Finance Goals	X	Finance Goals	Finance Knowledge Goals	Finance Goals	Authority Finance Knowledge Goals	Authority Finance Knowledge Goals
Municipality of Voorst	Authority Finance Knowledge Goals	Finance Goals	Finance Goals	X	Finance Knowledge Goals	Finance Goals	Authority Finance Knowledge Goals	Authority Finance Knowledge Goals
Veluwe Water Board	Authority Finance Knowledge Goals	Finance Goals	Finance Goals	Finance Goals	X	Finance Goals	Authority Finance Knowledge Goals	Authority Finance Goals
Stedendrie-hoek	Authority Finance Knowledge Goals	Finance Goals	Finance Goals	Finance Goals	Finance Goals	X	Authority Finance Knowledge Goals	Authority Finance Knowledge Goals
V&W	Finance Knowledge Goals	Finance Goals	Finance Goals	Finance Goals	Finance Knowledge Goals	Finance Goals	X	Finance Knowledge Goals
VROM	Finance Knowledge Goals	Finance Goals	Finance Goals	Finance Goals	Finance Goals	Finance Goals	Finance Knowledge Goals	X

* Legend: Stakeholder's dependency perceptions

Independent	Dependent	Strong dependent

The observed interdependency of the stakeholders is indicated in the terms authority, finance, land, knowledge and goals.

the landscape, nature and cultural history. The flood protection objective is clearly defined: the Rhine river basin should be able to safely discharge 16,000 m³/s (increase of 1,000 m³/s) by 2015. The other objective, improving the spatial quality, is not further specified. However, through the PDR (a department of V&W), a Quality Team is available that will assist the project organisation of the IJsselsprong in developing a high-quality regional alternative. Finally, an important criteria for V&W is the practical feasibility of the flood protection measure. For example, a bypass in the form of a long straight canal is expected to create societal resistance and thus a low level of local support.

For V&W the IJsselsprong project is not an official PKB project until an exchange decision has been taken. Therefore V&W also does not financially contribute to the plan development. In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of V&W are described, including its goals, resources and dependencies.

VROM (Ministry of Housing, Spatial Planning and the Environment)

VROM is the national authority for spatial planning in the broadest sense of the term. Like V&W, VROM has been involved in the IJsselsprong project since the autumn of 2006 to facilitate the regional initiative with its process experience and administrative network. Also the participation of VROM forms the main link (exchange of data, state of affairs, information, choices, considerations, etc.) between the local and regional governments and the national government. Earlier, VROM was also involved in developing the national PKB policy.

The main goals of VROM are achieving spatial quality and added value (both spatial and in the process) by integrating and coordinating various spatial developments in integrated area development projects. The IJsselsprong area is one of the promising urban expansion locations for high-quality housing construction in the Stedendriehoek region. Moreover, as a ministry, VROM supports the PKB objective of flood protection. In the summer of 2007, VROM nominated the IJsselsprong project as one of its 23 ‘exploratory projects’ [*Verkenningsprojecten*] for the National Spatial Strategy Budget [*Nota Ruimte Budget*]. In total, VROM has allocated €1 billion for the 23 appointed projects for the period 2011 - 2014. In Tables 4.2 - 4.4, a summary of the stakeholder characteristics of VROM are described, affirmative the research framework including its goals, resources and dependencies.

This section has described the first characteristic of the plan development process: the stakeholders. The next section describes the second characteristic: the interaction process.

4.2.2. Interaction process

Following the research framework, the interaction process is subdivided into two elements: the cooperation structure and the sequence and substance of events. This section starts with the cooperation structure. Unless described otherwise, the data was collected by observations of the project meetings as a non-participant.

Cooperation structure

The IJsselsprong project is a bottom-up initiative with six local and regional public stakeholders starting up the development of an integrated spatial plan for the IJsselsprong area as regional alternative for the national PKB. The motive in developing such a joint plan is to avoid the implementation of top-down prescribed flood protection measures in their region and thus remain able to develop their own spatial objectives. As part of the project, the region needs to convince the national government to make a so-called exchange decision, cancelling the prescribed PKB measures and endorsing the regional plan. To coordinate these joint activities, the IJsselsprong Steering Committee was raised. This Steering Committee should be seen as a loosely structured regional coalition: in its initial stage, the stakeholders operated in the IJsselsprong project without an initial agreement or plan being formally adopted. In participating in the IJsselsprong Steering Committee, the stakeholders had not committed themselves to the project: it was possible to leave the project at this stage. Table 4.5 presents the cooperation structure of the IJsselsprong project.

Besides the Steering Committee, also a Project Group was raised to prepare the meetings of the Steering Committee. Further, an external process coordinator was appointed after several months, who, together with a project assistant, took case of the process coordination of the IJsselsprong project.

Table 4.5: Cooperation structure of the IJsselsprong project

Characteristics IJsselsprong	
Project scale	Regional
Type of initiative	Local and regional government initiative
Initiator	Municipality of Zutphen and Province of Gelderland
Lead	Province of Gelderland
Type of cooperation	Public cooperation
Type of process manager	External process manager
Type of approach	Bottom - up approach
Legal status	No formally adopted initial agreement or plan. A national exchange decision is required to continue the project

Moreover, the national government was invited to participate in the IJsselsprong project. However, at that time, the PKB was not yet decided upon by Parliament and so the prescribed flood protection measures were not yet officially adopted. Therefore, both V&W and VROM did not respond to the early regional invitations to participate. From a national government perspective, even after adoption of the PKB, the IJsselsprong project was 'just' a regional alternative for the national policy. Until an exchange decision is taken, the IJsselsprong project is not an official PKB project. Nevertheless, once the Lower House formally agreed on the implementation of the PKB (7 July 2006), both ministries started to participate. At that time, the Upper House had not yet adopted the PKB (this occurred on 19 December 2006).

Figure 4.7 shows the initial project organisation structure. The Steering Committee is the administrative principal where administrative officials of the stakeholders are involved. The Steering Committee is responsible for decision-making concerning the IJsselsprong project. In the Project Group, civil servants from the various stakeholders are involved. In the first year, the Project Group dealt with both the process of decision-making and with the contents of the IJsselsprong project. For the members of the Steering Committee and the Project Group see Appendix 2.

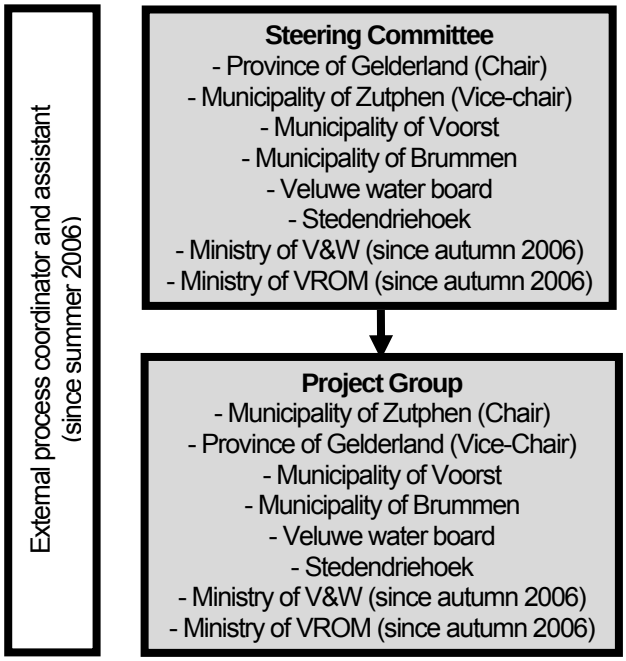

Figure 4.7: Initial IJsselsprong organisation (2006)

For a time, the roles of both V&W and VROM were unclear: representatives from both ministries attended the IJsselsprong meetings, but their roles in the project were not defined. After a collective discussion, the Steering Committee (including both ministries) decided that both ministries should participate in the IJsselsprong project, but only in a facilitating role. Both V&W and VROM facilitate through their process experience and their administrative network and they also form the main link (exchange of data, information, choices, state of affairs, considerations, etc.) between the local and regional governments and the national government.

The remainder of this section describes the sequence and substance of events in the IJsselsprong project. First the legal procedures, the planning policies and the project planning are described, followed by the stakeholder and project actions, agreements and external

events. These last are described in chronological order to be able to present a logical and consistent description. These data are based primarily on observations as a non-participant at meetings of the Steering Committee (elected administrative representatives: 14 meetings) and the Project Group (civil servants: 20 meetings), and at information meetings with residents (4 meetings) during the period June 2006 - May 2007. Appendix 2 lists the attended project meetings. The initiative is reconstructed based on the stakeholder interviews. Further, project documentation is used in addition to the observations to describe the relevant policies and legal procedures, the time schedule and the actual agreements.

Sequence and substance of events

Legal procedures

The IJsselsprong project should operate according to several prescribed Dutch legal procedures. In this early phase of the project, the aim was to develop a Joint Spatial Vision [*Intergemeentelijke Structuurvisie*].This vision should serve as the legal basis for both the spatial planning and the water procedure. With the development of a Joint Spatial Vision, the project anticipated a revision to the Spatial Planning Act [*Wet op de Ruimtelijke Ordening*] that would come into force on 1 July 2008. Within this new Spatial Planning Act, a Spatial Vision had a stronger legal status and would not be an informal vision anymore. Developing a Spatial Vision would become the standard in the spatial planning procedures and could also be directly used as a basis for an exchange decision. Once the municipality councils of Brummen, Voorst and Zutphen had adopted the Joint Spatial Vision for the IJsselsprong, they could implement it in their Local Land Use Plans [*Bestemmingsplan*], as the legal procedures prescribe. Subsequently, implementation decisions [*uitvoeringsbesluiten*] for the IJsselsprong project could be taken, as the legal procedures also prescribe.

The flood protection measures that would be formulated in the Joint Spatial Vision were to be part of the national PKB. As described, originally the PKB prescribes two dike resitings and a spatial reservation for a bypass. To avoid having to implement these three flood protection measures, the regional stakeholders have to convince the national government to make an exchange decision in favour of the regional alternative before 1 January 2009. For a positive exchange decision, the regional alternative has to fulfil several extra requirements. Apart from the obvious requirement of achieving the prescribed water level reduction before the deadline in 2015, regional cooperation and co-financing in public-public or public-private partnerships are also needed. Indirectly these requirements also imply that any alternative should include a realistic planning and that its spatial quality needs to be higher than the spatial quality of the prescribed flood protection measures. In the event that a region or private parties develop a feasible alternative, the V&W and VROM (national government) finally decide whether to agree on an exchange decision and implement the regional alternative rather than the prescribed PKB measures.

If the exchange decision is favourable, the Veluwe water board and the municipality of Zutphen should take, based on an actualised Water Defence Plan [*waterkeringsplan*] and the

new Local Land Use Plan, a project decision [*projectbesluit*] before 1 January 2010. Besides a project decision of the Veluwe water board and the municipality of Zutphen, V&W has to take an investment decision. Subsequently, implementation decisions [*uitvoeringsbesluiten*] for the various parts of the IJsselsprong project have to be taken by the responsible government bodies.

Both in the spatial planning and the water management procedures, the Dutch legislation prescribes the execution of a Strategic Environmental Assessment [*PlanMER*], or SEA in short. A SEA is an evaluation of the impacts of policies or visions on the environment. In a later phase, the SEA should be followed by an Environmental Impact Assessment [*BesluitMER*], or EIA in short. An EIA should reflect over the environmental impact of a plan or project, and consider more environmental-friendly alternatives.

Besides following all these legal procedures, the project needs to obey Dutch and European legislation, e.g. public bodies have to develop policy in a legitimate and democratic way, have to organise public consultations to provide sufficient opportunities for the public to have a say in the strategy formulation process and have to operate according to European tendering procedures when putting a tender on the market.

Table 4.6: Main policies according to the stakeholders

National policies	▪ National Spatial Strategy [*Nota Ruimte*] ▪ National Spatial Planning Key Decision 'Space for the Rivers' [*Planologische KernBeslissing 'Ruimte voor de Rivier' -PKB*] ▪ Programme Infrastructure and Transport [*Meerjarenprogramma Infrastructuur en Transport -MIT*], since replaced by the Programme Infrastructure, Space and Transport [*Meerjarenprogramma Infrastructuur, Ruimte en Transport- MIRT*]
Regional policies and visions	▪ Regional Spatial Plan Gelderland 2005 [*Streekplan Gelderland 2005*] ▪ Regional Spatial Vision Stedendriehoek 2030 [*Regionale Structuurvisie Stedendriehoek 2030*] ▪ Network analysis Traffic and Transport Stedendriehoek 2006 [*Netwerkanalyse Verkeer en Vervoer Stedendriehoek 2006*] ▪ Spatial Development Vision Brummen [*Ruimtelijke ontwikkelingsvisie 'Ligt op Groen!'*] ▪ Spatial Development Vision Voorst [*Ruimtelijke toekomstvisie Voorst*] ▪ Housing Vision Zutphen 2007 [*Woonvisie Zutphen 2007*] ▪ Spatial Development Vision Zutphen 2020 [*Ontwikkelingsvisie Zutphen 2020]*

Planning policies

Besides the prescribed procedures, the planning policies and visions in the spatial planning and in the water field are also boundary conditions for the IJsselsprong project. As described, the initial aim of the IJsselsprong project is to develop a Joint Spatial Vision for the various spatial developments. Most of these spatial developments are elaborations of current

planning policies. The main policies and visions for the IJsselsprong project according to the stakeholders (Stuurgroep IJsselsprong, 2007b) are presented in Table 4.6. The project organisation perceived the various spatial policies as starting points for the IJsselsprong project.

Project planning

In Figure 4.8 the project planning for the IJsselsprong project (latest update July 2007) is presented, including the time schedule of relevant policies and legal procedures that influence the IJsselsprong project: the project planning down the middle, the PKB time schedule is to the left and other policy deadlines are to the right. In the remainder of this section the various elements of the project planning are described: in chronological order attention is paid to the activities, agreements and external events.

Activity: initiative (2004 - 2006)

The province of Gelderland and the municipality of Zutphen noticed in a number of external meetings and gatherings during 2004 and 2005 conflicting issues with their own regional spatial plan developments. These external meetings can be divided in two main streams: the parallel meetings of the Upper Rivers Steering Committee [*Stuurgroep Bovenrivieren*] -in short BOR- and the Stedendriehoek regional cooperation. The BOR meetings focus on water management, while the Stedendriehoek gatherings focus on spatial planning. Both sets are described in the following paragraphs.

In the period 2004 - 2006, the Dutch national government worked on the decision-making procedure for the PKB. Due to their participation in the BOR, some of the current IJsselsprong stakeholders (province of Gelderland, municipality of Zutphen and Stedendriehoek) were involved in the development of the PKB. In this regional cooperation process for water management, representatives of the provinces, municipalities and water boards in the Upper River area developed regional advice for the national flood protection measures in the PKB. This regional cooperation process was under the direction of the province of Gelderland. For the IJsselsprong area, the regional water advice corresponded, in general terms, to the flood protection measures later prescribed by the PKB. In the regional water advice, preference was given to flood protection measures that would have a large effect on water level reduction, would contribute to spatial quality and be regionally supported and cost effective. The difference between the regional water advice and the final PKB is that the PKB favours technical measures over spatial measures, such as a bypass, for financial reasons. (Stuurgroep Boven- en Benedenrivieren, 2005)

In the same period, the Stedendriehoek cooperation was established. In this liaison, the municipalities of Brummen, Voorst and Zutphen, and the province of Gelderland started to discuss regional spatial issues in the IJsselsprong area on regular basis. Where, in the PKB, the IJsselsprong area became a spatial reservation for a bypass, the same area was identified for urban expansion by the Stedendriehoek. Moreover, the municipalities of Brummen and Voorst were unsympathetic to the dike resiting prescriptions of the PKB.

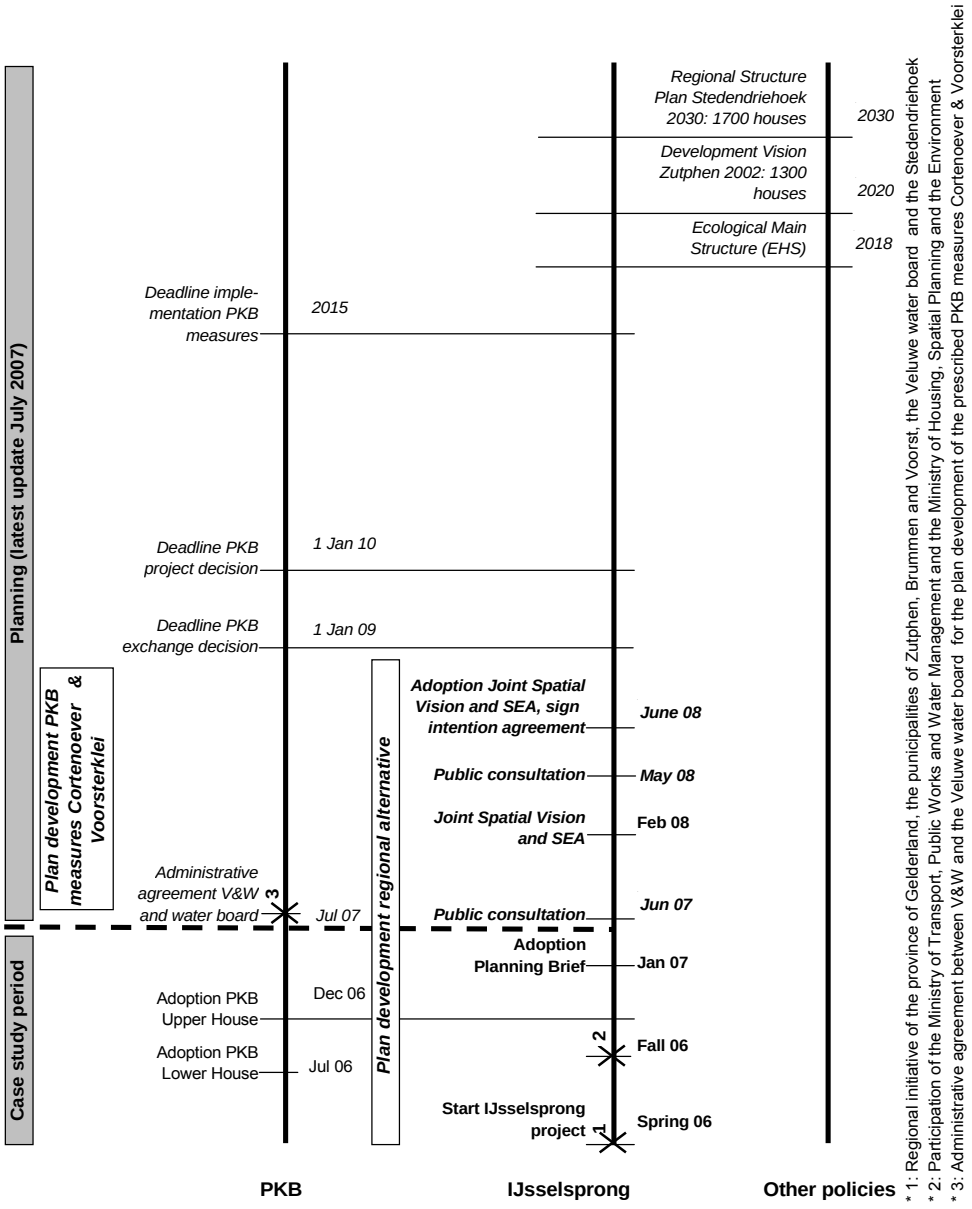

Figure 4.8: IJsselsprong project planning (middle), plus the time schedule of the national PKB (left) and other spatial policies (right) that influence it

Following both the BOR and the Stedendriehoek meetings, the province of Gelderland and the municipality of Zutphen ascertained these conflicting spatial issues and took the initiative for the IJsselsprong project with the aim to develop a regional alternative for the PKB.

Hence, in the period prior to the official approval of the PKB, they started to form a coalition of key stakeholders that were willing to participate in the development of a regional alternative. Their suggestion was to develop a bypass as a short term measure (so that its exact location is known) and develop it coherently with other spatial developments in the area. Possibilities for a bypass had already been explored in a Stedendriehoek relation (Vista, 2004) which showed opportunities for cost recovery effects when developing flood protection measures coherently with developing residential, industrial and recreation areas and when using the excavated land for clay extraction (Stuurgroep Boven- en Benedenrivieren, 2005).

The initiative by the province of Gelderland and the municipality of Zutphen resulted in the establishment of the IJsselsprong Steering Committee in the spring of 2006. Together with the municipalities of Brummen and Voorst, the Veluwe water board and the Stedendriehoek regional cooperation, the initiators started a regional cooperation process. The IJsselsprong Steering Committee operates alongside the official approval of the PKB and the plan development for the PKB flood protection measures.

Activity: Project Plan (Spring 2006 - July 2006)

The first action by the -then solely regional- IJsselsprong organisation was to collectively develop a Project Plan [*Plan van Aanpak*], which they completed in June 2006. The Project Plan describes in general terms the joint approach to developing a Joint Spatial Vision for the IJsselsprong (Stuurgroep IJsselsprong, 2006). The Project Plan focuses on the reasons, the general points of departure, the members and the structure of the project organisation, the tasks of the project members, a time schedule and the estimated process costs for the plan development. The cause is seen as the conflict between the nationally prescribed PKB and the desired regional spatial developments (urban development and solving infrastructural problems). The points of departure are a combination of the purpose of the effort (the various public goals) and the major limitations as prescribed by the PKB. The tasks of the project members are entered as the 'rules of the game'. The costs for realising the IJsselsprong project (excluding the real estate development and infrastructure in the new residential area) were estimated at €250 million.

Activity: Planning Brief (Summer 2006 - January 2007)

As a basis for the IJsselsprong Joint Spatial Vision, the key stakeholders also developed a Planning Brief [*Programma van Eisen*]. The points of departure were the earlier described local and regional spatial policies, as well as relevant national spatial and water policies. The Planning Brief describes the collective goals and interests of the stakeholders and the government framework in which the project should take place. The goals and opportunities are in the fields of housing, water, infrastructure, landscape and environment plus integrated area development. The key stakeholders had many discussions about the precise formulation of the goals. Tied to procedural deadlines, the IJsselsprong Steering Committee finally decided to distinguish in the Planning Brief between the 'administrative points of

departure' (requirements) and the 'goals and opportunities' (desires) in order to achieve a joint mission statement supported by all stakeholders. Given this distinction, the number of aspects that *should* be fulfilled by the project decreased significantly, and only contained political points of departure which all councils supported. The administrative points of departure are (Stuurgroep IJsselsprong, 2007b):

- Housing: compact urban expansion of Zutphen De Hoven with 3,000 houses;
- Water: flood protection by developing a bypass that fulfils the long term flood protection task set by the national government;
- Infrastructure: improving the traffic flow, safety and liveability along the N345 and N348 regional roads;
- Landscape and environment: develop a robust ecological zone between Brummen and Zutphen De Hoven and preserve and strengthen environmental, cultural-historical and archaeological values; and
- Integrated area development: achieve coherence between the various spatial developments in order to improve spatial quality.

These goals were formulated in the Planning Brief without stipulating time criteria. However, the PKB prescribes that the flood protection measures must be realised by 2015. The house-building task should be realised around 2020 - 2030. The infrastructural measures will be phased, following the progress in housing construction.

Besides the joint project goals and interests, a major aspect of the Planning Brief is to early and active involve private parties in the IJsselsprong project. According to the project organisation, the involvement of private parties will create opportunities for public-private partnerships (PPP) and improve and substantiate the financial feasibility of the project. The proposed procedure is the New Market Approach [*Nieuwe Marktbenadering*] as formulated in order of the Public-Private Infrastructure Taskforce (Rijkswaterstaat et al., 2006). The New Market Approach is a planning approach that converges the possible solution directions and the (accompanying) private parties in five phases towards the final solution. Each phase ends with a decision (both contents and process) by the project organisation. The New Market Approach can be seen as an interweaving process of the public process and the private tender.

Activity: collective Council meeting (20 September 2006)

In September 2006, the IJsselsprong organisation invited all local and regional councils for an information evening. The aim of this evening was to inform the councils about the IJsselsprong project, involve them in the plan development and create political support. The councils were not used to collectively being invited for a project. The IJsselsprong organisation consciously invited the various councils for a joint meeting in order to emphasise the *integrated* spatial task and to focus on the coherence. Many council members accepted the invitation but, during the meeting, most of them remained rather passive.

Activity: expert consultation (10 October 2006)

A 'creative consultation' with 14 academic and professional experts was organised by the IJsselsprong organisation in October 2006. Its aim was to identify critical project issues, essential elements in the Planning Brief, plus the risk and success factors for the IJsselsprong project. The two main issues that came up were a focus on the 'spatial identity' and '(spatial) quality assurance'

Activity: consulting and involving private parties (November 2006 - April 2007)

In November 2006, the IJsselsprong organisation organised two activities to consult and involve private parties. They organised a 'creative consultation' for private parties. About 75 people attended the meeting. The participants had many questions about the available data (public goals and interests), the organisation of the private involvement and selection criteria.

Further, the project organisation issued a tender for 'developing a tender guide based on the New Market Approach'. Although an early decision had been made to use the New Market Approach, the project organisation selected an adviser -AT Osborne- that argued for *not* using the New Market Approach. Instead they offered to develop a strategy 'How to involve the market'. AT Osborne saw two main dilemmas in using the New Market Approach (AT Osborne, 2006a): the feasibility of the planning and the commitment of the regional governments. According to AT Osborne, using the New Market Approach in the IJsselsprong project was impossible due to the early deadline for the PKB exchange decision in combination with the European tender rules for the construction of the bypass and other infrastructure. Further, they saw the (concept) Planning Brief as too general for private parties to use it as a basis for regional commitment to administrative agreements. Furthermore, legally it was not clear which 'development rights' (real estate, infrastructure, bypass etc.) or 'reward' could be offered in the tender. Since the national government, rather than the regional stakeholders, decide whether to make an exchange decision, it is uncertain whether a regional alternative can be implemented and thus whether the project will be continued beyond 2008. Moreover, it is not possible to award the right to develop houses and real estate in the case of 'third' landowners.

In their strategy, AT Osborne advised continuing to develop the Joint Spatial Vision, but without offering a private party the prospect of future development rights (AT Osborne, 2006b). The implication would be that private parties were less intensively involved in the development of the Joint Spatial Vision and thus a weaker type of PPP would be used, or maybe even the traditional approach.

After various strategy supplements and many discussions how to optimise the market involvement, the Steering Committee finally decided to use a more traditional approach and first develop a public vision. The boundary conditions described in the various AT Osborne reports could not be met. Instead, private parties should develop two or three financially feasible, spatial alternatives based on the Planning Brief. The output would be the basis for the development of the Joint Spatial Vision.

Activity: public consultations (November 2006)

The intended spatial developments in the IJsselsprong project would have large socio-economic impacts in the area. Therefore, the IJsselsprong organisation decided to consult the inhabitants of the IJsselsprong area early and involve them in the plan development by organising a public consultation in each of the three municipalities. In any event, public decision-making concerning key documents legally requires public consultation.

In addition to informing and updating citizens, political parties and interest organisations regularly, the IJsselsprong organisation also organised three 'creative consultations' for citizens: one in each municipality. The aim of the creative consultations was to gather creative and feasible ideas for the realization of the project goals and to develop a regionally supported plan. Inhabitants should know the area very well and be able to give useful field expertise. In the consultations, the participants were asked to think along actively and constructively in the process of vision development. Besides many questions, these meetings provided a host of points of interest and suggestions, such as the prospects for agriculture, alternatives to the dike resitings, consideration of seepage water, infrastructure considerations, etc. However, for most citizens, the IJsselsprong project was still an abstract idea rather than a visionary plan. The responses from the three 'creative consultations' were kept separate to be able to identify the local differences and possible 'not in my backyard' effects, or in short NIMBY effects. The main issues raised were included in the Planning Brief and, thus, will be taken into account during the development of the Joint Spatial Vision.

Activity: farmers information meeting (13 December 2006)

During the public consultations, there were many comments on the limited consideration given to agriculture in the IJsselsprong project. In response, an information meeting was organised solely for farmers. The aim was to identify their specific interests in order to be able to include these in the Planning Brief.

External event: New project manager (January 2007)

The hired project manager preferred a new assignment above prolongation. As a result a new project manager had to be hired.

Agreement: Planning Brief (January 2007)

The Planning Brief was officially adopted by the three local municipality councils in January 2007. In the provincial council, the Planning Brief was only treated as information.

Agreement: Advisory Board (January 2007)

In mid-2006, one of the project's intentions became to establish an Advisory Board. A list of possible interested citizen and interest organisations was made and an independent person was asked to be the chair. In January 2007, the Advisory Board met for the first time. About 30 local citizen and interest organisations were invited for this meeting and about 40 people from 16 organisations showed interest. For the following meeting, the number of people on the Advisory Board was reduced by only allowing one representative per organisation.

Standard, the Advisory Board discusses the same agenda topics as the Steering Committee, which it directly advises. Originally, the intention was that the Advisory Board offered advice solely on the development of the regional alternative. However, in May 2007, the Advisory Board agreed to advise on both the regional alternative and the prescribed PKB measures, given that they were strongly interwoven.

Activity: pre-meetings of the three municipalities (March 2007 - continuous)

In the first year, one of the main project issues was the formulation of project goals. The intention was to formulate an integrated project mission that would be in the interests of the region as a whole. In practice, most stakeholders strive to include their own goals and interests in the project. In many project meetings in the first year, the local governments would raise the issue of project goal formulation for discussion. Principally, these discussions between the municipalities were on the balance between stakeholders' inputs and benefits, and on the impact of individual goals on other individual goals or on each others space. Since these local disputes slowed the project meetings and did not contribute to creating the strong regional impression that the national government was demanding, in March 2007 the three municipalities started to discuss their local issues in pre-meetings. Moreover, the municipality of Zutphen gave up its vice-chairmanship in the Steering Committee. After joint consultations, the chair of the Advisory Board was asked to be vice-chair of the Steering Committee also. The hope was that the IJsselsprong project could use his strong leadership capabilities and that, as an independent person, he could objectively chair the Steering Committee.

Activity: 'search directions' including public consultation (April 2007 - June 2007)

In April 2007, resulting from a direct request to three private parties combinations, the combination H+N+S Landschaparchitecten, Palmboom & Van den Bout Stedenbouw-kundigen[2] and DHV received the contract to develop 'search directions' [*zoekrichtingen*]. These search directions were the first step in developing a Joint Spatial Vision for the IJsselsprong project. The search directions indicate the main options for the future river system and an outline for the housing development, the infrastructure and the landscape.

In June 2007, three alternative search directions were presented in several public consultations: 'a large water stream in front of Zutphen', 'a new river stream' and 'hidden bypass'. The citizens were asked to indicate their preferred solution direction on a question form. In total 344 people responded and indicated their preferences on various topics (water, housing construction and infrastructure) and their preferred overall solution. More than half of the citizens (53%) preferred the option 'a large water stream in front of Zutphen'. Also, all the sub components of this option scored far better than those of the options 'a new river stream' and 'hidden bypass'. However, in contrast, 33% of the citizens identified the option 'a large water stream in front of Zutphen' as the worst solution. The preferences of residents were

[2] Since 2008, the former Palmboom & Van den Bout Stedenbouwkundigen has been active under the name Palmbout-Urban Landscapes

also analysed by sub areas. These scores were more spread, especially for the preferred overall solution. Also the scores for the worst overall solution were spread. Further, the results were analysed by citizen background, which also gave a spread of results, especially between the farmers and the other respondents (inhabitants, landowners, entrepreneurs and employees). (Stuurgroep IJsselsprong, 2007a).

Agreement: revised project organisation (May 2007)

Over the course of time, the Project Group became unable to deal with both the decision-making process and the contents of the IJsselsprong project. Therefore, in May 2007, the project organisation was extended with a 'working organisation', composed of six Task Forces and a central programme manager, see Figure 4.9. The tasks of the Steering Committee and the Advisory Board remained as before. The Project Group handed over the content aspects to the Task Forces and from then on focused solely on preparing the decision-making process. The six new Task Forces focus on the contents in the following areas: hydraulics, traffic and infrastructure, plan economy, environment and quality requirements, communication, judicial. As with the Project Group, civil servants from the stakeholders were positioned in the six Task Forces. The design of the Task Forces was such that each stakeholder has a 'linking pin' in the Task Forces. A 'linking pin' is a civil servant who has the additional task to inform their own organisation and administrative representative about progress and give feedback to the Task Forces about possible problems or diverging opinions. The creation of these matrix positions had two underlying reasons: the administrative representatives would be kept up-to-date and it would force the linking pins to think and act in an integrated way.

Activity: building block proposal (June 2007 - autumn 2007)[*]

As a basis for the Joint Spatial Vision, the IJsselsprong organisation started to prepare 'building blocks' based on political opinions, the 'Participation report', advice from the Advisory Board and additional research data. At the end of the case study period (July 2007), the intention of the project organisation was to combine the 'building blocks' into one general spatial plan. This 'building block proposal' needed to be accepted by the three municipality councils, the provincial council and the water council. Further, the 'building block proposal' should also form the basis of the SEA.

Activity: Joint Spatial Vision incl. SEA & public consultation (June 2007 - June 2008)[*]

The next planned action was to further refine the general 'building block proposal' into the actual Joint Spatial Vision. As a legal basis for any Joint Spatial Vision, Dutch legislation prescribes the execution of an SEA. The execution of the SEA is planned in parallel with the development of the Joint Spatial Vision. According to the project's planning (latest update July

[*] Planned activity, but after the observation period

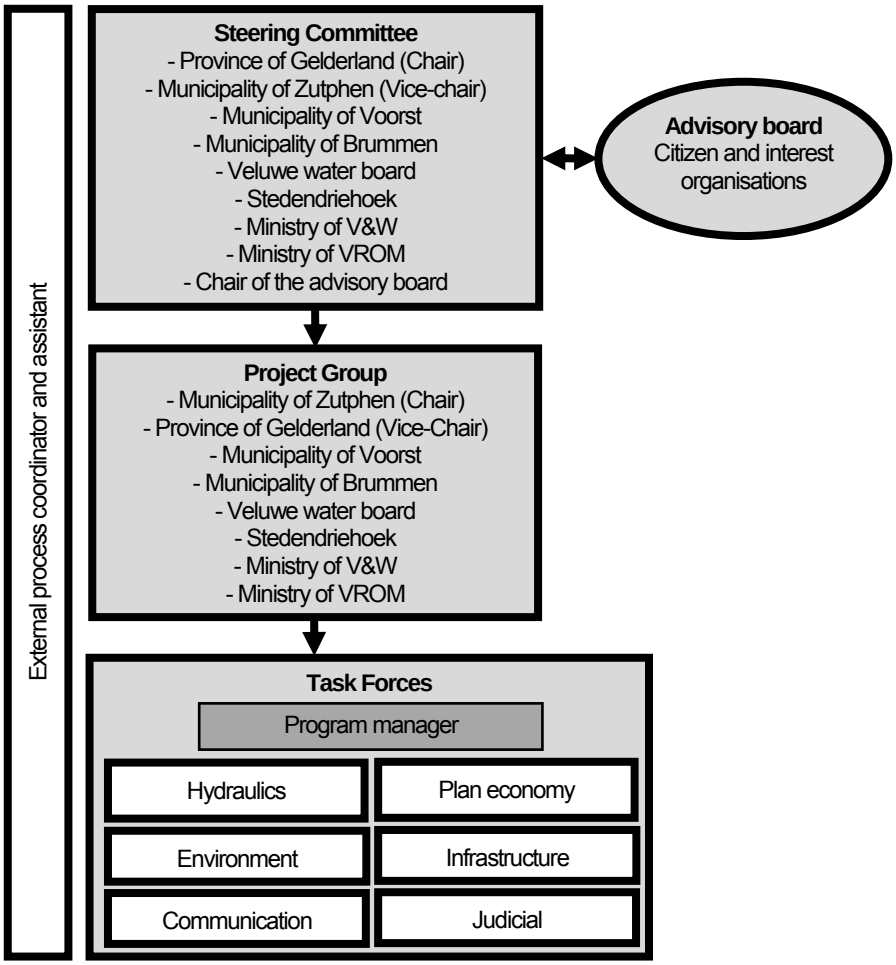

Figure 4.9: IJsselsprong organisation in 2007

2007), public consultation (as prescribed by law) on the Joint Spatial Vision will be organised in May 2008, and the various regional councils should hopefully adopt the Joint Spatial Vision in June 2008.

External event: administrative agreement between V&W and Veluwe water board (July 2007) *

Since the official PKB measures remain two dike resitings and a spatial reservation for a bypass, the water sector ought to be preparing for the implementation of these measures. To be able to decide between the prescribed PKB measures and the bypass (the regional alternative), the national government has asked for further research on both the PKB dike resitings and the bypass in order to obtain similar data levels. As the local water agency, the Veluwe water board will carry out this research. In order to organise the future development of the flood protection measures in the IJsselsprong area, either the dike resitings or the bypass,

V&W and the Veluwe water board signed an administrative agreement in July 2007. To avoid confusion about the participation of the Veluwe water board in the IJsselsprong project, V&W and the water board gave little publicity to make the administrative agreement public.

Agreement: intention agreement (planned for the summer 2008) [*]

Besides developing a Joint Spatial Vision, the IJsselsprong organisation also planned to sign a public regional intention agreement in the summer of 2008. By signing the intention agreement, the key stakeholders will officially commit themselves to the IJsselsprong project. As well as providing a regional budget for the IJsselsprong project, commitment by the regional stakeholders is an important issue for the national government in deciding whether to agree to an alternative plan.

External event: exchange decision (at latest 1 January 2009) [*]

As described earlier, the implementation of a regional alternative instead of a prescribed PKB measure requires an exchange decision [*omwisselbesluit*] by the national government. V&W, in deliberation with VROM, has to decide whether to agree to such a switch from the prescribed flood protection measures to the regional alternative. The deadline for making an exchange decision is 1 January 2009[3].

At the start of the IJsselsprong project the criteria for an exchange decision were not clear to the stakeholders. Only the general criteria (meeting the national flood protection task, financial feasibility, regional commitment, increased spatial quality) were known. Criteria concerning the flood protection task, such as the hydraulic and hydrological requirements, were not yet available. The PKB came official into effect in December 2006, almost one year after the start of the IJsselsprong project. After that V&W started to further define the exchange decision criteria. In the meantime, the project organisation had to base there considerations on the calculations that were made for the PKB. However, in the meantime the calculation principles of V&W have changed and a new water model has become into use. As a consequence, also the outcome of the calculations has changed.

Agreement: project decision (at latest 1 January 2010) [*]

The next PKB deadline is the project decision [*projectbesluit*], the deadline for which is 1 January 2010. In combination with this project decision, V&W will take an investment decision. If the decision is in favour of the local plan for a bypass, the national government will appoint the Veluwe water board and the municipality of Zutphen to take a project decision. Their project decision should be based on the Water Defence Plan [*waterkeringsplan*] and the Local Land Use Plan. (Ruimte voor de Rivier, 2006)

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[*] Planned activity, but after the observation period

[3] In December 2008, V&W decided not to take a PKB exchange decision because the regional alternative would not meet the required water level reduction in 2015 (Kamervragen VenW/DGW 2008/2097). Subsequently, in June 2009, the Steering Committee IJsselsprong proposed V&W to develop the two dike resitings in combination with the favourable regional alternative. At the time of finishing this thesis, the national government had not yet decided.

Finally, the deadline for implementing the PKB measures is by 2015. The other parts of the IJsselsprong integrated area development plan do not have to be realised at that time. Their deadlines depend on local and regional decisions. For the implementation of the various spatial developments, first the Regional Land Use Plan of Gelderland and the Local Land Use Plans of the three municipalities should be adapted and subsequently implementation decisions [*uitvoeringsbesluiten*] should be made.

This section has described the second characteristic of the plan development process: the interaction process. The next section describes the third characteristic: the contextual factors.

4.2.3. Contextual factors

The IJsselsprong project has to deal with many contextual factors, i.e. external factors the project organisation cannot control. In interviews, each stakeholder was asked for their views on the contextual situation and for trends the project organisation should monitor in their view. Table 4.7 presents the contextual situation factors, and Table 4.8 the contextual trends for the IJsselsprong project according to the stakeholders.

According to the stakeholders, the political, economic and physical environment situation and trends could have the largest impacts on the IJsselsprong project. Especially 'political support from the councils', 'political discussions, trends and senses of urgency' and the 'status of the economy (rising or falling)' are mentioned as important contextual factors. All the stakeholders identify the technological situation and trends as having by far the least impact. Moreover, it is striking that almost all stakeholders first mention the physical environmental factors '(threatening) flood' and 'climate change' and 'political discussions' only follows at a later stage. However, when indicating the contextual factors that has the most impact, most stakeholders exclude these two physical environmental factors and indicate them as an option for 'political discussions' in second instance, which they subsequently indicate as having large impact.

Table 4.7A: Contextual situation factors according to the stakeholders concerned

Contextual situation	
Political	▪ Support from local and regional executive boards and councils ▪ Support from national government ▪ Political support: the level of support influences finances, deadlines ▪ Political changes: elections (local, regional and national) ▪ Political discussions and sense of urgency ▪ Discrepancies between government layers, e.g. in the PKB the national government focus is mainly short term, but the focus of the regional governments in the IJsselsprong project is long term ▪ Discharge division at the water junction of the River Rhine ▪ European directives ▪ The approach of the Rhine river basin

Table 4.7B: Contextual situation factors according to the stakeholders concerned (continued)

Contextual situation	
Political (continued)	▪ The approach of the Rhine river basin ▪ Stedendriehoek agreements: e.g. on house development ▪ Balance constructions: e.g. in case the actual housing need differs from the prognoses (willingness to add or subtract something) ▪ Regional infrastructural decisions (A1 motorway) ▪ Political discussion in the event the three municipalities disagree: national and regional responses
Economic	▪ Rising / falling economy ▪ Availability of subsidies: e.g. additional natural gas profit ▪ Actual housing needs / prognoses for the next 20 years (interest, economy rise/fall) ▪ Number and quality of other spatial projects that compete for finances/ subsidies ▪ Prices in the construction market
Social	▪ Support from residents ▪ Support from interest groups ▪ Image of reliable government ▪ Agriculture and business investments in the area
Techno-logical	▪ Technological knowledge on bridges/viaducts ▪ Technological knowledge on bypasses
Physical env.	▪ Threat of flooding

Table 4.8: Contextual trends according to the stakeholders concerned

Contextual trends	
Political	▪ Political trends and senses of urgency: current relevant trends are sustainability, climate and area development
Economic	*No trends indicated*
Social	*No trends indicated*
Technological	*No trends indicated*
Physical env.	▪ Climate change

In addition to the contextual situation factors mentioned by the stakeholders, other major contextual situation factors were also identified while observing the project meetings. These factors are presented in Table 4.9. Such factors are only included when they were discussed repetitively by the stakeholders. During the observations, no additional contextual trends were identified, see also Table 4.10.

Table 4.9: Additional contextual situation factors identified while observing

Contextual situation	
Political	▪ New legislation; e.g. the jurisprudence of Arroux and Vathorst, the new Spatial Planning Act that became effective on 1July 2008 ▪ The network the stakeholders operate in; political support ▪ Political experience of Public Private Partnerships (PPP)
Economic	▪ The network the stakeholders operate in; financial support ▪ Financial experiences with Public Private Partnerships (PPP)
Social	▪ Image of the project compared to comparable projects: e.g. the progress of other projects (e.g. IJsseldelta Zuid, Kampen), the influence of external publications (e.g. the book 'Bouwen aan nieuwe rivieren' ['Developing new rivers'] of the Innovation Network, with various scenarios, costs and profits of several projects, including an imaginary IJsselsprong project) ▪ Media attention ▪ Activities and image of interest groups
Technological	*No additional situation factors indicated*
Physical env.	*No additional situation factors indicated*

Table 4.10: Additional contextual trends identified while observing

Contextual trends	
Political	*No additional trends indicated*
Economic	*No additional trends indicated*
Social	*No additional trends indicated*
Technological	*No additional trends indicated*
Physical env.	*No additional trends indicated*

Based on the interviews and the project observations, the political situation and trend factors are identified as the main contextual factor that the stakeholders adjust to in their strategy, followed by the economic situation factors. Unlike the technological factors that were not discussed at all during the case observation period, the level of support from residents and interest groups (social situation) were increasingly discussed during the observation period.

This section has described the third characteristic of the plan development process: the contextual factors. The next section describes the fourth and final element: the perceived performance.

4.2.4. Perceived performance

The performance of the planning approach used in the IJsselsprong project is measured by assessing its perceived performance. In interviews, each stakeholder was asked to score and substantiate the performance of the planning approach using a five-point Likert item: with 1 as bad and 5 as excellent. In Table 4.11, the perceived performance scores of the IJsselsprong project are presented for each stakeholder. Moreover, the performance of the planning

approach was analysed during the observations as a non-participant. By observing the behaviour and attitude of stakeholders during the project meetings, a value judgement could be given on the planning approach performance.

Table 4.11: Perceived performance as assessed in the spring of 2007

Stakeholder	**Perceived performance planning approach**
Province of Gelderland	4
Municipality of Zutphen	4
Municipality of Brummen	3
Municipality of Voorst	3
Veluwe water board	4
Stedendriehoek	4
VROM	4
V&W	4
Average performance	3.8 (out of 5)

As shown in Table 4.11, all stakeholders were satisfied with the planning approach. The average score for its perceived performance was 3.8 out of 5. There were no extreme scorings. Most stakeholders scored the planning approach with a 4 (good). Only two local stakeholders scored the planning approach with a 3 (average). Based on the case observations, both these local stakeholders can be seen as parties with limited power in project compared to the others. It was observed that it was particularly the local stakeholders that started many discussions about including their individual interests in the project goals, the impact of these project goals on each others' geographic areas and the balance between their inputs and benefits.

In the interviews, the stakeholders were also asked to clarify and illustrate their scoring. Most stakeholders were not able to indicate specific strong or weak aspects in the planning approach. In general, the stakeholders said they were satisfied and had a positive impression of the planning approach. Most stakeholders (6 out of 8) used this general remark as their main argument for their score. Other arguments that were given were in particular relativistic arguments, such as 'it is a searching process' (3 out of 8), 'the time pressure dominates the planning approach' (3 out of 8) and 'the planning approach is flexible enough to avert threats' (1 out of 8). These arguments might wrap an acceptance of a certain number of hiccups in the process without frustrating the stakeholders. Regional cooperation in the IJsselsprong project is seen as their last opportunity to create a united front against the national flood protection policy. Since the prescribed measures conflict with their own spatial plans and visions, the regional stakeholders feel a *sense of urgency* in avoiding the implementation of the prescribed PKB measures in the IJsselsprong area by developing a joint and holistic regional alternative. Also in the case observations, this level of legitimacy given to hiccups

was observed. Even though there were some serious conflicts between various local interests, the stakeholders proceeded to discuss and search for a shared and integrated spatial vision. The individual interests in successfully and collectively developing a regional alternative *before the PKB deadline* were high.

Moreover, the stakeholders indicated that the interactions among the various stakeholders was good and said that the interactions had improved during the first year (6 out of 8), especially since the introduction of pre-meetings between the three municipalities (3 out of these 6). It was observed that, during the project, the stakeholders were getting to know each other better and started to build trust relationships. That is, they were growing towards each other, administratively and to some extent also politically. The national government bodies also mentioned in their interviews that the regional stakeholders were growing administratively closer. They experienced this as positive progress, but also emphasised that it was no indication for the decision-making by the councils in this stage of the project. Further, the higher-tier governments emphasized the importance of strong relationships between the project organisation and the administrative representatives. According to them, the administrative representatives in particular should both indicate and respond to contextual changes that could either positively or negatively influence the IJsselsprong project.

According to the stakeholders, interactions between the civil servants and their executives were also good (5 out of 8). The regional stakeholders identify the interaction between the regional parties as good, and the interaction with the national government as 'good, but more difficult'. Their argument for this difference is that the national government has a different position in the project (until the PKB exchange decision has been taken) and that the '*rules of the game'* with the national government were unclear. The national government bodies also identified the interaction as good, but emphasized the need to demonstrate stakeholder *commitment* and strong *regional support* for the joint plan. The many discussions between the three municipalities in the first year undermined this impression, as did the lack of a covenant and the allocation of a substantial regional implementation budget.

Stakeholder suggestions to further improve the planning approach were:

- Pertinent and accurate coordination between the project organisation and the institutional decision-makers (councils) (4 out of 8);
- Make better use of existing strong leadership qualities and capacities, e.g. the strong capabilities of the Advisory Board chair (3 out of 8);
- Use of a more strategic approach to reconcile the three municipalities (3 out of 8), and give higher-tier governments a mediation role (3 out of 8);
- More active networking by the stakeholders (3 out of 8);
- Well-defined and accurate external communication (2 out of 8);
- Create clear rules of the game with the all stakeholders (2 out of 8); and
- Inform local decision-makers in a more collective way to intensify their integrated perspective and reduce the promotion of their own agendas (1 out of 8).

Except for the few described relationships, no other relationships were indicated between the type of arguments used and the authority level or type of stakeholder goals.

This section has described the final element in the plan development process. The following section describes the extent to which the planning approach was strategic.

4.3. Strategic planning in the IJsselsprong project

In the previous sections, the plan development of the IJsselsprong project has been extensively described. This section describes the extent to which this plan development has been carried out strategically, based on the strategic planning process proposed by Bryson (2004). Figure 3.2 illustrates this model. First, it was investigated *whether* and *how* the ten strategic planning process steps were applied in the IJsselsprong project during the period June 2006 - July 2007. Then, it was investigated whether the steps were used in the sequence that Bryson deliberately places them.

Step 1: Initial agreement

The first step in the strategic planning process is developing an initial agreement. According to Bryson's model, this initial agreement should cover the purpose of the effort, who should be involved and the ways in which they should participate, the preferred steps in the process, the form and timing of reports, the commitment of the resources necessary for proceeding with the effort and any important limitations on the effort.

The incentive for the IJsselsprong project was the identification of conflicting spatial issues between some national and regional plan developments. The province of Gelderland and the municipality of Zutphen initiated the IJsselsprong project with the purpose of developing a holistic regional alternative to the nationally prescribed PKB flood protection measures, coherently with other spatial developments in the IJsselsprong area. To achieve this purpose, they established a public coalition. Initially, this coalition comprised only the local and regional key stakeholders: the province of Gelderland, the municipalities of Zutphen, Brummen and Voorst, the Veluwe water board and Stedendriehoek. These six key stakeholders started to participate in the IJsselsprong meetings based on a common sense of urgency: to avoid the implementation of the prescribed PKB measures and to develop a regional alternative that also included the other desired spatial developments in the area. After about half a year, V&W and VROM also joined the coalition. For both these national stakeholders, the purpose of participating was not to avoid the implementation of the PKB measures, but to achieve added value (e.g. spatial quality, sustainability). Their participation was important for the regional stakeholders because both ministries are key decision-makers: among other decisions, they will make the exchange decision between the prescribed PKB measures and the regional alternative. With their participation, national strategic issues can better be considered and thus the likelihood of the exchange decision being favourable increased. Moreover, the

involvement of national public stakeholders is important in obtaining national financial contributions since the IJsselsprong project will implement elements of several national policies (e.g. parts of the National Spatial Strategy, the water management policy of the PKB and regional infrastructure developments of the MIRT).

The public key stakeholders collectively developed a Project Plan, which they completed in June 2006. This joint plan describes the reason, the points of departure, the members and structure of the project organisation, the process steps to be taken, a time schedule and the estimated process costs for plan development. The points of departure are a combination of the purpose of the effort and the main limitations on this effort. In terms of strategic planning, the Project Plan can be seen as the initial plan that Bryson (2004) suggests as a basis for the initial agreement. The Project Plan includes all elements that an initial agreement should cover according to his model. However, the IJsselsprong Project Plan is treated as an internal report and was not formally adopted by the various councils. Nevertheless, the estimated costs were talked through with the various executive boards, since budget reservations were required. Despite their active participation and the collective development of a Project Plan, the key stakeholders did not formally agree or commit themselves to the IJsselsprong project. They could still leave the project in this stage. Also during the observation period, no formal agreement was achieved. According to the project planning, an intention agreement would be signed about 2.5 years after the start of the project (June 2008). By signing this intention agreement, the stakeholders would formally commit themselves to the IJsselsprong project.

Step 2: Mandates

The second strategic planning process step is to identify the organisational mandates. The IJsselsprong organisation has to deal with many such externally imposed formal and informal mandates, such as legal procedures, public policies, mandates of decision-makers and mandates of the public arena. These mandates are considered carefully in the IJsselsprong project. Most of the mandates follow from regulation. As described earlier, spatial planning in the Netherlands is highly formalized, resulting in many formal mandates. Since the IJsselsprong project covers various policy sectors, it has to comply with the many legal procedures of all these policy sectors, see also Section 4.2.2. Initially, it was not clear to the project organisation how to combine all these legal procedures, since they were not always unambiguous. Many discussions were held on how to efficiently coordinate the legal water procedures with the legal spatial procedures in order to be able to achieve the deadline for the exchange decision. Major issues were: 'which parties have to adopt what type of documents?' and 'what is the legal basis for the spatial procedures: is the legal basis of the regional alternative at the local level and therefore incorporates a joint plan of the three municipalities, or is it at the regional level and requires a structural plan from the province of Gelderland?'

Further, many discussions were held about the legal limits of the European tendering procedure. The regional public stakeholders wanted to actively involve private parties in the

plan making process of the IJsselsprong project. The belief was that early involvement by private parties might create possibilities for creative and innovative ideas and lead to an optimal spatial plan (both in terms of product and finances). However, private participation in spatial planning is restrained by the European tendering procedure. In integrated area development projects, such as the IJsselsprong project, multiple types of works (e.g. public works and commercial real estate) are planned, which have to comply with the European tendering regulations. After discussing the options, and above all the restrictions, of the European regulations for an integrated approach for more than a year, the project organisation decided to use a more traditional approach without any contractual obligations to private parties. Instead of the intended Public Private Partnership (PPP), they asked a cooperation of three private parties to develop three financially feasible, spatial alternatives based on a Planning Brief.

Besides identifying the administrative rules and authoritative commands, the project organisation also attempted to identify the informal mandates of the decision-makers and thus, indirectly, of the public arena. In the IJsselsprong Steering Committee, the representatives structurally gave feedback from relevant council discussions in an attempt to provide the project organisation with information about the somewhat informal mandates of councils, such as norms and expectations. In general, these informal mandates related to strategic issues in the external decision-making process, such as the inclusion of the administrative point of departure in developing a green buffer zone between the new residential area and the village of Brummen in the Planning Brief. They further define (at times limit, at times broaden) the negotiation space in terms of project goals, implementation, cooperation etc.

Step 3: Mission

The third step should be to clarify the project's mission and values. The key stakeholders in the IJsselsprong project carried out an internal stakeholder analysis as the basis for developing a joint mission statement. For each partner, they identified the project goals and their political points of departure. At the high and abstract level of 'develop an integrated regional alternative', all the stakeholders agreed. However, achieving a more specific formulation of the mission, that could be supported by all stakeholders, was a long process of negotiation, communication and deal-making. A complicating aspect in the public cooperation process was that the officials in the Steering Committee did not have the power to take final decisions themselves. The final decision-making takes place externally, in several public institutional settings: the individual councils have to take the final key project decisions. However, since the councils are less intensively involved, they are also less committed to the project. Moreover, they are tied by political decisions, and are not directly involved in the project negotiations between the various stakeholders and, therefore, have a less integrated perspective. Tied to procedural deadlines, the IJsselsprong Steering Committee finally decided to distinguish in the Planning Brief between the 'administrative points of departure' (requirements) and the 'goals and opportunities' (desires) in order to achieve a joint mission

statement that could be supported by all stakeholders. Given this distinction, the number of aspects that *had to* be fulfilled by the project decreased significantly, and only contained political points of departure which all councils supported. The status of the other aspects was reduced to 'project opportunities' which then did not give cause for rejection of the formulated mission. Consequently, the adopted project mission remained rather general and abstract, and was not as sharp and concrete formulated as the project organisation intended.

The project organisation paid a lot of attention to the internal stakeholder analysis, but hardly put any effort into an external stakeholder analysis. However, they did establish an Advisory Board and therefore they identified potential members. After their identification, these external stakeholders were invited to participate in the Advisory Board. Their goals, interests or success criteria were not identified, and thus, also not incorporated in the Planning Brief. However, during the approval of the Planning Brief, attention to social sustainability and agriculture turned out to be a strategic issue. As a response to council requests, these two issues were incorporated in the Planning Brief.

Step 4: Assessment of external and internal environments

The fourth step involves assessing external and internal environment analyses. During the observation period, external environment analyses were carried out concerning the interests of the private market and changes in public policies. Further, a SEA was planned to be carried out within a year. The Dutch legal procedures prescribe an SEA, and thus it is also a mandate. In practice, the Dutch planning system prescribes many procedures, formal rules and informal standards that oblige any project organisation to take external factors into account, e.g. an Environmental Impact Assessment, a Water Assessment and requirements regarding safety, noise and air pollution. Further, an Advisory Board of citizen and interest organisations was installed and, by doing so, the project organisation indirectly monitored the interest of most of the relevant external stakeholders. Moreover, some threats and opportunities were informally discussed in the project meetings, e.g. the threat of public misinterpretation caused by the publication of a book with various scenarios, costs and profits of several projects, including an imaginary IJsselsprong project (see InnovatieNetwerk, 2007). To summarise, the IJsselsprong organisation did structurally identify most external factors by obeying the many mandates and installing an Advisory Board.

Except for the prescribed SEA scenarios, the project organisation did not develop other scenarios to anticipate possible external developments.

In contrast to the significant attention paid to the external environment, the project organisation did not carry out an internal analysis and even did not discuss it as an option or issue. Based on the observations, it can be argued that an extensive internal analysis could be confrontational and most likely would harm mutual trust and thus the project's progress. Even though there was no explicit identification of strengths and weaknesses in the IJsselsprong project, some internal weaknesses were mentioned during the project meetings including the

change of the project manager, the risk of a weak impression of regional support due to conflicting issues between the three municipalities and the slow development of the communication plan.

Step 5: Strategic issues

The fifth step is to identify strategic issues, based on the previous steps. The IJsselsprong organisation did identify barriers relating to legal procedures and regulations (mandates) such as procedural deadlines for the exchange decision and the project decision and limitations on involving private parties. Principally, much attention was given to project planning: the legal procedures were carefully identified by the mandate, and used as prescribed process steps. However, given the absence of an internal environment analysis, there was no confrontation between the external and internal environments to identify strategic issues. As a result, only the strategic issues concerning mandates, external stakeholders' opinions and the environment were structurally identified. Other strategic external issues, and the internal issues, were mainly dealt with on an ad hoc basis using the experiences of the external process manager.

Step 6: Strategy formulation

Following the strategic planning process, strategies should be developed to deal with or solve strategic issues and achieve the project's ambition. The ambition in the IJsselsprong project is to achieve an external exchange decision in favour of the regional alternative and therefore to develop a Joint Spatial Vision. The main strategy is based on the coordination and following of legal procedures (mandates). As described earlier, the legal procedures are used as prescribed process steps.

Moreover, to identify political and public opinion, three spatial scenarios were developed and presented in June 2007. Based on public opinion and political decision-making, a 'preferred spatial alternative' would be developed by combining preferred elements of the presented spatial scenarios (planned for autumn 2007). The project organisation did not identify alternatives for the process or other strategic issues.

Since the IJsselsprong organisation had identified only selected types of strategic issues (concerning mandates, external stakeholder's opinions and the environment), other types of strategic issues (e.g. internal issues) have to be mainly solved on an ad hoc basis using the experience of the process manager, instead of first identifying alternatives and implementation barriers and then formulating a strategy to deal with them.

Although the IJsselsprong organisation only carried out certain actions according to the external and internal environment assessment and the identification of strategic issues (steps 4 and 5), they did develop a coherent strategy (step 6) through their attempt to efficiently coordinate the many legal procedures and use them as prescribed process steps. In terms of strategic planning, this strategy does outline the project organisation's response to the fundamental challenges it faces.

Step 7: Adoption of the strategic plan

The Project Plan was not submitted for formal adoption to the councils, but used as an internal report. Subsequently, a Planning Brief was submitted to the three municipality councils. To be adopted, the plan needed to address the issues the key decision-makers thought were important. Since the political representatives had given feedback on relevant council discussions during Steering Committee meetings, the project organisation could address the key issues of the decision-makers in the Planning Brief. This feedback provision can be seen as a form of negotiation, with the decision-makers and between the various stakeholders. Finally, in order to gain more support for the Planning Brief, and thus to get it adopted, the project organisation decided to distinguish between 'administrative points of departure' (requirements) and 'goals and opportunities' (desires). Further, for the same reason, several topics were less strictly formulated, and the topics of 'social sustainability' and 'focus on agriculture' were added.

Step 8: Establish an effective organisational vision

In the eighth step of the strategic planning process, the organisation should develop a description of what it should look like once it has successfully implemented its strategies and achieved its full potential. The project organisation did not identify success criteria for the IJsselsprong project. Only indirectly (articulated during project meetings; never documented) did the key stakeholders develop a 'vision of success'. This is a 'vision of success' in its simplest form, as two purposes to be achieved by the project organisation: 'achieve the desired exchange decision' in the short term, and 'sustainable and coherent development of the IJsselsprong area ['*in 1 keer goed*'] in the longer term.

Step 9: Implementation process

The ninth step is developing an effective implementation process. The IJsselsprong organisation did not consider the implementation aspects, or develop an implementation plan for the IJsselsprong project during the case study period. Instead they were focusing on the requirements for achieving a favourable exchange decision for their regional alternative. Until the national government makes its exchange decision, implementation of the regional alternative is by definition not permitted.

Step 10: Reassessment

In terms of the final recommended strategic step of the planning process, the IJsselsprong organisation did not reassess the developed strategy and the strategic planning process. As described above, the project organisation focused on achieving a favourable exchange decision and had not yet focussed on the implementation.

Conclusions on the extent of a strategic approach

Based on the previous sections, it can be concluded that most of the strategic planning process steps, as shown in Figure 3.2, were carried out in the first year of the IJsselsprong project. However, the steps were carried out with various levels of thoroughness. The project

organisation mainly focused on the 'initial agreement', 'mandates', 'mission', 'strategy development' and 'adoption of the strategic plan' steps (Steps 1-3, 6 and 7). Steps 4 and 5, 'external and internal environmental assessments' and 'identification of strategic issues', were selectively executed with a focus on the external issues. The 'organisation in the future', 'implementation process' and 'reassessment' steps (Steps 8-10) were hardly touched upon by the project organisation. A plausible explanation for this finding is that the IJsselsprong project was only studied during its first year and still has many years of plan development and implementation ahead.

In general terms, the IJsselsprong organisation has carried out the strategic planning process steps in the sequence recommended by Bryson (2004). However, at the same time, the plan development process is characterised by many iterations at the executive level. As an illustration: the incentive to set up the IJsselsprong project was the identification of conflicting spatial issues (Step 5). After this project initiation (part of Step 1), the project organisation focused especially on the conceptual formulation of a joint mission (Step 3), and also to an extent on the identification of the mandates (Step 2). Subsequently, they developed a Project Plan that consisted of a combination of these three activities (Step 1-3) and a planning schedule based on the formal mandates (Step 5-6). In terms of strategic planning, this Project Plan can be seen as an initial plan (part of Step 1), although no initial agreement was made based upon it. At this stage, the key stakeholders did not want to formally commit themselves to the project and planned to sign an intention agreement (also part of Step 1) only for after Year 2. Subsequently, they started to develop a Planning Brief, which included a more specific project mission (Step 3). These many iterations illustrate how these stakeholders typically rethink what they have done several times before making final decisions.

Finally, it should be noted that the IJsselsprong project organisation identified many formal mandates, which is not unusual for Dutch spatial planning. These many procedures dominate the IJsselsprong planning process and, in that sense, limit the possibilities for adopting a strategic approach.

4.4. Concluding remarks

The IJsselsprong project is an integrated area development project in which eight public stakeholders have to cooperate in planning various intertwined land use functions. The aim of the project was to develop a regional bypass alternative to the national PKB measures that would be taken in the area, and to coordinate this with other spatial developments in the same area. The project was initiated bottom-up, by a local and a regional stakeholder. Since the prescribed flood protection measures conflicted with their own regional spatial plans and visions, the regional stakeholders feel a sense of urgency in cooperating and developing a joint and holistic regional alternative. The regional public stakeholders are interdependent:

regional cooperation is their last opportunity to avoid the implementation of the PKB measures. Based on this sense of urgency, the regional stakeholders are willing to cooperate in the holistic and complex IJsselsprong project. Therefore, the regional public stakeholders start to develop a Joint Spatial Vision that should serve as the legal basis for both the required spatial planning and water procedure. After about a half year, after the adoption of the PKB by the Lower House, also the ministries of V&W and VROM started to participate in the IJsselsprong project to coordinate the development of the regional alternative with the national government's needs and requirements.

The plan development for the IJsselsprong project is dominated by the many prescribed legal procedures and is under huge time pressure, mainly because of national deadlines such as for the PKB exchange decision. Further, the project organisation also has to deal with many contextual factors. The political and economic situation and trends are identified as the main contextual factors that the stakeholders should take into account.

All the stakeholders were satisfied with the planning approach. The average perceived performance was 3.8 out of 5. For most stakeholders it was difficult to clarify their scoring. The most used argument (6 out of 8) was 'I have a positive impression of the planning approach'. The regional stakeholders saw the interaction between the stakeholders as good. The ministries also identified the interaction as good, but emphasized the need to demonstrate stakeholder commitment and strong regional support for the joint plan. On the one hand, the stakeholders would regularly act based upon their own interests, rather than the collective project goals and interests. On the other hand, all the stakeholders did participate actively in the IJsselsprong project: cooperation is seen as their last opportunity to realise their individual spatial goals in the IJsselsprong area. The urge for commitment was also observed in the project meetings. When developing the Planning Brief, the key stakeholders had many discussions about the precise formulation of the goals. Tied to procedural deadlines, the IJsselsprong Steering Committee finally decided to distinguish between the 'administrative points of departure' (requirements) and the 'goals and opportunities' (desires) in order to achieve a joint mission statement supported by all stakeholders. Further, strong leadership appears an issue. It was observed that all stakeholders supported the appointment of the external Advisory Board chair as vice-chair in the project organisation because of his strong leadership capabilities. Moreover, various stakeholders suggested to make better use of existing strong leadership qualities and capacities.

Further, it can be concluded that the IJsselsprong project is largely carried out in a strategic way. Most of the strategic planning process steps have been carried out, albeit at various levels of thoroughness. The focus was particularly on the first part of the strategic planning process (Steps 1 - 7), which is perhaps because the project was only studied during its first year. As is typical for Dutch spatial planning, many formal procedures were identified. These mandates are prescriptive and thus need to be followed. These prescribed procedures

dominate the IJsselsprong planning process and therefore are seen as prescribed process steps. In that sense they limit the options for adopting a strategic planning approach.

In general terms, the IJsselsprong organisation has followed the recommended sequence of strategic planning process steps. Nevertheless, the plan development process of the IJsselsprong project can, at the same time, be characterised by its many iterations and cyclic activities. Further, in contrast to the ideal point of departure in strategic planning, the stakeholders did not formally commit themselves to the IJsselsprong project, but planned for an intention agreement for after 2.5 years (June 2008). This is at a different point in the process than recommended in the strategic planning process model.

According to the theory, the strategic planning process steps should be followed if one is to successfully achieve a strategic plan development. The IJsselsprong organisation substantially carried out these strategic action steps, although they were constrained in their strategic approach by the many prescribed legal procedures. According to the theory, this can explain the good perception of the performance of the IJsselsprong planning approach. However, it is also argued that, during the period of performance measurements, the stakeholders were still in the process and, thus, had an incentive to be positive in order to continue the project and avoid stagnation. Thus, scoring the performance negatively, would indirectly question the project's legitimacy and thus their own participation in it. The individual interests in collectively realising a regional alternative are simply too high for raising such questions.

By deriving these insights in the IJsselsprong case the first step of the reflective cycle has been carried out for a specific integrated area development project and, related to this, that the second and third research questions have been answered for a specific integrated area development project. How the plan development process for the IJsselsprong project evolved and performed, as perceived by its stakeholders (**RQ2**), is described, as is the extent to which the plan development process was strategic (**RQ3**). In the next chapter, these two questions are repeated for a second case: the IJsseldelta Zuid project. One difference is that this second case is analysed after an initial agreement has been signed. The focus in the IJsseldelta Zuid project is on the strategic plan development and its dynamics after the initial agreement, but the period between the initiative and the initial agreement is also analysed retrospective. This partition of the two cases over the plan development phase makes both case analyses complementary.

Chapter 5. Exploring integrated area development: case IJsseldelta Zuid in Kampen

As with the previous chapter, this chapter addresses the empirical exploration of the plan development in an integrated area development project. This chapter describes this issue for the IJsseldelta Zuid project in Kampen. As a result, both chapters contribute to answering the second and third research questions: 'how does the plan development in an integrated area development project evolve and how do the stakeholders perceive its performance?' (**RQ2**) and 'to what extent is the plan development in an integrated area development project strategic?' (**RQ3**). By analysing the plan development of the IJsseldelta Zuid project in-depth over a longer period of time, insights will be generated into the interaction and decision-making processes between the stakeholders; into their dynamic goals and interests as individuals and as a group; into interdependencies; into the influence of contextual changes; and into the planning approach itself including its dynamics. Next, Chapter 6 addresses the actual diagnosis of problems in strategic plan development in integrated area development projects based on the derived insights from the explorative research.

The IJsseldelta Zuid project was studied in-depth for a year during the period March 2007 - March 2008. In the IJsseldelta Zuid project, the observation period corresponded with the plan development stage, after an intention agreement had been signed. Relative to the IJsselsprong project described in Chapter 4, the IJsseldelta Zuid project is observed in a following stage of plan development and is thus complementary in the exploration of the plan development in integrated area development projects, see Figure 5.1. As described earlier, arguments to select the partition before and after achieving an initial agreement are to cover a substantial part of the early plan development phase, to reduce the risk of restricted data collection because of project failure and because strategic planning literature indicates the initial agreement as the first step of the planning process. To further specify this last argument, in terms of the strategic planning process (Bryson, 2004), the first step -an initial agreement- had been taken in the IJsseldelta Zuid project, the key stakeholders were identified and had shown commitment to the project and, moreover, had explored the content, process and context of the project (and therefore may have considered other strategic planning process steps). According to the literature (Olsen & Eadie, 1982; Bryson & Roering, 1988a; Bryson, 2004), such an initial agreement is an essential element of successful spatial planning. Stakeholders need to agree to do something about an undesirable situation. However, as the IJsselsprong project showed, it is difficult to achieve such an initial agreement, and many actions need to be taken before it is reached. Looking back at the -in this chapter described- IJsseldelta Zuid project, it took almost three years before the stakeholders signed an intention agreement.

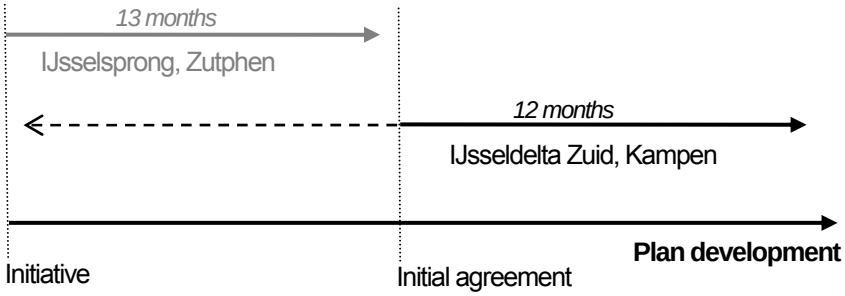

Figure 5.1: Data collection period in the IJsseldelta Zuid project

During the in-depth case study, 3 meetings of the Steering Committee (elected administrative representatives) and 8 meetings of the Project Group (civil servants) were attended, as were 2 information and participation meetings with residents. In addition, the documents of 18 Steering Committee meetings, 9 Project Group meetings and 2 information meetings for citizens were analysed. Further, all the key stakeholders in the IJsseldelta Zuid project were interviewed (12 interviews) and asked for their individual points of view. Moreover, all the documents, reports and policies used or produced by the project organisation were analysed. This document analysis and the interviews also cover some retrospective analysis of the plan development in the IJsseldelta Zuid project. Table 5.1 reports a summary of the data collection methods used in the IJsseldelta Zuid project. The observations focussed on the collective plan development process of the IJsseldelta Zuid project starting from the moment that the intention agreement was signed and including the development of a joint mission and vision, the interdependency, the interaction process, discussion issues, the cooperation structure, the project strategy, external events, actions and agreements. The interviews focussed in particular on the points of view of the individual stakeholders such as individual goals, resources, commitment, relevant context factors and perceived performance. Further,

Table 5.1: Summary of the data collection methods used in the IJsseldelta Zuid project

Data collection methods
- 13 meeting observations, including 3 observations of Steering Committee meetings, 8 observations of the Project Group and 2 observations of meetings involving citizens and politicians; - 12 interviews with the elected administrative representatives in the Steering Committee; - Document analysis of 29 meetings, including the document analysis of 18 Steering Committee meetings, 9 Project Group meetings and 3 other meetings; - Document analysis of 31 reports produced by the project organisation or by order of the project organisation; and - Document analysis of 16 related policies and reports.

the initiative phase (2004 - 2006) is reconstructed based on these interviews and on analysis of documents, reports and meeting documentation. Finally, the project documentation is used to describe the actual agreements and official arguments.

In the following sections, a detailed analysis of what actually took place in the IJsseldelta Zuid project is made, plus an analysis of the extent to which the project was carried out strategically. First, Section 5.1 presents an introduction to the IJsseldelta Zuid project. Then, Section 5.2 presents the general characteristics of its plan development process. More specific this section includes, in Section 5.2.1 a description of the stakeholders, including their backgrounds, project goals, resources and dependencies. In Section 5.2.2 the exploration of the interaction process, embracing the cooperation structure and the sequence and substance of events. In Section 5.2.3 the exploration of the relevant contextual factors that were identified in the IJsseldelta Zuid project and in Section 5.2.4 a description how its process performed according to the stakeholders. Next, Section 5.3 describes the extent to which the plan development of the IJsseldelta Zuid project was carried out strategically through reflecting on the IJsseldelta Zuid project in terms of the strategic planning process described by Bryson (2004). Finally, Section 5.4 provides some concluding remarks.

5.1. Introduction

As with the IJsselsprong project, the IJsseldelta Zuid project is also an integrated project combining spatial flood protection measures with various other spatial developments. Its project goals cover the fields of urban planning, rural planning, water management, infrastructure and the environment. The project covers an area of roughly 1,600 hectares situated south-west of the city of Kampen, between the River IJssel and the Lakes Randmeren, see Figure 5.2. Most of this area comes within the municipality of Kampen, but it spreads across into the municipalities of Dronten and Oldebroek. The hamlets of Kamperveen, De Zande and Noordeinde are also located in this thinly populated area. The majority of the plan area is located within the province of Overijssel and the remaining part within the province of Flevoland.

The IJsseldelta Zuid project started in November 2004 as the IJsseldelta project and at that time also covered the polders north and northeast of Kampen. Its main incentive was the conflicting spatial developments in one area. The initiation of the IJsseldelta project was a regional response to an invitation by the Ministry of Housing, Spatial Planning and the Environment (VROM) to suggest a 'model project for development planning' [*voorbeeldproject ontwikkelingsplanologie*] in combination with the intended implementation of the National Spatial Planning Key Decision 'Space for the Rivers' [*Planologische Kernbeslissing 'Ruimte voor de Rivier'*], or PKB for short. Due to major differences in goals, the project was splitted into two projects after a year: the IJsseldelta Noord national

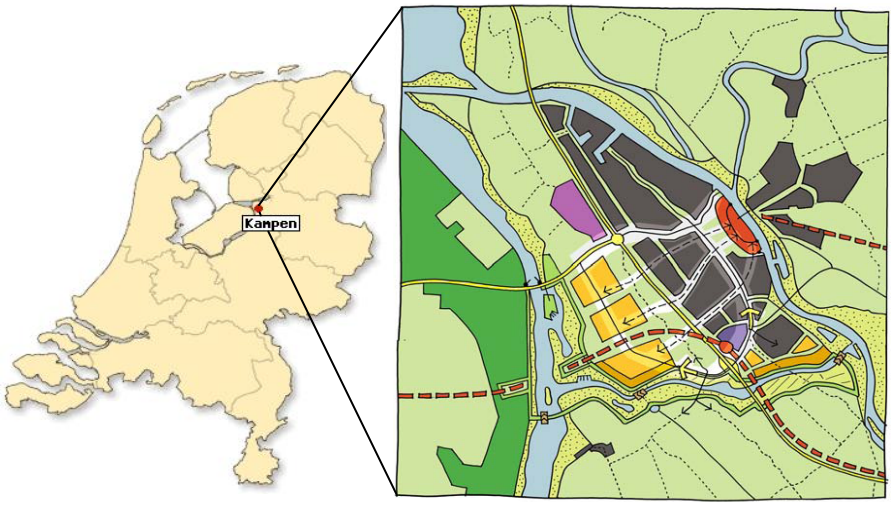

Figure 5.2: The plan area of the IJsseldelta Zuid project (IJsseldelta, 2006a)

landscape, and the IJsseldelta Zuid integrated area development. This thesis focuses solely on the IJsseldelta Zuid project.

As described already in Section 4.1, the two major goals of the national PKB are protection against river floods and improving spatial quality. Specific for the IJsseldelta Zuid area, the PKB prescribes river-bed dredging of the Lower IJssel to a depth of 1.5 m over 22 km in the short term, and a reserved spatial area for a bypass in the long term, see Figure 5.3. Also in this project, a bypass is defined as a meandering flood canal with high environmental and, if desired, also high recreational value.

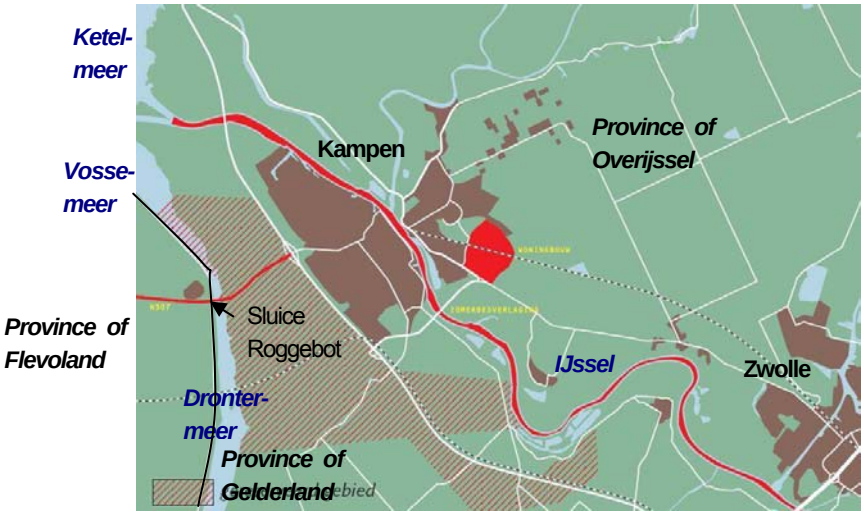

Figure 5.3: Prescribed PKB measures for the IJsseldelta Zuid area: river-bed dredging (red line) and a spatial reservation for a future bypass (hatched area)

Even though river-bed dredging can lead to negative environmental effects, in the PKB is chosen for the relatively cheap measure of river-bed dredging because of the available financial resources. However, the PKB also states that, from the perspectives of spatial planning and sustainability, a bypass is preferred over river-bed dredging. (Ruimte voor de Rivier, 2006) Therefore, the national government provides the option of 'exchanging' the prescribed river-bed dredging. This option for an exchange decision [*omwisselbesluit*] offers lower government levels and private parties the opportunity to develop a regional alternative to the prescribed PKB measures. The IJsseldelta Zuid project is such a regional alternative. The main reason for the region to develop the IJsseldelta Zuid alternative was to avoid the large spatial reservation for the bypass. This spatial reservation would block the area from any urban development, and the region has several of its own spatial development goals in this area. Figure 5.4 shows an overview of the national PKB versus the regional IJsselsprong alternative.

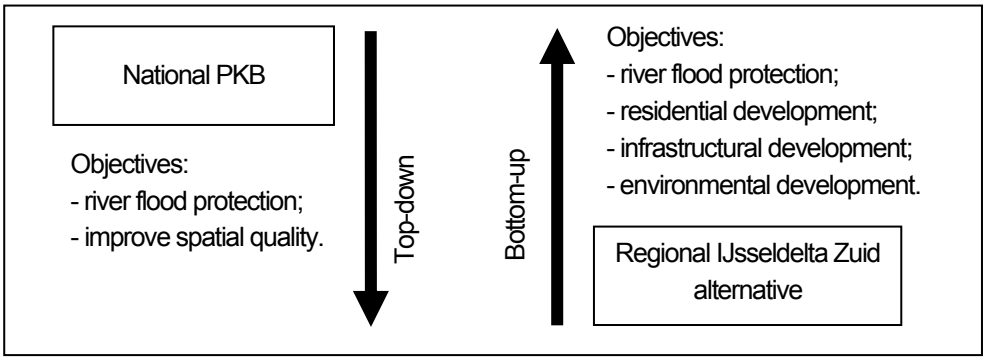

Figure 5.4: The national PKB versus the regional IJsseldelta Zuid alternative

By starting the IJsseldelta Zuid project, the region has created an opportunity to develop the compulsory spatial water measures in conjunction with other spatial developments in the area. Besides flood protection, other major interests in the area are (IJsseldelta, 2006a):

- Constructing the Hanze railway line between Lelystad-Kampen-Zwolle (in coordination with the bypass location);
- Increasing the housing supply of the Network City Zwolle Kampen: developing a high-quality residential area near and in the water;
- Strengthening the regional infrastructure by upgrading the N50 Kampen-Zwolle road to the A50 motorway, and upgrading the N307 Lelystad-Kampen road;
- Strengthening the environment: the bypass is a potential link in the National Ecological Network [*Ecologische Hoofdstructuur*]; and
- Strengthening water recreation opportunities.

Since these various spatial interests are intertwined, coordination is required. Further, coordination is needed because some of the spatial interests conflict with the national flood

protection policy. The IJsseldelta Zuid project focuses on developing the various spatial objectives in the area coherently, and in a sustainable manner.

5.2. Plan development in the IJsseldelta Zuid project

5.2.1. Stakeholders

The IJsseldelta Zuid project is a public initiative of the province of Overijssel (regional level government). The participating stakeholders are from all layers of government (local, regional and national) and from both the spatial planning and water sectors. The key stakeholders represented in the Steering Committee are: the provinces of Overijssel and Flevoland, the municipalities of Kampen, Zwolle and Dronten, the Groot Salland water board and the ministries of V&W, VROM and LNV, see Figure 5.5.

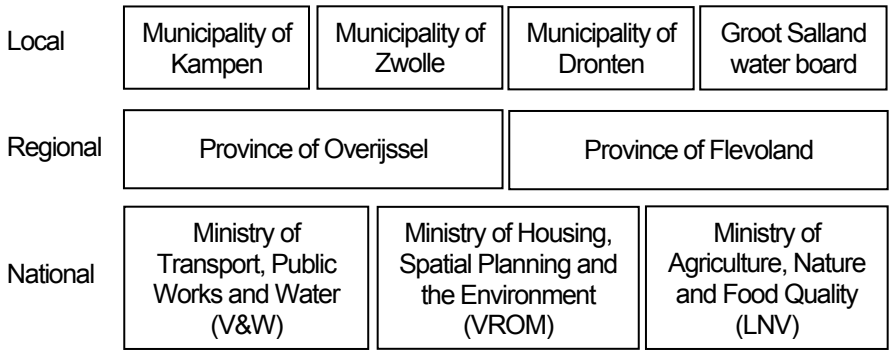

Figure 5.5: Stakeholders in the IJsseldelta Zuid project

In the following sections, the backgrounds, goals, resources and dependencies of each stakeholder are described. These descriptions are based on interviews with the political executive of each stakeholder. Appendix 4 lists the interviewees. The stakeholder descriptions start with the initiator, followed by the local, regional and finally the national partners of the IJsseldelta Zuid project.

Province of Overijssel

The province of Overijssel is a regional authority and was the initiator of the IJsseldelta Zuid project. The province is one of the twelve regional authorities in the Netherlands and is located in the eastern part of the country. Overijssel measures 3,420 km² and covers 26 municipalities. In total, the province has over 1.1 million residents.

The general goals of the province of Overijssel are to strengthen the socio-economic development of the area and to encourage improvements to the spatial quality. Overijssel also has various societal goals. These are long term sustainable flood protection, developing a public transport link between the region and the Randstad (Hanze railway line), upgrading the north-south road connection Friesland-East Overijssel-Arnhem, housing construction to

meet the obligations of Kampen and the region, strengthening the touristic and recreative potential of the area, strengthening environmental and landscape qualities, reinforcing the agricultural structure on the south side of the proposed bypass and giving an impulse to liveability in the hamlets.

The Hanze railway line is already under construction and should be operating by 2013. The upgrading of the north-south connection is seen as an upgrade of the regional N50 road to the A50 motorway. The housing obligations mean the construction of 4,000 to 6,000 houses near Kampen before 2030. It is further specified that 4,000 of these houses should be built before 2020, of which 30% should be in-fill [*inbreiding*], 45% for finalising the Onderdijks area and the train station area and 25% for the Oksel. Finally, a derived objective is to combine complex, long term processes with short term elements, such as investing €25 million over 7 years in recreation developments. According to Overijssel, it is important for image-forming to show some results in order to be able to create process speed.

The province of Overijssel has allocated €50 million for the IJsseldelta Zuid project. This budget is to be used for the plan development, the development of the Knoop (infrastructure junction of the Hanze railway line, the N50 road and the future bypass) (€10 million), for purchasing land (€20 million) and for funding the tender team (€0.5 million). Further, the provinces of Overijssel and Flevoland have each allocated €25,000 for preliminary work on the regional N23 road near the Roggebot sluice. Overijssel has also nominated the IJsseldelta Zuid project as a 'key project' [*boegbeeld*] in the Zwolle Kampen Network City Vision 2030 [*Zwolle Kampen Netwerkstadvisie 2030*], as have the municipalities of Kampen and Zwolle. In Tables 5.2 - 5.4, a summary of the stakeholder characteristics of the province are specified affirmative the research framework in terms of its goals, resources and dependencies. In Appendix 5, the stakeholder characteristics of all stakeholders are reported extensively.

Table 5.2 Summary of the stakeholder characteristics as assessed in winter 2007 - 2008: goals in the project according to the stakeholder

Stakeholder	**Goals**			
	Real estate	**Water**	**Environment**	**Infrastructure**
Province of Overijssel	+	+	+	+
Municipality of Kampen	+	+	+	+
Groot Salland Water Board	-	+	-	-
Municipality of Zwolle	+	+	-	-
Municipality of Dronten	-	-	+	+
Province of Flevoland	-	+	+	+
V&W	-	+	-	-
VROM	+	+	+	-
LNV	-	+	+	-

Municipality of Kampen

The municipality of Kampen is a local authority. Kampen itself is a medium-sized town with a population of about 33,500 people. It is an old, historic Hanseatic town and it is situated on the western side of the River IJssel close to where it flows into the IJsselmeer. On the western side of Kampen, parallel to the River IJssel, is the regional N50 road that connects the motorway junction by Zwolle (A50 and A28) with the motorway from Amsterdam to the north of the Netherlands (A6). Near Kampen, the N307 road from Flevoland also joins the N50 road.

For Kampen, several of the developments in the IJsseldelta Zuid area are important. The first goal is flood protection but through measures that leave space for other developments. For Kampen it is important to reduce the spatial reservation of the PKB, since that blocks city expansion and specify a bypass location and coordinate this with housing construction. If a bypass is developed, Kampen wants to develop a navigable 'blue' bypass, so that it can be used for recreation. A second goal is to construct 4,000 to 6,000 houses in the municipality of Kampen before 2030, of which 1,100 will be houses in an exclusive environment. A third goal is to make a spatial reservation for an industrial area next to current industrial area. Finally, a fourth goal is to develop 300 ha of 'new nature' as structural environmental compensation in the bypass area. Further, a secondary motive is that the project will put Kampen on the national agenda.

The municipality of Kampen has allocated €100,000 for 2006 and €148,500 for 2007 towards the plan development costs. Further, Kampen has allocated €18.75 million for purchasing land and €1 million preparation credit for the period until the land is exploited. Finally, Kampen has, together with the province of Overijssel and the municipality of Zwolle, nominated the IJsseldelta Zuid project as one of the 'key projects' [*boegbeeld*] in the Zwolle Kampen Network City Vision 2030. In Tables 5.2 - 5.4, summary of the stakeholder characteristics of the municipality of Kampen are described, affirmative the research framework focusing respectively on its goals, resources and dependencies.

Groot Salland water board

The Groot Salland water board is a local government agency. The water board is responsible for water management and water defences of part of the Vecht/Zwarte Water river basin. The water board is fully located within the province of Overijssel and covers an area of approximately 120,000 hectares. Within this area the water board manages over 4,000 km of waterway and covers 12 municipalities, including the municipalities of Kampen, Zwartewaterland and Zwolle.

The aim of the water board in this project concerns flood protection: the safe and robust runoff of River IJssel water towards the IJsselmeer. If the region develops a bypass, the aim of the water board is to maintain the hydrological system, both qualitatively and quantitatively. Therefore, the water system inside the dikes needs to be restructured and, outside the dikes, undesirable drainage effects should be prevented.

The water board allocated €50,000 for 2006 and €148,500 for 2007 towards the plan development costs. In Tables 5.2 - 5.4, a summary of the stakeholder characteristics of the Groot Salland water board are described, affirmative the research framework focusing respectively on its goals, resources and dependencies.

Municipality of Zwolle

The municipality of Zwolle is a local authority and the regional capital of the province of Overijssel. Zwolle has a population of over 117,000 people. It is located near three rivers (Zwarte Water, Vecht and IJssel) and several canals (Almelose Canal, Willemsvaart, Nieuwe Vecht and Overijssels Canal and Zwolle-IJssel Canal). Zwolle is accessed by four major roads: the A28 Utrecht-Groningen and the A50 Eindhoven-Zwolle motorways, and the N50 Zwolle-Emmeloord and the N35 Zwolle-Almelo regional roads. Kampen has train station but the railway connects only towards Zwolle. A new rail connection (the Hanze railway line) to Amsterdam via Lelystad is planned for 2013.

Together with the province of Overijssel and the municipality of Kampen, Zwolle has nominated the IJsseldelta Zuid project as one of the 'key projects' [*boegbeeld*] in the Zwolle Kampen Network City Vision 2030. The aims of Zwolle involve housing construction according to its regional obligations and flood protection for the district of Stadshagen. Zwolle participates in the IJsseldelta Zuid project particularly to realise the Zwolle Kampen Network City projects.

Zwolle has allocated €30,000 for 2006 and €30,000 for 2007 towards the plan development costs. In Tables 5.2 - 5.4, a summary of the stakeholder characteristics of the municipality of Zwolle are specified affirmative the research framework in terms of its goals, resources and dependencies.

Municipality of Dronten

The municipality of Dronten is a local authority in the province of Flevoland. Dronten has only existed since 1960. Nowadays, over 38,000 people live in the municipality of Dronten, of whom approximately 26,000 live in the village of Dronten Itself. The total area of the municipality of Dronten is 334 km².

Dronten only later became involved in the IJsseldelta Zuid project because the plans for the bypass are not on their land, but on the other side of the Lakes Randmeren. After it became clear that the municipality of Dronten was affected by the IJsseldelta Zuid project, Dronten started to participate in 2005. Their aims in the project are to coordinate the adaptations to the Roggebot sluice with Flevoland's N23 regional road project since the N23 goes over Roggebot sluice, which will be relocated by the IJsseldelta Zuid project. Dronten insists that it remains possible to widen the N23 to a dual comageway after the relocation. A further aim of Dronten is to develop recreation and touristic facilities. Finally, there are possibilities for an environmental compensation area in Dronten. In Tables 5.2 - 5.4, a summary of the stakeholder characteristics of the municipality of Dronten are specified affirmative the research framework in terms of its goals, resources and dependencies.

Table 5.3: Summary of the stakeholder characteristics as assessed in winter 2007 - 2008: resources in the project according to the stakeholder

Stake-holder	Resources				
	Authority	**Finances**	**Land**	**Spec. knowl.**	**Other**
Province of Overijssel	Regional	Allocation €50 million including plan development, purchasing land, the infra junction and tender team	-	-	Nomination as 'key project'
		Allocation €25,000 (50%) for the N23			Project leaders plus 3 fte
Municipality of Kampen	Local	Plan development: €763,500 (2006) €153,000 (2007)	Ashore lands [*aanlanding*]	-	Nomination as 'key project'
		Allocation €18.75 M for purchasing land	Establishment WVG over about 380 ha		Program manager plus 1.5 fte
		Allocation €1 M preparation credit			
Groot Salland Water Board	Local	Plan development: €382,000 (2006) €153,000 (2007)	Owner of some land near water	Water expertise	Water calculations and research
		Allocation €50.000 for visitor centre		Databases on water streams, levels, quality	
Municipality of Zwolle	Local	Plan development: €30,000 (2006) €30,000 (2007)	-	-	Nomination as 'key project'
Municipality of Dronten	Local	-	-	-	Possibilities environmental compensation
Province of Flevoland	Regional	Allocation of €25,000 (50%) for the N23	-	-	Project leader N23 project
V&W	National	Allocation €22.7 M for infra junction	-	Water models databases	Project leader river-bed dredging
		Allocation €0.5 M for tender team		Water expertise	Availability of the Q team (quality team)
		Costs made for the Risk Analysis		Facilities of Programme Direction	
VROM	National	Allocation €10 M for infra junction	-	Land policy expertise	Coordinating ministry
		Costs made for Social Costs Benefit Analysis			Nomination as 'model project development planning' and 'National Spatial Strategy' project
		Allocation €1 billion for 23 projects			
LNV	National	-	-	Legal environmental expertise	-

Province of Flevoland

The province of Flevoland is one of the twelve regional authorities in the Netherlands. It is located in the middle of the country on reclaimed land of the former Zuider Sea. It was only established in 1986. Flevoland measures 1,419 km² and covers 6 municipalities. In total, the province has approximately 370,000 residents.

Just as with Dronten, Flevoland came late to the IJsseldelta Zuid project. Once it became clear that the municipality of Dronten was affected by the project, the province of Flevoland also started to participate. Flevoland has several legal or administrative interests in the project. These are the removal and the replacement of the Roggebot sluice, the possible interruption of the National Ecological Network, and the need to adapt the dikes in the area of the Roggebot sluice. Further, a major aim of Flevoland is to coordinate the IJsseldelta Zuid project with the N23 project (regional road Alkmaar-Zwolle). When the provinces of Flevoland and Overijssel fix the new location for the Roggebot sluice, Flevoland will be able to factor this location into its N23 project. Further, like Dronten, Flevoland insists that it remains possible to widen the N23 after the sluice relocation. Other aims of Flevoland are to gain compensation for the water quality decrease caused by the bypass and the relocation of the sluice, to develop recreation facilities, to ensure the bypass can be used for recreation, and to develop a coherent, accessible environmental compensation area.

As with the province of Overijssel, Flevoland has allocated €25,000 for preliminary work on the regional N23 road near the Roggebot sluice. Further, Flevoland has placed the N23 project leader at the disposal of the IJsseldelta Zuid project. In Tables 5.2 - 5.4, a summary of the stakeholder characteristics of Flevoland are specified affirmative the research framework in terms of its goals, resources and dependencies.

V&W (Ministry of Transport, Public Works and Water Management)

V&W is the national authority for water management. V&W is subdivided into several units which were described in Section 4.2. Relevant units for the IJsseldelta Zuid project are PDR - Programme Direction 'Space for the Rivers' [*Programma Directie Ruimte voor de Rivier*'] and RWS DON - Rijkswaterstaat Direction East Netherlands.

Since the IJsseldelta Zuid project is a regional alternative rather than a prescribed 'PKB project', V&W is not responsible for the plan study of the IJsseldelta Zuid project. Nevertheless, V&W has participated in the IJsseldelta project since its start in 2004, as have all three national stakeholders. As described earlier, V&W signed up to two objectives in the PKB: river flood protection and improving the spatial quality. The participation of V&W is important since it provides a major link (exchange of data, information, choices, state of affairs, considerations, etc.) between the local and regional governments and the national government. Further, V&W facilitates through its process experience.

RWS DON is responsible for managing and maintaining the water sector in the East Netherlands region. Through V&W, RWS DON assists the IJsseldelta Zuid project by calculating the consequences of the intended flood protection measures.

Table 5.4: Summary of the stakeholder characteristics as assessed in winter 2007 - 2008: dependencies in the project (perception according to stakeholders, interdependency based on observation)

Stake-holder	**Perceptions dependency & observed interdependency**								
	Over-ijssel	Kampen	Groot Salland	Zwolle	Dronten	Flevo-land	V&W	VROM	LNV
Province of Overijssel	X	Finance Land Knowl. Goals	Finance Knowl. Goals	Finance Knowl. Goals	Finance Knowl. Goals	Finance Knowl. Goals	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals
Municipality of Kampen	Authority Finance Knowl. Goals	X	Authority Finance Goals	Finance Knowl. Goals	Finance Goals	Finance Goals	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals
Groot Salland Water Board	Authority Finance Knowl. Goals	Finance Goals	X	Finance Goals	Finance Goals	Finance Goals	Authority Finance Knowl. Goals	Authority Finance Goals	Authority Finance Goals
Municipality of Zwolle	Authority Finance Knowl. Goals	Finance Knowl. Goals	Authority Finance Goals	X	Finance Goals	Finance Goals	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals
Municipality of Dronten	Finance Goals	Goals	Goals	Goals	X	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals	Authority Finance Goals	Authority Finance Knowl. Goals
Province of Flevoland	Finance Knowl. Goals	Goals	Goals	Goals	Finance Knowl. Goals	X	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals	Authority Finance Knowl. Goals
V&W	Finance Knowl. Goals	Finance Goals	Finance Knowl. Goals	Finance Goals	Finance Goals	Finance Knowl. Goals	X	Finance Knowl. Goals	Finance Knowl. Goals
VROM	Finance Knowl. Goals	Finance Goals	Finance Goals	Finance Goals	Finance Goals	Finance Knowl. Goals	Finance Knowl. Goals	X	Finance Knowl. Goals
LNV	Finance Knowl. Goals	Finance Goals	Finance Goals	Finance Goals	Finance Goals	Finance Knowl. Goals	Finance Knowl. Goals	Finance Knowl. Goals	X

* Legend: Stakeholder's dependency perceptions

Independent	Dependent	Strong dependent

The observed interdependency of the stakeholders is indicated in the terms authority, finance, land, knowledge and goals.

Since the prescribed PKB measure involves river-bed dredging provided the national government does not take an exchange decision, V&W should continue the plan development for river-bed dredging. Since the plan development of the bypass and of the river-bed dredging have a lot in common, V&W offers the IJsseldelta Zuid project access to a project leader in river-bed dredging to optimise both efforts. Further, the PDR has a Quality Team available that can assist the project organisation in developing a high-quality regional alternative.

V&W has allocated €22.7 million for the development of the Knoop (an infrastructure junction of the Hanze railway line, the N50 road and the future bypass) and €0.5 million for the tender team. In Tables 5.1 - 5.3, a summary of the stakeholder characteristics of V&W are described, affirmative the research framework focusing respectively on its goals, resources and dependencies.

VROM (Ministry of Housing, Spatial Planning and the Environment)

VROM is the national authority for spatial planning in the broadest sense of the term. The ministry has been involved in the IJsseldelta project since its start in 2004 with the province of Overijssel initiating the project in response to an invitation from VROM to suggest a 'model project for development planning' [*voorbeeldproject ontwikkelingsplanologie*]. VROM operates as the coordinating ministry in the project and assists the regional alternative with its process experience. The participation of VROM also provides a major link between the local and regional governments and the national government. Earlier, VROM was also involved in developing the national PKB policy.

The main goal of VROM is to improve spatial quality: better *integrated* area development, attention to sustainability, greater coherence and less fragmentation. Specific to this area, VROM aims to preserve the National Landscape of IJsseldelta Noord by planning the construction developments in IJsseldelta Zuid. In the IJsseldelta Zuid area, they aim to develop a residential area with a range of special housing conditions and of high spatial quality. Moreover, as a ministry, VROM supports the PKB flood protection objective. However, they prefer to develop a navigable, dynamic bypass (depending on boundary conditions) as a boost to the attractiveness of the residential area.

In 2004 and 2005, the IJsseldelta Zuid project was one of VROM's 14 'model projects for development planning'. Subsequently, in the summer of 2007, VROM nominated the IJsseldelta Zuid project for part of the National Spatial Strategy Budget [*Nota Ruimte Budget*]. In total, VROM had allocated €1 billion for the 23 appointed projects for the period 2011 - 2014. Further, VROM has allocated €10 million for the development of the Knoop (infrastructure junction of the Hanze railway line, the N50 road and the future bypass). Finally, VROM will pay all the costs of the Social Costs Benefits Analysis [*MKBA*], which they prescribe. In Tables 5.2 - 5.4, a summary of the stakeholder characteristics of VROM are described, affirmative the research framework focusing respectively on its goals, resources and dependencies.

LNV (Ministry of Agriculture, Nature and Food Quality)

LNV is the national authority for Agriculture, Nature and Food Quality. As with the other ministries, LNV was also involved in the IJsseldelta project from the start. However, its participation is mainly focussed on the current IJsseldelta Noord project. Earlier, LNV was also involved in developing the national PKB policy.

The goals of LNV are optimally realising environmental, agricultural and recreation objectives as far as these are applicable in the IJsseldelta Zuid, supporting the PKB flood protection objective, fulfilling the 'Natura 2000' (environmental protection policy) and the 'Nature Protection Act' and securing compensation for adaptations to the Lakes Randmeren. In Tables 5.2 - 5.4, a summary of the stakeholder characteristics of the LNV are described, affirmative the research framework focusing respectively on its goals, resources and dependencies.

This section has described the first characteristic of the plan development process: the stakeholders. The next section describes the second characteristic: the interaction process.

5.2.2. Interaction process

Following the research framework, the interaction process is subdivided into two elements: the cooperation structure and the sequence and substance of events. This section starts with the cooperation structure. Unless described otherwise, the data was collected by observation as a non-participant.

Cooperation structure

As in the IJsselsprong project, the main incentive for initiating the IJsseldelta project was to coordinate the multiple conflicting spatial developments in the area. Similarly, the IJsseldelta Zuid project is also a regional government initiative: the province of Overijssel initiated the integrated area development project in 2004. By initiating the project, the regional governments set out to convince the national government to make an exchange decision: from the prescribed PKB measures towards the regional plan they were themselves developing. Table 5.5 presents the cooperation structure of the IJsseldelta Zuid project.

In the IJsseldelta Zuid project, 11 public parties from all levels of government cooperate, but only 9 of them participate in the Steering Committee IJsseldelta Zuid. In January 2007, three years after its initiation, the provinces of Overijssel and Flevoland, the municipalities of Kampen, Zwolle, Dronten and Oldebroek, the Groot Salland water board, the ministries of V&W, VROM and LNV, and Staatsbosbeheer have signed an intention agreement for the integrated area development and cooperation IJsseldelta Zuid. All these parties are involved in the Broad Deliberation meetings. The Broad Deliberation takes care of the administrative

Table 5.5 Cooperation structure IJsseldelta Zuid process

Characteristics IJsseldelta Zuid	
Project scale	Regional
Type of initiative	Regional government initiative
Initiator	Province of Overijssel
Lead	Province of Overijssel
Type of cooperation	Public cooperation
Type of process manager	Internal project leader from the Province of Overijssel responsible for the process management (since the autumn of 2006; previously they hired an external process manager). Further, the municipality of Kampen also has a project manager for their local process management (since 2006).
Type of approach	Bottom - up approach
Legal status	Signed an initial agreement (intention agreement and master plan). However, an exchange decision by the national government is required to continue the project

coordination of the various developments as described in the Master Plan. From each of the stakeholders, one or two administrative officials have a position in this Broad Deliberation. Figure 5.6 shows the organisational structure of the IJsseldelta Zuid project.

The Steering Committee is delegated by the Broad Deliberation. The Steering Committee prepares the Administrative Agreement [*bestuursovereenkomst*], and material for the national exchange decision and the project decision. All public partners participate in the Steering Committee except for the municipality of Oldebroek and Staatsbosbeheer. The Project Group focuses on preparing the plan development. In the Project Group, civil servants from all the stakeholders are involved. The content aspects are explored in various temporary task forces or clusters, such as the cluster for finances, the cluster for spatial procedures and the cluster for SEA. Also in the task forces, civil servants from the stakeholders are involved. For the members of the Steering Committee, the Broad Deliberation and the Project Group see Appendix 4.

A project team for the Province of Overijssel, consisting of a project leader, a secretary, a communication advisor and a policy assistant, carries out the daily work of the IJsseldelta Zuid project. Also the municipality of Kampen has a project manager available specifically for the IJsseldelta Zuid project.

Further, an Advisory Board of citizen and interest organisations liaises with the Steering Committee and the Project Group. The IJsselsprong organisation consults the Advisory Board about process and content aspects, but the Advisory Board can also submit their point of view on developed plans and visions.

The remainder of this section describes the sequence and substance of events in the IJsseldelta Zuid project. First the legal procedures, the planning policies and the project

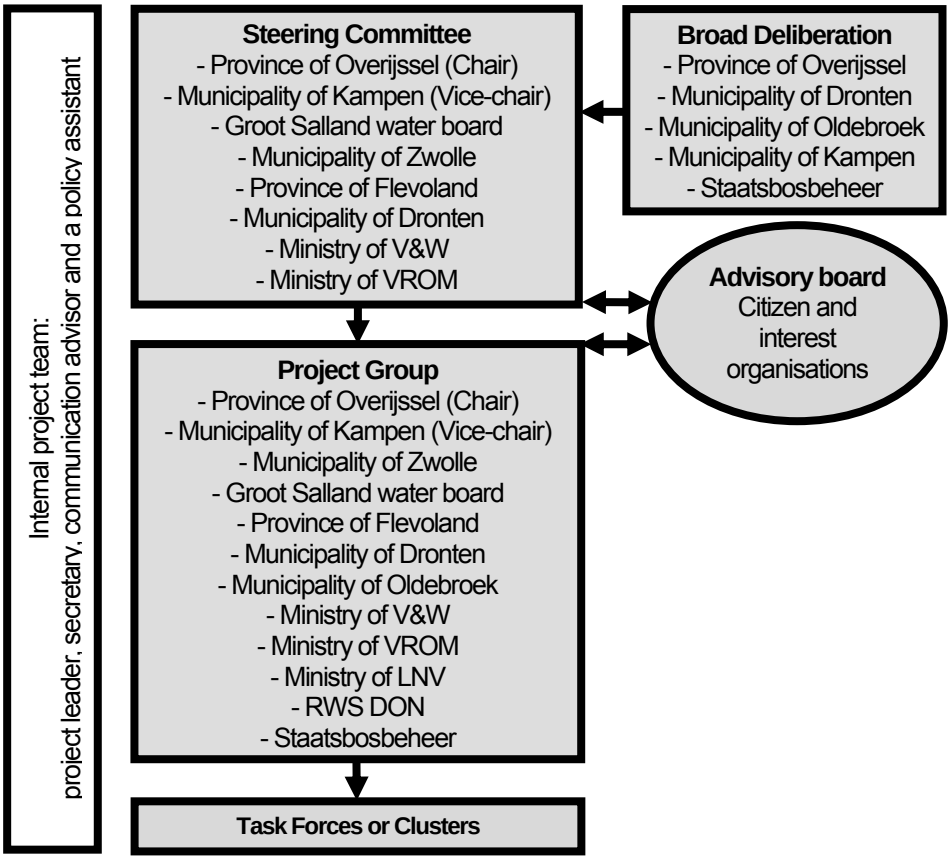

Figure 5.6: IJsseldelta Zuid project organisation

planning are described, followed by the stakeholder and project actions, agreements and external events. The last of these are described in chronological order to be able to present a logical and consistent description. These data are based primarily on observations as a non-participant at meetings of the Steering Committee (consisting of elected administrative representatives; 3 meetings) and the Project Group (civil servants; 8 meetings), and at information meetings with residents (2 meetings) during the period March 2007 - March 2008. Appendix 4 lists the project meetings attended. The initiative is reconstructed based on the stakeholder interviews. Further, project documentation is used in addition to the observations to describe the relevant policies and legal procedures, the time schedule and the actual agreements.

Sequence and substance of events

Legal procedures

The IJsseldelta Zuid project should operate according to several prescribed Dutch legal procedures. These legal procedures relate to the fields of water management and spatial planning. The relevant legal procedures in the observation period (March 2007 - March 2008) were the PKB exchange decision, the SEA, partial revisions of the Regional Land Use Plans of Overijssel and Flevoland and the development of the Spatial Vision Kampen.

As described, the national PKB policy prescribes river-bed dredging in the IJssel and a spatial reservation for a bypass for the IJsseldelta area. To avoid having to implement these flood protection measures, the regional stakeholders have to convince the national government to make an exchange decision in favour of their own regional bypass alternative before 1 January 2009. For a positive exchange decision, the regional alternative has to fulfil the following criteria: achieve the prescribed water level reduction, include a realistic planning to implement the water alternative before the deadline by 2015, be accompanied by a sound financial plan, realise improved spatial quality and comply with the national long term water vision.

If the exchange decision is favourable, the Groot Salland water board and the municipality of Kampen should take a project decision [*projectbesluit*] before 1 January 2010. This project decision has to be based on the Water Defence Plan [*waterkeringsplan*], and the Local Land Use Plan respectively. Consequently, both these plans have to be actualised and thus partial revisions of the Regional Land Use Plans of Overijssel and Flevoland are required. As preparation for their new Local Land Use Plan, Kampen has voluntarily developed a Spatial Vision Kampen 2030. Further, V&W has to take an Investment Decision. Subsequently, implementation decisions [*uitvoeringsbesluiten*] for the various parts of the IJsseldelta Zuid project have to be taken by the responsible government bodies.

Moreover, both the spatial planning and water management procedures prescribe the execution of a SEA. As a result, a SEA is required for the partial revisions of the two Regional Land Use Plans and for the Spatial Vision Kampen. Subsequently, an EIA will be required for the Local Land Use Plan, the Water Defence Plan and the project decision (either for river-bed dredging or the regional bypass alternative).

Besides these legal procedures, the project needs to obey Dutch and European legislation, such as organising public consultations and operating according to European tendering procedures.

Planning policies

The IJsseldelta Zuid project also has to obey the planning policies and visions in the spatial planning and the water sector. In addition to the legal procedures, these form boundary conditions for the IJsseldelta Zuid project. The main policies and visions, according to the stakeholders, are presented in Table 5.6.

Table 5.6: Main policies according to the stakeholders (IJsseldelta, 2006c)

National policies	▪ National Spatial Planning Key Decision 'Space for the Rivers' [*Planologische KernBeslissing 'Ruimte voor de Rivier' - PKB*]; ▪ National Spatial Strategy [*Nota Ruimte*]; ▪ National Traffic and Transport Strategy [*Nota Mobiliteit*]; and ▪ Implementation Agenda National Spatial Strategy [*Uitvoeringsagenda Nota Ruimte*].
Regional policies	▪ Master Plan IJsseldelta Zuid; ▪ Regional Advice 'Space for the River'; ▪ Regional Spatial Plan Overijssel 2000+ [*Streekplan Overijssel 2000*]; ▪ Water Balance Plan 2000+ [*Waterhuishoudingsplan 2000+*]; ▪ Vision of Zwolle Kampen Network City [*Zwolle Kampen Netwerkstadvisie 2030*]; ▪ Strategic Spatial Vision Kampen 2030 [*Strategische Visie Kampen*]; and ▪ Spatial Vision Kampen [*Structuurvisie Kampen*].

Project planning

Figure 5.7 presents the project planning for the IJsseldelta Zuid project (latest update: March 2008). The project planning includes time schedules for the relevant policies and legal procedures that act upon the IJsseldelta Zuid project. In the figure, the project planning is down the middle, the PKB time schedule to the left and other policy deadlines to the right. In the remainder of this section the various elements of the project planning are described: first the project history and then, in chronological order, attention is paid to activities, agreements and external events.

Project history (2004 - 2007)

In December 2003, VROM invited all Dutch provinces to suggest a 'model project for development planning' that would be included in the National Spatial Strategy. In response, Overijssel initiated the IJsseldelta project and proposed it to VROM. Subsequently, VROM supported the project as a 'national model project' during 2004 and 2005. With this status, the national government (VROM, LNV and V&W) started participating, using an integrated area development approach, with VROM fulfilling a coordinative role and the province of Overijssel in the lead. The reason for Overijssel proposing this project was their sense of urgency to develop an integrated regional plan for the several conflicting spatial developments in the IJsseldelta area and in particular the combination of the construction of the Hanze railway line, flood protection measures and a residential area.

To present their ideas for the IJsseldelta area to the other key stakeholders, Overijssel developed the Project Plan IJsseldelta (IJsseldelta, 2004). This Project Plan was a proposal put to the municipalities of Kampen, Zwolle and Zwartewaterland, the Groot Salland water board and the ministries of VROM, V&W and LNV to cooperate and explore several spatial

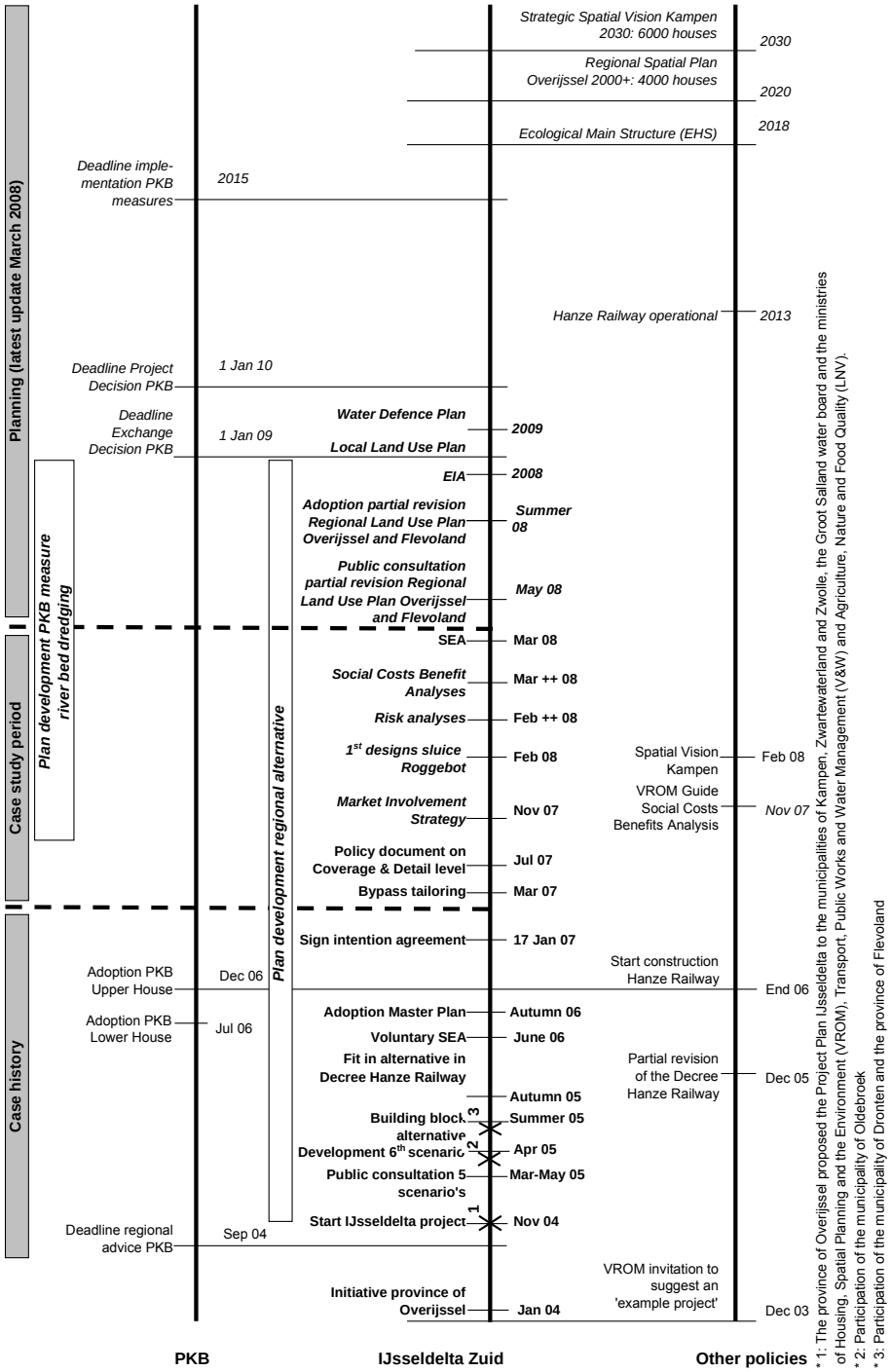

Figure 5.7: IJsseldelta Zuid project planning (centre), plus the time schedule of the national PKB (left) and other spatial policies (right) that influence it

developments in the IJsseldelta area. Overijssel put the Project Plan forward in October 2004, after consulting the three municipalities. In the plan, the purpose is described as developing a jointly supported spatial development vision and implementation agenda. The exact project goals were left open for exploration and discussion. However, one of the main issues was to develop a regional alternative to the nationally prescribed spatial reservation in the area south of Kampen since that would block the area for other spatial developments. Consequently, the intention was to collectively specify spatial developments in the IJsseldelta area and to develop them coherently.

In the same period, the national government was working on the PKB 'Space for the Rivers'. Regions had the possibility to make suggestions for the PKB up to September 2004. Moreover, the national government had prepared for the construction of the Hanze railway line in the IJsseldelta area that should become operative in 2013. Therefore, tendering for the construction of a tunnel under Lake Drontermeer was planned at the end of 2005. Since the intention of Overijssel was to develop a bypass in that area, they had the desire to coordinate the crossing of the bypass with the Hanze railway line, and to request a partial revision to the Decree for the Hanze railway line [*Tracebesluit Hanzelijn*].

Even though not all local stakeholders, and in particular the municipality of Kampen, were not interested in the IJsseldelta project, the project started in November 2004 based on the proposed Project Plan. At that time, the project also included the polders north and northeast of Kampen. However, after one year the project was split into two projects because of major goal differences: the IJsseldelta Noord national landscape project and the integrated area development project IJsseldelta Zuid. This case analysis focuses solely on the IJsseldelta Zuid project.

Within a half year, the IJsseldelta Zuid organisation developed five spatial scenarios for a bypass (see IJsseldelta, 2005a; b). Between March and May 2005, these scenarios were presented in an open public consultation and the citizens could then indicate their preferences. During the public consultation, citizen of Noordeinde noted that the bypass would flow along the hamlets of Noordeinde and Kamperveen. Until then, the municipality of Oldebroek, in which Noordeinde is located, was not involved in the IJsseldelta Zuid project, or its citizens. After a serious commotion, a sixth scenario was quickly developed by the citizens of Kamperveen with the support of the province of Overijssel. As a result of the commotion, the municipality of Oldebroek (located in the province of Gelderland) started to participate in the IJsseldelta Zuid project. Eventually, this sixth scenario was selected as the preferred scenario.

Moreover, in the same period, it appeared that the project would also affect the municipality of Dronten and the province of Flevoland. For the infrastructural part of the plan development, it was found that Flevoland and Dronten also had authority in the project area. Their authority not only included the relocation of the Roggebot sluice, but also the developments in the Lakes Randmeren. Consequently, both authorities became participants.

During the observation period (March 2007 - March 2008), Oldebroek still participated in the Project Group but did not actively attend the project meetings because, after adopting the preferred alternative - the sixth scenario, the impact of the project on the municipality of Oldebroek was limited. Further, the municipality of Zwartewaterland left the IJsseldelta Zuid organisation after the development of the spatial scenarios since its interests were solely in the IJsseldelta Noord project. In contrast, Flevoland and Dronten participated actively in both the Steering Committee and the Project Group during the observation period.

After the public consultation, the province of Overijssel and the municipalities of Kampen and Zwolle identified several 'building blocks' for the bypass design. Their councils adopted the accompanying preferred 'building block' trace in July 2005, but included several issues for further elaboration. The original planning was to present a preferred bypass alternative in October, resulting in a covenant in December. However, the issues regarding the connection of the bypass to the River IJssel and to the Lakes Randmeren, the bypass crossing with the Hanze railway line and the regional N50 road, and the second crossing of the bypass with the railway near the tunnel under Lake Drontermeer were too complex to meet this schedule. Because the public had asked for short term clarity, the IJsseldelta Zuid organisation presented a mid-term report instead (IJsseldelta, 2005c). Further, the project organisation successfully sought adaptations to the Decree for the Hanze railway line and arranged to split the financial consequences between V&W, VROM and Overijssel (each allocated €10 million for the development of the infrastructure junction).

In February 2006, the project organisation developed a new Project Plan (IJsseldelta, 2006b) that summarised the state of affairs and the approach needed to achieve a Master Plan in summer 2006. Further, it included a project planning for the period until 2010 and possible success and failure factors. Meanwhile, the municipality of Kampen had slowly changed its negative attitude towards the project based on a long term spatial vision that BVR Consultancy had developed within the framework of Zwolle Kampen Network City. Based on this vision, Kampen became positive towards developing a bypass in short term in coordination with a residential area. This reversal was further strengthened by the new city council that was installed after the local elections in March 2006.

In the Progress Report of May 2006, the project organisation indicated the solution directions for the mainly technical issues that were left. This Progress Report was used as a stepping stone towards the Master Plan, to be presented in August 2008 (IJsseldelta, 2006d). The Master Plan describes the collective integrated vision for the IJsseldelta Zuid area and the developments in the area until 2030. The described aim is to address the necessary and desired spatial developments in the IJsseldelta Zuid area now, while they can be dealt with in an integrated manner and so obtain optimal added value for the area (IJsseldelta, 2006a). The costs for realising the bypass are estimated at €300 million ± 20% (IJsseldelta, 2006c). The Master Plan was adopted by the several councils in the autumn of 2006.

Parallel to the development of the Master Plan, the project organisation hired Arcadis to carry out a voluntary SEA. This voluntary SEA has no legal status, but was used in a decision-supporting manner: its results should form a solid base for the prescribed SEA in the following project phase. The intention was to identify possible prohibitory negative consequences of the IJsseldelta Zuid plans from an environmental perspective. Besides, opportunities for developing the nature and water systems were identified.

In December 2006, the project organisation again developed a new Project Plan for the period between the Master Plan and the hoped for national PKB exchange decision. The deadline for the exchange decision is 1 January 2009, but the project organisation aims for an earlier decision to have a margin in case of delays (IJsseldelta, 2006c). The Project Plan also describes the state of affairs, the project approach and the planning, plus it includes the cooperation and other developments that have impact on the project (possible barriers) and project control measures.

Based on the Master Plan, all councils agreed to sign the intention agreement. On the 18 January 2007, the stakeholders, including the national stakeholders, signed the intention agreement.

Activity: land acquisition (2006 - 2010)

On 29 June 2006, the council of Kampen established a 'Wet Voorkeursrecht Gemeenten' [Preference Law Land Ownership for Municipalities], or WVG for short, on land where housing construction was planned. Establishing a WVG means that any land that will be sold, has to be first offered to the municipality. At the start of 2007, the province of Overijssel allocated €20 million for purchasing land in the bypass area and the municipality of Kampen €18.75 million for purchasing land in the planned residential area. The national department of Rural Affairs [*Dienst Landelijk Gebied*] was asked to be the area broker for both Overijssel and Kampen. During the observation period, only passive acquisition took place: negotiations were only started if owners wanted to sell. However, towards the future residential areas of Onderdijks and the bypass area, Kampen had purchased 225 hectares land by the spring of 2007.

Activity: bypass tailoring (November 2006 - December 2007)

The Master Plan describes the vision for the IJsseldelta Zuid area, but leaves the detailed consequences for the current inhabitants and users of the future bypass area open. To offer these people clarity, and in preparation for the prescribed SEA, the project organization organised a consultation process for tailoring the bypass. In December 2006 and January 2007, the project organization visited local inhabitants to draw up an inventory of their visions regarding the contours of the bypass dikes as presented in the Master Plan. Subsequently, Overijssel asked the DHV, together with H+N+S Landschapsarchitecten, to investigate the feasibility of the inhabitants' desires within the context of the hydraulic effectiveness of the

bypass and to indicate the maximum width of the dyke contours. In March 2007, this resulted in a tailored bypass trace.

Based on the bypass tailoring, a discussion arose in the Steering Committee and the Project Group about the contribution of the bypass to the environment. On one hand, the stakeholders with major interests in the environment (Staatsbosbeheer and LNV) argued that the environmental contribution of the project would decrease due to the tailoring. In addition, the water stakeholders (Groot Salland water board and RWS) emphasised the need to keep the line of flow [*stroombaan*] intact. On the other hand, Overijssel and Kampen successfully pleaded in favour of the tailoring to satisfy residents. The tailoring was accomplished, but the environmental task remained at 300 ha, as was agreed in the intention agreement.

Activity: SEA (February 2007 - March 2008)

Following the legal procedures, the provinces of Overijssel and Flevoland have to revise their Regional Land Use Plans before the IJsseldelta Zuid project can be implemented. Subsequently, the municipalities of Kampen and Dronten also need to adapt their Local Land Use Plans. It is required that they carry out a SEA as a basis for the revisions of these Land Use Plans, and, at a later stage, also an EIA. Therefore, in summer 2007, the private combination DHV and H+N+S Landschapsarchitecten was selected to make an SEA for the revisions to both Regional Land Use Plans.

Since the SEA was developed as input for the revision of two Regional Land Use Plans, both the provinces of Overijssel and Flevoland had authority in the SEA procedure. Therefore, they developed a joint policy document 'Coverage and Detail Level of the Partial Regional Plan Revision IJsseldelta Zuid' [*Nota Reikwijdte en Detailniveau Partiële Provinciale Planherziening IJsseldelta Zuid*]. After consulting the relevant municipalities and water boards, RWS, LNV, VROM, Staatsbosbeheer and the National Service for Archaeology, Cultural Landscape and Built Heritage, the two provinces jointly described their visions regarding the SEA in this policy document. Subsequently, the policy document was made available for public consultation in May 2007. Meanwhile, advice was sought from legal advisers such as the SEA Committee [*Commissie MER*]. In compliance with the consultation and advice received, the two Provincial Executives adopted the definitive policy document in autumn 2007.

Although the revisions of the two Regional Land Use Plans only discuss developments until 2018, the SEA focuses on the period up to 2030 since that is the execution period of the IJsseldelta Zuid project. In the SEA, several alternatives for the various plan elements have been examined. In these, the bypass and the housing construction dominated. Based on the investigated plan elements, three logical scenarios were developed and examined. Since various stakeholders had strong specific preferences, later also a preferred alternative was examined that the regional stakeholders considered to be financially, administratively and socially feasible. In contrast to the 'Most Environmentally Favourable Alternative', [*Meest*

Milieuvriendelijke Alternatief], or in short MEFA, it places some of the housing construction outside the dikes, and thus offers an opportunity to develop greater variety in housing conditions.

As a result of the SEA, the preferred alternative is laid down in the partial revisions to the Regional Land Use Plans of Overijssel and of Flevoland rather than in the MEFA. Further, in the next stage, the alternative preferred to the MEFA will be elaborated in the EIA, the Water Defence Plan and the Local Land Use Plans.

Activity: Social Costs Benefits Analysis (July 2007 - March 2008)

One of the criteria for requesting a contribution from the National Spatial Strategy Budget is to carry out a Social Costs Benefits Analysis [*Maatschappelijke Kosten Baten Analyse]*, or in short an MKBA. The IJsseldelta Zuid project was accepted for the exploration phase of the National Spatial Strategy Budget in July 2007. Based on an MKBA and advice on this by the Netherlands Bureau for Economic Policy Analysis [*CPB*], the IJsseldelta Zuid project could be accepted for the elaboration phase which is planned for 2008[4]. Only after positively fulfilling both phases will VROM decide on a contribution for the National Spatial Strategy Budget to the IJsseldelta Zuid project.

In the autumn of 2006, a general MKBA was carried out by the private consortium of 'Ecorys' and 'Witteveen+Bos' as preparation for the Master Plan. VROM selected the same private consortium to carry out a new MKBA as required in the National Spatial Strategy Budget procedures. The intention was to complete the MKBA in March 2008 and have the advice of the CPB available in June 2008, but this was delayed to beyond the end of the case research period.

External event: Quality Team visit (September 2007)

The Quality Team, composed by V&W, visited the IJsseldelta Zuid project on 14 September 2007. From the perspective of V&W, and thus also of the Quality Team, it was a visit to the Bypass Kampen project, since the IJsseldelta Zuid project includes the PKB bypass alternative. Usually, PDR (Programme Direction 'Space for the Rivers') heads PKB projects. In contrast, the IJsseldelta Zuid project is a public cooperation and headed by the Province of Overijssel. V&W is only one of the partners, and is represented by PDR.

Based on their project visit, the Quality Team noted the large amount of work by the project organisation, but advised it to further explore the options for the bypass in order to be able to realise the most robust and sustainable design. Further, they advised giving the development of a dynamic environment more chance by focussing less on patterns and more on processes in the design (Q-team, 2007). The Quality Team agreed with the identified rough location of the bypass trace, after considering the limitations imposed by the Hanze railway line trace, opportunities for environmental developments and possible future developments. Moreover, the Master Plan alternative including housing construction outside

[4] During 2008, this was postponed to mid-2009

the dyke appealed to the Quality Team the most, but they felt that it was possible to obtain greater quality from this alternative.

Activity: Market Strategy (November 2007)

The strategy for how and when to involve the market in the plan development was internally established in principal by the IJsseldelta Zuid project organisation in association with PDR. Subsequently, Twynstra Gudde was asked to develop the strategy further. The assumption was that the market would be able to bring forth more innovation and to achieve the best balance between price and quality, rather than the principal together with a consultancy.

The Market Strategy describes decision criteria that can be used to select the best market approach. A major issue in this was the short period available until the Project Decision. The period available is only about two years, while the approaches described in the 'Werkwijzer Nieuwe Marktbenadering' [Procedure New Market Approach] of V&W demand about fours years (Rijkswaterstaat et al., 2006). Finally, Twynstra Gudde advised selecting an Alliance Model / Design and Construct approach because of it had the best chance of obtaining large private commitment and because of the time planning limitations (Twynstra Gudde, 2007).

After many discussions about guaranteeing the quality, and the obligation for the private party to coordinate with the housing developer, the IJsseldelta Zuid Steering Committee decided to follow the advice and thus to apply the Alliance Model / Design and Construct approach. For the plan elements that involve maintenance, the project organisation will further elaborate the Market Strategy. Further, the Steering Committee has decided to combine the contract for earthworks and infrastructural works in order to avoid coordination risks. Moreover, they have agreed to select an advisor for the tendering of the tender team. V&W offered to pay half of the costs for the tender team (estimated at €1 million).

Activity: Risk Assessment (February 2008 - continuation)

PDR has offered to elaborate a Risk Assessment for the water and financial elements of the IJsseldelta Zuid project. In January and February 2008, two initial risk workshops took place under the guidance of Twynstra Gudde. The major risks that were identified concerned the exchange decision and the project decision, particularly regarding the aspects of time and finances. In the workshop, more specific risks were identified, prioritised and linked to one or more control measures. To ensure the risk focus, updating the Risk Assessment was put as a structural element on the agenda of the Project Group.

Activity: Direction of the Spatial Vision Kampen 2030 (February 2008)

In February 2008, the city council of Kampen discussed the 'Development direction of the Spatial Vision of Kampen 2030' [*Ontwikkelingsrichting structuurvisie Kampen 2030*]. A major issue was future housing construction and particularly housing construction across the Zwartedijk. The municipal executive board proposed a vision that made housing construction between the Hanze railway line and the future bypass possible and presented extension

opportunities for construction in the area between the Hanze railway line and the Flevoweg. The executive board explicitly emphasised that the vision was a development direction rather than a blueprint. Their proposal was adopted, but with a clause that the Zwartedijk should be integrated optimally with its surroundings, which limits construction across the Zwartedijk.

Activity: Outline designs for the Roggebot connection of the N23 road (February 2008)

The provinces of Noord Holland, Flevoland and Overijssel jointly prepared a regional connection for the N23 road. In 2007, the three provinces made appointments with V&W about the preparations, including to deliver an MKBA in mid-2008 as a basis for financial agreements. V&W has indicated that it will contribute to the modifications to the Roggebot sluice. Following the national MIRT systematics [National Programme Infrastructure, Space and Transport], this implies both V&W and the region will each pay 50% of the costs.

The Intention Agreement IJsseldelta Zuid includes an agreement to consider widening the N23 road when elaborating the future bypass. Consequently, several alternatives for the N23 Roggebot connection should be included in the EIA, which will be the basis for the Local Spatial Plans and the Water Defence Plan. Combining the N23 road connection and the water defences could reduce costs. Therefore, Flevoland, in cooperation with Overijssel, asked DHV to develop alternatives combining the two works. The report 'Initial designs Roggebot connection of the N23 road' [*schetsontwerpen Roggebot-oeververbinding N23*] describes four alternatives, including a low bridge incorporated with the water defences the baseline. From the considerations, it was found that both incorporated and separated alternatives are possible without exceeding the 'Natura 2000' guidelines.

Based on an EIA, the preferred alternative for the road connection and the water defences will be identified. The choice will also be affected by the financing possibilities for combining the two works. If, in autumn 2008, in the MIRT, the possibility arises that the finances for the road connection could be already available in 2012, there is still the opportunity to incorporate the preparation and construction of both works in the Design & Construct contract that will be tendered for the bypass and its associated works. If this financial option does not exist, the preferred alternative would be a separated alternative. The costs of two separate works will be approximately €15 million more than a combined alternative.

Agreement: Revision Regional Land Use Plans (2008) [*]

In following the procedures, partial revisions of the Regional Land Use Plans of Overijssel and Flevoland are needed to actualise the two plans. Even though the Master Plan IJsseldelta Zuid describes spatial developments until 2030, the partial revisions will solely focus on those parts of the Master Plan that will be realised before 2018. The reason is that a Regional Land Use Plan is only valid for a period of 10 years. Nevertheless, the SEA, which is the basis of

[*] Planned agreement, but after the observation period

the partial revisions, presents a view on the environmental effects of the developments until 2030 to offer the politicians insight into the total impact of the spatial developments.

*External event: exchange decision (at latest 1 January 2009)**

As noted several times, an exchange decision by the national government is required to implement a regional bypass alternative to the prescribed PKB measures. V&W, in deliberation with VROM, has to decide whether to take the exchange decision. The deadline for making this decision is 1 January 2009[5].

For a favourable exchange decision to be made the regional alternative should meet the national flood protection goals, show regional commitment and financial feasibility, and include an increased level of spatial quality. Because of new insights, V&W started to use a new water model during the plan development. As a result, the hydrological criteria have been adjusted. Consequently, the regional alternative has to be able to accommodate a larger water flow. Therefore additional measures seem necessary, which are being explored by the IJsseldelta Zuid organisation in cooperation with RWS (latest update March 2008). According to initial insights, it is not efficient to simply enlarge the bypass capacity.

*Activity: EIA (planned for 2009)**

In addition to the SEA, it is also required to carry out an EIA. In the following stage, this EIA should be the basis for the Local Land Use Plan, the Water Defence Plan and the project decision (either for river-bed dredging or the regional bypass alternative).

*Activity: Project decision (at latest 1 January 2010)**

The next PKB deadline is the project decision [*projectbesluit*], which should be taken before 1 January 2010. In combination with this project decision, V&W will take an investment decision. If the decision is in favour of the bypass plan, the national government will appoint the Groot Salland water board and the municipality of Kampen to take a project decision. Their project decision should be based on the Water Defence Plan [*waterkeringsplan*] and the Local Land Use Plan.

*Activity: Implementation decision**

Finally, the deadline for implementing the PKB flood protection measures is 2015. The deadlines for implementing the various other elements of the IJsseldelta Zuid project depend on local and regional decisions. After the adaptation of the two Regional Land Use Plans and the Local Land Use Plans of the municipalities of Kampen and Dronten, implementation decisions [*uitvoeringsbesluiten*] can be made.

[5] In November 2008 an exception to this deadline was made, delaying it to the summer 2009 for both the IJsselsprong and the IJsseldelta Zuid projects. V&W will first carry out a quick scan into the effects of the Delta Committee report (DELTACOMMISSIE (2008) Samen werken met water.), before V&W and VROM decide whether to take an exchange decision.

This section has described the second characteristic of the plan development process: the interaction process. The next section describes the third characteristic: the contextual factors.

5.2.3. Contextual factors

There were many contextual factors that had an influence on the IJsseldelta Zuid project. In interviews, each stakeholder was asked for their views on the contextual situation, and for trends the project organisation should monitor in their view. Table 5.7 presents the contextual situation factors, and Table 5.8 the contextual trends for the IJsseldelta Zuid project according to the stakeholders.

Table 5.7A: Contextual situation factors according to the stakeholders concerned

Contextual situation	
Political	▪ Support from the local and regional executive boards and councils: influenced by time pressure; ▪ Support from the national government: the exchange decision; ▪ Political support: the level of support influences finances, deadlines, etc.; ▪ Political changes: elections (local, regional and national), new project leads, political parties, which political parties provide the relevant ministers for the project; ▪ Political discussions, decisions and senses of urgency; ▪ Necessity of discussions [*nut en noodzaak*]; ▪ The level of 'maatgevend hoog water' ['design high water']; ▪ Increasing environmental consciousness and possibilities for environmental compensation; ▪ Attention for climate change and the 'Space for the River' project; ▪ Legal procedures: European directives; ▪ Discussion over the future of Kampen: the extent to which this discussion will mix with the project; ▪ Discharge division at the water junction of the River Rhine; ▪ Developments in related or adjoining projects; ▪ Infrastructural developments: regional N23 road Alkmaar -Zwolle and the Airport of Lelystad; ▪ Impact of a possible multi-modal transhipment centre near Lelystad at the national A6 road, regional N23 road, railway and shipping; ▪ Development of recreation and tourism: amusement park; and ▪ Future party that will manage and maintain the bypass.
Economic	▪ Rising / falling economy; ▪ Prices in the construction market; ▪ Availability of finances and subsidies; and ▪ Other projects that compete for the same budget.

Table 5.7B: Contextual situation factors according to the stakeholders concerned (continued)

Contextual situation (continued)	
Social	▪ Publications related to the project topics, such as reports from the government, Centraal Bureau voor de Statistiek [Statistics Netherlands], Centraal Planbureau [Netherlands Bureau for Economic Policy Analysis], etc., about climate change, prognoses for population growth, etc.; ▪ Support from residents; and ▪ Support from interest groups.
Technological	▪ Discussion about the water calculation models (validity)
Physical env.	▪ Threat of flooding ▪ Animal diseases: in relation to vegetation

Table 5.8: Contextual trends according to the stakeholders concerned

Contextual trends	
Political	▪ Political trends and senses of urgency: budget opportunities
Economic	*No trends indicated*
Social	▪ Urban development: shrinkage / growth in population, mobility of the population
Technological	*No trends indicated*
Physical env.	▪ Climate change

According to the stakeholders, the technological trends are not that uncertain and are rather predictable for the project. The most important relate to the water safety solution, which has to be realised in a rather short period of time, at the latest in 2015. According to all interviewees, the political situation and trends are the most important overall. Especially the 'political support' and the 'political trends and senses of urgency' were mentioned as important contextual factors in that they have a large impact on the project. Further, it was often mentioned that the sense of urgency concerning the water safety element in the project would increase significantly if there was a flood or flood threats in the near future.

In addition to the contextual factors mentioned by the stakeholders, other contextual situation factors were identified while observing the IJsseldelta Zuid project meetings. These factors are presented in Table 5.9 and the list only includes those that were discussed repetitively by the stakeholders. No additional contextual trends were identified in this way, see also Table 5.10.

Table 5.9: Additional contextual situation factors identified while observing

Contextual situation	
Political	▪ New legislation, e.g. the new Spatial Planning Act that became effective on 1July 2008; ▪ The network the stakeholders operate in: political support; and ▪ Political experience of cooperation with private parties.
Economic	▪ The network the stakeholders operate in: financial support
Social	▪ Media attention; ▪ Activities and image of interest groups; and ▪ Image of the IJsseldelta Zuid project versus the prescribed river-bed dredging.
Technological	▪ Technological knowledge on bridges/viaducts; and ▪ Technological knowledge on bypasses.
Physical env.	▪ Archaeological findings

Table 5.10: Additional contextual trends identified while observing

Contextual trends	
Political	*No additional trends indicated*
Economic	*No additional trends indicated*
Social	*No additional trends indicated*
Technological	*No additional trends indicated*
Physical env.	*No additional trends indicated*

This section has described the third characteristic of the plan development process: the contextual factors. The next section describes the fourth and final element: perceived performance.

5.2.4. Perceived performance

As in the IJsselsprong project, also the performance of the planning approach used in the IJsseldelta Zuid project is measured by assessing its perceived performance. In interviews, each stakeholder was asked to score and substantiate the performance of the planning approach using a five-point Likert item: with 1 as bad and 5 as excellent. In Table 5.11, the perceived performance scores of the IJsseldelta Zuid project are presented for each stakeholder. Further, the performance of the planning approach was analysed during the observations as a non-participant. By observing the behaviour and attitude of stakeholders during the project meetings, a value judgement could be given on the planning approach performance.

As can be seen in Table 5.11, all the stakeholders were very satisfied with the planning approach. Most stakeholders scored the planning approach with a 4 (good) and two stakeholders even scored the planning approach with a 5 (excellent). The average score for its perceived performance was 4.2 out of 5.

Table 5.11: Perceived performance as assessed in the winter 2007 - 2008

Stakeholder	Perceived performance planning approach
Province of Overijssel	4
Municipality of Kampen	4
Groot Salland water board	4
Municipality of Zwolle	4
Municipality of Dronten	5
Province of Flevoland	4
V&W	4
VROM	5
LNV	4
Average performance	4.2 (out of 5)

The national stakeholders mentioned the vigorous regional leadership and the holistic planning approach (3 out of 9) as strong aspects. Further, five stakeholders mentioned the accurate project organisation and planning. According to the stakeholders, the project organisation paid a lot of attention to involving all the stakeholders in the project and also in keeping them involved (4 out of 9). The project organisation took the interests and values of the several stakeholders into account (3 out of 9), and also took care that stakeholders themselves were involved in decisions (1 out of 9). Further, the process is seen as reasonably open (1 out of 9) and that stakeholders respect each other (1 out of 9).

In general, the interaction between the stakeholders was experienced as good during the observation period and had clearly improved since the start of the project. At this stage, the stakeholders felt *involved and committed* to the IJsseldelta Zuid project whereas at the start, several stakeholders had hardly felt an *urge* to participate in the project. In addition, from my own observations, it was noted that most regional stakeholders knew each other well and had built trusting relationships. In the interviews the national government bodies mentioned that they also viewed the interactions positively. However, based on my observations, it was noted that the national stakeholders also often operated as a facilitator rather than as a partner.

The stakeholders mentioned the following aspects that could be improved:

- Improving the communication approach (5 out of 9). The attention to communication had its ups and downs;
- Improving the lobbying for finances (3 out of 9);
- Improving the treatment of the water aspects in relation to urban planning aspects (3 out of 9); and
- Strategy improvements regarding the level and the moment at which discussions were held: distinguishing between discussions at the policy, management and political levels (1 out of 9).

This section has described the final element in the plan development process. The following section describes the extent to which the planning approach was strategic.

5.3. Strategic planning in the IJsseldelta Zuid project

In the previous sections, the plan development of the IJsseldelta Zuid project has been extensively described. This section describes the extent to which this plan development has been carried out strategically. To this end, the strategic planning process, as proposed by Bryson (2004), is used, see Figure 3.2. First, it was investigated *whether* and *how* the ten strategic planning process steps were applied in the IJsseldelta Zuid project during the period March 2007 - March 2008. Then, it was investigated whether the steps were used in the sequence that Bryson deliberately places them.

Step 1: Initial agreement

The first process step in strategic planning is developing an initial agreement. The IJsseldelta project was initiated by the province of Overijssel in 2004 based on the identification of conflicting spatial issues. To present their ideas to the other key stakeholders, Overijssel developed the Project Plan IJsseldelta (IJsseldelta, 2004). This Project Plan was a proposal for cooperation aimed towards the municipalities of Kampen, Zwolle and Zwartewaterland, the Groot Salland water board and the ministries of VROM, V&W and LNV in exploring and coordinating several spatial developments in the IJsseldelta area. The Project Plan put forward arguments for initiating the IJsseldelta project, described its purpose, other planning processes to be coordinated with, the proposed members and structure of the project organisation, the process steps and a time frame. Its aim was to develop a jointly supported spatial vision and an implementation agenda. In terms of strategic planning, the Project Plan can be seen as an initial plan for cooperation and joint spatial development: it includes the purpose of the effort, who should be involved and the ways in which they should participate, the preferred steps in the process, the form and timing of reports and the limitations placed on the effort. In terms of Bryson, only the resources necessary for proceeding with the effort were not included.

The Project Plan was developed by a single stakeholder and proposed to the other key stakeholders. As such, the Project Plan was mainly one way communication. Initially, not all stakeholders were willing to participate. Initially, Kampen was not at all interested in developing a bypass. However, at the end of 2005, after BVR Consultancy had developed a long term spatial vision within the framework of Zwolle Kampen Network City, Kampen changed its position and started to prefer the short term development of a bypass. This reversal was further strengthened by the new city council that was installed after the local elections in March 2006. Following this, all the stakeholders in the IJsseldelta Zuid felt a common sense of urgency in actively participating.

Nevertheless, only in January 2007, after more than two years of intensive cooperation, did the key stakeholders formally commit to the IJsseldelta Zuid project and sign a public intention agreement (IJsseldelta, 2007). Meanwhile, the key stakeholders had formulated an integrated, shared spatial vision of the various spatial developments in the IJsseldelta Zuid

area. This collective spatial vision was presented as a Master Plan (IJsseldelta, 2006a) and formed the basis for the intention agreement.

The intention agreement had both an internal and external function. The stakeholders saw the intention agreement as an important milestone, indicating the relevance of the project, the stakeholders' commitment and their joint aspirations. Further, the intention agreement had the effect that external stakeholders took the project more serious and were more willing to support the project in terms of political support, approval and finances.

Step 2: Mandates

The second step of strategic planning process is to identify the organisational mandates. As within the IJsselsprong project, the IJsseldelta Zuid project organisation also has to comply with many externally imposed formal and informal mandates, mainly arising from regulation. These mandates include legal procedures, public policies and mandates imposed by decision-makers from various policy sectors at several government levels. To fulfil all these mandates within their deadlines, they had to be coordinated efficiently. Therefore, the project organisation developed an extensive scheme covering the required (and desired) procedures at national, regional and local levels including the links between these procedures, which they continuously updated. In this scheme they also included their desired activities. Based on this scheme, the project planning (contents and deadlines) was determined.

Initially, the mandates of the Hanze railway line in combination with those of the bypass were a particularly major issue in the IJsseldelta project. The development of a bypass (the regional alternative to the national PKB) required adapting the route of the Hanze railway line. However, a route had already been adopted in the Decree for the Hanze railway line [*Tracebesluit Hanzelijn*]. Therefore, V&W had to be asked to make a partial revision of this Decree. To base this request on firm facts, the project organisation had to identify, already in this initial project stage, the exact location of the bypass near the crossing with the proposed railway and, based on this, indicate the adaptations that were needed to the Decree. Although the exact location of the bypass was not a key issue in the plan development for the IJsseldelta Zuid project at that stage, the revision request for the Decree had to be made no later than the end of 2005. If not, the Hanze railway line would follow the original trace.

The second major issue concerning the mandate was the deadline for the exchange decision, needed to replace the prescribed water flood measures by the regional alternative. The national PKB policy prescribed that an exchange decision had to be made before 1 January 2009[6], which again put substantial time pressure on the IJsseldelta Zuid project. Without a favourable exchange decision, implementation of the full regional alternative would not be permitted. To convince the national government to make an exchange decision, the regional stakeholders had to show regional commitment and proof that the regional

[6] Nevertheless, in November 2008 an exception to this deadline was made, delaying it until the summer 2009 for both the IJsselsprong and the IJsseldelta Zuid projects.

alternative satisfied the national flood protection requirements, including an increased level of spatial quality and was financial feasible.

During the project, it was discovered that not all the parties with relevant authority were involved. In the period of public consultation over the five spatial scenarios (spring 2005), it was seen that the project also affected the municipality of Oldebroek (located in the province of Gelderland), the municipality of Dronten and the province of Flevoland.

Depending on the scenario selected, the bypass might flow through the hamlet of Noordeinde (municipality of Oldebroek). Prior to the public consultation between March and May 2005, the municipality of Oldebroek and their citizens were not involved in the plan development for the IJsseldelta Zuid project. By chance, a citizen of Noordeinde saw the spatial scenarios during the public consultation and noticed that the bypass would flow through the hamlets of Noordeinde and Kamperveen (municipality of Kampen). After a tremendous commotion, a sixth scenario was quickly developed by the citizens of Kamperveen, supported by the province of Overijssel. Further, the municipality of Oldebroek started to participate in the IJsseldelta Zuid project. However, after adopting a preferred alternative -the new sixth scenario developed by Kamperveen citizens-, the impact of the project on the municipality of Oldebroek became limited. Nevertheless, during the observation period (March 2007 - March 2008), the municipality of Oldebroek still officially participated in the Project Group, but did not actively attend the project meetings.

Moreover, the project organisation learned during the plan development for the infrastructural elements that also the province of Flevoland and the municipality of Dronten had authority in the IJsseldelta Zuid project. Their authority not only included the relocation of the Roggebot sluice, but also the developments in the Lakes Randmeren. Therefore, both stakeholders started to participate in the IJsseldelta project in 2005.

Besides identifying the many legal requirements, the project organisation also strived to identify the informal mandates of the decision-makers, such as norms and expectations. As in the IJsselsprong project, the IJsseldelta Zuid representatives also gave structural feedback from relevant council discussions at the project meetings. Based on this information, the project organisation could identify strategic issues for the decision-making activities of the councils and the ministries. Besides this local feedback, the project organisation especially took the feedback and advice from the national representatives into account since the national government could provide process experience and was the authority that would decide over an exchange decision in favour of the regional alternative.

Step 3: Mission

The third step should theoretically be the clarification of the project's mission and values. At the start of the IJsseldelta Zuid project, the key stakeholders were identified by the province of Overijssel based on past experience. Overijssel had developed a Project Plan by itself,

describing the purpose of the IJsseldelta project, developing a jointly supported spatial development vision and an implementation agenda. The more precise goals were left open, but the general aim was to develop a regional bypass alternative to the PKB measures, including other spatial developments. When writing the Project Plan, Overijssel consulted the three municipalities of Kampen, Zwolle and Zwartewaterland about their proposal, but did not explicitly identify the mission of these stakeholders.

After Overijssel had proposed the Project Plan to the key stakeholders in the autumn 2004, the resident and interest organisations that could participate on an Advisory Board were identified during the winter of 2004/2005. The goals, interests or success criteria of the members of the Advisory Board were never identified, and thus it cannot be claimed that an external stakeholder analysis was carried out. However, the Advisory Board was put in a position where they could directly advise the Steering Committee. As such, in an indirect sense, the mission of the external stakeholders was considered.

In general, the goals of the external stakeholders were hardly incorporated in the IJsseldelta Zuid plan development. Initially, the missions of residents and companies in the plan area were not taken into account. However, after strong resistance to the five spatial scenarios, a new scenario was developed by the citizens of Kamperveen. For the development of this scenario, the province of Overijssel had to put experts at the disposal of the citizen. This sixth scenario finally became the preferred alternative. In a later phase (during 2007), an extensive external stakeholder analysis of residents and companies in a part of the plan area was carried out. The project organisation investigated the desires of the residents and company owners in the plan area of the bypass. Subsequently, the bypass location was tailored to the desires of those external stakeholders provided the internal project goals were not affected. The desires of residents and companies in other parts of the plan area were not determined.

Step 4: Assessment of external and internal environments

Timing to the internal and external environments, the IJsseldelta Zuid project organisation carried out environmental analyses of both aspects. The external environmental analyses that were carried out during the case study included the prescribed Strategic Environmental Assessment (SEA), an analysis of possible ways to cooperate with private parties plus the monitoring of changes in public policies and political trends. Further, by continuing the Advisory Board made up of citizen and interest organisations, the project organisation indirectly monitored the interests of most of the external stakeholders.

Carrying out an SEA is prescribed by the Dutch legal procedures, and thus it is a mandated activity. Besides the SEA, the Dutch planning system also prescribes many other activities to take external factors into account, such as an Environmental Impact Assessment (EIA), a Water Assessment and requirements regarding safety, noise and air pollution. In 2006, the project organisation carried out a voluntary SEA (Arcadis, 2006) to identify possible unacceptable consequences of the IJsseldelta Zuid plans from an environmental perspective.

Further, opportunities for the nature and water systems were also identified. Between February 2007 and March 2008, the formal SEA was carried out as a basis for revisions to the two Regional Land Use Plans. In a later stage, an EIA has also to be executed to consider the environmental impact of the Local Land Use Plans plus a Water Assessment to assess the balance in including the water management interests in the spatial plans.

Initially, the project organisation only executed a identification of the main threats regarding other spatial developments in the area. As a result from this limited identification, if such threats actually occurred, they were treated on an ad hoc basis. On the initiative of V&W (following their procedural approach) a continuous risk analysis of the IJsseldelta Zuid project was started in 2008. Since then, deliberating on risks has become a structural item on the project agenda.

In contrast to the treatment of threats or risks, there was no explicit identification of opportunities. Opportunities were only identified and dealt with on an ad hoc basis, particularly by calling on the experience of the project leader. The project organisation also failed to develop environmental scenarios to anticipate possible developments.

Besides focussing on the external environment, the continuous risk analysis also focussed on the internal environment. Some issues that were raised in this context were 'losing the commitment of politicians', 'procedure mistakes in the revisions of Land Use Plans' and 'unsolvable disagreements between project partners'.

Prior to the case study period, the project organisation had also identified success and failure factors during the update of the Project Plan in February 2006 (IJsseldelta, 2006b). In this update of the Project Plan, 'rules of the game' were also formulated.

Step 5: Strategic issues

In line with Bryson's strategic planning process, as the fifth step, the project organisation should confront the internal and external environments to identify strategic issues. The project organisation did not confront the internal and external environments, but they did identify strategic issues. Initially, their identification of strategic issues was limited to issues concerning legal procedures, the critical time path and recurring discussion topics, such as the level of dynamics in the bypass. These identified strategic planning issues were used as prescribed process steps and therefore positioned in the project planning effectively and efficiently. Incidentally identified other strategic issues were initially treated on an ad hoc basis, using the experiences of the project leader.

Following the implementation of the continuous risk analysis, the identification of strategic issues became more structural. The risk analysis was not limited to identifying planning issues, but covered identifying strategic issues in general.

Step 6: Strategy formulation

The ambition of the IJsseldelta Zuid project was to coherently develop the various (inevitable and desired) spatial developments in (IJsseldelta, 2006a). The intention was that through a joint and integrated plan development of the IJsseldelta Zuid area, added value would be optimised. This added value would be achieved both in a spatial sense (product) and in a financial sense. As in the IJsselsprong project, also the strategy used in the IJsseldelta Zuid project was mainly based on coordinating the many legal procedures and, subsequently, using that strategy scheme as prescribed process steps. In general, this strategy worked rather well in prioritising the project organisation's responses to the fundamental challenges it faced.

Regarding the identification of alternatives covering strategic issues, the project organisation developed five spatial scenarios which they presented in the first public consultation (April - May 2005). In response to these five scenarios, citizens (supported by experts) developed a sixth scenario, which became the preferred alternative. No identification of alternatives for the process or other strategic issues took place.

Identifying potential barriers occurred initially only on an ad hoc basis, except for where they concerned legal procedures. As described above, such strategic issues were used as prescribed process steps, and strategically positioned in the project planning. When the project organisation developed their third Project Plan (IJsseldelta, 2006c) in December 2006, they included for the first time an overview of other developments that impacted on the project (possible barriers). Moreover, in that third Project Plan, they included a management plan [*beheersplan*], based on the GOTIK method, which focuses on finances, organisation, time, information and quality. Subsequently, following the implementation of the continuous risk analysis process in January 2008, barriers were identified and dealt with on a structural basis. Each identified strategic issue was linked to one or more controlling measures, and for each controlling measure a responsible person was selected.

Step 7: Adoption of the strategic plan

The Master Plan for the IJsseldelta Zuid project was formally adopted by the various local and regional councils in the autumn of 2006. Given its adoption, it can be concluded that the Master Plan addressed the key issues of the local and regional decision-makers. In the meetings of the Steering Committee (and the Project Group), the representatives gave feedback of relevant council discussions, so the project organisation was able to address possible issues in their plans. Further, in January 2007, the provinces of Overijssel and Flevoland, the municipalities of Kampen, Zwolle, Dronten and Oldebroek, the Groot Salland water board, the ministries of VROM, V&W and LNV and Staatsbosbeheer all signed the intention agreement for the IJsseldelta Zuid integrated area development and cooperation.

Moreover, during the case study period, adoption of the Revised Regional Spatial Plans for Overijssel and Flevoland was planned for the autumn of 2008.

Step 8: Establish an effective organisational vision

The IJsseldelta Zuid project's organisation did not identify success criteria. Further, there was only an indirectly articulated 'vision of success': the purpose to be achieved was 'coherent plan development and implementation of the various spatial developments in the IJsseldelta Zuid area'. This 'vision of success' was emphasised by key stakeholders several times during the project meetings, but was never explicitly documented as such.

Step 9: Implementation process

The focus of the project organisation at the end of the case study period (March 2008) was on the exchange decision that had to be taken by V&W and VROM before 1 January 2009. The project organisation had yet to develop an implementation plan. However, the project organisation had considered already some implementation aspects. Some of these aspects, such as the revision of both the Regional Spatial Plans and a flora and fauna assessment, were put forward after their identification as elements of the critical time path. Moreover, the future stakeholders that would most likely be responsible for management and maintenance were already identified in order to be able to consider their requirements in the 'user phase'. Also the tailoring of the bypass location can be viewed as a considered implementation aspect, since it should avoid some implementation objections by residents.

Step 10: Reassessment

In terms of the final recommended strategic planning process step, the project organisation did not reassess the developed strategy and the strategic planning process. As described above, the project organisation had particularly focused on achieving a favourable exchange decision rather than on actual implementation. However, in February 2006 and in December 2006 the project organisation did develop complete new Project Plans. Further, some critical implementation aspects were identified by the project organisation. During the case study period, the project planning was continuously updated and these critical implementation aspects were included in the planning.

Conclusions on the extent of a strategic approach

The IJsseldelta Zuid project has carried out most of the strategic planning process steps described by Bryson (2004). However, the planning process was dominated by satisfying legal procedures. Hence, the project organisation developed a planning scheme based on the required procedures and the relations between them. This scheme was used as the main planning strategy and was continuously updated. The many mandates that had to be fulfilled left only limited space for actual strategic procedures.

It was observed that the planning process was a complex, dynamic and above all, an iterative one. Nevertheless, the strategic planning process steps were largely executed in the

recommended sequence of Bryson's (2004) strategic planning process. The first step, developing an initial agreement, was however not approved until after more than two years by the signing of the intention agreement in January 2007. This late commitment is often seen in complex collaborative spatial projects. In most collaborative spatial projects, the mission is first extensively discussed and determined, before signing an intention agreement. In this way, the object of the project and the most important stakeholders can first be determined, before stakeholders actually commit themselves. Moreover, in the first instance of such commitment (thus after about two years), only an intention agreement is signed, rather than a cooperation or project agreement.

Regarding iterations, the identification of mandates was an action that was particularly repeated. Further, almost continuous attention was paid to the external environment, although the level of response to external issues was variable.

5.4. Concluding remarks

The IJsseldelta Zuid project is an integrated area development project focusing on developing a spatial plan covering various intertwined land use functions. During the case study period, eleven public stakeholders cooperated in the IJsseldelta Zuid project to coordinate the plan development. The aim of the project was to develop a regional bypass alternative to the national PKB measures that would be taken in the area, and to coordinate this with other spatial developments in the same area. The province of Overijssel felt a strong sense of urgency to develop such a regional alternative, since the prescribed flood protection measures conflicted with their own spatial vision. Therefore, Overijssel presented an outline IJsseldelta Zuid Project Plan to other potential stakeholders. In first instance, the local stakeholders, and in particular the municipality of Kampen, were not interested in the project. They did not see the future spatial reservation for the bypass as their problem. Nevertheless, Overijssel continued to stand out and promote the project. Eventually, after the city council changed following local elections, also Kampen saw the relevance in developing a jointly supported spatial vision and implementation agenda, and started to participate actively in the project in order to obtain several of their spatial interests and share in the collaborative advantage.

Moreover, during the plan development phase, also the municipalities of Dronten and Oldebroek and the province of Flevoland started to participate once it became clear that the project also affected their area. Conversely, the municipality of Zwartewaterland stopped participating because their interests in the project reduced significantly.

All the nine public stakeholders that participated in the IJsseldelta Zuid Steering Committee saw cooperation as their last opportunity to avoid the implementation of the prescribed PKB measures. Only V&W is able to meet its major goal (flood protection) without the implementation of the regional alternative. However, to achieve their minor goal

(improving the spatial quality) and financial added value, V&W is dependent on the other stakeholders.

The plan development for the IJsseldelta Zuid project is dominated by legal procedures and has huge time pressures, mainly because of national procedural deadlines such as for the revision to the Decree for the Hanze railway line and for the PKB exchange decision. Besides these many legal procedures, the IJsseldelta Zuid organisation also has to deal with many contextual factors. According to the stakeholders, the political situation and trends are the most important, and particularly 'political support' and 'political trends and senses of urgency'

The stakeholders were very satisfied with the planning approach. All of them scored the planning approach positively, with an average perceived performance of 4.2 out of 5. The most used arguments were the accurate project organisation and planning, and the great attention the project organisation pays to involving all stakeholders in the project plus keeping them involved. Further, all national stakeholders have mentioned the vigorous regional leadership and the holistic planning approach as strong aspects in the IJsseldelta Zuid project. The interaction between the stakeholders was experienced as good and was improved since the start of the project. Nowadays, the stakeholders experienced involvement and commitment to the IJsseldelta Zuid project.

Regarding the strategic process steps proposed by Bryson (2004), the IJsseldelta Zuid project has carried out most of them and it can be concluded that the project is largely carried out in a strategic way. The focus of the project organisation was in particular on accomplishing the legal procedures and external environment (Steps 2 and 4). As a result, the project organisation has used the legal procedures as the basis for their planning, which has left only limited space for actual strategic procedures. The project organisation did not carry out an extensive stakeholder analysis. During the plan development the project organisation structure was adapted several times on ad hoc basis. New key stakeholders were added to the project organisation because of new insights in the authorised parties and in the institutional arena in general, and others left because of their lack of interests.

The planning process was an iterative process, but largely followed the strategic planning process steps in the order proposed by Bryson. In particular, 'identifying mandates' and 'assessing the external environment' were often repeated activities in the IJsseldelta Zuid project. Only the first step, developing an initial agreement, was executed in a far later stage of the project than recommended. The stakeholders only signed the IJsseldelta Zuid intention agreement after more than two years of intensive cooperation.

In this chapter, the first step of the reflective cycle has been described for a second integrated area development project and, related to this, the second and third research questions have been answered for the IJsseldelta Zuid project. It was described how the plan development

process for this project evolved and performed, as perceived by its stakeholders (**RQ2**), and it was described to what extent the plan development process was strategic (**RQ3**). The next chapter addresses the actual diagnosis of problems in strategic plan development in integrated area development, based on the findings in the IJsselsprong project in Zutphen (Chapter 4) and the IJsseldelta Zuid project in Kampen (Chapter 5). It describes the key aspects in designing an IADM approach that were derived from this extensive explorative research (RQ4) and with that is the starting point for designing an Integrated Area Development & Management (IADM) approach (RQ5).

Chapter 6. Diagnosing strategic plan development in integrated area development projects

This chapter is the final part of the explorative research to design a strategic approach for plan development in integrated area development projects. In this chapter, the fourth research question is answered: 'What elements need to be included in a design of a strategic plan development approach for integrated area development projects?' (**RQ4**). It reports the problem diagnosis in strategic plan development in integrated area development projects based on the two in-depth case analyses of the IJsselsprong project in Zutphen (Chapter 4) and of the IJsseldelta Zuid project in Kampen (Chapter 5). For reasons of clarity and brevity, the two cases, from now on, are referred to as case Zutphen and case Kampen.

The chapter is structured as follows: Section 6.1 reports the cross-case analysis of the cases Zutphen and Kampen. Based on this cross-case analysis, in Section 6.2 key aspects in designing a strategic planning approach for integrated area development projects are generated. Finally, Section 6.3 provides some concluding remarks.

6.1. Cross-case analysis

The two cases, Zutphen and Kampen, are both integrated area development projects with a large and complex spatial task involving various sectors. In line with the case selection criteria, each case was studied in its plan development phase but during different stages of this phase. As a result, the two cases are complementary. Case Zutphen was intensively studied from its initial set up, whereas case Kampen was studied from the moment its key stakeholders had signed an intention agreement. The major reason for analysing the two cases in different stages of their plan developments is that the plan development phase lasts several years in integrated area development projects. To cover a substantial part of the plan development phase, and to be able to study the sequence of events, it was decided to stagger the two case analyses over the plan development phase, as was discussed in Chapter 2. For the comparison of the cases we looked at the characteristics as were defined in Chapter 3 and are listed here: the characteristics of the stakeholders, the interaction process, the contextual factors, the perceived performance and the use of strategic plan development elements.

6.1.1. Comparison of the stakeholders' characteristics

In both cases, Zutphen and Kampen, eight or more stakeholders were involved. All of them were government bodies, together representing the local, regional and national governments. Each stakeholder had its own specific goals and interests in the project area, covering

developments in real estate, water courses and works, the environment and infrastructure. Most of these goals and interests were intertwined, some also in competition.

None of the stakeholders had all the resources at their disposal to achieve their individual goals independently. The stakeholders thus depended on each other to realise their spatial goals. In both cases, the stakeholders were aware of this mutual dependence. This interdependency was to be found in terms of authority, finances, land ownership, knowledge and goals.

Table 6.1: Comparison of the stakeholders' characteristics

Stakeholders	**IJsselsprong, Zutphen**	**IJsseldelta Zuid, Kampen**
Stakeholders	Network of eight public stakeholders	Network of eleven public stakeholders
Goals	Multiple interrelated goals in one geographic area	Multiple interrelated goals in one geographic area
Resources	Input of the available authority, land and knowledge or skills of all public stakeholders was more-or-less taken for granted by stakeholders	Input of the available authority, land and knowledge or skills of all public stakeholders was more-or-less taken for granted by stakeholders
	Division of plan development costs between local and regional stakeholders depending on their interests	Division of plan development costs between the majority of the local and regional stakeholders depending on their interests
	Some allocations of execution budgets by regional and national stakeholders	Allocation of several execution budgets by local, regional and national stakeholders
Dependency	Strong interdependence between stakeholders	Strong interdependence between stakeholders
	Stakeholders are aware of their interdependence	Stakeholders are aware of their interdependence

In both cases, the stakeholders' inputs of authority, land and knowledge or skills in the joint integrated projects was more-or-less taken for granted by all the stakeholders and this was rarely a subject for discussion. The financial contributions of the stakeholders on the contrary, caused a major discussion in both cases. In both, the financial contributions were separated into contributions for the plan development and for the execution phases. In case Zutphen, and in case Kampen, the plan development costs were shared among the local and regional stakeholders based on their interests. In case Zutphen, this meant all local and regional stakeholders contributed to the plan development costs according to a formula in terms of percentages of interest. In case Kampen, the province took the majority of the plan development costs for its own account. The balance was shared among several local stakeholders. In both cases, the national stakeholders did not contribute financially to the plan

development using the argument that the projects were regional alternatives to their own plans, at least until a PKB exchange decision in favour of a regional alternative was taken.

Whereas the divisions of the plan development costs show many similarities, the budget allocations for execution aspects differed significantly between case Zutphen and case Kampen. In case Zutphen, execution aspects and their finances were barely discussed during the period of study. The stakeholders focussed on the identification and coordination of goals and paid little attention to the execution phase. Nevertheless, the national and regional stakeholders had allocated budgets for specific execution aspects such as purchasing land and agricultural reinforcement. In case Kampen, in contrast, a general exploration of the execution phase had taken place and some critical execution aspects had been negotiated. Here stakeholders from all government levels -local, regional and national- had allocated budgets for certain specific execution aspects, such as for purchasing land, the reconstruction of the regional N23 road and the construction of the infrastructure junction of the Hanze railway line, the regional N50 road and the future bypass.

To summarise, relevant aspects for designing a strategic plan development approach are that a network of strongly interdependent public stakeholders was involved in both integrated area development projects. These stakeholders are only able to realise their individual goals and interests through intense cooperation and joint input of resources.

6.1.2. Comparison of the interaction process characteristics

The interaction processes in the two cases are compared on two aspects as explained earlier: the cooperation structure and the sequence and substance of events. The cooperation structures in both cases were rather similar. Both were bottom-up projects proposed by local and regional governments with the aim of developing a holistic regional alternative to nationally prescribed water safety measures. By jointly developing a strong regional alternative and convincing the national government to take a PKB exchange decision, the local and regional stakeholders could avoid the implementation of the undesired national spatial measures in favour of their own regional alternative. The strength of the regional alternative should be that it fulfils the national flood protection task in harmony with meeting several local and regional spatial demands, thus creating added value by coherently realising various spatial interests.

In both cases, the national government also participated in developing a holistic regional alternative to the national, prescribed, PKB measures. The national government was interested in the regional alternatives because, with the regional alternative, they would still meet their flood protection requirements but also have the opportunity to fulfil other national spatial goals, such as meeting a substantial part of the housing obligations and the National Ecological Network [*Ecologische Hoofdstructuur*]. In case Zutphen, it had taken the regional stakeholders more time and effort to actively involve the national government in their regional project than in case Kampen. The regional stakeholders of case Zutphen had asked

the national government to participate in their project, independent from a national policy programme, and it required serious effort to raise interests and involve the national government. In case Kampen, the national stakeholders committed themselves faster to the regional project. Here, the province of Overijssel had, in response to an invitation from the ministry of VROM, proposed the project as a 'national model project for development planning'. This status was adopted by the national government and resulted in the self-evident participation of the ministries of VROM, V&W and LNV.

The stakeholders in both case Zutphen and case Kampen established a public coalition to develop and implement a holistic regional spatial plan. In both cases, the regional authority - the province- felt a sense of urgency to develop an integrated spatial plan and took the project lead. The difference between the two public coalitions was that, in case Zutphen, the coalition operated without any official engagement, whereas in case Kampen the public stakeholders had signed an intention agreement. This intention agreement fulfilled an important function in case Kampen, both internally and externally. The stakeholders saw it as an important milestone that they had achieved, one that indicated the sense of urgency or relevance of the project, the stakeholders' commitment to the project and their joint aspirations to realise the various spatial developments in the short term and coherently. According to the stakeholders, the intention agreement had strengthened the solidarity between them and formed -together with the adopted general spatial plan- a strong basis for further plan development and implementation. Further, the intention agreement had the effect that external stakeholders took the project more seriously and were more willing to support the project in terms of political support, approval and finances. In case Zutphen, such a formal commitment was lacking. However, the stakeholders in case Zutphen had the intention to sign an initial agreement after adopting an abstract spatial plan (planned to occur within a year[7]). However, before all stakeholders would support this abstract spatial plan, some concessions to individual interests had first to be made. According to the stakeholders in both cases, showing commitment is a crucial element in joint plan development. Yet, as also shown in these cases, anchoring commitment is often difficult in the public sector, especially because of the separation between policy making and policy implementation and the political manner of decision-making.

In neither of the two cases were private parties participating in the project organisation. Private parties were only hired in temporarily for specific tasks or skills. In case Kampen, this accorded with their original intentions. Here, private involvement was not desired until after developing a public vision and signing a public intention agreement. The original intention of the Zutphen's stakeholders, however, was to actively involve private parties from the start to improve the financial feasibility. Nevertheless, this intention was let loose after about a year of

[7] Later, the adoption of this spatial plan, the Joint Spatial Plan IJsselsprong, was put off untill May 2009. At the time of finishing this thesis, an intention agreement is still unsigned.

discussing how to actively involve private parties without binding them legally in a long term public private partnership and searching for legal options.

Table 6.2: Comparison of the interactions

Interaction	IJsselsprong, Zutphen	IJsseldelta Zuid, Kampen
Cooperation structure	Bottom-up project at regional scale	Bottom-up project at regional scale
	Public coalition without official engagement	Public coalition based on an intention agreement
	Lead by regional authority	Lead by regional authority
	Participation of public stakeholders from all levels of government	Participation of public stakeholders from all levels of government
Sequence and substance of events	Plan development dominated by legal procedures	Plan development dominated by legal procedures
	Development of a general Joint Spatial Vision as a basis for a PKB exchange decision (to save crucial time at short notice)	Development of a general Master plan, followed by the partial revision of two Regional Spatial Plans as the basis for a PKB exchange decision
	Integrated project planning with numerous activities and intense interactions between the project stakeholders and regularly also with external organisations and citizens	Integrated project planning with numerous activities and intense interactions between the project stakeholders and frequently also with external organisations and citizens
	Iterative plan development	Iterative plan development

Also the sequence and substance of events show many similarities in the two cases. Both project organisations had to deal with a large number of legally prescribed procedures. Both of them used these legal procedures as prescribed process steps. As a result, the sequence and substance of events in the two cases show much overlap. Critical obligatory procedures in the two cases included those of the Spatial Planning Act such as the establishment of Local and Regional Land Use Plans, the SEA requirements [*verplichte MER analyses*] and the completion of a Water Assessment [*watertoets*], the European Tender and Procurement Procedures and the national PKB 'Space for the Rivers' procedures [*Planologische Kernbeslissing Ruimte voor de Rivier procedures*].

A difference between the two cases was that the project organisation in case Kampen had developed a general Master Plan to describe their joint vision and mission which lacked any legal planning status, while the project organisation Zutphen had instead planned a general Joint Spatial Vision that had a certain legal planning status. This Joint Spatial Vision could be used as a basis for seeking the required PKB exchange decision. Directly developing a facilitating Joint Spatial Vision, rather than first developing a Master Plan followed by a regional or local spatial plan, saved case Zutphen crucial time in meeting the

PKB deadlines. Nevertheless, in a later stage, local and maybe also regional spatial plans will still be required.

In each of the cases, the interactions between the stakeholders were intense and holistic. Due to the large scale and the complexity of the projects, there were many topics that the stakeholders had to discuss and coordinate, and many activities they had to undertake. Besides content and planning related issues, the coordination of different views and values was a recurring discussion topic. As an illustration, in case Zutphen, the three municipalities had many discussions over some conflicting interests over different land uses of the same piece of land. These conflicts led to serious and long-lasting debates between the municipalities about the formulation of a joint spatial vision. Besides the intense interactions between the key stakeholders in both cases, also regular -and in the case of Kampen even frequent- gatherings with external organisations and citizens were organised. As shown in particular in case Kampen, strong leadership of the project manager and political representatives could form a major contribution in breaking through recurring discussion topic and achieving a joint mission.

Another characteristic aspect in both cases was that plan development and decision-making occurred in a highly iterative manner. The stakeholders typically rethought their options several times before making final decisions. Given the dimension of the projects and the interrelationships between many of the project elements, the stakeholders had difficulties in overview all the consequences of a decision at once. Moreover, major project decisions had to fit the legal procedures and be supported and agreed upon by several external decision-makers and political arenas. As a result, progress in plan development and decision-making was achieved step by step, and with many cyclic considerations and activities.

To summarise, important aspects to consider when designing a strategic plan development approach are that the interaction processes in the two integrated area development projects are intense and long-lasting cooperations of multiple stakeholders in a project coalition. Due to the dimension and complexity of the projects, this interaction process generally includes an extensive exploration phase lasting several years before stakeholders are prepared to formally commit themselves to the project. Achieving this commitment to the project is seen as significant by the stakeholders, but also as difficult to achieve, particularly in the public sector with its political decision-making. The plan development process is dominated by the need to satisfy legally prescribed procedures. This, in combination with the dimension and complexity of the projects, results in a strongly iterative plan development and decision-making process.

6.1.3. Comparison of the contextual factors

There were numerous contextual factors that influenced or could influence both cases and required action by the two project organisations. Major contextual factors included the highly

formalised setting of spatial planning and the political nature of decision-making. The stakeholders in both cases actively monitored the contextual factors and in case Kampen, also adopted a structural approach by executing a risk assessment. In both cases, the focus was especially on the political and economic situation and trends, but also on the situation with the physical environment and trends such as the threat of floods. The two cases had many contextual factors in common, such as the large public attention to climate change and sustainability; a stable growing economy; identical legal procedures and regulations to comply with; a similar set of possible subsidies and a growing environmental consciousness. Many of these similarities were due to the fact that the studies were undertaken in a comparable economic and political setting.

Table 6.3: Comparison of the contextual factors

Context	**IJsselsprong, Zutphen**	**IJsseldelta Zuid, Kampen**
Context	Highly formalised setting of spatial planning	Highly formalised setting of spatial planning
	Political decision-making	Political decision-making
	Stable growing economy	Stable growing economy
	Major public attention to climate change and sustainability	Major public attention to climate change and sustainability
	Political debate over the green buffer zone between Zutphen and Brummen, and improving the infrastructure	Public debate over the real need for housing construction in the area

Differences in the contexts were to be particularly found in local political issues. According to the stakeholders, the political issues were the most important contextual factors to consider. In case Zutphen, two major local political issues were the green buffer zone between Zutphen and Brummen and improve the infrastructure. In case Kampen, a major local political issue was the real need for housing construction in the area.

To summarise, major context factors in the integrated area development projects are the highly formalised setting of spatial planning and political decision-making. In particular, the political and economic situation and trends are contextual factors that might have a substantial influence on plan development.

6.1.4. Comparison of perceived performance

Stakeholders in both case Zutphen and case Kampen were satisfied with the planning approach of their project and evaluated it as ‘good’. The average perceived performance in case Kampen (4.2 out of 5) was a little higher than in case Zutphen (3.8 out of 5). While the difference in the average perceived performance between the two cases is only small, for reasons of completeness, it should be noted that the perceived performance in case Kampen

was measured in the year after the signing of an intention agreement, while in case Zutphen the perceived performance was measured when the intention agreement was still being planned. In interviews, several stakeholders in case Kampen had indicated that their satisfaction was at its highest level in the course of preparing the intention agreement.

In case Zutphen, most stakeholders had difficulties in clarifying the evaluations. A majority of the stakeholders simply noted that they had a positive impression of the planning approach as the main argument for their scoring. Other arguments that were given were frequently relativistic arguments, such as 'it is a searching process' and 'time pressure dominates the process'. These arguments might suggest an acceptance of a certain number of hiccups without frustrating the stakeholders. The stakeholders' interests in collectively and successfully developing a regional alternative, and in a short period of time, were high. The Zutphen's stakeholders also mentioned that the interaction between them was good. In case Kampen, the stakeholders' main arguments for being satisfied with the process approach were 'the accurate project organisation and planning', the 'vigorous leadership' and the 'large attention to the stakeholder interests and values'. Also here the interaction between the stakeholders was indicated as being good.

To further improve the planning approach, several stakeholders in both cases suggested 'more active lobbying by the politicians and decision-makers' and 'improvement of the external communication strategy'. Additionally, several stakeholders in case Zutphen mentioned 'the coordination between the project organisation and the institutional decision-makers' as a major issue for improvement, even as a 'more strategic approach to reconcile the three municipalities'. In case Kampen, 'improving the treatment of water and environmental issues relative to urban planning aspects' was suggested by several stakeholders.

Table 6.4: Comparison of the perceived performance

Perceived performance	**IJsselsprong, Zutphen**	**IJsseldelta Zuid, Kampen**
Perceived performance	Stakeholders are satisfied with process approach	Stakeholders are very satisfied with process approach
	Score 3.8 out of 5	Score 4.2 out of 5

Summarising, the stakeholders in both cases were satisfied with the planning approach of their projects. Despite some possibilities for improvement, such as in external communications and a more active lobby, the stakeholders did not indicate any major issues that would require a different planning approach.

6.1.5. Comparison of the extent of a strategic planning approach

As described in Chapter 3, a strategic planning process typically includes ten steps (Bryson, 2004): initial agreement, mandates, mission, internal and external analysis, strategic issues,

strategy formulation, strategy review and adoption, future organisation, implementation and reassessment. Table 6.5 presents a comparison of the use of the strategic plan development elements in the two cases. The major findings in the extent to which far the plan development of the two cases were strategic are further described below.

In both cases, Zutphen and Kampen, a majority of the strategic plan development elements were carried out, or at least explored, and more in case Kampen than in case Zutphen. Also the thoroughness with which the various elements were carried out varied. The stakeholders in case Kampen had gone through more iterative rounds and, as a result, had executed the strategic activities in more detail than in case Zutphen. Both the difference in the number of elements that were carried out and in the level of detail could be explained through the difference in stages of plan development in which the cases were analysed.

In both cases, the incentive to set up the project was the identification of strategic issues, namely conflicting spatial developments. Based on a strong desire to solve these strategic issues, in both projects, a public collaboration started without any initial agreement. The stakeholders started with the plan development and developed a joint mission, all before they were willing to enter a formal coalition. The stakeholders in case Zutphen were planning to sign an intention agreement after nearly three years which would be based on a joint general spatial plan. The stakeholders of case Kampen, which started earlier, have signed a public intention agreement. This intention agreement was signed three years after the project's original initiative, and was also based on a joint general spatial plan.

In both projects, the project organisation gave extensive attention to identifying and clarifying the many mandates placed on the project. The large number of externally imposed mandates dominated the plan development in both projects. A substantial number of these mandates covered legal regulations and procedures, including several procedural deadlines. As a result, both project organisations were restricted in their planning and in the content of their activities, and both had to operate under severe time pressure.

The two project organisations paid a lot of attention to the external environment. The legal procedures prescribed for the execution of a SEA, had a lot in common with an external analysis. In case Zutphen, no internal environmental analysis was carried out, although some weaknesses were casually mentioned in project meetings such as the need to switch to a new project manager. In case Kampen, the stakeholders did pay attention to the internal environment by identifying success and failure factors and by executing a risk assessment.

The identification of strategic issues was limited to legal procedures in case Zutphen. After coordinating these legal procedures efficiently, the project organisation used the legal procedures as prescribed process steps. Initially, case Kampen had used a similar strategy. However, after signing the intention agreement, V&W had initiated to identify strategic issues by carrying out a risk assessment, as they were used to in other PKB projects. The perspective used in this risk assessment was broader than procedural issues and covered all

Table 6.5A: Comparison of the use of strategic plan development elements

	IJsselsprong, Zutphen	IJsseldelta Zuid, Kampen
1 Initial agreement		
Establish-ment of coalition	Yes, Gelderland and Zutphen initiated a coalition with Brummen and Voorst, plus the Veluwe water board and Stedendrie-hoek in the spring of 2006. About half a year later, V&W and VROM joined	Yes, Overijssel proposed a cooperation between Kampen, Zwolle, Zwartewaterland, the Groot Salland water board and the national government in the autumn of 2004. Later, Zwartewaterland left the coalition, but Dronten, Oldebroek and Flevoland joined
Initial plan	Yes, a joint Project Plan was completed after half a year, describing the reasons, points of departure, members and structure of the project organisation, the process steps, a time schedule and the estimated process costs for plan development	Yes, Overijssel proposed a Project Plan to the other stakeholders that described the reasons, the purpose, other planning processes to be coordinated with, the proposed members and structure of the project organisation, the process steps and a time schedule
Formal commitment	Not yet: according to the planning, an intention agreement should be signed after 2.5 years	Yes, after 3 years eleven stakeholders signed a public intention agreement, that was based on the IJsseldelta Zuid Master Plan
2 Mandates		
Identification of formal mandates	Yes, identification of legal procedures and formal mandates of councils	Yes, identification of legal procedures and formal mandates of councils
Identification informal mandates	Yes, identification of mandates of councils due to feedback of council discussions by the representatives in project meetings	Yes, identification of mandates of councils due to feedback of council discussions by the representatives in project meetings
3 Mission		
Extensive stakeholder analysis	Partly, an internal stakeholder analysis was completed and members were identified for an Advisory Board. No further external stakeholder analysis was carried out.	Partly. Initially, Overijssel had identified the key stakeholders. Together, the stakeholders identified members for an Advisory Board and, later, also the interest of residents and companies in the plan area
Identification mission of internal stakeholders	Yes, the mission of each key stakeholder was identified plus the joint mission, as documented in the Planning Brief	Yes, after consulting the municipalities, Overijssel put its Project Plan forward. The missions of the other stakeholders were identified in the preparation phase of the Master Plan
Identification and incorporation of the goals of external stakeholders	No, although an Advisory Board directly advised the Steering Committee, their goals were not identified. The goals of external stakeholders were only incorporated after they had become a strategic issue in adopting plans	Partly, an Advisory Board advised the Steering Committee and, after large resistance, a new spatial scenario was developed by citizens which became the preferred alternative. Later, the bypass location was tailored to the desires of residents and companies in the plan area provided the internal project goals were not affected

Table 6.5B: Comparison of the use of strategic plan development elements (continued)

	IJsselsprong project, Zutphen	IJsseldelta Zuid project, Kampen
4A External environment		
Analysis of external environment	Yes, the interests of the private market and changes in public policies were analysed and an Advisory Board was installed. Further, a prescribed SEA was planned in the short term	Yes, the prescribed SEA and possibilities for cooperating with private parties were assessed and changes in public policies and political trends were monitored. Also an Advisory Board was installed
Identification of threats	Not explicitly, but some threats were discussed on ad hoc basis	Yes, identification of threatening developments and, since 2008, also a risk assessment (procedure for PKB projects)
Treatment of threats	Ad hoc	Initially ad hoc, but since the risk assessment was introduced as a structural agenda item
Identification opportunities	Not explicitly, but some opportunities were discussed on an ad hoc basis	Not explicitly, but some opportunities were discussed on an ad hoc basis
Treatment opportunities	Ad hoc	Ad hoc
Development environment-tal scenarios	Except for the prescribed SEA scenarios, the project organisation did not develop scenarios to anticipate possible external developments	Except for the prescribed SEA scenarios, the project organisation did not develop scenarios to anticipate possible external developments
4B Internal environment		
Analysis of internal environment	No internal environmental analysis was carried out	Initially some general internal environment analysis, after introducing the risk assessment such analysis was included but only as minor focus
Identification of strengths	No explicit identification of strengths	Yes, identification of success factors
Treatment of strengths	Strengths were not identified and as a result also not an issue	Formulation of 'rules of the game'
Identification weaknesses	No explicit identification, but some weaknesses were ad hoc mentioned	Yes, identification of failure factors and minor items in the risk assessment
Treatment of weaknesses	Ad hoc	Formulation of 'rules of the game' and since the risk assessment as a structural agenda item. Remaining weaknesses dealt with on ad hoc basis
5 Strategic issues		
Identification of strategic issues	Partly, identification of barriers relating to legal procedures and regulations (mandates), but no confrontation of the internal and external environments. Consequently, only the external stakeholders' opinions and the environment were structurally identified	Initially, the identification of strategic issues was limited to legal procedures, the critical time path and repeating discussion topics. Since the risk assessment, strategic issues were more structurally identified. No confrontation of the internal and external environment
Treatment of strategic issues	Legal procedures were used as prescribed process steps. Other issues were dealt with on an ad hoc basis using the experience of the external process manager	Initially legal procedures were used as prescribed process steps. Other issues were dealt with on an ad hoc basis using the project leader's experience. Since the risk assessment, a more holistic and structural treatment of strategic issues

Table 6.5C: Comparison of the use of strategic plan development elements (continued)

	IJsselsprong project, Zutphen	IJsseldelta Zuid project, Kampen
6 Strategy formulation		
Project ambition	An external PKB exchange decision in favour of the regional alternative and therefore to develop a Joint Spatial Vision as a legal basis	Develop the various (inevitable and desired) spatial developments in a coherent way to achieve optimal added value
Identification alternatives strategic issues	Limited: only spatial scenarios (product). No identification of alternatives for process or other strategic issues took place	Limited: only spatial scenarios (product). No identification of alternatives for process or other strategic issues took place
Identification of imple-mentation barriers	On an ad hoc basis, except for legal procedural barriers	Initially on an ad hoc basis, except for legal procedural barriers. Since the risk assessment, a more structural identification
Coherent strategy?	Yes, by coordinating the legal procedures efficiently and using them as prescribed process steps	Yes, initially by coordinating the legal procedures efficiently and using them as prescribed process steps. Since the risk assessment by linking strategic issues to controlling measures
7 Adoption of the strategic plan		
Plan available?	No, but a general Joint Spatial Vision was under development	Yes, a general Master Plan
Negotiation with decision-makers?	Indirectly; in project meetings the political representatives provided feedback of relevant council discussions, so the project organisation was able to address possible issues of the decision-makers	Indirectly; in project meetings the political representatives provided feedback of relevant council discussions, so the project organisation was able to address possible issues of the decision-makers
Adoption of plan?	No, there was no plan available for adoption	Yes, adoption of the general Master Plan
8 Organisation in the future		
Success criteria?	No identification of success criteria	No identification of success criteria
Develop-ment of a 'vision of success'?	Limited: only as the purpose to achieve 'a positive exchange decision' and 'a sustainable, coherent development of the IJsselsprong area	Limited: only as the purpose to 'develop the various spatial developments in the IJsseldelta Zuid area coherently'
9 Implementation		
Conside-ration of implemen-tation aspects?	No, in this early phase of the project the focus was solely on a positive exchange decision	Yes, although the focus was on an exchange decision, activities identified within the critical time path were put forward in time. Also, some activities were planned to avoid resistance of external stakeholders
Develop-ment of implement-tation plan?	No development of an implementation plan	No implementation plan was developed, but the planning was strategically updated after identifying the critical time path for the implementation
Impl. plan?	No implementation of a plan	No implementation of a plan
10 Reassessment		
Reassess-ment?	No reassessment	No full reassessment, but twice the Project Plan was updated

types of risks that could be identified. Within this risk assessment, the project organisation Kampen linked the identified strategic issues to controlling measures and thus developed a coherent strategy.

Strategic activities with regard to implementation aspects and the future project organisation were not identified in case Zutphen. In case Kampen, some implementation activities were considered, such as identifying the critical time path. Based on the critical time path, the stakeholders had put some critical activities forward in time. Further, they had planned some activities to avoid future resistance, such as tailoring the bypass location to avoid some of the objections of residents.

To summarise, relevant aspects for designing a strategic plan development approach are that the two project organisations had carried out most of the elements of strategic plan development. In both cases, the emphasis was put on the 'initial agreement', 'mandates', 'mission', 'external environment', 'strategic issues', 'strategy formulation' and 'adoption' elements. In case Kampen, attention also was paid to the 'internal environment' and 'implementation' elements. Both project organisations only had a minor focus on the element 'organisation in the future'. They only identified a vision of success in its most simple form as purpose. The 'reassessment' element was not carried out in either case since both project organisations had particularly focused on developing a first version of strategic plan rather than reviewing it. In general, the strategic plan development in both cases also followed the sequence recommended by Bryson (2004). A major difference, however, was that strategic activities and decisions in both cases were undertaken in a highly iterative manner. Also Bryson (2004, p.52) mentions that the strategic planning process is iterative in practice, but further does not pay attention to it. This research shows that iterations occur permanently in the strategic plan development of integrated area development projects. The continuous iterations were mainly a result of two aspects. First, both planning processes were rather dynamic, with many external aspects that influenced the plan development. The stakeholders frequently had to reconsider or adapt their plan development due to changing external circumstances. Second, the stakeholders rethought their options several times before making final decisions. Such a cyclical approach appears inherent to collaborative plan development and decision-making, but occurred in these two complex projects above all because the stakeholders could not overview the consequences of a decision at once. As a result, it was inevitable that the stakeholders constantly returned to their previous work, extended this work and then reconsidered their earlier decisions. Moreover, both planning processes were dominated by the need to satisfy mandates, especially by fulfilling legal procedures. The large number of such restrictions limited both project organisations when developing their own strategic approach.

This section has presented a cross-case analysis of the cases Zutphen and Kampen. The following section focuses on 'key aspects in designing a strategic plan development

approach' that can be derived from the foregoing explorative research from a stakeholder perspective. Based on this stakeholder perspective, the actions and aspects that should be included, or adjusted, in the design of a strategic approach for integrated area development projects are determined. These key aspects will form the inputs for the design of the Integrated Area Development & Management (IADM) approach.

6.2. Strategic plan development from a stakeholder perspective

Integrated area development projects are typically long-term, complex spatial projects involving multiple stakeholders. In case Zutphen, as in case Kampen, a *network of public stakeholders* had several spatial goals and interests in the same geographic area. In both cases, various local and regional goals conflicted with the flood protection measures that the national government had prescribed. The regional stakeholders were aware of their *interdependence*. They clearly grasped that only by collectively developing a strong regional alternative could they prevent the implementation of the unwanted national PKB measures and instead be able to realise their own spatial goals. Besides developing such a regional alternative in the short term, they also had to find co-financing and be able to show *regional commitment* so as to convince the national government to take a PKB exchange decision favourable towards the regional alternative. The prescribed PKB measures had created a strong *sense of urgency* for the regional stakeholders to cooperate and develop a holistic joint spatial plan. The national stakeholders understood that they would, either by implementing the PKB measures or by implementing a regional alternative, meet their flood protection goals, but that they would also be able to realise more of their spatial interests, or with a higher quality, if a strong regional alternative was developed. Hence, they were also willing to participate in developing a holistic spatial plan that focused on coherently realising multiple spatial goals. The mutual dependence in terms of authority, goals and finances was the drive for the numerous stakeholders, both regional and national, to collaborate and put joint efforts into developing a regional alternative. The stakeholders understood that only by developing a jointly supported plan, could they realise their goals and so gain a *collaborative advantage* including added value in terms of the product, the process and also financially.

Despite the stakeholders' beliefs in setting up a *public partnership* and the shared general vision of developing a regional alternative, jointly developing a spatial plan that all stakeholders could agree to was not so easy. All stakeholders entered the collaboration from their *own perspectives* and with their own interests. Within each project, several stakeholders had different perceptions of the *complex problems* at stake. Some of the stakeholders' value premises differed fundamentally. As a result, intense coordination was needed between the various stakeholders about their mission, vision and values.

Due to the complexity of the issues and the *different interpretations* of those issues, the many stakeholders had difficulties estimating the general implications of the collaborative

project. This led to a *long initial period* in which the stakeholders explored where the integrated area development project would, in general terms, lead. Initially, because of the many unknown aspects and *major uncertainties* in the first project stage, they were unwilling to commit themselves formally to the project. Further, the political nature of decision-making in the public sector also generally restrained a prompt anchoring of commitment. The political arena typically prefers to leave space for political decisions. Before making any agreement, the stakeholders not only developed an initial plan, but would also extensively explored their mandates, their individual and the joint missions, the benefits of their participation, the external environment, strategic issues and the joint strategy. The stakeholders accepted that it would take time to achieve an initial agreement and perceived it as reasonable that, first, numerous subjects should be explored and unravelled. Only after going through these extensive explorations, in several iterative steps, were the stakeholders willing to make agreements. In both cases, an intention agreement was, or would be, signed after almost three years of intense cooperation. The stakeholders' arguments for the late accomplishment of such an intention agreement were the need to explore the various motives and interests, to *build trusting relationships* and to formulate a joint mission.

To structure and facilitate the discussions about the complex issues and the different interpretations of these issues by several stakeholders, *strong leadership* of a project leader and the political representatives was essential. This strong leadership by a project leader was required to structurally explore and analyse the key issues in the complex joint project, to ensure integration of the diverse perceptions and to find ways to address the identified issues. Strong leadership by the political representatives was also vital for effective plan development since they have to guide the strategic project decisions through the political decision-making process. These political leadership skills were essential to develop a shared understanding of the public problems, build support for beneficial solutions and position the proposed solutions into specific policies and programs that are adopted by the decision-makers.

Strategic plan development in integrated area development projects has a *strongly iterative character*. The *many external aspects* that influence the plan development require an iterative approach of plan development. The stakeholders frequently have to reconsider or adapt their plans due to changed external circumstances. In particular, the *dynamic nature of political decision-making* leads to iterative plan development. In contrast to public plan-makers, who mainly focus on content-related issues, politicians focus particularly on the current *political issues* and *public support* for the project. Both issues are strongly influenced by external factors. To be able to predict these issues to some extent, the stakeholders constantly monitored the *contextual factors* and discussed how to deal with these external influences. In particular political issues, adaptations in relevant policies and economic trends were seen as external factors that were important to take into account, not least to acquire support in political arenas and from external decision-makers. A second aspect causing iterative plan development was that collaborating *stakeholders constantly rethought their choices*. As

mentioned, it is difficult for stakeholders to grasp the consequences of a decision all at once in collaborative and complex projects. As a result, they constantly rethink the links among the various project elements, come up with new ideas of strategic significance, consider whether their ideas fit within the mandates, take action to implement them and learn along the way to formulate effective strategies and fulfil their mission. In terms of strategic planning, each step forward in the plan development leads to the stakeholders reconsidering their own interests and resources, the joint mission, the strategic issues and whether the plan satisfies their mandates.

Finally, the *dominance of many externally-imposed mandates* is a distinctive aspect in the plan development of integrated area development projects. These mandates restrain both formal and informal decisions and follow from legislation, legal procedures, public policies and decision-makers. They form boundary conditions for the plan development and restrict the stakeholders in whether, how and when they carry out activities. However, at the same time, given that integrated area development projects typically cover several policy sectors, the various sets of prescribed activities and procedures do leave space for optimisation, just as the more dynamic mandates imposed by the decision-makers also include negotiation space.

The above described findings indicate that there is a need for adaptation and further specification of the strategic planning process model before it is applied in integrated area development projects in public-sector-dominated countries such as Germany, France, the Netherlands and the Scandinavian countries. The empirical exploration of the plan development provides insights into various issues and typical characteristics of integrated area development projects that mean that the theoretical strategic planning process model can not be directly applied in European integrated area development projects. Major issues here are the collaborative setting, the strong interdependence between the stakeholders, the mainly public-sector-led plan development process and the dynamics caused by external events and political decision-making. Considering these characteristics of integrated area developments, the stakeholders in the analysed cases addressed the plan development differently to some extent. Since all the stakeholders were satisfied with the planning approach adopted in their project, the findings may be used as a basis to design a conceptual IADM approach. Making adaptations to the theoretical model based on these insights is legitimate because the adaptations are derived from in-depth research from a stakeholder perspective. The stakeholder perspective is a basic principle in strategic planning theory.

Summarising, the explorative research into the plan development in integrated area development projects generated a total of eight key aspects in designing a strategic plan development approach:

- A *network of stakeholders* is involved in integrated area development projects which, by definition, means *collaborative efforts* of multiple stakeholders are needed;

- Stakeholders will only actively participate in complex, long-lasting collaborative projects in situations where they are interdependent and believe that the only way to solve the spatial issue is by cooperation. Moreover, they need to feel a *sense of urgency* in solving this spatial issue;
- A crucial element in effective joint plan development is stakeholders' *commitment* to the project. One of the conditions to be met before stakeholders will show commitment to a joint project is that they have to share in its collaborative advantage;
- The complexity of an integrated area development project and the many interrelationships between its elements, makes it hard to grasp the general implications of the complex project, and demands for a *long initial stage* of what the joint project could lead to before stakeholders are willing to formally agree to a strategic planning effort.
- *Strong leadership* by a project leader and the political representatives involved is needed respectively to structure and facilitate discussions about the complex issues in an integrated area development project, and to guide the strategic project decisions through the political decision-making process;
- There are *many external factors* that influence the plan development in an integrated area development project;
- Strategic plan development in collaborative integrated area development projects has a *strongly iterative* character, as is required given the dynamic nature of its plan development, with a political manner of decision-making and many external factors that influence the plan development and is further strengthened since the stakeholders constantly rethink their choices because it is difficult for them to grasp the consequences of a decision all at once in collaborative and complex projects; and
- There are *many externally imposed mandates* that need to be satisfied in the plan development for integrated area development projects. These mandates follow from legislation, legal procedures, public policies and decision-makers, and have different power or authorities.

6.3. Concluding remarks

This chapter has reported on a cross-case analysis that had focussed on the basic elements of plan development including stakeholder characteristics, the characteristics of the interaction process, contextual factors, perceived performance, and on the extent of usage of a strategic planning approach. The cases showed substantial similarities in the plan development and in the conduct of strategic activities. All the stakeholders in the cases were satisfied with the planning approach used and suggested only minor changes to further improve the planning approach.

The major elements of strategic plan development in integrated area development correspond in essence to the strategic elements as proposed by Bryson (2004). However, the findings do indicate a clear need to reorganise the strategic elements, add some activities

and adjust the strategic planning process model to a collaborative and public-sector-dominated setting. Since these proposed adjustments were derived from a stakeholder perspective, a basic principle in strategic planning theory, one can justify grounding the design of a strategic plan development approach for integrated area development projects on the key aspects identified. These key issues in designing a strategic plan development approach cover:

- Collaborative efforts by multiple stakeholders;
- Sense of urgency;
- Commitment;
- Long initial stage;
- Strong leadership;
- The many external factors that influence plan development;
- Strongly iterative plan development; and
- The many externally-imposed mandates that need to be satisfied.

In this chapter, the problem diagnosis in strategic plan development for integrated area development projects has been described, resulting in eight key aspects in designing a strategic plan development approach. In the next chapter, these key aspects will form the basis for the design of an Integrated Area Development & Management (IADM) approach.

Chapter 7. Designing an approach for 'Integrated Area Development & Management'

This chapter addresses the design research and includes the second, third and fourth steps of the reflective cycle (Van Aken, 2004): 'designing the method', 'planning and implementing interventions' and 'reflecting on results'. Through this, it answers the fifth research question: 'What planning design could guide a strategic plan development approach in integrated area development projects?' (**RQ5**) Accordingly, first, a project-based 'Integrated Area Development & Management' (IADM) approach is developed in this chapter. The IADM approach is aimed at coping with the problems in strategic plan development of integrated area development projects, as discussed in Chapter 6. Since it was impossible to test the conceptual IADM approach in a laboratory or practical experiment (Step 3 of the reflective cycle), it was decided to analyse whether the conceptual IADM approach is usable in practice and is user-friendly. Therefore interventions are implemented in a third project through a case study workshop. The interventions are implemented in the Avenue2 project. Based on these experiences with the conceptual IADM approach, is reflected upon if the conceptual IADM approach is usable in practice and is user-friendly and, where necessary, adjustments or further refinements to the designed approach are suggested.

In the following section, the conceptual design for an IADM approach is developed and presented, including IADM process steps and IADM guidelines. Next, in Section 7.2, the initial experiences with the conceptual IADM approach are described based on implementing the proposed interventions in a third case study. Then, in Section 7.3, the conceptual IADM approach is reflected upon. Finally, Section 7.4 provides some concluding remarks.

7.1. Conceptual 'Integrated Area Development & Management' approach

In general, a process design describes the strategy formulation for the organisation and management of an interactive planning process. It is a strategic approach for the plan development and decision-making in the transition from the initial initiative to plan development, on to the formal adoption of the plan and to the implementation of the plan. The IADM approach focuses on the strategic process activities that the key stakeholders of an integrated area development project need to accomplish. It is an interactive and action-oriented strategy for the coordination of the diverse goals and interests of interorganisational cooperations, for how to achieve joint decision-making and reach a jointly supported spatial design.

As the basis for the design of the IADM approach, the strategic planning process steps outlined by Bryson (2004) are used (theory) and the building blocks 'stakeholders', 'interaction process', 'contextual factors' and 'performance' (practice). From in-depth case research (Chapters 4 - 6), it has been shown that, in essence, Bryson's strategic planning process *elements* are found in the plan development of integrated area development projects. However, there is a need to adapt and further specify the strategic planning process *model* for effective strategic plan development in joint integrated area development projects in countries where spatial planning is public-sector-dominated, such as Germany, France, the Netherlands and the Scandinavian countries. Bryson's model draws on a considerable body of research and practical experience (Bryson, 2004, p. 31) in the private sector, and the public and nonprofit sector of market-led spatial planning, though for effective strategic plan development in European integrated area development projects it needs to be adapted to the characteristics of public-sector-dominated spatial planning. Therefore some substitutes, in particular in phasing, and some supplements are proposed. Major issues that require adaptation of the theoretical strategic planning process model include the collaborative setting of integrated area development projects, the dominance of the public sector in the plan development and the dynamics caused by external events and political decision-making. Given these characteristics, the stakeholders in both the analysed cases addressed the strategic plan development differently to some degree than outlined by Bryson. Since all the stakeholders in the empirical research were satisfied with the planning approach used, the findings can be used to design a promising conceptual IADM approach. Making such adjustments to the model is legitimate because they are derived from in-depth research using a stakeholder perspective, which is a basic principle in strategic planning theory. Subsequently, in the following section, the proposed interventions are implemented in a third case study. Then, based on these experiences, the conceptual IADM approach is reflected upon.

The refinement of the strategic planning process model includes some specifications for the spatial planning sector but, more importantly, it also contains a further elaboration of the use of strategic planning in a collaborative and public-sector-led setting. Most of the theory and practice of strategic planning has been focussed on enhancing the performance of single organisations. However, integrated area development projects in public-sector-dominated countries such as the Netherlands and most other European countries almost by definition involve a project organisation with multiple stakeholders, including one or more public stakeholders. As was learnt from the case analyses, in such interorganisational cooperations issues such as the involvement of the relevant public stakeholders, the identification and coordination of multiple goals and agendas and the input of resources by the various stakeholders play an important role, and at least a more dominant role than in market-led spatial planning where stakeholders more easily can be replaced by other stakeholders.

In the previous chapter, eight *key aspects in designing an IADM approach* were derived: collaborative efforts by multiple stakeholders; sense of urgency; commitment; long initial stage; strong leadership; the many external factors that influence plan development; strongly iterative plan development; and satisfied externally-imposed mandates. These eight key aspects differ in type and can be split into two categories. Some key aspects are related to the characteristics of strategic plan development in integrated area development projects. The other key aspects contain factors that continuously act upon the plan development and therefore require attention throughout the entire plan development of an integrated area development project. The key aspects that are related to the characteristics of strategic plan development are:

- The collaborative efforts of multiple stakeholders;
- A long initial stage;
- Many external factors influencing plan development;
- Strongly iterative plan development; and
- The many externally-imposed mandates that need to be satisfied.

This set of key aspects, related to the characteristics of strategic plan development, require a redesign of the strategic planning process in the IADM process steps. Based on these five key aspects, the following six modifications to Bryson's strategic planning process steps are made in the IADM process steps:

Transforming the activities into joint activities

In general, integrated area development projects are collaborative efforts involving multiple interdependent stakeholders. Both in case Zutphen and in case Kampen, several organisations collaborate and jointly carry out the strategic planning efforts. In the IADM process steps, all such activities are translated into joint activities.

Adding a strategic step to carry out a network analysis

Since integrated area development projects are collaborative efforts, one of the first activities of the initiator, or group of initiators, involves a stakeholder analysis. An accurate stakeholder analysis is even more crucial in a public-sector-dominated setting than in a market-dominated setting since it is generally impossible to substitute public stakeholders. To be able to also identify the characteristics of the decision-making arena and the institutional environment, also an arena and institutional analyses are relevant. Therefore, a strategic activity 'network analysis' is added to the IADM process steps, including a stakeholder, arena and institutional analyses. This new process step puts the stakeholder and network analyses more explicit in the strategic planning process model emphasises that it is a collaborative and returning effort. The major aim in carrying out a network analysis is to identify the key stakeholders that ideally should be involved in the strategic effort. Document analysis and observations showed that, in case Zutphen, eight organisations and, in case Kampen, eleven organisations could be identified as key stakeholders based on an analysis of the stakeholders' goals, interests and

resources. Retrospective analysis of case Kampen has also shown that the composition of Kampen's project organisation was changed based on the results of a renewed analysis of stakeholders' interests and resources.

Modifying the initial step from 'initial agreement' to a looser 'initiative'

The joint strategic planning efforts in integrated area development projects are characterised by a long initial stage. Given the extent of integrated area development projects (spatial impact, societal impact, finances, etc), and the complexity of the issues and the different interpretations of these issues by the various stakeholders, it takes time and effort to reach an agreement. Longitudinal observations of the Zutphen and Kampen cases indicated that the stakeholders first explored and unravelled where the project would lead. The stakeholders not only developed an initial plan, but also explored the mandates, their individual and the joint missions, the benefits of their participation, the external environment, strategic issues and the joint strategy. The initial strategic process step of joint plan development could better be defined as the less specific 'initiative'. This 'initiative' replaces the 'initial agreement'. In the IADM approach an agreement is seen as part of the joint strategy that is formulated by the stakeholders.

Adjusting the 'external environment analysis' to a public-sector-dominated setting

Observations and interviews in the Zutphen and Kampen cases have shown that there are many external factors that influence the plan development in integrated area development projects. The observations have shown how the stakeholders constantly monitor the external factors in order to be able to anticipate them to some extent. In interviews, the stakeholders in both cases indicated that, in particular, the political issues, adaptations to relevant policies and economic trends were important external factors one should take into account. In the IADM approach, a strategic process step labelled 'external environment analysis' is further specified to cover such activities.

Rescheduling the strategic activities in a more iterative form

The strategic plan development in integrated area development projects has a strongly iterative character. Longitudinal observations in both cases have shown that the many external aspects that influence the plan development demand an iterative approach to plan development in integrated area development projects in order to be able to respond to changing circumstances. Further, it was observed that this iterative behaviour was strengthened by the complex, collaborative setting of integrated area development projects. Since it is difficult for stakeholders to immediately see the consequences of a decision, they constantly rethink the links among the various project elements and also reconsider the strategic plan development. Based on both these issues, the IADM process steps are built in a more iterative manner and include loopings.

Adjusting 'mandates' to a public-sector-dominated setting

Finally, it was observed how the plan development in both cases Zutphen and Kampen was

dominated by the need to satisfy externally-imposed mandates. Observations and interviews have shown that these mandates restrain both formal and informal decisions and follow on legislation, legal procedures, public policies and inputs from decision-makers. In the IADM approach the strategic process step 'mandates' is adjusted to a public-sector-dominated setting.

The six above-described modifications to the IADM process steps are based on the set of key aspects in designing a strategic plan development in integrated area development projects. Essentially, these key aspects are that the plan development is a collaborative effort involving multiple stakeholders, it includes an extensive exploration phase, is strongly iterative and is subject to many externally imposed mandates and external factors. Together, the adjusted and refined process steps form the first component of the proposed IADM approach.

Moreover, some key aspects contain supplementary factors or challenges to effective strategic plan development throughout the entire plan development. These key aspects are dynamic. In the first instance, they are vital for the initiation of an integrated area development project. Later, they remain vital in assessing progress in the plan development and finding solutions. The additional factors that stakeholders should take into account and stimulate include:

- Sense of urgency;
- Commitment; and
- Strong leadership.

These issues continuously act upon or influence the plan development process of an integrated area development project and need permanent nursing and maintenance. For this reason, they are not included in the IADM process steps, but form an additional component of the IADM approach.

Summarising, the design of the IADM approach is divided into two components:

1. IADM process steps that outline an appropriate strategic planning process for a joint integrated area development project; and
2. IADM guidelines that describe dynamic factors that need continuous nursing and maintenance.

The designs of the two components of the IADM approach are further elaborated in the following sections. Section 7.1.1 describes the designed IADM process steps, and Section 7.1.2 the IADM guidelines.

7.1.1. IADM process steps

The IADM process steps form an outline for the general process activities that the key stakeholders could follow in organising and developing an integrated area development project. The IADM process steps can be seen as a general process protocol that has to be

tailored to the specific project situation. When using the IADM process steps, the accompanying IADM guidelines should also be taken into account. These guidelines are described in the next section.

IADM step 1: Initiative

The first step in the IADM approach is taking the initiative to set up an integrated area development project. As described earlier, in comparison to Bryson's model, this initial step is modified from 'initial agreement' to a looser 'initiative'. The basis for such an initiative occurs when one or more organisations see a spatial problem that they cannot solve themselves. To be able to solve the spatial problem cooperation of other organisations is required. These other organisations will only be interested in establishing a joint spatial project when they see opportunities to realise one or more of their own spatial interests. As such, integrated area development projects are typically initiated to solve the various spatial problems of several stakeholders in one area which should be solved through the joint efforts of all these stakeholders.

One of the first activities of the initiating organisation or organisations is to explore who the key stakeholders are in solving the spatial issues. Key stakeholders are those organisations whose support is necessary for effective plan development and implementation. Identifying the key stakeholders will require some preliminary stakeholder analysis, which is discussed in the next IADM step. The task of the initiator is to identify which organisations will make the key decisions and which organisations should be involved in the effort and thus should be part of the future project organisation.

The next activity of the initiator is to discuss the spatial issues with the identified key stakeholders and motivate them to participate in a joint effort to solve the issue. At this stage of a project the key stakeholders should, in general terms, agree on the purpose of their efforts and the topics that will be addressed in the project (Bryson, 2004). These initial decisions on the focus and ambition of the project can be defined in an initial agreement, although this is not essential in this early stage of a project. As seen in case Zutphen, a mixed group of stakeholders can easily stagnate in precisely formulating a joint document or agreement; it is more important to explore the possibilities for cooperation and solve the spatial issues.

The incentive for an integrated area development project stems from the dependence on other land use functions and stakeholders. The solution for a spatial problem influences, or is influenced by, other land use functions. For example, the construction of a ring-road in an expanding residential area cannot be developed without coordination with the surrounding land use functions. Besides land use interdependence, interdependence between stakeholders is also relevant. The initiator is not able to solve its own spatial problem by itself, since it does not have all the resources (land ownership, authority, finances, specific knowledge, etc.) needed to solve the spatial issue. As a result, several stakeholders have to

work together and the initiator thus has to motivate and involve the stakeholders that own the resources required for a successful outcome project. The main objective in this first project stage is to get the key stakeholders engaged in the integrated area development project and thus participate in its plan development.

In public-sector-dominated countries, such as in the Netherlands and most other European countries, public stakeholders are more-or-less by definition involved in integrated area development projects because of their authority. Private initiatives or unsolicited proposals for integrated area development are rare due to many restrictions such as those laid down in the European procurement directives. Public parties cannot be selected based on a similarity of interests, as is possible with private parties. There is simply no choice in selecting which public parties to involve, you have to involve those with authority in the relevant site. Also opportunities to replace stakeholders, such as influential land owners, are limited in integrated area development projects. As a result, the key stakeholders are strongly interdependent. The initiating organisation needs to convince the key public stakeholders to engage with the project by highlighting the common interests. It is likely that these key public stakeholders will only participate actively in a proposed joint integrated area development project if they are convinced they can satisfy one or more of their own interests through the project.

Figure 7.1: IADM process step 1

IADM step 2: Network analysis

The second step is a network analysis. A network analysis includes the analyses of the stakeholders, the arena and the institutional environment. The network analysis is an additional step to Bryson's model. By carrying out a network analysis, knowledge can be generated among the relevant organisations, so as to understand their goals, interests, motives, behaviour, criteria to asses the project organisation's performance, interrelationships, and the influence or resources they could bring to the project. Stakeholders in integrated area development projects can be public parties, private parties, non-profit or special interest organisations, landowners, residents, project developers and financers. Ideally, the network analysis will be carried out by the group of identified key stakeholders so that all of them can make inputs. In practice, the initiating organisation will often start with a network analysis and refine it together with the other key stakeholders.

The basics in carrying out a stakeholder analysis are to identify exactly who the stakeholders are, determine their goals and interests, and ascertain their resources. Relevant resources in the field of spatial planning are authority, finances, land ownership and specific

knowledge or skills. These resources create interdependencies between the stakeholders and make cooperation necessary in order to be able to achieve the spatial goals.

The aim of an arena analysis is to identify the relevant decision-making arenas. Based on the identified arenas and their characteristics, a reconstruction of the decision-making process could be developed. Such reconstruction offers relevant insights for the project planning and the critical time path of the project.

Since integrated area development projects by definition include public tasks, and at the very least public authority, it is important to take the institutional environment into account. The institutional environment includes a broad network of public and political arenas that can directly affect the collaborative purpose, structure and outcomes. It is critical to identify the government bodies that, in the end, will make a decision over the integrated area development project and ascertain their legal and political frames, their policy frames and the economic norms and rules.

Based on the network analysis, a joint project organisation can be set up. In this project organisation at least the key stakeholders that will make the key decisions should be involved. As seen in the cases, the project organisation of a collaborative public collaboration is split into a Steering Committee and a Project Group, and is advised by an Advisory Board. In such situations, the Steering Committee is the administrative principal in which the elected administrative officials of the key stakeholders take part. The Steering Committee is responsible for decision-making concerning the integrated area development project. The Project Group usually consists of civil servants from the same group of key stakeholders, but might be supplemented with other relevant stakeholders. A Project Group is usually established to prepare for decision-making by the Steering Committee and thus should take care of all the necessary content and process related activities. Given the complexity of integrated area development projects, and the need for specific knowledge, usually several Task Forces are created which liaise with the Project Group and elaborate on specific content issues. As seen in the cases, common themes that are dealt with in Task Forces include plan economics, judicial aspects, communications and specific critical content issues. In an Advisory Board, other stakeholders that are interested in the plan development and are relevant for the public support of the project might take part and advise the project organisation.

Finally, a project organisation needs to realise that the key stakeholders may differ in each project stage and thus that it may be wise to reorganise the project organisation in a later project stage. In order to gain insights in such strategic deliberations, the project organisation should update its network analysis regularly. Moreover, it should consider involving stakeholders who will be relevant in later stages already in earlier stages of a project. It is, for example, very likely that the stakeholder responsible for future maintenance will have relevant

interests already during the plan development, such as in decisions concerning price-quality relationships.

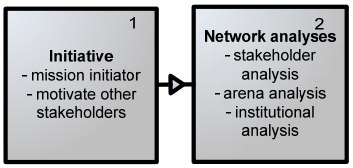

Figure 7.2: IADM process steps 1 - 2

IADM step 3: Identification of mandates

The third step in the IADM approach is the identification of mandates. This step is also included in Bryson's strategic planning process model, but is adjusted to a public-sector-dominated setting.

The mandates cover the various requirements, restrictions, expectations, pressures, and constraints the project organisation faces (Bryson, 2004). The purpose of this step is to identify and clarify the externally imposed formal and informal mandates placed on the project organisation, so that the 'musts' and 'don'ts' are precisely known.

Integrated area development projects cover, by definition, various policy sectors such as urban planning, infrastructure and environment. As a result, these projects have to cope with many different legal procedures and also public policies that have a legally binding status. Moreover, formal decisions in integrated area development projects have to be made by a number different stakeholders and legislative arenas. This multiplicity of decision-makers also results in many mandates that the project organisation has to follow.

Table 7.1: Types of mandates in integrated area development

Types of mandates	Examples
Legislation and legal procedures	▪ The Spatial Planning Act that prescribes procedures on how to develop or adjust spatial plans at national, regional and local levels; ▪ The European Tender and Procurement Procedures for the involvement of private parties; and ▪ Legislation that states that the public should be heard.
Public policies	▪ The National Spatial Strategy; ▪ A regional spatial plan; and ▪ A local land use plan.
Mandates of decision-makers	▪ Spatial restrictions imposed by a regional council; ▪ Obligations set by a public representative; and ▪ Power granted by an electorate.
Mandates of the public arena	▪ Claims from powerful landowners; and ▪ Claims from financers.

Mandates in integrated area development projects follow from legislation, legal procedures, public policies, decision-makers and the public arena. Legislation and legal procedures prescribe administrative rules or authoritative commands that a project has to comply with. Public policies refer to the actions of government bodies and the intentions that determine these actions. The mandates set by the decision-makers and the public arena define the negotiation space in terms of goals, implementation, cooperation, etc. Examples of each type of mandates are presented in Table 7.1.

Since there are so many mandates that affect a project organisation, it is important to structurally identify and clarify the nature and meaning of the imposed mandates. For each imposed mandate, the project organisation should identify the constraints and describe the procedures, deadlines, responsible stakeholder(s), required reports, contracts or permissions, procedures to make documents available for public consultation and any dependencies (reports, researches, other projects).

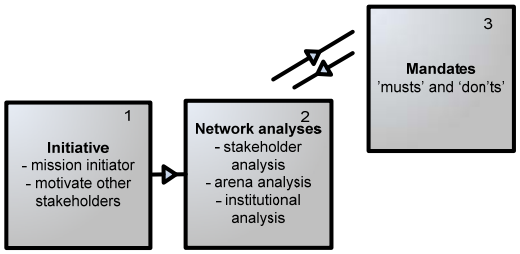

Figure 7.3: IADM process steps 1 - 3

IADM step 4: Formulation of a joint mission

The fourth step is to formulate a joint mission. In comparison to Bryson's model, this step is transformed into a joint activity. The joint mission should be formulated in parallel to the identification of the project's mandates since the mandates and the joint mission are correlated. Together, the mandates and the mission provide the justification for the existence of the project organisation (Bryson, 2004). The aim in formulating a joint mission is to specify the purposes of the project organisation. This means that the key stakeholders should jointly identify what spatial demands, or needs, the project organisation is seeking to fulfil. Whereas the mandates describe what the project organisation 'must' do, the mission can be considered as what the key stakeholders 'want' to do with the project organisation.

The basis for clarifying the joint mission should be the network analysis that was developed in IADM step 2. Based on this network analysis, the key stakeholders can identify their common interests and the collaborative advantages to be gained by working together. This collaborative advantage is fundamental for accomplishing an integrated area development project successfully. It clarifies what spatial issues the partnership will tackle that could not have been addressed by any of the stakeholders acting alone or otherwise would fallen between the gaps (Huxham, 2003).

It is important that all the key stakeholders support the formulated joint mission statement. Agreement on a joint mission statement, that embraces societal desirable and justified purposes, produces legitimacy, both internally and externally, for the project organisation (based on Bryson, 2004). Stakeholders typically need time to focus their individual goals within the project before being able to formulate a joint mission to which all key stakeholders can agree. As seen in the cases, public stakeholders often start to participate in an integrated area development project with rather broad and ill-defined goals and interests.

Besides justifying the existence of the project organisation, the agreement on the joint mission also defines the arenas within which the project organisation will collaborate. Integrated area development projects are often developed in a public setting where, in contrast to private settings, power and authority are separated. As a result, not only stakeholder representatives in the project organisation need to agree on the joint mission statement, but also those in the political arena. Therefore it is recommended formulating the joint mission statement as a formal document such as an intention agreement. Based on such an intention agreement, the public councils and private managers can formally agree to the formulated mission statement. The agreement itself will also be a source of power for the project organisation and this can have positive effects on performance.

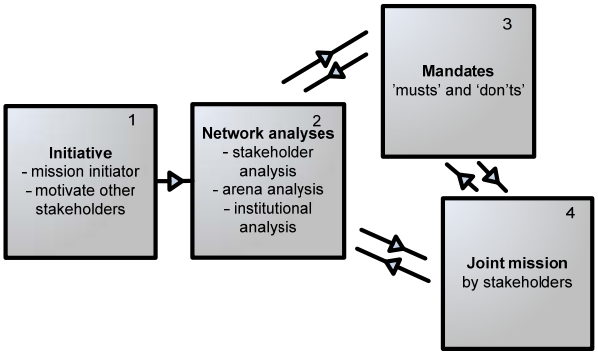

Figure 7.4: IADM process steps 1 - 4

IADM step 5: External environment analysis

Also IADM steps 5 and 6, that assess the internal and the external environments, are executed in parallel. The purpose of IADM step 5 is to identify the external opportunities and threats that an integrated area development project faces; and the purpose of IADM step 6 is to identify the internal strengths and weaknesses. Both steps are also included in Bryson's model, but are adjusted to a public-sector-dominated setting. To respond effectively to changes in its environment, the project organisation must understand the external and internal contexts in which they operate so that they can develop effective strategies to link these two contexts in such a way that organisational performance is enhanced. Together, the two steps are also often referred to as SWOT analysis, standing for the identification of Strengths, Weaknesses, Opportunities and Threats.

Step 5 focuses on the external environment analysis. The project organisation should explore the environment beyond the project organisation to identify opportunities and threats that the organisation faces. More specifically, the project organisation should identify political, economic, social and technical forces and trends, and other trends or events such as physical environmental changes. The systematic identification of external forces and trends can help the project organisation to discern opportunities and threats, which they preferably should view as challenges.

As noted by Bryson (2004, p39) and also seen in the cases, the project organisation should also identify external organisations that can influence the integrated area development project, especially those that affect resource flows. Relevant external organisations can include external governmental bodies, interest groups, competitors, landowners, funders and the media.

Essentially, external forces and trends cannot be directly influenced by the project organisation. However, systematically monitoring external forces and trends enables the project organisation to anticipate their effects. After identifying a relevant trend, this trend needs to be analysed to interpret its importance and identify likely issues. Then, the project organisation should discuss and decide how to deal with this external event or organisation that could influence the project performance. If the effects are expected to be negative, the project organisation should determine how to prevent or reduce their impact on project performance. When the effects are expected to be positive, the project organisation should determine how to optimise their impact and take advantage of the opportunities. As seen in the cases, it is particularly political and economic forces and trends in their broadest sense

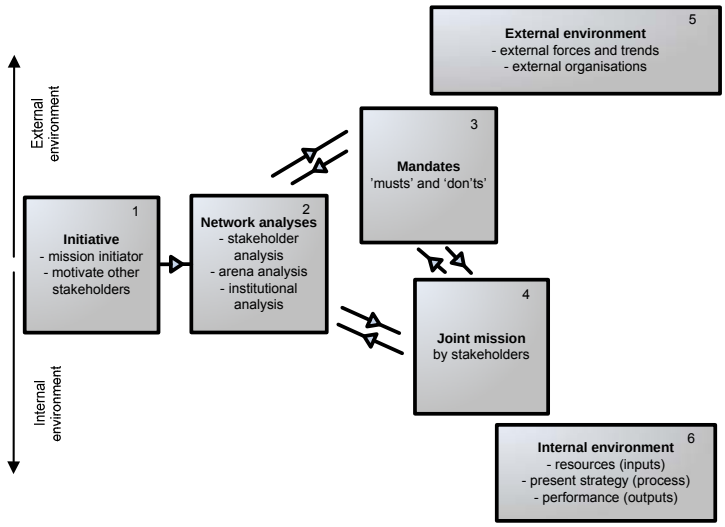

Figure 7.5: IADM process steps 1 - 6

that are important to monitor and anticipate in integrated area development projects. Some of the major external events to consider in integrated area development projects are public elections (local, regional, national), political hypes such as sustainability and climate changes, policy adaptations or new policies, economic trends, new and expiring subsidies, trends in the demand for houses or real estate, new legislation, new jurisprudence (e.g. Arroux, Vathorst), media articles or reports and environmental events such as floods and droughts.

IADM step 6: Internal environment analysis

The sixth step in the IADM approach is an internal environmental analysis, see Figure 7.5. The purpose of this step is to identify the internal strengths and weaknesses of the project organisation itself (Bryson, 2004). In other words, the aim is to identify those aspects of the organisation that help or hinder accomplishment of the project's mission and the execution of its mandates. The project organisation can build on its strengths to enhance its ability to fulfil its mission, meet it mandates and create added project value, but it must also try to reverse or overcome its weaknesses. The three major areas that should be assessed are (Poister, 2003; Bryson, 2004):

- Resources (inputs);
- Present strategy (process); and
- Performance (outputs).

As seen in the cases, some of the important internal aspects in an integrated area development project are the resources such as the authorities, finances, landownership and specific knowledge and skills, the internal communications between the stakeholders and between the project representatives and the political arena, the decision-making capability within the project organisation, the critical time path, the mutual trust and the collaborative advantage.

IADM step 7: Identification of strategic issues

The seventh step in the IADM approach is identifying the strategic issues facing the project organisation. This step is similar to Bryson's step of identifying the strategic issues, only then transformed into a joint activity. Strategic issues are difficulties or problems that have a significant influence on the way the project organization functions, or on its ability to achieve a desired future, for which there is no agreed response. These are the critical challenges that the project organisation must address in order to achieve its mission, and the fundamental questions that affect the organisation's mandates, mission, values, product level and mix, users, cost, financing, structure, processes and management (Bryson, 2004). These strategic issues can be identified based on the previous steps: by confronting the mandates, the stakeholders' mission and values, the internal environment and the external environment. Through this confrontation, it becomes clear what the main problems are, or will be in the future, and if the organization is able to cope with these opportunities and strengths. Failure to

address a strategic issue will typically lead to undesirable results from a threat, failure to capitalize on an important opportunity, or both (Bryson, 2004).

Since budgets, manpower, plan-making and organizational capacity are all limited, strategic issues have to be limited (Bryson, 2004). To be able to rank the strategic issues in order of importance, the project organisation should analyse the consequences of failure to address each issue. It is important that the identification and prioritisation of the strategic issues is a joint effort involving all key stakeholders. Since integrated area development projects are extremely lengthy and time-consuming processes, stakeholders will only remain on board if the strategic issues are considered as real problems or challenges, not only by the political system but also by the economic players, pressure groups and citizens. That is, the outcomes linked to the strategic issues need to be concrete to most stakeholders; the selected strategic issues need to be appropriate for producing agreements between the key stakeholders in order to guarantee implementation, and the strategic issues should contain the possibility of a win-win situation (Albrechts, 2001).

As seen in the cases, a major source of strategic issues in integrated area development projects is the political arena. Since, in the public sector, policy making is separated from policy implementation, major project decisions cannot be taken by the public representative, but have to be taken within the political arena. Strategic issues from the political arena could concern the support and commitment of the public decision-makers, the anchor of project elements in public policies and budgets and political hypes.

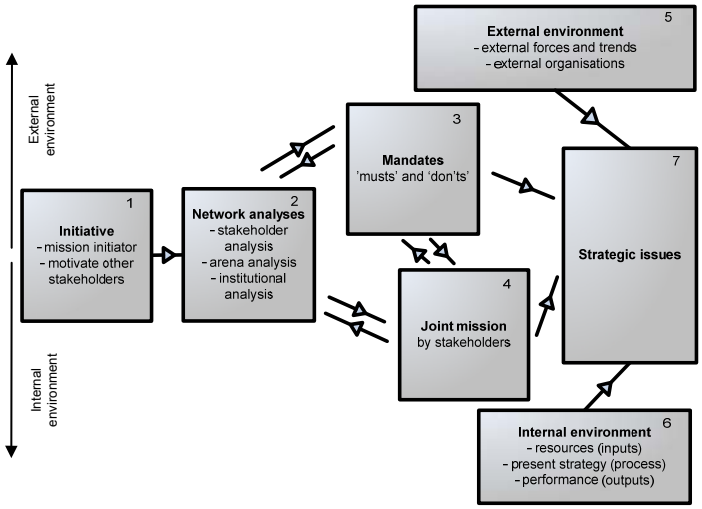

Figure 7.6: IADM process steps 1 - 7

IADM step 8: Formulation of a joint project strategy or spatial plan

The purpose of the eighth IADM step is to ensure that the key stakeholders formulate a joint project strategy. 'A strategy may be thought of as a pattern of purpose, policies, actions, decisions and resource allocations that define what an organisation is, what is does and why it does it. Strategies are typically developed to deal with strategic issues: that is, they outline the organisation's response to the fundamental challenges it faces.' (Bryson, 2004) As was the previous step, also this step is similar to Bryson's model, only then transformed into a joint activity.

The basic idea behind formulating a strategy in integrated area development projects is to effectively link the internal project organisation to its external environment and thereby create a collaborative advantage. According to Bryson (2004), an effective strategy must meet several criteria. It should be technically workable and administratively feasible, political acceptable to the key stakeholders and result oriented. It must also fit the project organisation's mission and core values, deal with the strategic issues it was supposed to address, and it must create a collaborative advantage. Further it should be ethical, moral and legal.

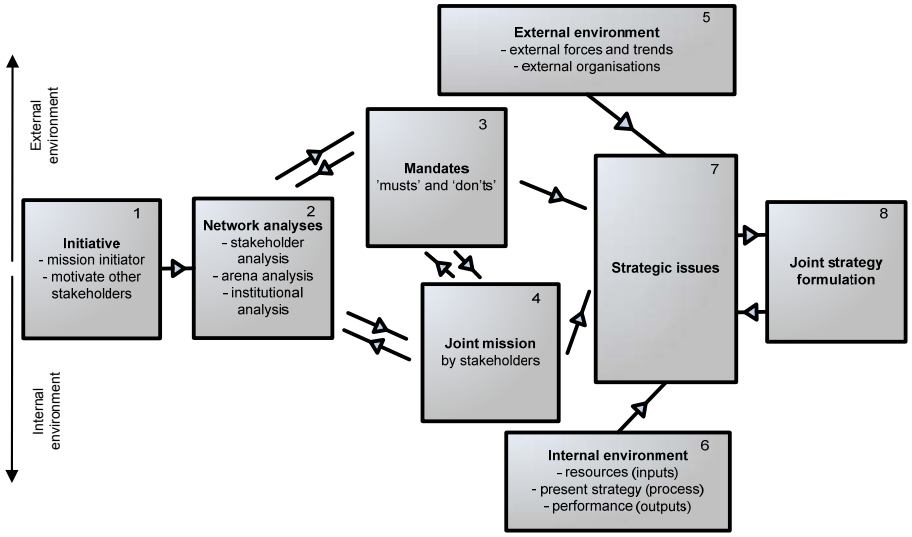

Figure 7.7: IADM process steps 1 - 8

As we learned from the empirical research, a joint strategy for an integrated area development project includes at least seven elements:

- A shared project mission that specifies the demands or needs that the project organisation is seeking to fill from the point of view of its key stakeholders;
- An organisation strategy that describes the structure according to which the stakeholders should interact;
- A project planning in which the prescribed and desired activities of the project organisation are effectively coordinated, taking into account both content and time or deadline issues;

- A description of the strategies on content aspects and how to treat the identified strategic issues;
- The communication strategy;
- The financial strategy; and
- The networking and lobby strategies and how to involve external decision-makers in the project.

IADM step 9: Adoption of the joint project strategy or spatial plan

After formulating a joint project strategy or plan, the project organisation needs to obtain official approval from the political arena, and if necessary from other key decisions-makers such as funders, to adopt it and proceed with implementation. For a proposed strategy or plan to be adopted, it needs to address issues that key decision-makers think are important and propose solutions that appear likely to work (Bryson, 2004). Even though the formulation (Step 8) and the adoption (Step 9) of a joint project strategy or plan are closely linked in practice, the circumstances in each step are likely to differ substantially in integrated area development projects.

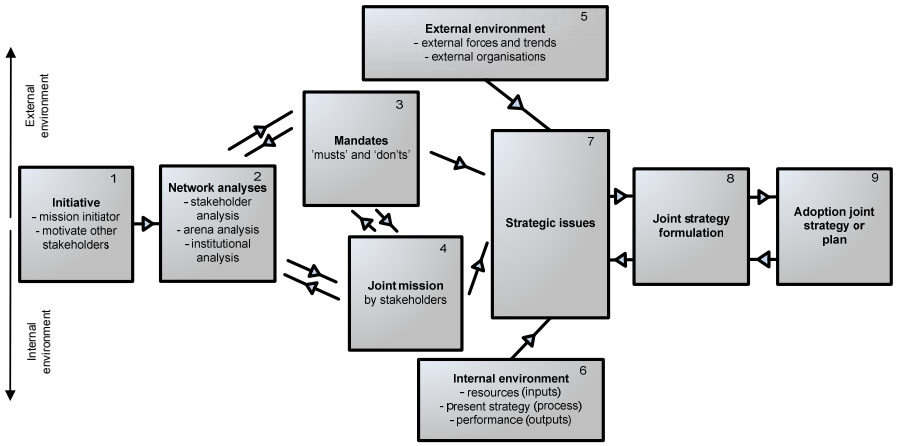

Figure 7.8: IADM process steps 1 - 9

Once again this step is similar to Bryson's model, only then transformed into a joint activity. The formulation of a strategy or plan occurs within the joint project organisation, where the focus is on achieving common interests in an optimal way. In contrast, adoption takes places in separated legislative arenas such as provincial councils, water councils or policy boards. In the several arenas in which the strategy or plan must be adopted, there is no direct confrontation with other project participants. As seen in case Zutphen. this makes it easier to make an undesired decision based solely on individual interests rather than to decide from an overall perspective. Moreover, political behaviour has a major role in decision-making in legislative arenas. It is important for elected decision-makers that there is public support for a proposed strategy or plan. Given all these influences and considerations, it appears important

that the strategy or plan is sponsored and championed by the stakeholder's political representatives in the project. Further, considerable bargaining, negotiation and even the invention of items to trade may be necessary in order to find the right combination of exchanges and inducements to gain the support needed without bargaining away key features of the proposed strategies and plans (Susskind & Cruikshank, 1987; Bryson, 2004).

So far, the IADM process steps have been based on theoretical and empirical knowledge acquired from the in-depth case analyses. The remaining process steps were not covered by empirical data in the integrated area development case studies and thus are not adjusted or further refined. Given the long lead-time of integrated area development projects it was impossible to analyse the cases in-depth during the entire process. As a result, the design of the IADM process steps in this thesis stops at Step 9, the adoption of a joint strategy or plan. In the model proposed by Bryson, the step of adopting a strategy or plan (Step 7 in Bryson's model) is seen as the transition between strategic planning and strategic management. The strategic process steps that he positioned before this point he assigned to strategic planning. The strategic process steps that follow, he saw as strategic management. The three remaining IADM process steps that are described below are based solely on Bryson's model (2004).

IADM step 10: Establish an effective organisational vision (based on Bryson, 2004)

In this step the organisation develops a vision of when the project organisation is successful. The purpose is to develop a description of what the project organisation should look like once it has successfully implemented its strategies and achieved its full potential. An effective vision statement should emphasise purpose, behaviour, success criteria, decision rules and standards that serve the future users of the site to be developed, rather than the project organisation, and create public value. Typically, this vision of success is more important as a guide to implementing strategy than it is in formulating it.

IADM step 11: Develop an effective implementation process (based on Bryson, 2004)

To realise the adopted strategic plans, it is important to think strategically about implementation and develop an effective joint implementation plan. Implementation must be consciously, deliberately and strategically planned, managed and budgeted. Programmes, subprojects, action plans and budgets are necessary to implement the strategic plans and to coordinate the activities of the numerous constructors, executives and technicians likely to be involved. An implementation plan should guide the implementation and focus attention on necessary decisions, actions and responsible parties.

IADM step 12: Reassess the strategies and the strategic planning process (based on Bryson, 2004)

Once the implementation process has been under way for some time, the project organisation should review the strategies and strategic planning process, as a prelude to a new round of strategic planning. There are many circumstances that could change during the long implementation period of integrated area developments such as coalitions, political trends or the economic situation. The purpose of this step is to review the implemented strategies, plans, programmes or subprojects and to decide on a course of action that will ensure that public or added value continues to be created.

The designed IADM process steps are presented graphically in Figure 7.9. The twelve steps proposed in this process design outline a collaborative strategic planning process for an integrated area development project. They are aimed at facilitating the joint plan development and decision-making that the multiple key stakeholders of an integrated area development project should accomplish in order to fulfil their spatial goals and interests. Its focus is on how to organise thought, action and learning, more-or-less collaboratively within an interorganisational network or in a shared power context, where not one person, organisation or institution is fully in charge, but where many are involved or affected, or have partial responsibility to act. The IADM approach describes an interactive and action-oriented strategy for coordinating the goals and interests of interorganisational cooperations, and for the way how to achieve joint decision-making and come to a jointly supported and coherent spatial design.

As seen in the cases and indicated in the model by the many returning arrows, collaborative plan development in integrated area development is a highly iterative and cyclic process. Stakeholders and interorganisational cooperations constantly rethink the links among the various elements of the projects, create new ideas of strategic significance, consider whether their ideas fit within the mandates, take action to implement their ideas and learn along the way how to formulate effective strategies and fulfil their mission.

Tailoring the highly iterative process

The IADM process steps describe the process to formulate a joint project strategy for integrated area development projects. Because this generic process protocol can be applied in so many different contexts and can involve such a diversity of issues and people, it must be tailored to fit the unique circumstances of each situation (see also Susskind et al., 1999; Hendrick, 2003). Every project should be guided by general principles, such as inclusive stakeholder participation and interactive decision-making, but they will differ with regard to the rules of conduct by which stakeholders collaborate, the use of facilitators or technical experts, the margins of manoeuvres within the mandates, the length of time involved, the pressure that is applied by the external environment and so forth.

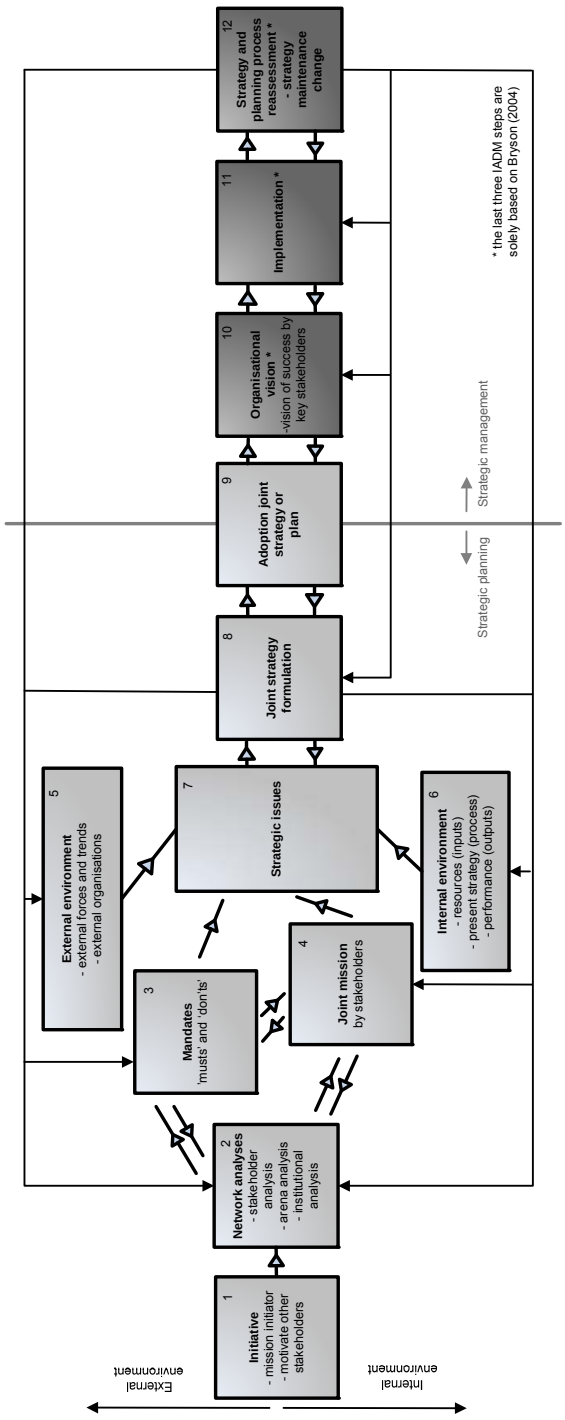

Figure 7.9: the IADM process steps

Although the outline of the IADM process steps is described in a linear, sequential manner, in practice, collaborative plan development will be strongly iterative and highly cyclical as is seen in the cases. Integrated area development projects are characterised by a highly dynamic plan-making process in which many organisations and people are involved. Participants typically have to rethink their options several times before they come to final decisions. Further, the variety of organisational and individual agendas that are present in collaborative situations makes reaching an agreement difficult (see also Huxham & Vangen, 2005). As learnt from the cases, stakeholders coming together bring different resources and expertise to the table, which in turn creates the potential for collaborative advantage. However, these stakeholders also have different reasons for being involved, and their representatives seek to achieve different outputs from their involvement. Moreover, new decisions and changes in the context or environment can influence earlier steps. All such types of issues require that the activities of the project organisation will go backwards and forwards between the various IADM process steps.

Further, the empirical data show that collaborative processes do not necessarily begin at the beginning (see also Bryson, 2004). Integrated area development projects often start with stakeholders being confronted with one or more strategic issues, rather than elaborating goals or a mission. In situations where they run into strategic issues or failing strategies, stakeholders are likely to find compelling reasons to collaborate. Once engaged, the stakeholders are likely to go back and begin at the beginning, particularly to identifying their mission.

7.1.2. IADM guidelines

The second component of the IADM approach consists of several guidelines that should be taken into account. Besides the five key aspects processed in the designed IADM process steps, there are three key aspects left that are critical during the entire strategic plan development. These key aspects are a sense of urgency, commitment and strong leadership. All three factors include challenges that have constant influence on the course of an integrated area development project and thus are relevant throughout the application of an IADM approach. Since they are dynamic, they need permanent nursing and maintenance. Therefore, they are not enclosed within the IADM process steps, but form a second component of the IADM approach. During an initiative for an integrated area development project, these factors are vital for the actual set up of the project. Later, the factors remain crucial in making progress in the joint plan development and achieving solutions that all key stakeholders can agree on.

This second component of the IADM approach is a new additional part to the strategic planning process. Its IADM guidelines are reported separated from the IADM process steps as three themes: a sense of urgency, commitment and strong leadership.

Sense of urgency

As seen in the cases, stakeholders should perceive a sense of urgency so that they put effort into the integrated area development project. A sufficient number of stakeholders need to believe that there is a spatial problem and have to be convinced that the only way to solve this problem is through cooperation. Without a sense of urgency it will be difficult to actively involve and commit stakeholders to a project; they will show little willingness to negotiate about process agreements. If agreements are nevertheless made, they are unlikely to be respected because they can easily be perceived of as obstacles.

When spatial planning systems are public-sector-dominated, as in the Netherlands and most other European countries, public bodies should more-or-less by definition be involved in an integrated area development project: inevitably one has to involve the public bodies that have power and authority in the sectors that an integrated area development project is focused upon. In contrast to private stakeholders that can be selected based on their interests, the public stakeholders that need to be involved are more-or-less prescribed. There are few if any possibilities to replace a desired public stakeholder if they show no interest in the proposed integrated area development project. Only the extent to which public bodies are involved can be varied. As a result, it is even more important than in other collaborative projects to constantly shape and develop an integrated area development project in such a way that key stakeholders clearly recognise their own interests in the project and are persuaded to participate for their share of its collaborative advantages. Highlighting the collaborative advantages, and thus stimulating the sense of urgency, is important, since integrated area development projects are typically long-lasting and intensive collaborations that require major efforts by their key stakeholders. If stakeholders experience a sense of urgency in solving a problem, this will drive them to put effort into the joint project. Further, it is also a force to keep them at the discussion table during the initial searching process for collaborative advantages and in other difficult situations later in the process. Even though in the initial stage of a complex collaborative project there is often a lack of a full consensus about the project goals, the stakeholders will proceed in discussing and searching for a shared spatial vision if there is a sense of urgency.

Commitment

The stakeholders in the two cases, and particularly the national stakeholders, noted that to successfully develop and implement joint integrated area development project, it is essential that the key stakeholders commit themselves to the project. The more of their problems and interests that stakeholders recognise in a project, the greater their commitment to the project will be. The project organisation may exert some influence on the stakeholder's commitment by strategically formulating the joint mission, as was seen in case Zutphen. The mission formulation should give the stakeholders the feeling that the project matters to them and that developments are taking place in it that serve their interests. Nevertheless, it should be

emphasised that commitment to a project is not the same as consensus among the stakeholders. Even without all the stakeholders agreeing on all the project goals, i.e. no full consensus, all the stakeholders may be prepared to commit themselves to the project. Such stakeholders identify themselves with only some of the negotiated project goals. However, they feel sufficiently strongly connected to those project goals that are important to them to participate in the integrated area development project given that other project goals do not harm them or their impact is minor.

Stakeholders could show their commitment to a project by actively participating in it. They declare a formal commitment by signing an intention agreement, by allocating finances or by adopting a strategic plan. Proclaiming commitment has an important role in the relational atmosphere among the stakeholders. It demonstrates trust and confidence in the project and with that it reduces uncertainty and complexity in so far as it allows for *specific* (rather than arbitrary) assumptions about other stakeholders' future behaviours (see also Bachmann, 2001). The parties involved in integrated area development projects (municipalities, water boards, regional governments, interest organisations) generally meet with each other in several decision-making circuits with, each time, different extents of interdependence. To be able to operate effectively in all these decision-making circuits, a party cannot allow itself to ignore or abuse the trust of the other parties without good reason.

As also seen in the cases, in practice, it is usually a long haul before public stakeholders formally commit themselves to a large joint spatial project. Public parties tend to be preoccupied with their own procedures and internal issues, instead of acting as potential partners. The constitution prescribes that public policies and plans have to be developed in a legitimate and democratic way, and thus separated from policy implementation. As a result, public parties are tied to several decision-making arenas and control systems. Instead of a decision-making process that acts and deliberates on rational grounds, the public decision-making process is highly politicized and influenced by elected officials, political parties, interest and resident groups and the media. Striving for an early formal commitment that binds politicians in advance to the uncertain outcomes of a strategic plan development process is not very realistic and ignores the risks that are involved in these processes for politicians. The challenge is to involve them in the strategic plan development such that they take part in the process of shared mission and strategy forming and, of their own accord, defend the formulated proposals because they are then convinced of their quality. This does not mean that proposals have to come through the formal procedures completely unchanged. What matters is that the interests, expertise and considerations that are articulated in the plan development process are used in the formal decision-making procedures (see also Klijn & Koppenjan, 2000).

Further, it is also crucial to embed strategic project elements in relevant spatial plans, visions and budgets. Since integrated area development plans are typically holistic plans with major social, economic and spatial impacts in the region, the project elements should ideally also be embedded in regional and possibly even national plans in order to be considered for

support, subsidies and other financial contributions. Likewise, it is important that the project organisation presents clear links to current political issues, such as the present attention given to sustainability and climate change, and use the same terminology as in political documents, subsidy descriptions and overall spatial visions. Further the stakeholders, and in particular the involved politicians, could contribute by lobbying and networking with the politicians to promote their integrated area development project and to put its strategic elements on the priority list of the decision-makers.

Strong leadership

Preparation and implementation of an effective strategy in a collaborative project setting requires strong leadership by a project leader and the political representatives: the need for stakeholder participation does not dilute the requirement for leadership. Following Nutt & Backoff (1996), leadership is seen as the process of guidance carried out to make things happen. To provide effective guidance, a leader must mobilise, inspire and enrol others by seeking commitment from people to support an action plan. Strategic spatial planning requires leadership that is both content (outcome) and process oriented, but that also effectively crosses boundaries as integrated area development projects require the collaboration of stakeholders across judicial and sectoral boundaries. Building a collaborative partnership requires skilled leadership to ensure the integration of diverse points of view, careful attention to process dynamics and effective implementation of agreements (see also Gray, 2007). Such leadership needs to inspire vision and commitment from the key stakeholders and ensure that all the key stakeholders have an opportunity to play an active role in the plan development.

Since skilful leadership and a wide experience in collaborative, political settings appear essential in effectively guiding an integrated area development project, the project organisation should consider hiring in an external project leader to facilitate stakeholder interactions, as was also done in case Zutphen and in the first stage of case Kampen. A second, but no less important argument is that an external project leader can also be a neutral mediator in conflict handling. Given that stakeholders wrestling with integrated area development issues often start from fundamentally different value premises, incorporating a third party to help structure and facilitate discussions about these difficult issues may be useful as seen in case Zutphen.

As learnt from the difference between case Zutphen and case Kampen, besides leadership of a project leader, also the leadership, courage, inspiration and persistence of the political representatives appears crucial as to guide the strategic project decisions through the political decision-making process and thus to succeed in integrated area development projects. Political leadership is needed to develop a shared understanding of the public problems, build support for beneficial solutions and position the proposed solutions into specific policies and programs that are adopted by the decision-makers. In the

setting of fragmented policies and complex legal procedures, it is not only the formal leadership of politicians that is crucial, but also the informal leadership of the driven, enterprising politician who is able to emphatically disseminate the project vision and inspire decision-makers to think beyond the boundaries of the determined policies. A politician who is vigorous and proactive, possesses a flourishing network, and has the courage to realise changes, could be an important catalyst for the decision-making in integrated area development projects. Some politicians, such as the deputy in case Kampen, have such charisma and could be a catalyst for a fortunate project. Others need assistance in persuading others from the joint group of stakeholder politicians in order to guide the strategic project decisions through the political decision-making process. The project organisation can assist those politicians by offering strong arguments and by organising meetings to raise public and external support for the project.

This section has described the conceptual IADM approach, comprising twelve IADM process steps and three themes for IADM guidelines. In the next section, the designed approach is used in a third case study, followed by a reflection on the approach in Section 7.3.

7.2. Intervening in the Avenue2 project

To complete the reflective cycle and derive experiences with using the conceptual IADM approach, interventions were made in a third case (Step 3 of the reflective cycle). As Van Aken (2004) describes, 'the conceptual model typically should be studied within its intended context of application, in order to be as sure as possible of its effectiveness, also under the influence of less well-known factors'. Since it was impossible to test the conceptual IADM approach in a laboratory and since the time required for a long-lasting practical experiment was lacking, it was decided to analyse whether the conceptual IADM approach is usable in practice and is also user-friendly. Therefore, a workshop was organised with the stakeholders of the Avenue2 project. In this workshop, interventions based on the IADM approach were implemented and experiences with the designed approach were assessed. Based on these experiences, it is possible to reflect upon the conceptual IADM approach. Further, the workshop intervention also offers an indication as to how the design could be used in practice.

7.2.1. Introduction

The Avenue2 project is an integrated area development project in 's Hertogenbosch, in the south-east of the Netherlands. The project area is situated between 's Hertogenbosch and Rosmalen, see Figure 7.2. To the west, the project area is bounded by the A2 motorway between Amsterdam and Maastricht, to the east by the future location of the Zuid Willemsvaart Canal. To the north, the Bruistensingel road forms the limit of the plan area and to the south the Graafsebaan road. Further, the area is crossed by the railway line running between 's Hertogenbosch and Nijmegen. This project was studied in July 2008, when the

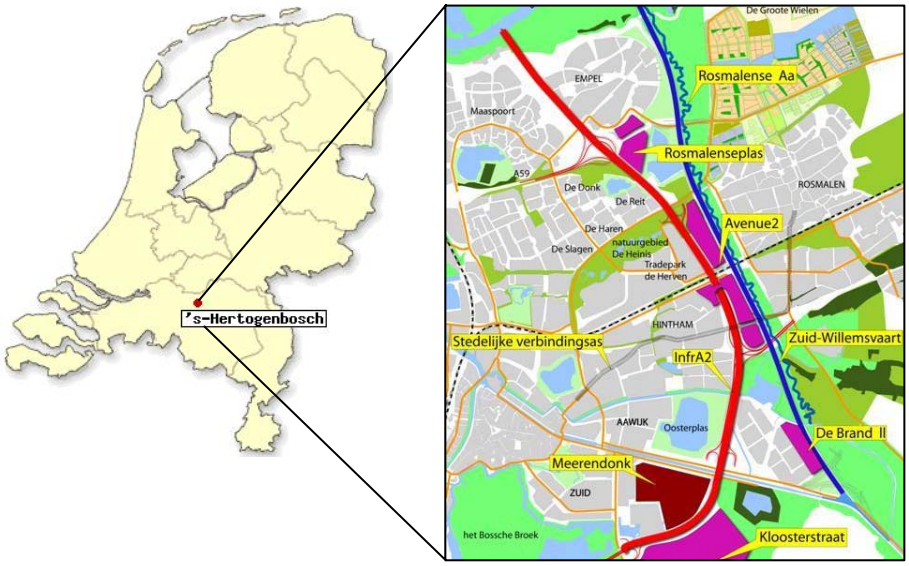

Figure 7.2: The plan area of the Avenue2 project

municipality of ‘s Hertogenbosch was in the initial plan development stage and no other stakeholders were yet involved.

Since the 1990s, there had been ideas and plans to develop the Avenue2 area. The area has a strong potential for developing a new business centre because of its good accessibility (gemeente 's Hertogenbosch, 2002). Over the years, the attention given to the Avenue2 project has frequently risen and then declined again. Ideas to develop the Avenue2 project area were raised especially in relation to the upgrading of the A2 motorway and the relocation of the Zuid Willemsvaart Canal. However, the municipality of ‘s Hertogenbosch prioritised developing some other strategic areas, such as the Paleiskwartier and other inner-city areas.

In its general Spatial Vision, the municipality of ‘s Hertogenbosch describes a construction programme of about 2,500 dwellings, 300,000 m² of offices and 200,000 m² of special buildings including for retail and leisure purposes at the regional service level for the Avenue2 area (gemeente 's Hertogenbosch, 2003). In 2003, the formulated ambition was to develop the majority of this construction programme in the form of high-rise buildings. Further, the project aimed to develop a railway station and an interchange area between several traffic modes above the A2 motorway. Later, in 2007, the ambitions of this construction programme were adapted because of new developments. Investigations had shown that the demand for office space and apartments was less than anticipated, while the demand for high-quality business areas and traditional houses was higher than anticipated. The new ambition was to develop around 300 - 500 dwellings, 100,000 m² of offices, 200,000 m² of special buildings for retail and leisure uses at the regional service level plus 20 - 30 hectares of high-quality business area. The ambition to develop a railway station and an interchange area between

several traffic modes, including high-quality cycle and public transport connections remained. (gemeente 's Hertogenbosch, 2007).

Despite several formulated ambition statements, the Avenue2 project was still in the initiative phase at the time of the workshop. Research by Grooten (2008) indicates that, in the period before 2008, 'the municipality had not yet put the Avenue2 project on their priority list' and that their general idea was that 'there would be a need for the project in a few years'. In other words, there had been a lack of urgency to develop the Avenue2 area. In 2008, when the workshop was organised, a sense of urgency had appeared over the plan development for the Avenue2 project (Grooten, 2008). Market research had shown that, in a few years, there would be a demand for the area, and the municipality would need all the available time for the plan development and construction.

7.2.2. Intervention

On the 30 July 2008, a workshop was organised with the stakeholders of the Avenue2 project. The participants of the workshop are listed in Appendix 6. As described, the workshop was organised to implement interventions based on the conceptual IADM approach and to derive experiences with the designed approach. The participants of the workshop were asked to apply the IADM approach to their project in a simulated, speeded up environment. To achieve this, the workshop was divided into several rounds. In each round, a new issue or activity was introduced. The focus of the workshop was on the new and adjusted elements in the strategic planning process model and thus on the initiative, the network analysis, the strongly iterative manner of plan development and the IADM guidelines.

In the workshop, the conceptual IADM approach was first presented to the participants. The twelve IADM process steps were explained and the IADM guidelines clarified. The following issues were then addressed during the workshop:

- the initiative;
- a network analysis; and
- the plan development strategy.

In the first round, the workshop participants discussed the initiative of the municipality of 's Hertogenbosch (IADM step 1: initiative). The participants identified their initial activities generally and discussed the project's mission for the municipality based on three possible levels of ambition. These three scenarios varied from developing a local business area (Scenario 1), to developing an urban area at regional scale (Scenario 2), to developing a new urban centre of national importance (Scenario 3). For each scenario, the advantages and disadvantages were discussed. The general findings were that the initial activities should include the formulation of a project mission, an exploration of the opportunities when developing the Avenue2 area, but also of the limiting factors and the identification of key stakeholders. In terms of the project mission, the participants noticed that the greater the

ambition, the more public interests that could be realised, but also that more risks and stakeholders were involved.

In the second round, the participants carried out a network analysis (IADM step 2: network analysis). First, they identified the stakeholders for each of the three scenarios and then positioned these stakeholders in a power-interest grid. Based on this power-interest grid, the key stakeholders were identified. Subsequently, the involvement and the participation of the key stakeholders were discussed. For each key stakeholder their role within the plan development process was determined. The general view was that the greater the ambition, the more stakeholders that would have to be involved in the plan development, and also in a more active manner. Further, several stakeholders were added to the stakeholder list or relocated in the power-interest grid during the identification of the key stakeholders and their role within the plan development.

Finally, in the third round, the plan development strategy was discussed in general. This discussion focussed mainly on the role of the municipality in plan development. The general conclusion of the participants was that the municipality should adopt an active attitude and take the lead in developing the Avenue2 area. Three major issues were mentioned in relation to taking the lead. Firstly, they would need a productive project team and, secondly, a strong political representative to support and anchor the project in the political decision-making process. Further, the plan development should be carried out in close coordination with the key stakeholders in order to involve them in developing solutions and products which the key stakeholders could support.

7.3. Reflecting on the conceptual IADM approach

Based on the described interventions in the Avenue2 project, this section reflects on the conceptual IADM approach (Step 4 of the reflective cycle). As described, the emphasis here is on whether the conceptual approach is user-friendly and on the new and adapted elements of the strategic planning process model. The reflection focuses, in turn, on the initiative, the stakeholder analysis, the strongly iterative approach of plan development and the IADM guidelines.

Initiative

Taking ‘initiative’ is the first IADM step. This is a more loosely formulated process step than the original ‘initial agreement’. For the Avenue2 project, the municipality of ‘s Hertogenbosch is the initiating organisation. The general aim of the municipality is to develop a new business and residential area on the outskirts of the city near the A2 motorway. The integrated project combines social, economic and spatial tasks. The initial activities the workshop participants were asked to carry out were to formulate a mission and to explore the opportunities in developing the Avenue2 area, to identify the key stakeholders and to identify limiting factors or boundary conditions. The workshop participants thought the IADM step ‘initiative’ was a clear step. Moreover, carrying out this first IADM step also gave some indication of the relevance of

later IADM steps such as the network analysis (IADM step 2), identification of mandates (IADM step 3), mission formulation (IADM step 4) and identification of strategic issues (IADM step 6), since workshop participants mentioned those activities.

Network analysis

Carrying out a network analysis is included in IADM step 2. This is a new step that more explicitly puts the stakeholder analysis in the strategic planning process model, but also offers more in-depth insights than a stakeholder analysis. As the initiator, various departments of the municipality have together carried out a network analysis. The network analysis was seen as an important activity by the workshop participants in order to carefully identify the key organisations they would involve in the plan development for the Avenue2 project. The central position of the network analysis in the IADM process steps emphasises that the analysis should be a collaborative effort and that it should be updated frequently. Carrying out a joint network analysis made the workshop participants aware that the various municipality departments had diverse views on the project, which sometimes resulted in differing proposals for which stakeholders should be involved. Besides identifying the relevant stakeholders, the participants also discussed their own goals and interests in more depth. As a result, the contributions from carrying out a joint network analysis were twofold: 1) the identification of the stakeholders and their characteristics, and 2) a sharper formulation of own goals and interests. Further, it was observed that the identified stakeholders, and their role in plan development, were determined by the ambition of the scenario. This suggests that the network analysis is a differentiated element that could support a project organisation in developing a joint strategy (IADM step 8). Together, these findings provide a first indication that it is useful to add a 'network analysis' to the IADM process steps.

Iterations

In contrast to the 'initiative' and the 'network analysis' components, the iterative manner of plan development is not related to a specific IADM process step, but to the combination of IADM process steps. The various IADM process steps are positioned in a more-or-less sequential manner with each having strong links to both the next and the previous step or steps in order to accommodate the dynamic and cyclic nature of plan-making in collaborative integrated area development projects. As was already observed in the two case analyses, and now again in the workshop, the participants rethink and adapt their earlier decisions as they learn from the collaborative process or receive new information. When carrying out a network analysis, the workshop participants initially identified stakeholders and positioned them in a power-interest grid. Later, during the identification of the roles of the key stakeholders, the workshop participants added or relocated stakeholders in this power-interest grid. Subsequently, when discussing the plan development strategy, the workshop participants again discussed the role of the key stakeholders and again adapted and refined their earlier decisions.

In general, the findings confirm the requirement of a highly iterative or cyclic plan development process. Based on the findings in the workshop and previous research, it is expected that it does benefit a strategic approach to include a strong iterative process as a way of making progress, instead of endlessly negotiating over the precise detail of each step before progressing. Considering the many external factors and the political decision-making that constantly influence the joint plan development and mean that decisions need to be reconsidered, this conclusion seems reasonable. Nevertheless, more research on this aspect is needed to confirm it. Further, no judgement can be given on the accuracy of the indicated cyclic links in the IADM process steps model: the workshop was too limited for such conclusions.

IADM guidelines

The IADM guidelines are a new component added to the strategic planning process model. In the workshop it was observed whether the participants raised the themes of sense of urgency, commitment and strong leadership during the three workshop rounds, and if so on what way.

Sense of urgency

The workshop participants did indicate a sense of urgency. They were convinced that they should get on with the plan development for the Avenue2 project in order to have the area constructed before there became a shortage of business space as market research had indicated. Further, the history of the Avenue2 project (see Section 7.2.1) also shows the significance of this aspect. There were already plans to develop the Avenue2 area in the 1990s, but these plans never came to fruition. Since then, a sense of urgency in developing the Avenue2 project has arisen, as the inputs from the participants in the workshop made clear, and now the project actually seems to be being developed.

Commitment

Commitment was only noticed implicitly in the workshop. The workshop participants discussed the involvement of key stakeholders in the plan development for the Avenue2 project in order to develop solutions and products that the key stakeholders would support. Commitment and support are related. Support can be seen as the basis for commitment. Commitment also involves the active participation of a stakeholder. The workshop did not prove that the theme ‘commitment’ as an IADM guideline was invalid, but there were also no strong indications that justify including the theme.

Strong leadership

The workshop participants did indicate the need for a strong leader and mentioned in particular the need for a strong political leader. They discussed the difference between the situation where the political representative for the project was a councillor with strong political leadership skills, and where this representative had fewer political leadership skills. They observed that a strong political leader would be a catalyst when actively supporting and

anchoring the project in the political decision-making process. These findings support the presence of the theme 'strong leadership' in the IADM guidelines.

General reflection

The first impressions of the adaptations and specifications in the IADM approach were positive. Both the IADM process steps and the IADM guidelines were understood by the workshop participants and were user-friendly. The IADM approach could be used in practice without any redesigns. There were no indications that the IADM approach did lead to major failures when using it in an integrated area development project.

7.4. Concluding remarks

In this chapter, a conceptual Integrated Area Development & Management (IADM) approach has been designed. This IADM approach is an interactive and action-oriented strategy for the collaborative plan development and implementation process of integrated area development projects. The IADM approach is split into two components:

1. IADM process steps that outline an appropriate strategic planning process for a joint integrated area development project; and
2. IADM guidelines that describe factors that need continuous nursing and maintenance.

The basis for the IADM process steps was the strategic planning process steps of Bryson (2004). Based on in-depth case research (see Chapters 4 - 6) it was found that there was a need to adapt and further specify the strategic planning process model for effective plan development in collaborative integrated area development projects in a public-sector-led setting. The major redesigns to Bryson's strategic planning process steps made in the IADM process steps (component 1) include:

- Adding a strategic step to carry out a network analysis (IADM step 2);
- Transforming the activities into joint activities (IADM steps 1 - 12);
- Modifying the 'initial agreement' step into a looser 'initiative' step (IADM step 1);
- Specifying the strategic element 'external environment analysis' (IADM step 5);
- Rescheduling the strategic activities in a more iterative form (IADM steps 2 - 7); and
- Specifying the strategic element 'mandates' (IADM step 3).

Besides these redesigns, the IADM guidelines (component 2) are added to the strategic planning process model for joint integrated area development projects. The IADM guidelines cover three themes that are important throughout the entire planning process, not just in a single step. These factors are dynamic, and need continuous nursing and maintenance. As such, they are not included in the IADM process steps, but form an additional component of the IADM approach. These additional factors that stakeholders should take into account and stimulate are:

- Sense of urgency;
- Commitment; and
- Strong leadership.

Based on the designed approach, interventions were implemented in a third case study to complete the reflective cycle and determine experiences with the conceptual IADM approach. Here, a workshop was organised in which the stakeholders of the Avenue2 project applied the IADM approach to their project. This workshop formed the basis on which to reflect on the conceptual IADM approach. The general conclusion was that the IADM approach was user-friendly and could be used in practice without needing further redesign. Based on the interventions, there were no indications of failure in the IADM approach. Nevertheless, the interventions in the workshop were limited and further research is required to fully test the IADM approach and develop it further.

Chapter 8. Conclusions and discussion

In this thesis, a conceptual design for strategic plan development in integrated area development projects has been developed. This design-based research includes an extensive explorative research component since the actual problem in plan development for integrated area development projects had first to be clarified and defined from its complicated context. Even though recent planning literature pays much attention to planning approaches that consider the interaction processes between stakeholders as a way of strategically dealing with complex spatial problems, a strategic planning approach to integrated area development projects, and in particular those in a collaborative and public-sector-dominated setting, is still lacking. To contribute to filling the theoretical and practical knowledge gaps in strategic plan development for joint integrated area development projects, a conceptual 'Integrated Area Development & Management' (IADM) approach has been designed. This IADM approach was developed by conducting a reflective cycle (Andriessen, 2004; Van Aken, 2004), also called a intervention cycle (Verschuren & Doorewaard, 1999). The design knowledge is based on eight interviews with academic and professional experts, a framework for analysis based on a literature study, two in-depth case studies including longitudinal observations, stakeholder interviews and document analyses, and interventions in a third case study.

The chapter is set out as follows: firstly, Section 8.1 summarises the conclusions of the design-based research. Subsequently, Section 8.2 outlines the findings including a discussion of the research methodology, the scientific contribution, the practical contribution, suggestions for future research and an epilogue.

8.1. Conclusions

To guide the research in addressing the research aim five research questions (RQs) were formulated. This section provides the answers to these research questions and summarises the most important conclusions.

8.1.1. Main characteristics of strategic plan development in theory

In addressing the construction of a framework for analysis and answering the first research question (**RQ1**), *What are the main characteristics of strategic plan development?,* a literature study covering spatial planning theories was carried out. It was concluded that spatial developments are nowadays shaped through the collaboration and interaction of several mutually dependent stakeholders (Salet & Faludi, 2000; Driessen et al., 2001; Albrechts, 2004; 2006; Healey, 2006). The focus in spatial planning literature is particularly on planning approaches that adopt a stakeholder perspective and thus focus on the interaction process between the various stakeholders. Hence, three planning approaches were analysed that

considered the interaction process between stakeholders: communicative, interactive and strategic planning. Based on this analysis, it was argued that all three planning approaches could be used in reflecting on the strategic plan development in integrated area development projects, but that strategic planning was the most appropriate. Strategic planning is a disciplined effort aiming to produce fundamental decisions and actions that shape and guide what an organisation, or other entity, is, what it does, and why it does it (Bryson, 2004). Specific to European spatial planning, Albrechts (2001) describes strategic planning as a 'transformative and integrative, (preferably) public-sector-led socio-spatial process through which a vision, coherent actions and means of implementation are produced that shape and frame what an area is and might become'.

To be able to analyse how plan development in a joint integrated area development project evolves in practice (RQ2) and to what extent that plan development is strategic (RQ3) two analysis frameworks were developed. The first analysis framework, to describe the plan development in a specific case, includes the basic characteristics of 'stakeholders', 'interaction process' and 'context', see Table 8.1. Further, the perceived performance during the plan development is also included in the analysis framework in order to be able to evaluate the plan development and deduce design knowledge from the individual case analyses.

Table 8.1: Framework of analysis for plan development

Basic characteristics	**Elements**
Stakeholders	Goals
	Resources
	Dependency
Interaction process	Cooperation structure
	Sequence and substance of events
Context	Situation
	Trends
Perceived performance of the planning approach	

A second framework for analysis was developed in order to describe to what extent the plan development process is strategic. There are many process models through which strategy can supposedly be developed and operationalised (Mintzberg, 1994), but most of these models focus on the private sector. Bryson (2004) has developed an outline of a strategic planning process that is appropriate for the public sector. This strategic planning process model is composed of ten elements, see Figure 8.2. These ten elements, referred to as steps, are used to reflect upon the extent to which the plan development process is strategic.

Table 8.2 Framework of analysis for strategic plan development

	Elements in strategic plan development (Bryson, 2004)
1	Initiate and agree on a strategic planning process
2	Identify organisational mandates
3	Clarify organisational mission and values
4	Assess the external and internal environments
5	Identify the strategic issues facing the organisation
6	Formulate strategies to manage the issues
7	Review and adopt the strategies or strategic plan
8	Establish an effective organisational vision
9	Develop an effective implementation process
10	Reassess the strategies and the strategic planning process

8.1.2. Evolvement of the plan development and its perceived performance

In this thesis, we have analysed *how the plan development for an integrated area development project evolves and how the stakeholders perceive its performance?* **(RQ2)** For this, results have been presented of two in-depth, longitudinal case studies. In general, a network of interdependent stakeholders is involved in an integrated area development project, by definition including one or more public stakeholders. These stakeholders had various interrelated goals in one geographic area and are only able to realise their own goals and interests through collaboration and a joint input of resources.

The interaction processes in the analysed integrated area development projects can be characterised as intense and holistic interactions between the various stakeholders. In both cases, the cooperation structure was shaped through public coalitions of stakeholders from all levels of governments. The projects were focussed on the regional level and were both led by the relevant regional authority. The plan development process was dominated by legal procedures in both cases, which both project organisations then used as prescribed process steps. Both plan development and decision-making occurred in a highly iterative manner. The stakeholders typically rethought their options several times before making final decisions. The focus of both project organisations was on developing a formal joint spatial vision document, although they used different intermediate documents along the way.

In both cases, there were numerous contextual factors that influenced, or might influence, the plan development process and required action by the project organisations. Major contextual factors included the highly formalised setting for spatial planning and the political nature of decision-making. In particular, the political and economic situations and trends were contextual factors that might have a substantial influence on plan development.

Finally, all stakeholders, in both cases, were satisfied with the planning approach. Despite some possibilities for improvements, such as in external communications and more active lobbying, the stakeholders did not indicate any major issues that would require a different planning approach.

8.1.3. Extent to what the plan development is strategic

The third research question **(RQ3)** was formulated as follows: *To what extent is the plan development of an integrated area development project strategic?* In both the cases, Zutphen and Kampen, most of the elements in a strategic plan development were carried out, or at least explored. Emphasis was put on the 'initial agreement', 'mandates', 'mission', 'external environment', 'strategic issues', 'strategy formulation' and 'adoption' elements. In the case of Kampen, which had started earlier, attention also was paid to the 'internal environment' and 'implementation' elements. Further, in a general sense, the strategic plan development process in both cases followed the sequence proposed by Bryson (2004), albeit in a highly iterative manner. Bryson (2004, p.52) also noted iterative behaviour in practice, but did not pay further attention to this aspect. This research has shown that iterations occur regularly in the plan development process for joint integrated area development projects and that this is also required given the complex and dynamic nature, with a political element in decision-making and many external aspects influencing plan development.

8.1.4. New elements in a strategic plan development approach

The purpose of the fourth research question **(RQ4)**, *What elements need to be included in the design of a strategic plan development approach for integrated area development projects?,* was to generate insights into the key aspects in designing a strategic approach; as a starting point for designing an IADM approach. Besides the elements in strategic plan development defined by Bryson (2004) and presented in Table 8.2, additional eight key aspects were identified based on extensive explorative research from a stakeholder perspective:

- The collaborative efforts of multiple stakeholders;
- Sense of urgency;
- Commitment;
- A long initial stage;
- Strong leadership;
- The many external factors that influence plan development;
- Strongly iterative plan development; and
- The many externally-imposed mandates that need to be satisfied.

8.1.5. IADM approach

Answering the fifth research question **(RQ5)**, *What planning design could guide a strategic plan development approach in integrated area development projects?,* also addresses the **research aim**; to design an Integrated Area Development & Management (IADM) approach. The IADM approach designed has two components. The first component covers twelve IADM process steps that outline an appropriate strategic planning process for a joint integrated area development project, see Figure 8.1. The second component includes the

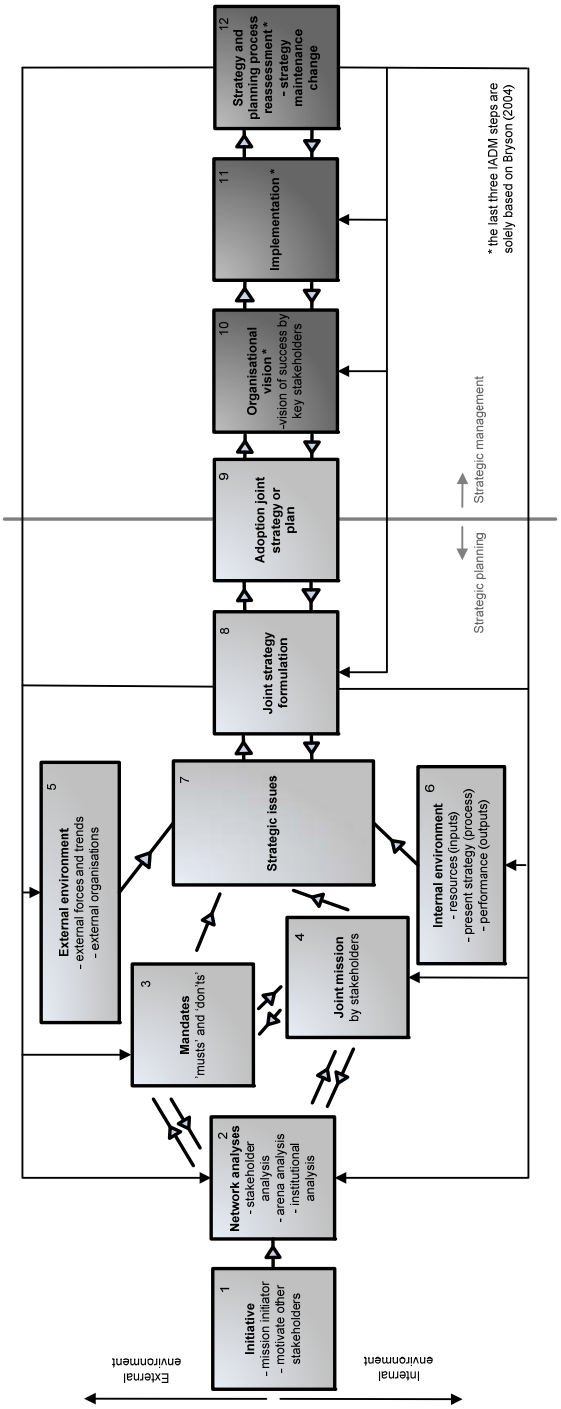

Figure 8.1: the IADM process steps

IADM guidelines. These guidelines cover three dynamic factors that are important during the entire planning process and need continuous nursing and maintenance. These dynamic factors, that stakeholders should take into account and stimulate, are a sense of urgency, commitment and strong leadership.

8.2. Discussion

As mentioned in the previous section, the focus in this thesis has especially been on the strategic plan development process in integrated area development projects. Based on the reflective cycle and extensive explorative research of integrated area development projects, an IADM approach has been developed. This section discusses the research methodology, the contribution of this research to both science and practice and offers suggestions for future research. The section concludes with an epilogue.

8.2.1. Discussing the research methodology

The research aim was to design a strategic IADM approach. To achieve this aim, a design science paradigm was applied that was based on the reflective cycle (Andriessen, 2004; Van Aken, 2004). This covers 'diagnosing the actual problem', 'designing a method', 'planning and implementing interventions' and 'reflecting on results'.

Diagnoses

Since the actual problems in the plan development process for integrated area development projects had to first be clarified and defined from the holistic and complex context, much attention was paid to exploring plan development in practice. This explorative research was thorough and based on multiple sources of evidence. It included eight interviews with academic and professional experts and two longitudinal, in-depth, case studies involving 40 meeting observations, 21 stakeholder interviews and an extensive document analysis of in total more than 150 project reports, project minutes and related policies and reports. By carrying out in-depth case studies over a long period of time, insights could be gained into the cooperation and interaction process involving the stakeholders and their dynamics within the project's context.

Another possibility would have been to send questionnaires to both project managers and political representatives of integrated area development projects. An advantage in this would be that a problem diagnosis could have been developed based on a large sample. However, this method was not selected because the literature search had indicated that the context and the related process dynamics are major issues in plan development, and this was later also endorsed by the current research. By carrying out a longitudinal, in-depth, case study research, insights could be gained into the strategic plan development process and the dynamics present within a single setting. Further, besides observations and document analyses, the cases studies also included stakeholder interviews, which provided an

opportunity to determine what the major issues were according to the stakeholders, raise specific issues and further untangle the complex issues.

Design

Plan development in integrated area development projects is a large and complex process. As a result, gathering design knowledge for a strategic approach to plan development is also a long lasting process. During the research, it was decided to use the strategic planning process model of Bryson (2004) as a basis for the IADM approach since, in general terms, Bryson's model fitted with the research aim of developing a strategic plan development approach for integrated area development projects, and drew on a considerable body of research and practical experience. This adapting and specification of an existing model is a fairly traditional approach in design research that favours focussing on existing elements rather than developing an entirely new approach. An advantage in designing an entirely new approach is that one does not remain bound by the in more traditional approaches and can give creativity a free hand. However, a disadvantage is that one has no idea whether this new approach will lead to success. To validate such a newly designed model, one requires a considerable body of evidence-based research. Nevertheless, it should be noted that, although on a smaller scale, evidence-based research is also needed when adapting an existing model.

Intervention and reflection

Based on the developed conceptual IADM approach, interventions were made in a third case study. Initial experiences with the conceptual approach were assessed through organising a stakeholder workshop, where the applicability of the design was reflected upon and it was indicated how it could be used in practice. Through this, the workshop offered a first indication as to whether the design had any major failures when applied in an integrated area development project. Notwithstanding, more evidence-based research is needed to assess and improve the performance of the design.

A more solid approach would have been to intervene in the plan development process of an integrated area development project over a long period, rather than simply organising a workshop, as was also an aim in the reflective cycle proposed by Van Aken (2004). However, it was not possible to carry out such long-term and in-depth interventions within the time span of this research. Ideally, for such a lengthy and in-depth intervention, a leading position would need to be occupied through which it would be possible to apply the conceptual IADM approach in practice, such as filling the role of project manager in an integrated area development project.

A reflective cycle was completed within this research. The decision to analyse the cases longitudinally and within their contexts, combined with the limited time available, made it impossible to go around the reflective cycle more often. To further develop and improve the IADM approach, the reflective cycle should be gone around several times. Further research is

needed to reflect upon the new elements and the adaptations to the IADM approach. For example, the three themes in the guidelines do not necessarily describe the full range of critical dynamic factors. The three dynamic factors on which the guideline themes were based, were derived from explorative research. There may be more critical themes that require specific attention by the project manager and the stakeholders. The formulated guidelines are nevertheless a first step.

Further, the results obtained are specific to integrated area development projects in the Netherlands and are incapable of being generalised to other countries. However, the results do provide a basis for a discussion on emerging approaches, ideas and issues. Since the practice in such projects is generalisable, the outcomes may, to some extent and with some restrictions, also be valid in other countries.

8.2.2. Discussing the scientific contribution

Contribution to strategic planning theory

The scientific contribution focuses on the *conceptual model* developed for an Integrated Area Development & Management (IADM) approach. The use of strategic planning theory can offer many benefits in strategic plan development for integrated area development projects. Despite the increasing attention to strategic planning approaches in European spatial planning (Salet & Faludi, 2000; Albrechts 2001; 2006; Albrechts et al., 2003; Friedmann et al., 2004; De Graaf, 2005), little is known of the use of strategic planning in European joint integrated area development projects. The main contribution of this research is that it presents a holistic strategic plan development approach for collaborative integrated area development projects. The modifications made to the public strategic planning process model include an elaboration of strategic planning theory in a collaborative interorganisational setting and some specifications applicable to a public-sector-led spatial planning setting, such as found in Germany, France, the Netherlands and Scandinavian countries.

Further, some guidelines focussed on three dynamic factors in integrated area development have been added to the theoretical model for public strategic planning. These dynamic factors continuously act upon, or influence, the plan development process in spatial planning projects in public and collaborative settings. During the initiative phase, these factors are vital for the actual set up of the collaborative project. Later, the factors remain crucial in making progress in the joint plan development and achieving solutions that all key stakeholders can agree on. The finding that strategic plan development in spatial planning involves some factors that need continuous nursing and maintenance corresponds to the findings of other researchers such as Steinberg (2005) and Poister & Streib (2005). Steinberg (2005) concluded in his research on strategic urban planning that ‘what really counts in determining the success of strategic plan development are social and political processes, like the political will of mayors and other local authorities’. Also Poister and Streib (2005) conclude in their paper on the use of strategic planning in the public sector that a major issue in successful strategic planning is turning plans into actions. They argue that strategic planning

is an action-oriented process that is useful only if the strategic planning efforts are carefully linked to implementation and critical decision-making processes. Some of the identified critical facets for successful implementation are leadership, human resources, managerial skills and external support.

Contribution to design science

The scientific contribution of this thesis also focuses on the application of the design science paradigm in management and organisation science in general, and in spatial planning and integrated area development in particular. The mainstream research in these disciplines is description-driven, based on the paradigm of the 'explanatory sciences' (Van Aken, 2004; 2007). The contribution of this research towards collaborative integrated area development projects is that, in contrast to most research in this discipline, the design science paradigm is applied.

The design science paradigm originates from research in, and is applicable to, private companies. It is more difficult to apply design science in a public setting due to the multiple 'problem owners', the long during and prescribed procedures plus the general lack of unambiguous performance criteria. Further, in a collaborative and political setting, it is impossible to test a design in a laboratory experiment since the impact of dynamic contextual factors could not then be included. A design for a public, collaborative setting should ideally be studied within its intended context of application and thus in a practical experiment. In this research, it was decided to organise a workshop in which stakeholders had to use the designed approach and assess whether the designed approach was user-friendly.

8.2.3. Discussing the practical contribution

The intended practical contribution of this research was through the design of an IADM approach. The designed IADM approach could help project managers and other people involved in developing integrated area development projects to adopt a strategic plan development approach. The IADM approach offers an outline of an appropriate strategic planning process for joint integrated area development projects and includes guidelines that support the project organisation in dealing with several dynamic factors that will need nursing and maintenance throughout the entire planning process.

Further, the designed IADM approach offers practitioners insights into the full plan development process. One of the aims is to make practitioners more aware in advance forehand of *all* the steps and activities that should be accomplished and that these activities should be carried out jointly. These insights could support them in determining future milestones for their project and thus in developing a useful planning schedule. Currently, many practitioners develop a planning schedule based on previous projects. This historical experience is valuable, but it will not include the specific contextual and environmental factors of a new project. As shown in this research, and also described by other researchers (e.g.

Salet & Faludi, 2000; Albrechts, 2001; 2006; Healey 2003; Bryson, 2004), it is precisely the specific environmental factors that are important in effective plan development.

8.2.4. Suggestions for future research

The suggestions for further research follow from the foregoing discussion. An initial direction for new research should be to make further interventions in similar large, collaborative integrated area development projects and reflect on the performance. These pilots should generate additional data for building evidence according to the concept of theoretical saturation (Eisenhardt, 1989). Subsequently, based on these findings, the designed approach could be improved and further specified. Furthermore, the results for new case studies would provide examples of the application of the IADM approach in practice.

Besides carrying out more case studies, it is also suggested performing longitudinal research on strategic plan development in integrated area development projects over the *full period* of plan development and implementation. The focus in this thesis was on the initiative and plan development phases. As a consequence, it was not possible to design the final IADM process steps using empirical knowledge. Instead, the last three strategic planning process steps proposed by Bryson (2004) were incorporated in the conceptual IADM approach. Further, the dynamic factors and the IADM guidelines were based solely on an analysis of two cases during the initiative and plan development phases. Thus, besides more research on the IADM process steps, more research on the IADM guidelines is also needed, preferably carried out over the full period of plan development and implementation.

A second suggested research direction is to analyse integrated area development projects in which private parties participate and are seen as partners. Despite the case selection criteria for this thesis including a preference for cases in which multiple stakeholders from different backgrounds were participating, in practice both cases included only public stakeholders from various levels of government. Since private parties will have other types of aims in an integrated area development project in general, and should meet other sets of mandates (Bult-Spiering & Dewulf, 2006), it is recommended examining the influence of the participation of private parties on the performance of the IADM approach.

A third option for further research concerns a further investigation of the performance measurements. In this research, performance has been defined from the perspective of the stakeholders through measuring their perception of performance. This way of measuring performance differs from most other research in which objective criteria are used to measure performance. Measuring performance in this way in such complex projects is however extremely difficult since there is no undisputed and clear output performance criteria in plan development for integrated area development projects. More research is needed to come up with a set of output criteria that together would measure the performance of collaborative strategic plan development processes.

A fourth option for further research would be to investigate the extent to which the findings of this research hold in other settings. Since the results obtained are currently specific to

integrated area development projects in the Netherlands, they should not be generalised to other countries. The results are only capable of providing a basis for a discussion on emerging approaches, ideas and issues. To increase the generalisability of the IADM approach, it is recommended that it is empirically assessed in other cultural and legal environments settings.

The final suggestion is for a more in-depth investigation of critical contextual factors. In this research, a strategic planning perspective was used for analysing plan development. The central idea in strategic planning is that strategies and strategic plans are developed based on the specific characteristics of the environment. In the literature, there is still a debate on how the context influences performance and outcomes (Papadakis et al., 1998; Hough & White, 2003; Hutzschenreuter & Kleindienst, 2006). In this research, several critical context factors have been identified and is it also identified, to some extent, how they affect plan development. However, this research covered only an initial stage in design development. Probably, there are further contextual factors that influence performance and outcomes.

8.2.5. Epilogue

In this thesis, two cases were analysed. The first, case IJsselsprong in Zutphen, was studied in-depth during the period June 2006 - July 2007. The second, case IJsseldelta Zuid in Kampen, was studied over the period March 2007 - March 2008. At the time of finishing this thesis (September 2009), in both instances the plan development processes were progressing and various new developments and contextual changes had taken place. One of the major contextual issues in this period has been that, based on new insights into the predicted climate changes, the Delta Committee (2008) has produced a vision for the long-term protection of the Dutch river system and the North Sea coast. The Committee recommends that additional land be kept free from development along the main rivers to allow increased river inundation, and suggests raising the level of the IJsselmeer by up to 1.5m by 2100 to create a freshwater reservoir. In response to this advice the national government is preparing a Delta Programme.

Consequently, in the case of Kampen, V&W and VROM have delayed the deadline for taking the required PKB exchange decision [*omwisselbesluit*] and postponed the decision on providing a National Spatial Strategy Budget [*Nota Ruimte Budget*]. In the meantime, V&W has carried out a quick scan to investigate the consequences of the Delta Committee report. Based on this quick scan, and on previous research, the national government has decided not to take a PKB exchange decision between the options of river-bed dredging and developing a bypass for the river IJssel, but to instead implement *both* PKB flood protection measures. As such, V&W will invest €167 million in the construction of the bypass. Earlier, V&W had already allocated budget for river-bed dredging, and for the development of the 'Knoop' (an infrastructure junction of the Hanze railway line, the N50 trunk road and the future river bypass). Combining river-bed dredging and a bypass in the short term offers a cost

reduction of €45 million since the dredged sand can be used in constructing dikes along the bypass (Stentor, 4 September 2009). Further, VROM has allocated €22.4 million National Spatial Strategy Budget for the integrated area development including the development of housing and 350 ha of 'new nature'. (Press release VROM 4 September 2009). Moreover, the province of Overijssel and the municipality have together also allocated €105 million for the integrated area development, this above the €10 million the province had already invested in the 'Knoop' (Press release V&W, 4 September 2009). According to the schedule, the plan development process will be complete in 2010, construction will start in 2013 and the river-bed dredging and the bypass will be finished in 2015.

In the case of Zutphen meanwhile, V&W decided in December 2008 not to take an PKB exchange decision in favour of the regional alternative and the two dike resitings since, with the regional alternative, the required water level reduction could not be realised by 2015 (Kamervragen VenW/DGW 2008/2097). Nevertheless, between August 2008 and May 2009, V&W and the Steering Committee IJsselsprong have together investigated the possibility of combining the dike resiting at Cortenoever and in the Voorsterklei with the preferred 'search direction' of 'a large water stream in front of Zutphen'. Based on this investigation, the Steering Committee IJsselsprong has proposed in June 2009 that V&W simultaneously develops the three flood protection measures before 2015. The combination of the three measures offers a reduction in costs and quality improvement for the area. A decision by the national government about this proposal, a possible allocation of the V&W budget and a possible allocation of the National Spatial Strategy Budget by VROM is expected at the end of 2009. Further, the decision-making also depends on the outcome of the grievance procedure that followed on the rejection of the municipality of Zutphen to organise a referendum on the entire IJsselsprong plan. Awaiting these decisions, the members of the Steering Committee IJsselsprong have not yet signed a cooperation or intention agreement. Nevertheless, the province of Gelderland has already allocated €66 million for improving the liveability in the residential area Zutphen De Hoven, including the construction of a ring road around Zutphen De Hoven (Stentor, 9 July 2009).

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Summary

Increasingly, it has become evident that spatial problems can no longer be resolved in isolation, but should be solved in conjunction with other development-related issues. As a consequence, interest in integrated area development is growing, and a more integrated planning approach is emerging. Compared to spatial projects of the past decade, the current integrated area development projects are broader, more integrated and more collaborative. However, the therefore required integrated, and more implementation-led and development-led, approach is still in its infancy. Although recent planning literature pays much of attention to planning approaches that consider the interaction process between the various stakeholders as a way strategically dealing with complex spatial problems, a strategic planning approach for integrated area development projects, and in particular those in a public-sector-dominated setting, is lacking. By developing a process design for strategic plan development in integrated area development projects, the contribution of this thesis is twofold: 1) it contributes to the development of a more strategic and integrated planning approach; and 2) it offers practitioners in integrated area development an outline of an appropriate strategic planning approach.

In this design-based research, a conceptual 'Integrated Area Development & Management' (IADM) approach has been developed based on extensive explorative research and insights from strategic plan development for integrated area development projects. This IADM approach was designed by adopting the reflective cycle (Andriessen, 2004; Van Aken, 2004), also called the intervention cycle, and thus involved carrying out the four steps: 'diagnosing the actual problem', 'designing a method', 'planning and implementing interventions' and 'reflecting on the results'. The design knowledge was based on eight interviews with academic and professional experts, a framework of analysis based on a literature study, two in-depth case studies including longitudinal observations, 21 stakeholder interviews and document analyses, and interventions in a third case study.

To diagnose the actual problem, first, an initial problem exploration was carried out based on previous research, planning literature and reports, and eight pilot interviews with academic and professional experts. To ease the readability, this initial problem exploration has already been outlined above.

Then, by conducting a literature study in spatial planning theories, insights were provided into the current understanding of strategic plan development. It was concluded that spatial developments are nowadays shaped through the collaboration and interaction of several stakeholders who are mutually dependent. The focus in spatial planning literature is particularly on planning approaches that adopt a stakeholder perspective and focus on the interaction process between the stakeholders. Based on an analysis of three planning

approaches -communicative planning, interactive planning and strategic planning- it was argued that all three could be used to reflect on the process of strategic plan development for integrated area development projects, but that strategic planning was the most appropriate, in particular because of the attention given to power positions, interactions, contextual factors and implementation. For these reasons, it was argued that strategic planning theory should be used in this thesis. Strategic planning amounts to a disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation (or other entity) is, what it does, and why it does it (Bryson, 2004).

Subsequently, two analysis frameworks were developed. The first analysis framework was developed to describe plan development in general, and includes the three basic characteristics, namely 'stakeholders', 'interaction process' and 'context'. As a fourth element, perceived performance was included in order to be able to evaluate the plan development and deduce design knowledge from the case analyses. A second analysis framework was developed to describe to what extent the plan development is strategic. For this purpose, the ten elements of the strategic planning process model of Bryson (2004) were used since this model is specified for the public sector. The elements are 'initial agreement', 'mandates', 'mission', 'external and internal environments', 'strategic issues', 'strategy formulation', 'strategy and plan review and adoption', 'vision of success', 'implementation' and 'strategy and planning process reassessment'.

Finally, by carrying out two in-depth case studies, insights were gained into how the plan development process of an integrated area development project evolves in practice, how the stakeholders perceive its performance and to what extent the plan development is strategic. For this purpose, two projects -IJsselsprong in Zutphen en IJsseldelta Zuid in Kampen- were analysed intensively over one year each. The integrated area development projects showed substantial similarities in the process of plan development and in conducting strategic activities. In both cases, a network of interdependent stakeholders were involved which, by definition, meant that collaborative efforts by multiple stakeholders were needed. These stakeholders had various interrelated goals in a specific geographic area and could only realise their own goals and interests through collaboration and joint inputs of resources. The stakeholders were willing to accomplish such extensive collaborative efforts because they believed that cooperation was the only way to solve their spatial issues and felt a sense of urgency in solving these issues. However, the complexity of the integrated area development projects, and the many interrelationships within each project, made it hard to grasp the general implications of each project. This led to a long initial stage of exploring the collaborative advantage and determining what the joint project could lead to before stakeholders were willing to formally agree to a strategic planning effort and show commitment to the project. To structure and facilitate discussions about the complex issues and the various interpretations of these issues by several stakeholders, and to guide the strategic project decisions through the political decision-making process, strong leadership by a project leader and political representatives was vital. Further, the plan development process

was in each case dominated by legal procedures and other externally imposed mandates. Moreover, given the dynamic nature of plan development, with political decision-making and many external factors influencing it, plan development occurred in a highly iterative manner. Overall, the major elements of the plan development in the analysed cases correspond in essence to the strategic elements proposed by Bryson (2004). However, the findings do indicate a clear need to reorganise the strategic elements, to add some extra activities and to adjust the strategic planning process model for a collaborative and public-sector-dominated setting. The eight identified key aspects in designing a strategic plan development approach are:

- Collaborative efforts of multiple stakeholders;
- Sense of urgency;
- Commitment;
- Long initial stage;
- Strong leadership;
- The many external factors that influence plan development;
- Strongly iterative plan development; and
- The many externally-imposed mandates that need to be satisfied.

The second step of the reflective cycle is to design a method. Based on the extensive explorative research component, a conceptual Integrated Area Development & Management (IADM) approach has been developed. This IADM approach is an interactive and action-oriented strategy for the collaborative plan development of integrated area development projects. The IADM approach is split into two components. The first component covers twelve IADM process steps that outline an appropriate strategic planning process for a joint integrated area development project, see Figure SE.1. The basis of these IADM process steps is the strategic planning process model of Bryson (2004). The major redesigns to Bryson's strategic planning process steps leading to the IADM process steps (component 1) include:

- Adding a strategic step to carry out a network analysis (IADM step 2);
- Transforming the activities into joint activities (IADM steps 1 - 12);
- Modifying the 'initial agreement' step into a looser 'initiative' step (IADM step 1);
- Specifying the strategic element 'external environment analysis' (IADM step 5);
- Rescheduling the strategic activities in a more iterative form (IADM steps 2 - 7); and
- Specifying the strategic element 'mandates' (IADM step 3).

The second component adds the IADM guidelines. This component is an addition to the strategic planning process model. The guidelines cover three factors that are important throughout the entire planning process, not just in a single step. These factors are dynamic, and therefore need continuous nursing and maintenance. As such, they are not included in the IADM process steps but form an additional component to the IADM approach. These

dynamic factors, that stakeholders should take into account and stimulate, cover a sense of urgency, commitment and strong leadership.

Finally, to complete the reflective cycle, interventions were implemented and, based on those interventions, the results were reflected upon. Since it was impossible to test the IADM approach in a laboratory or practical experiment, a quasi-experiment was executed in the form of a third case study. As such, a workshop was organised in the Avenue2 project in ‘s Hertogenbosch to analyse whether the conceptual IADM approach was user-friendly in practice. Based on these interventions, there were no indications of failure in the IADM approach and it was therefore argued that the conceptual IADM approach could be used in practice.

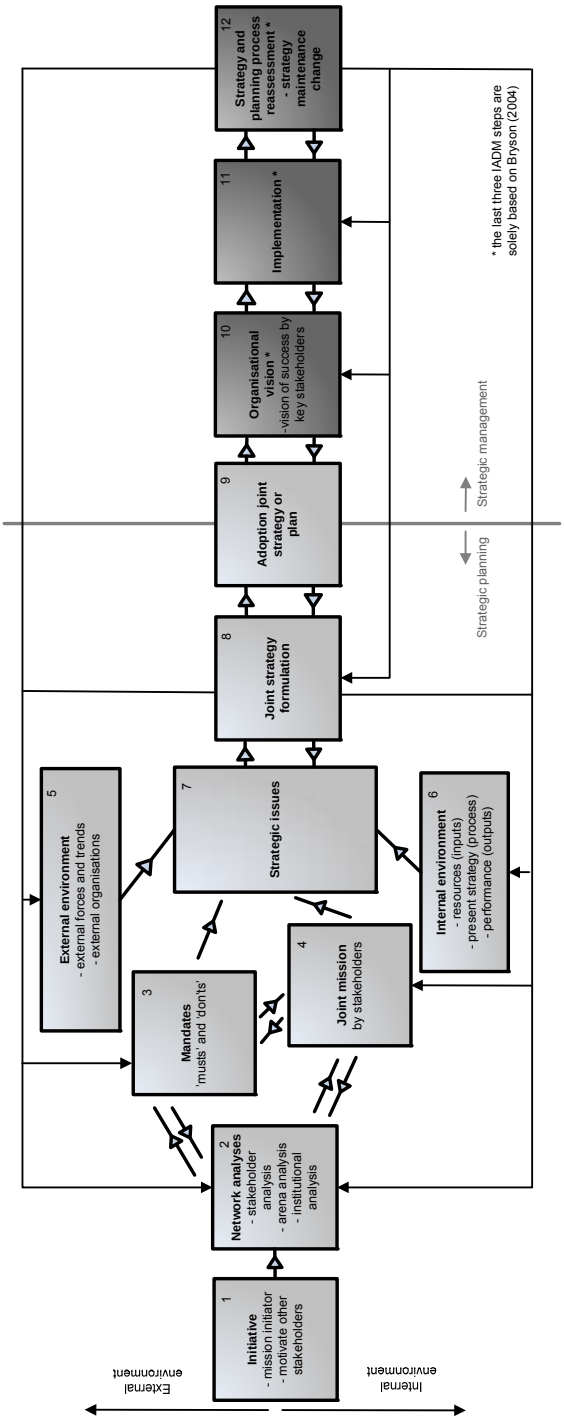


Figure SE.1: the IADM process steps

Samenvatting

De afgelopen jaren is het in toenemende mate duidelijk geworden dat ruimtelijke doelen niet meer afzonderlijk zouden moeten worden benaderd, maar in samenhang met andere ruimtelijke doelen. Dit heeft geresulteerd in een sterk toegenomen interesse in integrale gebiedsontwikkeling en de opkomst van een meer geïntegreerde planningsbenadering. In vergelijking tot veel ruimtelijke plannen van de afgelopen decennia, zijn de huidige integrale gebiedsontwikkelingsprojecten meeromvattend, meer geïntegreerd en sterker op samenwerking gericht. Echter, de daarvoor benodigde integrale, en meer ontwikkelings- en uitvoeringsgerichte aanpak staat nog in de kinderschoenen. Ook al besteed de huidige planningsliteratuur veel aandacht aan planningsbenaderingen die het interactieproces tussen de diverse actoren als een strategische manier beschouwen om met complexe, ruimtelijke kwesties om te gaan, ontbreekt vooralsnog een strategische planningsbenadering voor integrale gebiedsontwikkelingsprojecten, en in het bijzonder een geschikte benadering voor een setting waarin de overheid een dominante rol speelt. Door een procesontwerp voor strategische planvorming in integrale gebiedsontwikkelingsprojecten te ontwikkelen, is de bijdrage van dit proefschrift tweeërlei: 1) bijdragen aan de ontwikkeling van een strategischere en meer geïntegreerde planningsbenadering; en 2) projectleiders in integrale gebiedsontwikkelingsprojecten een opzet bieden voor een strategische planningsbenadering.

Op basis van uitgebreid exploratief onderzoek naar strategische planningsbenaderingen voor integrale gebiedsontwikkelingsprojecten is in dit ontwerp-georienteerde onderzoek een conceptueel `Integrale Gebiedsontwikkeling & Management' (IADM) aanpak ontwikkeld. Deze IADM aanpak is ontworpen volgens de reflectieve cyclus (Andriessen, 2004; Van Aken, 2004); ook wel de interventiecyclus genoemd. De vier te doorlopen stappen in de reflectieve cyclus zijn: `probleemverkenning', `het ontwerpen van een methode', `het plannen en uitvoeren van een ingreep' en `het evalueren van de ingreep'. De IADM aanpak is ontworpen op basis van acht interviews met academische en professionele deskundigen, een uitgebreide literatuurstudie, twee intensieve case studies inclusief langdurige proces-observaties, 21 interviews en document analyse, en een workshop in een derde case studie.

Om het daadwerkelijke probleem in beeld te brengen is allereerst een initiële probleemverkenning uitgevoerd gebaseerd op eerder onderzoek, planningsliteratuur en -rapporten en acht pilot interviews met academische en professionele deskundigen. Vanwege de leesbaarheid is de initiële probleemverkenning reeds hierboven geschetst.

Daarna is een uitgebreide literatuurstudie naar ruimtelijke planningsbenaderingen uitgevoerd om inzicht te krijgen in de bestaande kennis over strategische planvorming in relatie tot integrale gebiedsontwikkeling. Daaruit is geconcludeerd dat tegenwoordig het samenwerken van, en de interactie tussen, diverse onderling afhankelijk actoren een van de

belangrijkste elementen in de ruimtelijke planvorming is. De nadruk in de ruimtelijke planningsliteratuur ligt met name op planningsbenaderingen met een actorperspectief en aandacht voor het interactieproces tussen de actoren. Op basis van analyse van drie planningsbenaderingen -communicatieve planning, interactieve planning en strategische planning- is beargumenteerd dat alle drie de benaderingen bruikbaar zijn om strategische planvorming in integrale gebiedsontwikkelingsprojecten te analyseren, maar dat 'strategische planning' de meest geschikte theorie was, vooral vanwege de aandacht die aan machtsposities, interactie, contextuele factoren en implementatie wordt gegeven. Daarom is in dit proefschrift gekozen om de strategische planningstheorie als uitgangspunt te nemen. Strategische planning is '*a disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation (or other entity) is, what it does, and why it does it'* (Bryson, 2004).

Vervolgens zijn een tweetal analysekaders ontwikkeld. Het eerste analysekader is bedoeld om planvorming in het algemeen te beschrijven en bevat drie basiskenmerken, namelijk `actoren', `interactieprocessen en `context'. Als vierde element, is de 'door de actoren ervaren prestatie' (*perceived performance*) toegevoegd om de planvorming te kunnen evalueren en ontwerpkennis te kunnen ontlenen uit de case analyses. Een tweede analysekader werd ontwikkeld om te kunnen beschrijven in welke mate de geanalyseerde planvorming strategisch is. Hiervoor zijn de tien stappen in het strategische planningsmodel van Bryson (2004) gebruikt omdat dit model rekening houdt met de karakteristieken van de publieke sector. De tien stappen zijn `initiële overeenstemming, `mandaten', `missie', `externe en interne omgeving, `strategische kwestie', `strategieformulering', 'beoordeling van en instemming in een strategie of plan', 'visie van succes', `implementatie' en 'evaluatie van de strategie en planvorming'.

Tot slot zijn twee uitgebreide case-analyses uitgevoerd waarin inzicht is ontwikkeld in het verloop van de planvorming in integrale gebiedsontwikkelingsprojecten in de praktijk, hoe de actoren de prestaties ervaren en in welke mate de planvorming strategisch is. Hiervoor werden twee projecten -IJsselsprong in Zutphen en IJsseldelta Zuid in Kampen- gedurende meer dan een jaar intensief geanalyseerd. Beide integrale gebiedsontwikkelingsprojecten vertonen aanzienlijk overeenkomsten in de planvorming en in de uitvoering van strategische activiteiten. In beide cases was een netwerk van onderling afhankelijke actoren betrokken, hetgeen per definitie betekende dat samenwerking tussen meerdere actoren nodig was. Deze actoren hadden diverse, aan elkaar gerelateerde doelstellingen in een specifiek gebied en waren alleen in staat om hun eigen doelen en belangen te realiseren door samenwerking en gezamenlijke inzet van middelen. In beide projecten waren de actoren bereid om intensief samen te werken omdat zij er van overtuigd waren dat samenwerking de enige manier was om de diverse individuele ruimtelijke kwesties op te lossen en omdat zij urgentie ervaarde om deze kwesties op te lossen. Echter, de complexiteit van de integrale gebiedsontwikkelings-projecten en de vele onderlinge verbanden binnen elk project, maakt het moeilijk voor de actoren om de implicaties van het project te overzien. Dit leidde tot een lange eerste fase

waarin het voordeel om samen te werken werd verkend en werd bepaald waar het gezamenlijke project toe zou kunnen leiden alvorens de actoren formeel bereid waren om strategische inspanningen te doen en 'commitment' aan het project te tonen. Om de discussies over de complexe kwesties en de diverse interpretaties van deze kwesties door de diverse actoren te structureren en te faciliteren, en om de strategische projectbesluiten door de politieke besluitvorming heen te leiden, was sterk leiderschap van de projectleider en politieke vertegenwoordigers nodig. Verder werd in beide cases de planvorming overheerst door wettelijke procedures en andere opgelegde mandaten. Daarnaast vond de planvorming op een sterk iteratieve manier plaatst vanwege de dynamische aard van de planvorming, met haar politieke manier van besluitvorming en de vele externe factoren die de planvorming beïnvloeden. In essentie kwamen de belangrijkste elementen in de planvorming van de geanalyseerde projecten overeen met de strategische elementen zoals deze door Bryson (2004) zijn voorgesteld. De bevindingen duiden echter op een behoefte om de strategische elementen opnieuw te rangschikken, sommige activiteiten toe te voegen en om het strategische planvormingsmodel aan te passen aan een meer samenwerkingsgerichte en publieke-sector-gedomineerde setting. De acht belangrijkste geïdentificeerde aspecten voor het ontwerpen van een strategische planvormingsmodel zijn:

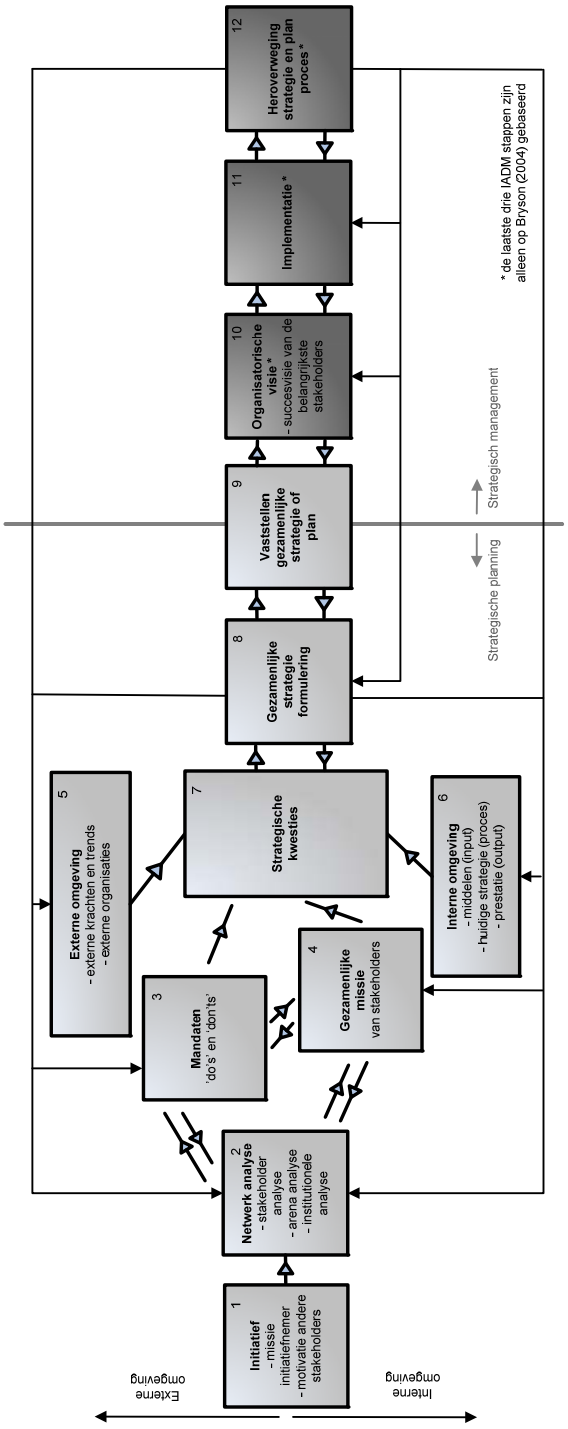
- Samenwerking van meerdere actoren;
- Gevoel van urgentie;
- Commitment;
- Lange initiële verkenningfase;
- Sterk leidershap;
- Vele externe factoren die de planvorming beïnvloeden;
- Sterk iteratieve planvorming; en
- Vele, van buitenaf opgelegde mandaten waaraan moet worden voldaan.

De tweede stap van de reflectieve cyclus is het ontwerpen van een methode. Op basis van een uitgebreid exploratief onderzoek is een conceptueel 'Integrale Gebiedsontwikkeling & Management' (IADM) aanpak ontwikkeld. Deze IADM aanpak is een interactieve en actie-geörienteerde strategie voor de gezamenlijke planvorming van integrale gebiedsontwikkelingsprojecten. De IADM aanpak is opgedeeld in twee componenten. De eerste component beschrijft twaalf IADM processtappen om tot een strategisch planningsproces voor een gezamenlijk integraal gebiedsontwikkelingsproject te komen, zie Figuur SE.1. Deze IADM processtappen zijn gebaseerd op het strategische planningsmodel van Bryson (2004). De belangrijkste herontwerpen aan Bryson's strategische planningsmodel die tot de IADM processtappen (component 1) hebben geleid zijn:

- Het toevoegen van de strategische stap ‘netwerkanalyse’ (IADM stap 2);
- Het aanpassen van diverse activiteiten in gezamenlijke activiteiten (IADM stappen 1 - 12);
- Het vervangen van de stap ‘initiële overeenkomst’ in het algemenere ‘initiatief’ (IADM stap 1);
- Het specificeren van het strategische element ‘externe omgevingsanalyse’ (IADM stap 5);
- Het herorganiseren van de strategische activiteiten in een meer iteratieve vorm (IADM stappen 2 - 7); en
- Het specificeren van het strategische element ‘mandaten’ (IADM stap 3).

De tweede component bevat de IADM richtlijnen en betreft een nieuw onderdeel. De IADM richtlijnen zijn opgedeeld in drie factoren die van belang zijn gedurende de hele planvorming en niet alleen tijdens één enkele stap. De drie factoren zijn dynamisch en vergen daarom constante aandacht. Om die reden zijn de factoren dan ook niet inbegrepen in de IADM processtappen, maar vormen een extra component in de IADM aanpak. De dynamische factoren die de actoren in acht zouden moeten houden en kunnen bevorderen zijn ‘gevoel van urgentie’, ‘commitment’ en ‘sterk leiderschap’.

Tot slot zijn op basis van de ontworpen IADM aanpak ingrepen uitgevoerd en zijn deze ingrepen geëvalueerd om zo de reflectieve cyclus te voltooien. Aangezien het niet mogelijk was om de IADM aanpak in een laboratorium of een praktisch experiment te testen, werd een quasi-experiment uitgevoerd in de vorm van een derde case analyse. Hiervoor werd een workshop in het Avenue2 project in ‘s Hertogenbosch georganiseerd om te analyseren of de conceptuele IADM aanpak in praktijk bruikbaar is. Op basis van de ingrepen waren er geen aanwijzingen dat de IADM aanpak faalde en daarom wordt gesteld dat de conceptuele IADM aanpak in de praktijk te gebruiken is.



Figuur SN.1: de IADM proces stappen

List of abbreviations

BOR	Upper Rivers Steering Committee [*Stuurgroep Bovenrivieren]*
CPB	Netherlands Bureau for Economic Policy Analysis [*Centraal Planbureau*]
EIA	Environmental Impact Assessment [*BesluitMER*]
GOTIK	Management method based on the elements finances, organisation, time, information and quality
IOR	Interorganisational relationship
LNV	Ministry of Agriculture, Nature and Food Quality [*Ministerie van Landbouw, Natuur en Voedselkwaliteit*]
MIRT	National Programme Infrastructure, Space and Transport [*Meerjaren-programma Infrastructuur, Ruimte en Transport*]
MKBA	Social Costs Benefits Analysis [*Maatschappelijke Kosten Baten Analyse*]
MEFA	Most Environmentally Favourable Alternative [*Meest Milieuvriendelijke Alternatief - MMA*]
PDR	Programme Direction 'Space for the Rivers' [*Programma Directie Ruimte voor de Rivier'*]
PKB	National Spatial Planning Key Decision 'Space for the Rivers' [*Planologische Kernbeslissing 'Ruimte voor de Rivier'*]
RWS DON	Rijkswaterstaat Direction East Netherlands [*Rijkswaterstaat Directie Oost Nederland*].
SEA	Strategic Environmental Assessment [*PlanMER*]
V&W	Ministry of Transport, Public Works and Water Management [*Ministerie van Verkeer en Waterstaat*]
VROM	Ministry of Housing, Spatial Planning and the Environment [*Ministerie van Volkshuisvesting, Ruimtelijk ordening en Milieubeheer*]
WVG	Preference Law Land Ownership for Municipalities [*Wet Voorkeursrecht Gemeenten*]

About the author

Inge de Kort (1980) is a graduate of the University of Twente (UT) with an MSc degree in Civil Engineering & Management (2003). She specialises in 'Plan Development' and 'Water Management'. In 2002, Inge had an internship at the Ceylon Electricity Board in Sri Lanka where she investigated the possibilities for optimising water use from the Samanala Wewa Reservoir. In 2003, she worked on her Master thesis in the UT's Department of Water Engineering & Management, developing ranking measures in a Decision Support System for flood control in Vietnam's Red River. The results of this technical water research were published in Environmental Modelling & Software (De Kort & Booij, 2007). After graduating, Inge was employed as a researcher in the UT's Department of Construction Management & Engineering. In the first year, she was involved in the national 'Process and System Innovation in Building and Construction' (PSIBouw) research programme, a joint initiative of the construction industry, government and research institutes. She worked on an international survey on reform programmes in the building and construction industry (PSIBouw, 2004). From the second year on, Inge was employed as a PhD researcher. Besides working on her thesis, Inge also taught on the Plan Development and Public Private Governance master courses, and supervised undergraduates. Further, she developed the annual report (2004 - 2005), was involved in organising information days for Civil Engineering (2004 - 2006), was a member of the Faculty Board of Engineering Technology (2005 - 2007), volunteered for two construction projects of Sarvodaya in Sri Lanka (2006) and was a jury member for the Master Award of the Faculty of Engineering Technology (2007). Since October 2008, Inge has been a project leader at the Joint State Development Agency [*Gemeenschappelijk Ontwikkelingsbedrijf - GOB*]. In July 2009, the GOB merged with Domeinen to form the State Property and Development Agency [*Rijksvastgoed- en ontwikkelingsbedrijf - RVOB*]. The Division Development (RVOB/DO), where Inge works for, is part of the Ministry of Finance and has responsibilities linked to the following ministries: 'Defence', 'Economic Affairs', 'Finance', 'Agriculture, Nature and Food Quality', 'Transport, Public Works and Water Management' and 'Housing, Spatial Planning and the Environment'. Currently, Inge works on the integrated area development projects Westflank Haarlemmermeer and the former airfield at Valkenburg. The aim in the Westflank Haarlemmermeer is to develop 10,000 dwellings in combination with a sustainable and innovative water storage facility and the development of recreational space and green areas. At the former Valkenburg airfield, the aim is to develop an attractive residential area of 5,000 dwellings in a green setting.

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Appendix 1: Pilot interviews

At the start of the research, eight interviews were carried out with academic and professional experts in order to achieve insight into the experiences and problems with integrated area development projects in practice. These interviews focussed in particular on the interests in including water management in integrated area development projects and the kind of difficulties involved in this joining up of water management.

A1.1. Open, semi-structured interviews experts

Eight open, semi-structured interviews were held with academic and professional experts to explore the actual problems in integrated area development, and in particular in the joining up of water management. The themes discussed in these interviews were:

- State of affairs of integrated area development in general;
- Barriers in integrated area development projects;
- Interest in including water management in integrated area development projects;
- Current level of the joining up of water management in integrated area development projects; and
- Barriers in including water management in integrated area development projects.

These interviews were held with:

- Mr Fokkema, director Neprom, 17 December 2004;
- Mr Roestenberg, director Bohemen, 17 December 2004;
- Mrs Roghair and Mr. Zeeman, respectively knowledge coordinator water, and senior adviser water at the Department of Rural Affairs, Ministry of Agriculture, Nature and Food Quality, 11 January 2005;
- Mrs Hoogendoorn, managing director strategic projects at ING Real Estate Development, 11 January 2005;
- Mr Smits, associate professor of 'Nature Conservation of Stream Corridors' at the Radboud University, associate professor of 'social-economical aspects of stream corridor usage and management' at the Erasmus University Rotterdam and adviser Rijkswaterstaat Direction East Netherlands (V&W, RWS region east), 21 January 2005;
- Mr De Boer, senior adviser Arcadis, 24 November 2005;
- Mr Beun, staff member Agro InnovationNetwerk, 11 May 2006; and
- Mr Bouma, scientific director Leven met Water and associate professor at the Erasmus University Rotterdam, 23 May 2006.

Appendix 2: IJsselsprong project

Chapter 4 reports the case analysis of the IJsselsprong project, Zutphen. In this appendix the information sources used for this case analysis are reported. First the members of the Steering Committee and the Project Group are listed. Followed by a list of the information sources grouped in three data methods, including observation, interviews and document analysis.

A2.1. Members Steering Committee IJsselsprong

Member	**Organisation**	**Additional information**
Mr Peters	Executive of the province of Gelderland	Chair
Mr Van Oosten	Councillor of the municipality of Zutphen	Vice chair (2006)
Mr Van Muijden	Councillor of the municipality of Voorst	Since Nov. 2006
Mr Van Blommenstein	Councillor of the municipality of Voorst	Until Oct. 2006
Mr Ter Maat	Councillor of the municipality of Brummen	
Mr Verwolf	Dikereef of the Veluwe water board	
Mrs Adema	Representative of the Stedendriehoek	
Mr De Boer	Programme director 'Space for the River', Ministry of Transport, Public Works and Water Management (PDR, V&W)	Since the autumn of 2006
Mr Boel	Account manager, region East, Ministry of Housing, Spatial Planning and the Environment (VROM)	Since the autumn of 2006
Mr Burgering	External	Chair Advisory Board & vice chair (2007)
Mr De Hartog	Advisor province of Gelderland	
Mr Van Dijk	Advisor municipality of Zutphen	Chair Project Group
Mr Groen	Advisor municipality of Zutphen	
Mr Pierey	External project coordinator IJsselsprong	Since Dec. 2006
Mr Van Meel	External project coordinator IJsselsprong	Jul. - Dec. 2006
Mr Konings	External project secretary IJsselsprong	

A2.2. Members Project Group IJsselsprong

Member	**Organisation**	**Additional information**
Mr Van Dijk	Municipality of Zutphen	Chair
Mr Groen	Municipality of Zutphen	
Mr De Hartog	Province of Gelderland	Vice chair
Mr De Groote	Municipality of Brummen	
Mr Broekhuis	On behalf of the municipality of Brummen	Jan - Apr 2007
Mr Meijerink	Municipality of Voorst	2006

Mrs Bijsterveld	Municipality of Voorst	Since Jan. 2007
Mr Van den Boomgaard	Veluwe water board	
Mr Sizoo	Stedendriehoek	
Mr Lambermont	Ministry of Transport, Public Works and Water Management (V&W)	Until Apr. 2007
Mrs Tielen	RWS DON, Ministry of Transport, Public Works and Water Management	Since May 2007
Mr Harms	Ministry of Housing, Spatial Planning and the Environment (VROM)	Since May 2007
Mrs Hermsen	Municipality of Zutphen	Since Jan 2007
Mrs van Hulsbergen	Stedendriehoek	2006
Mrs McDonald	Municipality of Zutphen	Until Sep 2006
Mr Pierey	External project coordinator IJsselsprong	Since Dec. 2006
Mr Van Meel	External project coordinator IJsselsprong	Jul. - Dec. 2006
Mr Konings	External project secretary IJsselsprong	

A2.3. Observations

In the period June 2006 - July 2007 the project meetings of the Steering Committee, the Project Group and some other related meetings to the IJsselsprong project were observed and its meeting documents were analysed. The observed meetings include:

Steering Committee IJsselsprong

30 August 2006	10 January 2007	5 April 2007
20 September 2006	8 February 2007	10 May 2007
29 November 2006	8 March 2007	

Project Group IJsselsprong

13 June 2006	5 December 2006	21 February 2007
13 September 2006	4 January 2007	1 March 2007
19 October 2006	10 January 2007	20 March 2007
7 November 2006	1 February 2007	3 May 2007
21 November 2006	15 February 2007	

Other meetings

20 September 2006	Information meeting for the municipality councils of Brummen, Voorst and Zutphen, provincial council Gelderland and water board council Veluwe
1 November 2006	Information meeting for citizen of Brummen, Voorst and Zutphen
22 November 2006	Analysis meeting of the three 'citizen consultations' in Brummen, Voorst and Zutphen

7 June 2007	Information meeting for citizen of IJsselsprong plan area
17 October 2007	Information meeting for citizen of Brummen, Voorst and Zutphen

A2.4. Interviews

Interviews were held with all members of the Steering Committee IJsselsprong:

- Mr Ter Maat, councillor municipality of Brummen, 30 May 2007;
- Mr Van Oosten, councillor municipality of Zutphen, 31 May 2007;
- Mr Van Muijden, councillor municipality of Voorst, 31 May 2007;
- Mr Verwolf, dikereef of the Veluwe water board, 5 June 2007;
- Mrs Adema, representative Stedendriehoek, 2 July 2007;
- Mr De Hartog, project leader 'Space for the River', province of Gelderland, 6 July 2007;
- Mr De Boer, programme director 'Space for the River', Ministry of Transport, Public Works and Water Management, 11 July 2007;
- Mr Boel, account manager region East, Ministry of Housing, Spatial Planning and the Environment, 12 July 2007; and
- Mr Pierey, project coordinator IJsselsprong, 24 July 2007.

A2.5. Document analysis

Analysis of meeting documents

The following meetings were not attended, but the meeting document were analysed

Steering Committee

15 May 2006	19 April 2007	5 July 2007
29 June 2006	7 June 2007	19 July 2007

Project Group

30 May 2006	19 April 2007	
27 July 2006	31 May 2007	

Other meetings

8 June 2007	Visit and advise of the Quality team of the Ministry of Transport, Public Works and Water Management (V&W)

Analysed project reports

AT Osborne (2006) *Aanbieding opstellen aanbestedingsdocumenten IJsselsprong Brummen-Voorst-Zutphen).* Utrecht.

AT Osborne (2006) *Marktbenaderingsstrategie IJsselsprong*, second concept, 27 December 2006

AT Osborne (2007), *Verdiepingsslag marktbenadering*, 16 February 2007
Oranjewoud (2007), *Plan-m.e.r. IJsselsprong, Notitie Reikwijdte en Detailniveau*, projectnr. 1907-172893, concept, 11 July 2007
Roosemalen en Savelkoul (2007), *IJsselsprong Zutphen, Financiële verkenning blauw, groen, grijs en rood,* February 2007
Stuurgroep IJsselsprong (2007), *Samenwerkingsovereenkomst project De IJsselsprong*, concept, 30 May 2007
Stuurgroep IJsselsprong (2006), *De Kwaliteitssprong*, March 2006, Zutphen
Stuurgroep IJsselsprong (2006), *Plan van Aanpak in hoofdlijnen, Structuurvisie IJsselsprong (inclusief plan hoogwatergeul),* June 2006
Stuurgroep IJsselsprong (2007), *Participatierapport: Peiling naar de mening van betrokkenen over de gemaakte plannen met betrekking tot de IJsselsprong*, concept, July 2007
Stuurgroep IJsselsprong (2007), *Programma van Eisen IGSV IJsselsprong, Ambitie met realisme*, 11 January 2007
Stuurgroep IJsselsprong (2007), *Bouwstenen Nota voor de structuurvisie IJsselsprong*, October 2007

Analysed policies and legislation

Arcadis (2005) *Milieurapport voorontwerp regional structuurvisie Stedendriehoek*, June 2005
BRO (2006), *Ruimtelijke ontwikkelingsvisie 'Ligt op Groen!'*, 28 September 2006.
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CDA, PVDA & Christenunie (2007), *Gelders coalitieakkoord 2007 - 2011, Gelderland maakt het verschil*, 6 April 2007.
Ecorys (2006), *Netwerkanalyse Stedendriehoek, Verkenning voor de periode 2010 - 2020*, Rotterdam, 11 juli 2006.
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Appendix 3: Stakeholders characteristics IJsselsprong

Table A3.1A: Stakeholder goals as assessed in spring 2007

Stakeholder	Goals				
	Real estate goals	**Water goals**	**Environmental goals**	**Infrastructural goals**	**Other goals**
Province of Gelderland	Housing construction according to the regional obligations; the IJsselsprong area is a major regional urban extension for 3,000 houses	Provide robust, long-term flood protection	Implement an ecological connection (EHS) between the Veluwe nature reserve and the River IJssel before 2018	Solve current infrastructure problems: improve the traffic flow through the district of De Hoven over the northern bridge to the city centre; stop exceeding noise and air quality norms near the N345 road in Zutphen	Use an integrated project approach to coordinate the multiple land use functions and improve spatial quality Lead the IJsselsprong project and strengthen the regional government's position
Municipality of Zutphen	Construct 3,000 houses of which 1,300 before 2020 and the rest before 2030	Avoid the nationally prescribed spatial reservation area for a bypass in the IJsselsprong area	Environmental development is an opportunity	Solve the north-south traffic problems on the N345 Zutphen-Apeldoorn and the N348 Arnhem-Zutphen-Deventer roads	Solving all the spatial problems at a high level at once is a challenge
Municipality of Brummen	-	Avoid the large dike resiting in Cortenoever	Preserve the agricultural area Develop a robust ecological zone between Brummen and Zutphen De Hoven	Reduce the nuisance of traffic short cuts in Brummen's northern rural area	-
Municipality of Voorst	-	Avoid the dike resiting in the Voorsterklei	Adopt compensating environmental measures for spatial developments Consider the Beekse Poort ecological area in spatial developments	Solve the N345 traffic problems on a regional scale; the N345 cuts the village of Voorst in two and causes traffic, safety and liveability problems	Preserve or strengthen the agricultural - historical landscape

Table A3.1B: Stakeholder goals as assessed in spring 2007 (continued)

Stakeholder	Goals				
	Real estate goals	**Water goals**	**Environmental goals**	**Infrastructural goals**	**Other goals**
Veluwe Water Board	Real estate developments have to comply with Water Assessments [*watertoets*]	Flood protection for a water discharge rate of 16,000 m³/s at Lobith in 2015	Carry out essential modifications to the water system justified by ecology and landscape concerns; (prevent outflow or drainage)	Infrastructural developments have to comply with Water Assessments [*watertoets*]	Develop a robust solution
Steden-driehoek	Ensure the project meets the regional house construction obligations	Ensure flood protection norms are achieved in a regionally accepted manner	-	-	Develop the IJsselsprong area coherently and increase its spatial quality
V&W	-	Provide flood protection; take measures to safely discharge 16,000 m³/s from the Rhine river basin in 2015	-	-	Attempt to improve the spatial quality
VROM	Develop a high-quality residential area in the IJsselsprong area - an auspicious urban ex-pansion location in the Stedendriehoek area	Support the PKB flood protection objective	-	-	Develop spatial quality and added value (spatial and process) by integrating and coordinating multiple spatial developments in the IJsselsprong area

Table A3.2A: Resources according to the stakeholders as assessed in spring 2007

Stakeholder	Resources				
	Authority	**Finances**	**Land ownership**	**Specific knowledge& skills**	**Other resources**
Province of Gelderland	Regional public authority	€ 100,000 (2006) € 850,000 (2007) € 0 (2008) * All the provincial contribution comes through the 'Regional Implementation Program Stedendriehoek' (RUPs)	-	Regional knowledge about the area	Nomination of the IJssel-sprong project as a 'key project' in the Coalition Agreement Gelderland 2007 – 2011: ▪ Allocation of €50 million for 8 'key projects' (2007–2011); ▪ Allocation of € 70 m for 8 'key projects' in following 2 administrative periods; ▪ Nomination of N345 Voorst – Zutphen de Hoven as bottleneck
				Databases on groundwater and soil quality	
		The provincial executive proposed that the provincial council should allocate € 3 million for agricultural structural strengthening in the IJsselsprong project and € 1.5 m for buying land and the realisation of public-private partnerships (PPP)			Local, regional and national network / lobby
Municipality of Zutphen	Local public authority	40% of the local part of the plan development costs: * € 42,000 (2006) € 0 (2007) € 166,000 (2008)	-	Local knowledge about the area	Communication adviser
				Propagate a clear and consistent vision	Local and regional network / lobby
Municipality of Brummen	Local public authority	30% of the local part of the plan development costs: * € 31,500 (2006) € 0 (2007) € 125,000 (2008)	-	Local knowledge about the area	Local and regional network

Table A3.2B: Resources according to the stakeholders as assessed in spring 2007 (continued)

Stakeholder	Resources				
	Authority	**Finances**	**Land ownership**	**Specific knowledge& skills**	**Other resources**
Municipality of Voorst	Local public authority	20% of the local part of the plan development costs: * € 21,000 (2006) € 0 (2007) € 83,000 (2008)	-	Local knowledge about the area Civil servant with background in hydraulics	Local and regional network Availability of possible relocations for cultivation under glass
Veluwe Water Board	Local public authority	10% of the local part of the plan development costs: * € 10,500 (2006) € 0 (2007) € 42,000 (2008)	In general: owner of dikes incl. adjoining land. Owner of some water streams and some small nature reserves	Water expertise Knowledge & databases of water streams, levels, qualities Recalculation of flood protection measures by a hydrologist	Local, regional and national network / lobby
Steden-driehoek	No direct authority: cooperation	Only indirect: the RUPS contribution is the provincial contribution	-	-	Local, regional and national network / lobby
V&W	National public authority	- (as long as no 'exchange decision' has been taken)	-	Water expertise Water models and databases (computer programmes and calculations)	Assistance of the Quality Team Process experience and facilitating activities Local, regional and national network
VROM	National public authority	Allocation of €1 billion for the 23 National Spatial Strategy projects together for the period 2011-2014	-	Public private partnership (PPP) expertise Spatial design expertise Land policy expertise	Process experience and facilitating activities Nomination of the IJssel-sprong as National Spatial Strategy project Local, regional and national network

* The plan development costs for the period 2006-2008 (until the 'exchange decision') are estimated at €1.5 million (Stuurgroep IJsselsprong, 2006). The province of Gelderland agreed to contribute €950,000 in total for 2006-2008 (Provinciale Staten Gelderland, 2006). The municipalities of Zutphen, Brummen and Voorst and the Veluwe water board agreed to finance the remaining costs according to an agreed division (as agreed in November 2006)

Table A3.3A: Dependencies (perception according to stakeholders as assessed in the spring of 2007, interdependency based on observation)

Stakeholder	Dependency	
	Perceptions dependency	**Interdependency**
Province of Gelderland (GE)	As long as the (regional) stakeholders cooperate, we can strengthen each other.	Authority: GE can develop its own policies and plans, but only within the policy frame of the national government ▪ The national government needs to make an 'exchange decision', before GE is able to fulfil its spatial goals
		Finances: GE is not able to finance the implementation of all its IJsselsprong goals by itself and thus depends on financial support from V&W, VROM, BR, VO, ZU and VE, subsidies, project optimalisations to save money and/ or financial constructions with private parties ▪ GE contributed ± ⅔ of the plan development costs to the RUPs (Stedendriehoek). The rest comes from the other regional stakeholders: ZU, BR, VO and VE in the ratio 4:3:2:1 (based on project interests)
		Land ownership: -
		Specific knowledge & skills: ▪ V&W & VROM provide GE with information over nat. decision-making and BR, VO, ZU & ST over local decision-making ▪ V&W, RWS DON, GE and VE each have specific water data, models and expertise
		Goals: The project vision & strategy should be coordinated with BR, VO, VE, GE, ST, V&W and VROM to achieve commitment & added value. Spatial & political coordination is essential to gain political & financial support for the implementation ▪ VROM, ST and ZU designated the IJsselsprong area for urban expansion and laid this down in legally binding plans ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area) ▪ GE, BR and VO aim to develop an ecological zone. ZU sees this as an opportunity Partial project development reduces the coherence and the spatial quality and optimalisation opportunities
Municipality of Zutphen (ZU)	The regional stakeholders should cooperate to develop a coherent reg. alternative. Finally the national government	Authority: ZU can develop its own policies and plans, but only within the policy frame of GE and the national government ▪ The national government needs to make an 'exchange decision', before ZU is able to fulfil its spatial goals
		Finances: ZU is not able to finance the implementation of all its IJsselsprong goals by itself and thus depends on financial support from GE, ST, V&W, VROM, BR, VO and VE, subsidies, project optimalisations to save money and/ or financial constructions with private parties ▪ GE contributed ± ⅔ of the plan development costs to the RUPs (Stedendriehoek). The rest comes from the other regional stakeholders: ZU, BR, VO and VE in the ratio 4:3:2:1 (based on project interests)
		Land ownership: -
		Specific knowledge & skills: ▪ V&W and VROM provide ZU with information over national decision-making, and GE over regional decision-making

Table A3.3B: Dependencies (perception according to stakeholders as assessed in the spring of 2007, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perception dependency	**Interdependency**
Municipality of Zutphen (ZU)	decides if the prescribed water safety measures will be 'exchanged' into the reg. alternative.	Goals: The project vision & strategy has to be coordinated with BR, VO, VE, GE, ST, V&W and VROM to achieve commitment & added value. Spatial & political coordination is essential to gain political & financial support for the implementation ▪ VROM, GE and ST designated the IJsselsprong area for urban expansion and laid this down in legally binding plans ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area) ▪ BR, VO and ZU depend on GE for the regional infrastructure (budget and plan) ▪ GE, BR and VO aim to develop an ecological zone. ZU sees this as an opportunity ▪ Partial project development reduces the coherence and the spatial quality and optimalisation opportunities
Municipality of Brummen (BR)	The three municipalities have a joint interest in developing a long term regional alternative and therefore can involve the province, the water board and national government bodies	Authority: BR can develop its own policies and plans, but only within the policy frame of GE and the national government ▪ The national government needs to make an 'exchange decision', before BR is able to fulfil its spatial goals
		Finances: BR is not able to finance the implementation of all its IJsselsprong goals by itself and thus depends on financial support from GE, ST, V&W, VROM, VO, ZU and VE, subsidies, project optimalisations to save money and/ or financial constructions with private parties ▪ GE contributed ± ⅔ of the plan development costs to the RUPs (Stedendriehoek). The rest comes from the other regional stakeholders: ZU, BR, VO and VE in the ratio 4:3:2:1 (based on project interests)
		Land ownership: -
		Specific knowledge & skills: ▪ V&W and VROM provide BR with information over national decision-making and GE over regional decision-making
		Goals: The project vision & strategy should be coordinated with VO, ZU, VE, GE, ST, V&W and VROM to achieve commitment & added value. Spatial & political coordination are essential to gain political & financial support for the implementation ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area) ▪ BR, VO and ZU depend on GE for the regional infrastructure (budget and plan) ▪ GE, BR and VO aim to develop an ecological zone. ZU sees this as an opportunity ▪ Partial project development reduces the coherence and the spatial quality and optimalisation opportunities
Municipality of Voorst (VO)	We have to cooperate to gain support	Authority: VO can develop its own policies and plans, but only within the policy frame of GE and the national government ▪ the national government needs to make an 'exchange decision', before VO is able to fulfil its spatial goals

Table A3.3C: Dependencies (perception according to stakeholders as assessed in the spring of 2007, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
Municipality of Voorst (VO)	and sufficient funding for a joint regional alternative	Finances: VO is not able to finance the implementation of all its IJsselsprong goals by itself and thus depends on financial support from GE, ST, V&W, VROM, BR, ZU and VE, subsidies, project optimalisations to save money and/ or financial constructions with private parties ▪ GE contributed ± ⅔ of the plan development costs to the RUPs (Stedendriehoek). The rest comes from the other regional stakeholders: ZU, BR, VO and VE in the ratio 4:3:2:1 (based on project interests)
		Land ownership: -
		Specific knowledge & skills: ▪ V&W and VROM provide VO with information over national decision-making and GE over regional decision-making
		Goals: The project vision & strategy should be coordinated with BR, ZU, VE, GE, ST, V&W and VROM to achieve commitment & added value. Spatial & political coordination are essential to gain political & financial support for the implementation ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area) ▪ BR, VO and ZU depend on GE for the regional infrastructure (budget and plan) ▪ GE, BR and VO aim to develop an ecological zone. ZU sees this as an opportunity ▪ Partial project development reduces the coherence and the spatial quality and optimalisation opportunities
Veluwe Water Board (VE)	All stakeholders should achieve added value. Regional coherence and support is essential for national support that, in turn, is essential for the exchange decision and for funding	Authority: VE can develop its own policies and plans, but only within the policy frame of GE and the national government ▪ GE should approve the Dike Displace and Water Defence Plan
		Finances: VE is not able to finance the flood protection measures by itself. Further, the cheaper PKB measures also fulfil VE's goals. Implementation of the measures depends on financial support from GE and V&W , subsidies and/ or project optimalisations to save money ▪ GE contributed ± ⅔ of the plan development costs to the RUPs (Stedendriehoek). The rest comes from the other regional stakeholders: ZU, BR, VO and VE in the ratio 4:3:2:1 (based on project interests) ▪ VE's budget comes from V&W, GE and water taxes
		Land ownership: Most dikes including adjoining land, some water streams & small nature reserves (no strategic locations)
		Specific knowledge & skills: ▪ V&W, RWS DON, GE and VE each have specific water data, models and expertise ▪ V&W (and VROM) provide VE with information over national decision-making, and GE over regional decision-making
		Goals: The flood protection vision and strategy should be coordinated with BR, VO, ZU, GE, ST, V&W and VROM. ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area)

Table A3.3D: Dependencies (perception according to stakeholders as assessed in the spring of 2007, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
Stedendriehoek (ST)	The Stedendriehoek is a local cooperation; the support of the Stedendriehoek shows regional support to the national government	Authority: the seven municipalities make agreements about regional spatial tasks and budgets. Further, GE uses the cooperation to make deals with all municipalities at once instead of one by one ▪ The national government needs to make an 'exchange decision', before ST is able to fulfil its spatial goals
		Finances: ST is a cooperative structure without private money. ST is not able to finance the implementation of its IJsselsprong goals and thus depends on financial support from GE, V&W, VROM, BR, VO, ZU and VE, subsidies, project optimalisations to save money and/ or financial constructions with private parties ▪ GE contributed ± ⅔ of the plan development costs to the RUPs (Stedendriehoek). The rest comes from the other regional stakeholders: ZU, BR, VO and VE in the ratio 4:3:2:1 (based on project interests)
		Land ownership: -
		Specific knowledge & skills: ▪ ST's participation strengthens the perceived conviction of the regional support for the IJsselsprong project ▪ V&W and VROM provide ST with information over national decision-making, and GE over regional decision-making
		Goals: The project vision & strategy should be coordinated with BR, VO, ZU, VE, GE, V&W and VROM to achieve commitment & added value. Spatial & political coordination are essential to gain political & financial support for the implementation ▪ VROM, GE and ZU designated the IJsselsprong area for urban expansion and laid this down in legally binding plans ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area) ▪ Partial project development reduces the coherence and the spatial quality and optimalisation opportunities
V&W	Regional political and financial support is essential for national support. The ministries provides assistance in	Authority: the national government supervises GE, VE, BR, VO and ZU ▪ The national government needs to make an 'exchange decision' to achieve V&W's goal of improving the spatial quality
		Finances: V&W does not contribute financially because the IJsselsprong project is 'just' a regional alternative to the PKB. A positive 'exchange decision' would imply a different legal position and responsibility for the national government ▪ To increase the spatial quality, V&W depends on project optimalisations to save money, financial support from GE, ST, VROM, BR, VO, ZU and VE, and/ or financial constructions with private parties ▪ Implementing the PKB measures is cheaper than implementing the proposed regional water measures, but the latter achieve better spatial quality. V&W has to negotiate with VROM, GE, VE, BR, VO and ZU about the financial division ▪ The nat. government should accept project responsibility, but V&W and VROM have to negotiate over budget sources
		Land ownership: -

Table A3.3E: Dependencies (perception according to stakeholders as assessed in the spring of 2007, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
V&W	developing the regional alternative (to achieve a sustainable solution and increase the spatial quality)	Specific knowledge & skills: ▪ V&W, RWS DON, GE and VE each have specific water data, models and expertise ▪ V&W has process experience ▪ GE, ST, VE, BR, VO and ZU provide V&W with information over local and regional decision-making
		Goals: The project vision & strategy should be coordinated with BR, VO, ZU, VE, GE, ST and VROM to achieve commitment & added value. Spatial & political coordination are essential to gain political & financial support for the implementation. ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area) ▪ Partial project development reduces the coherence and the spatial quality and optimalisation opportunities
VROM	Reg. political and financial support is essential for nat. support. The ministries provide assistance to develop a sustainable regional alternative and increase the spatial quality, and assess the financial distribution	Authority: the national government supervises GE, VE, BR, VO and ZU ▪ The national government needs to make an 'exchange decision', before VROM is able to fulfil its spatial goals
		Finances: VROM will not finance the implementation of all its IJsselsprong goals by itself and thus depends on financial support from GE, ST, V&W, BR, VO, ZU and VE, project optimalisations to save money and/ or financial constructions with private parties ▪ VROM should accept project responsibility and thus negotiate with V&W, GE, VE, BR, VO and ZU about the financial division ▪ The nat. government should accept project responsibility, but V&W and VROM have to negotiate over budget sources
		Land ownership: -
		Specific knowledge & skills: ▪ VROM has process experience, public private partner expertise and spatial design expertise ▪ GE, ST, VE, BR, VO and ZU provide VROM with information over local and regional decision-making
		Goals: The project vision & strategy should be coordinated with BR, VO, ZU, VE, GE, ST and V&W to achieve commitment & added value. Spatial & political coordination are essential to gain political & financial support for the implementation. ▪ GE, ST and ZU designated the IJsselsprong area for urban expansion and laid this down in legally binding plans ▪ BR, VO, ZU, VE, GE, ST, V&W and VROM all require flood protection, but BR, VO, ZU, GE, ST and VROM prefer measures that fit their own spatial plans (a bypass instead of a large reservation area) ▪ Partial project development reduces the coherence and the spatial quality and optimalisation opportunities

Appendix 4: IJsseldelta Zuid project

Chapter 5 reports the case analysis of the IJsseldelta Zuid project, Kampen. In this appendix the information sources used for this case analysis are reported. First the members of the Steering Committee, the Broad Deliberation and the Project Group are listed. Followed by a list of the information sources grouped in three data methods, including observation, interviews and document analysis.

A4.1. Members Steering Committee IJsseldelta Zuid

Member	**Organisation**	**Additional information**
Mr Rietkerk	Executive of the province of Overijssel	Chair
Mr Boerman	Councillor of the municipality of Kampen	Vice chair
Mr Butterman	Advisor municipality of Kampen	
Mr Dooremolen	Councillor of the municipality of Zwolle	
Mr Schaap	Dikereef of the Groot Salland water board	
Mr Porte	Executive of the Groot Salland water board	
Mrs Bliek-de Jong	Executive of the province of Flevoland	
Mr Koning	Councillor of the municipality of Dronten	
Mr De Boer	Programme director 'Space for the River', Ministry of Transport, Public Works and Water Management (PDR, V&W)	
Mr Brouwer	Representative 'Space for the River', Ministry of Transport, Public Works and Water Management (PDR, V&W)	
Mr Boel	Account manager, region East, Ministry of Housing, Spatial Planning and the Environment (VROM)	
Mr Harms	Representative Ministry of Housing, Spatial Planning and the Environment (VROM)	
Mr Buskens	Project leader IJsseldelta Zuid, province of Overijssel	
Mr Otten	Project secretary IJsseldelta Zuid, province of Overijssel	
Mrs Spoelder	Policy advisor IJsseldelta Zuid, province of Overijssel	
Mrs Voet	Communication advisor IJsseldelta Zuid, province Overijssel of	Since Oct. 2007

A4.2. Members Broad Deliberation IJsseldelta Zuid

The Broad Deliberation IJsseldelta Zuid includes all members of the Steering Committee IJsseldelta Zuid plus the following:

Member	Organisation	Additional information
Mr Jansen	Executive of the province of Overijssel	
Mr De Jonge	Councillor of the municipality of Dronten	
Mr Klein	Councillor of the municipality of Oldebroek	
Mr Wieten	Councillor of the municipality of Kampen	
Mr Winterman	Representative Staatsbosbeheer	

A4.3. Members Project Group IJsseldelta Zuid

Member	Organisation	Additional information
Mr Buskens	Province of Overijssel	Chair
Mr Butterman	Municipality of Kampen	Vice chair
Mr Bijkerk	Water board Groot Salland	
Mr Hasselaar	Province of Flevoland	
Mr Van Duin	Municipality of Dronten	
Mr Ten Cate	RWS DON, Ministry of Transport, Public Works and Water Management (V&W)	
Mr Ekelmans	Staatsbosbeheer	
Mr Zaat	Municipality of Zwolle	
Mr Bij 't Werk	Municipality of Oldebroek	
Mr Brouwer	Ministry of Transport, Public Works and Water Management (V&W)	
Mr Harms	Ministry of Housing, Spatial Planning and the Environment (VROM)	
Mrs Gast	Ministry of Agriculture, Nature and Food Quality (LNV)	
Mr Otten	Province of Overijssel	
Mrs Spoelder	Province of Overijssel	
Mrs Voet	Province of Overijssel	Since Oct. 2007

A4.4. Observations

In the period March 2007 - March 2008 the project meetings of the Steering Committee, the Project Group and two information meeting for citizen were observed and its meeting documents were analysed. The observed meetings include:

Steering Committee IJsseldelta Zuid

19 September 2007	5 December 2007	28 January 2008

Project Group IJsseldelta Zuid

3 April 2007	1 November 2007	21 February 2008
7 June 2007	22 November 2007	20 March 2008
6 September 2007	17 January 2008	

Other meetings

7 May 2007	Information meeting for citizen
19 November 2007	Information meeting for citizen

A4.5. Interviews

Interviews were held with all members of the Steering Committee IJsseldelta Zuid:

- Mr Otten, project secretary IJsseldelta Zuid, province of Overijssel, 17 October 2007;
- Mr Boerman, councillor municipality of Kampen, 31 October 2007;
- Mr Griffioen and Mr. Bijkerk, both representatives at Project Group level, water board Groot Salland, 1 November 2007;
- Mr Brouwers, representative 'Space for the River', Ministry of Transport, Public Works and Water Management, 20 November 2007;
- Mr Harms, representative, Ministry of Housing, Spatial Planning and the Environment, 21 November 2007;
- Mr Hasselaar, project leader 'N23', province of Flevoland, 22 November 2007;
- Mr Konings, councillor municipality of Dronten, 22 November 2007;
- Mr Buskens, project leader IJsseldelta Zuid, province of Overijssel, 5 December 2007;
- Mr Zaat, strategic policy adviser municipality of Zwolle, 11 December 2007;
- Mrs Gast, representative, Ministry of Agriculture, Nature and Food Quality, 14 December 2007;
- Mr Rietkerk, provincial executive, province of Overijssel, 14 December 2007; and
- Mr Schaap, dikereef, Groot Salland water board, 28 January 2008.

A4.6. Document analysis

Analysis of meeting documents

The following meetings were not attended, but the meeting document were analysed

Steering Committee

29 November 2004	6 July 2005	5 July 2006
10 January 2005	10 October 2005	9 October 2006
9 February 2005	25 November 2005	21 December 2006
30 March 2005	6 February 2006	19 April 2007
25 May 2005	15 May 2006	5 March 2008

Project Group

13 March 2007		

A4.4. Analysed project reports

Altenburg and Wymenga Ecologisch onderzoek (2007), *Flora en fauna in IJsseldelta Zuid in 2007*, Veenwouden.

Alterra (2005), *Een verkenning van de erosiegevoeligheid van bodem in de Bypass Kampen*, Wageningen, 31 August 2005.

AKD Prinsen Van Wijmen N.V (2005), *Advies inzake Bypass Kampen*, Breda, 4 May 2005.

Arcadis (2006), *IJsseldelta-Zuid Vrijwillige Milieubeoordeling*, 26 June 2006.

Commissie MER (2007), *IJsseldelta Zuid, Advies over de reikwijdte en het detailniveau van het milieueffectrapport*, 12 July 2007.

DHV (2005), *Bypass Kampen, Eindrapportage Taskforce Hydraulica*, May 2005.

DHV (2005), *IJsseldelta bypass Kampen, Verkenning geohydrologische effecten*, November 2005.

DHV (2006), *Technische scope bypass IJsseldelta, Integrale beschrijving van resultaten technische analyses bypass IJsseldelta*, September 2006.

DHV (2007), *Nadere beschouwing belijning dijken hoogwatergeul Kampen*, March.

DHV (2007), *PlanMER Bypass c.a. IJsseldelta Zuid, Plan van aanpak*, June 2007.

DHV (2007), *Natuurtoets IJsseldelta Natuurbeschermingswet, Flora- en Faunawet en EHS*, October 2007.

DHV (2008), *Roggebot-oeververbinding N23, schetsontwerpen*, February 2008.

DHV (2008), *IJsseldelta-Zuid PlanMER partiële provinciale planherzieningen Startnotitie besluitMER*, March 2008.

DHV (2008), *Plangebied IJsseldelta-Zuid, Indicatieve toetsing grond aan het bouwstoffenbesluit en advies Besluit bodemkwaliteit*

Duurzame Rivierkunde and Witteveen & Bos (2008), *Aanvullende maatregelen voor rivierverruiming km 980 IJssel*, 7 February 2008

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Appendix 5: Stakeholders characteristics IJsseldelta Zuid

Table A5.1A: Stakeholder goals as assessed in winter 2007 - 2008

Stakeholder	Goals				
	Real estate goals	**Water goals**	**Environmental goals**	**Infrastructural goals**	**Other goals**
Province of Overijssel	Housing construction according to the obligations of Kampen and the region: construct 4-6,000 houses before 2030 (4,000 before 2020, of which 30% in-fill [*inbreiding*]: 45% for finalising Onderdijks and the train station area and 25% in the Oksel)	Sustainable flood protection in the long term: bypass (PKB deadline 2015)	Strengthen the environmental and landscape qualities	Develop a public transport connection between the region and the Randstad (Hanze Railway) (under construction)	Strengthen the socio-economic development of the area (e.g. strengthen touristic and recreative potential)
					Encourage spatial quality improvements
				North-south connection Friesland – East Overijssel – Arnhem (upgrade regional N50 road to A50 motorway)	Give an impulse to liveability in the hamlets
					Agricultural structure reinforcement on the south side of the proposed bypass
Municipality of Kampen	Construct 4-6,000 houses before 2030 (± 150 per year) of which 1,100 in an exclusive environment	Flood protection: reduce the spatial reservation that blocks the city's extension by fixing the bypass location and coordinating it with housing construction (PKB deadline 2015)	Structured environmental compensation (300 ha) in the bypass area	Train station development is important for its economic impulse	The project is an impulse that puts Kampen on the national agenda
	Spatial reservation for industrial area next to current industrial area				Develop the service sector in Kampen
	Develop train station area: 880 houses, 100,000 m² offices, 5,000 m² retail, 2.1 ha specific buildings	Develop a navigable blue bypass, so it can be used for recreation			

Table A5.1B: Stakeholder goals as assessed in winter 2007 - 2008 (continued)

Stakeholder	Goals				
	Real estate goals	**Water goals**	**Environmental goals**	**Infrastructural goals**	**Other goals**
Groot Salland Water Board	-	Flood protection: safe and robust runoff of the River IJssel water	-	-	-
		With a bypass: maintain the hydrological system, both qualitatively and quantitatively. Thus restructure the water system inside the dike and prevent undesirable drainage			
Municipality of Zwolle	Housing construction according to the regional obligations	Flood protection (Stadshagen)	-	-	Carry out Zwolle - Kampen Network projects
Municipality of Dronten	-	-	Possibilities for environmental compensation area	Coordination with the Roggebot sluice and the N23 project: extension possibilities to 2x2 lanes	Develop recreation and touristic facilities
Province of Flevoland	-	Compensation for the water quality decrease	Coherent, accessible environmental compensation	Coordination with the N23 project (regional road Alkmaar-Zwolle): fix the N23 route Dronten - (new) Roggebot sluice, taking into account extension possibilities to 2x2 lanes	Juridical, administrative interests: removal and new functioning at sluice Roggebot, possible interruption of Ecological Main Structure, need to adapt the dikes in the area of sluice Roggebot
					Develop recreational fadilities: bypass usable for recreation

Table A5.1C: Stakeholder goals as assessed in winter 2007 - 2008 (continued)

Stakeholder	Goals				
	Real estate goals	**Water goals**	**Environmental goals**	**Infrastructural goals**	**Other goals**
V&W	-	Flood protection: take measures to safely discharge 16,000 m³/s from the River Rhine in 2015	-	-	Improve spatial quality
VROM	Develop a residential area with a diversity of exclusive housing conditions and high spatial quality	Support the PKB flood protection objective	Preserve the National Landscape in the IJsseldelta North area: therefore residential developments should take place in IJsseldelta Zuid	-	Improve the spatial quality: more *integrated* area development; less fragmentation, coherence, sustainability (deadline Nota Space budget for spatial quality 2014)
		Develop a navigable, dynamic bypass (depending on boundary conditions) as boost for the attractiveness of the residential area			
LNV	-	Support the PKB flood protection objective	Optimal realisation of environmental, agricultural landscape and recreation facilities	-	-
			Fulfil 'Natura 2000' and 'Nature Protection' Act		
			Compensation for adaptations in the Randmeren		

Table A5.2A: Resources according to the stakeholder as assessed in winter 2007 - 2008

Stakeholder	Resources					
	Authority	**Finances**	**Land ownership**	**Specific knowledge &skills**	**Other resources**
Province of Overijssel	Regional public authority	Allocation of €50 million incl. plan development, allocation €10 m for the Knoop (infrastructural junction), €20 m for purchasing land and €0.5 m for the tender team	-	Regional knowledge	Network (regional and national) and lobby
				Administrative leadership	Project leader and approximately 3 fte
					Nomination of IJsseldelta Zuid as a 'example project' in the Zwolle Kampen Network City Vision 2030
		Allocation of €25,000 (50%) preliminary work N23 road: sluice Roggebot			
Municipality of Kampen	Local public authority	Plan development costs: €763,500 (2006) €153,000 (2007)	Ashore lands [*aanlanding*] north of Kampen	Local knowledge	Network and lobby
			Establishment WVG		Program manager and approximately 1.5 fte
		Allocation of €18.75 mill for purchasing land	['Preference Law Land Ownership for municipalities'] over 360/380 ha south of Kampen en train station area		Nomination of IJsseldelta Zuid as a 'example project' in the Zwolle Kampen Network City Vision 2030
		Allocation of €1million preparation credit for the period until the land exploitation			
Groot Salland Water Board	Local public authority	Plan development costs: € 382,000 (2006) €153,000 (2007)	In general owner of the dike body including the adjoining land and owner of water streams	Water expertise	Network (national and regional) and lobby
				Knowledge and databases of water and soil water streams, level and qualities	Water calculations and research (also by third parties)
		Allocation of €50.000 for a visitors centre in the new City Museum of Kampen			
Municipality of Zwolle	Local public authority	Plan development costs: €30,000 (2006) €30,000 (2007)	-	-	Regional support, network and lobby
					Nomination of IJsseldelta Zuid as a 'example project' in the Zwolle Kampen Network City Vision 2030

Table A5.2B: Resources according to the stakeholder as assessed in winter 2007 - 2008 (continued)

Stakeholder	Resources				
	Authority	**Finances**	**Land ownership**	**Specific knowledge &skills**	**Other resources**
Municipality of Dronten	Local public authority	-	-	Local knowledge	Possibilities environmental compensation
					Regional support, network and lobby
Province of Flevoland	Regional public authority	Allocation of €25,000 (50%) preliminary work N23 road: sluice Roggebot	-	Regional knowledge	Project leader N23 project
					Regional support, network and lobby
V&W	National public authority	Allocation of €22.7 million for the Knoop (infrastructural junction)	-	Facilities of the Programme Direction 'Space for the Rivers'	Regional support, network and lobby
					Project leader river-bed dredging
		€0.5 million for the tender team		Water models databases	
		Costs made for the Risk Analysis		Water expertise	Availability of the Q team (quality team)
VROM	National public authority	Allocation of €10 million for the Knoop (infrastructural junction)	-	Land use expertise	Regional support, network and lobby
					Coordinating ministry
		Costs made for the Social Costs Benefits Analysis [*MKBA*]			Nomination of the IJsseldelta Zuid project as 'example project development planning' in 2004 and 2005
		Allocation of €1 billion for the 23 National Spatial Strategy projects together for the period 2011-2014			Nomination of the IJsseldelta Zuid project as a National Spatial Strategy project
LNV	National public authority	-	-	Legal environmental expertise	Regional support, network and lobby

Table A5.3A: Dependencies (perception according to stakeholders as assessed in the winter 2007 - 2008, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
Province of Overijssel (O)	It is important to respect each other and to give everyone (stakeholders and citizens) the possibility to have a say in the project.	Authority: O can develop its own policies and plans, but only within the policy frame of the national government ▪ The national government needs to make an 'exchange decision', before O is able to fulfil its spatial goals
		Finances: O is not able to finance the implementation of all its IJsseldelta Zuid goals by itself and thus depends on financial support from VROM, V&W, LNV, K, Z, GS, F and D, subsidies, project optimalisations to save money and/ or financial constructions with private parties ▪ O allocated €50 million for the IJsseldelta Zuid project: this budget is used to pay the plan development, €10 m for the Knoop (infrastructural junction), €20 million for purchasing land and €0.5 million for the tender team ▪ O, K, Z and GS each pay ¼ of the plan development costs. In practice, Z pays €30,000 py and O covers the rest. ▪ O and F each allocated €25,000 for the preliminary work at the N23: sluice Roggebot
		Land ownership: -
		Specific knowledge & skills: ▪ VROM, V&W and LNV provide O with information over national decision-making, F over Flevoland's regional decision-making and K, Z and D over local decision-making ▪ V&W, RWS DON, O and GS each have specific water data, models and expertise
		Goals: The project vision and strategy have to be coordinated with F, K, Z, D, GS, VROM, V&W and LNV to achieve commitment and added value. For the implementation political and financial support is needed ▪ K, Z, O and VROM aim to develop a residential area in the IJsseldelta Zuid area ▪ O, K, Z, GS, V&W, VROM and LNV all require flood protection, but O, K, Z and VROM prefer measures that fit their own spatial plans (a bypass instead of large spatial reservation area) ▪ K, O and VROM aim to develop a navigable, blue bypass ▪ O, F and D aim for coordination of the N23 project and the IJsseldelta Zuid project and for improvement of the N23 ▪ O, K, D, F and LNV aim for the realisation of an environmental area. A part will be located in the bypass and D has space to develop a coherent environmental area ▪ O, F and D aim to develop recreative facilities ▪ Partial project development reduces the coherence and the spatial quality and added project value opportunities
Municipality of Kampen (K)	All stake-holders are conscious of the impor-tance and the	Authority: K can develop its own policies and plans, but only within the policy frame of O and the national government The national government needs to make an 'exchange decision', before K is able to fulfil its spatial goals
		Finances: K is not able to finance the implementation of all its IJsseldelta Zuid goals by itself and thus depends on financial support from VROM, V&W, LNV, O, Z, GS, F and D, subsidies, project optimalisations to save money and/ or financial constructions with private parties

Table A5.3B: Dependencies (perception according to stakeholders as assessed in the winter 2007 - 2008, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
Municipality of Kampen (K)	value of the integrated area develop-ment, but it is difficult to turn this shared vision in financial engagements	▪ O, K, Z and GS each pay ¼ of the plan development costs. In practice, Z pays €30,000 py and O covers the rest ▪ K allocated €18.75 million for purchasing land and €1million preparation credit for the period until the land exploitation. O allocated O €20 million for purchasing land
		Land ownership: K has established the WVG ['Preference Law Land Ownership for municipalities'] over an area of 360 ha south of Kampen and the train station area
		Specific knowledge & skills: ▪ VROM, V&W and LNV provide K with information over national decision-making, and O and Z over regional decision-making
		Goals: The project vision and strategy have to be coordinated with F, O, Z, D, GS, VROM, V&W and LNV to achieve commitment and added value. For the implementation political and financial support is needed ▪ K, Z, O and VROM aim to develop a residential area in the IJsseldelta Zuid area ▪ O, K, Z, GS, V&W, VROM and LNV all require flood protection, but O, K, Z and VROM prefer measures that fit their own spatial plans (a bypass instead of large spatial reservation area) ▪ K, O and VROM aim to develop a navigable, blue bypass ▪ O, K, D, F and LNV aim for the realisation of an environmental area. A part will be located in the bypass and D has space to develop a coherent environmental area ▪ GE, BR and VO aim to develop an ecological zone. ZU sees it as an opportunity ▪ Partial project development reduces the coherence and the spatial quality and added project value opportunities
Groot Salland Water Board (GS)	Flood protect-ion and the water balance are boundary conditions for the other spatial developments	Authority: GS can develop its own policies and plans, but within the policy frame of O and the national government ▪ O should approve the Dike Displace and Water Defence Plan
		Finances: GS is not able to finance the flood protection measures by itself. Besides, the cheaper PKB measures also fulfil GS's goals. Implementation of the measures depends on financial support from O and V&W, subsidies and/ or project optimalisations to save money ▪ O, K, Z and GS each pay ¼ of the plan development costs. In practice, Z pays €30,000 py and O covers the rest ▪ GS allocated €50.000 for a visitors centre in the new City Museum of Kampen ▪ GS's budget comes from V&W and O and water taxes
		Land ownership: Most dikes including the adjoining land and owner of water streams
		Specific knowledge & skills: ▪ V&W, RWS DON, O and GS each have specific water data, models and expertise ▪ V&W provide GS with information over national decision-making and O over regional decision-making

Table A5.3C: Dependencies (perception according to stakeholders as assessed in the winter 2007 - 2008, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
Groot Salland Water Board (GS)		Goals: The flood protection vision and strategy should be coordinated with O, K, Z, D, F, V&W, VROM and LNV ▪ O, K, Z, GS, V&W, VROM and LNV all require flood protection, but O, K, Z and VROM prefer measures that fit their own spatial plans (a bypass instead of large spatial reservation area)
Municipality of Zwolle (Z)	The stake-holders have to cooperate to achieve their individual interests, but not all interests have the same, high priority	Authority: Z can develop its own policies and plans, but only within the policy frame of O and the national government ▪ The national government needs to make an 'exchange decision', before Z is able to fulfil its spatial goals
		Finances: Z is not able to finance the implementation of all its IJsseldelta Zuid goals by itself and thus depends on financial support from VROM, V&W, LNV, O, K, GS, F and D, subsidies, project optimalisations to save money and/ or financial constructions with private parties ▪ O, K, Z and GS each pay ¼ of the plan development costs. In practice, Z pays €30,000 py and O covers the rest
		Land ownership: -
		Specific knowledge & skills: ▪ VROM, V&W and LNV provide Z with information over national decision-making, O over regional decision-making and K over local decision-making
		Goals: The project vision and strategy have to be coordinated with F, O, K, D, GS, VROM, V&W and LNV to achieve commitment and added value. For the implementation political and financial support is needed ▪ K, Z, O and VROM aim to develop a residential area in the IJsseldelta Zuid area ▪ O, K, Z, GS, V&W, VROM and LNV all require flood protection, but O, K, Z and VROM prefer measures that fit their own spatial plans (a bypass instead of large spatial reservation area) ▪ Partial project development reduces the coherence and the spatial quality and added project value opportunities
Municipality of Dronten (D)	There is a collective sense of urgency. However, Dronten is partner in some elements of	Authority: D can develop its own policies and plans, but only within the policy frame of F and the national government ▪ D and F have to coordinate with O and K, before D is able to fulfil its spatial goals
		Finances: D is not able to finance the implementation of all its IJsseldelta Zuid goals by itself and thus depends on financial support from VROM, V&W, LNV, F, O, K, Z and GS, subsidies and project optimalisations to save money ▪ F and V&W should finance the adaptations of the regional N23 road
		Land ownership: -
		Specific knowledge & skills: VROM, V&W and LNV provide D with information over national decision-making, F and O over regional decision-making and K over local decision-making

Table A5.3D: Dependencies (perception according to stakeholders as assessed in the winter 2007 - 2008, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
Municipality of Dronten (D)	the project	Goals: The project vision and strategy have to be coordinated with F, O, K, Z, GS, VROM, V&W and LNV to achieve commitment and added value. For the implementation political and financial support is needed ▪ O, F and D aim for coordination of the N23 project and the IJsseldelta Zuid project and for improvement of the N23 ▪ O, K, D, F and LNV aim for the realisation of an environmental area. A part will be located in the bypass and D has space to develop a coherent environmental area ▪ O, F and D aim to develop recreative facilities
Province of Flevoland (F)	There is an urgency to cooperate: no one is in the position to say 'we arrange this project awhile'.	Authority: F can develop its own policies and plans, but only within the policy frame of the national government ▪ F and D have to coordinate with O and K, before F is able to fulfil its spatial goals
		Finances: F is not able to finance the implementation of all its IJsseldelta Zuid goals by itself and thus depends on financial support from VROM, V&W, LNV, O, K, Z, GS and D, subsidies and project optimalisations to save money ▪ O and F each allocated €25,000 for the preliminary work at the N23: sluice Roggebot
		Land ownership: -
		Specific knowledge & skills: ▪ VROM, V&W and LNV provide F with information over national decision-making, O over Overijssel's regional decision-making and K, Z and D over local decision-making
		Goals: The project vision and strategy have to be coordinated with D, O, K, Z, GS, VROM, V&W and LNV to achieve commitment and added value. For the implementation political and financial support is needed ▪ O, F and D aim for coordination of the N23 project and the IJsseldelta Zuid project and for improvement of the N23 ▪ O, K, D, F and LNV aim for the realisation of an environmental area. A part will be located in the bypass and D has space to develop a coherent environmental area ▪ O, F and D aim to develop recreative facilities
V&W	All project elements are relevant for all stakeholders, but have a different order of relevance.	Authority: the national government supervises O, F, GS, K, Z and D ▪ The nat. government needs to make an 'exchange decision' to achieve V&W's goal to improve the spatial quality
		Finances: V&W does not contribute financially to the IJsseldelta Zuid's plan development because the project is 'just' a regional PKB alternative. A positive 'exchange decision' would imply a different legal position of and responsibility for the national government ▪ O, V&W and VROM allocated €10 million for the Knoop (infrastructural junction) each. V&W covered the additional €12,7 million that was needed

Table A5.3E: Dependencies (perception according to stakeholders as assessed in the winter 2007 - 2008, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	Interdependency
V&W	The corporate interest goes through it, just like personal ambition or interest.	▪ O and V&W allocated € 0.5 million for the tender team each ▪ Like for the PKB projects, V&W pays the costs made for the Risk Analysis ▪ To increase the spatial quality, V&W depends on project optimalisations to save money, financial support from O, F, VROM, LNV, K, Z, D and GS and/ or financial constructions with private parties ▪ Implementing the PKB measures is cheaper (at the short term) than implementing the regional proposed water measures, but the latter obtain more spatial quality. V&W has to negotiate with the VROM, LNV, O, F, K, Z, D and GS about the financial division ▪ The nat. government should take its project responsibility, but V&W and VROM have to negotiate about the budget
		Land ownership: -
		Specific knowledge & skills: ▪ V&W, RWS DON, O and GS each have specific water data, models and expertise ▪ V&W has process experience ▪ O, F, GS, K, Z and D provide V&W with information over local and regional decision-making
		Goals: The project vision and strategy have to be coordinated with F, O, K, Z, D, GS, VROM and LNV to achieve commitment and added value. For the implementation political and financial support is needed ▪ O, K, Z, GS, V&W, VROM and LNV all require flood protection, but O, K, Z and VROM prefer measures that fit their own spatial plans (a bypass instead of large spatial reservation area) ▪ Partial project development reduces the coherence and the spatial quality and added project value opportunities
VROM	Area developments should be approached more integrated and thus less fragmented [*minder sectoraal*] to	Authority: the national government supervises O, F, GS, K, Z and D ▪ The national government needs to make an 'exchange decision', before VROM is able to fulfil its spatial goals
		Finances: VROM will not finance the implementation of all its IJsselsprong goals by itself and thus depends on financial support from V&W, LNV,O, F, K, Z, D and GS, project optimalisations to save money and/ or financial constructions with private parties ▪ O, V&W and VROM allocated €10 million for the Knoop (infrastructural junction) each. V&W covered the additional €12,7 million that was needed ▪ VROM pays the costs made for the Social Costs Benefits Analysis [MKBA], which they prescribe for their contribution from the National Spatial Strategy budget VROM has allocated €250 million for the 17 National Spatial Strategy projects together for the period 2007-2010

Table A5.3F: Dependencies (perception according to stakeholders as assessed in the winter 2007 - 2008, interdependency based on observation) (continued)

Stakeholder	Dependency	
	Perceived dependency	**Interdependency**
VROM	achieve more sustainable relations and increased spatial value	▪ VROM ought to take its project responsibility and thus has to negotiate with V&W, LNV,O, F, K, Z, D and GS about the financial division ▪ The nat. government should take its project responsibility, but V&W and VROM have to negotiate about the budget
		Land ownership: -
		Specific knowledge & skills: ▪ VROM has process experience and land use expertise ▪ O, F, GS, K, Z and D provide VROM with information over local and regional decision-making
		Goals: The project vision and strategy have to be coordinated with F, O, K, Z, D, GS, V&W and LNV to achieve commitment and added value. For the implementation political and financial support is needed ▪ K, Z, O and VROM aim to develop a residential area in the IJsseldelta Zuid area ▪ O, K, Z, GS, V&W, VROM and LNV all require flood protection, but O, K, Z and VROM prefer measures that fit their own spatial plans (a bypass instead of large spatial reservation area) ▪ K, O and VROM aim to develop a navigable, blue bypass ▪ Partial project development reduces the coherence and the spatial quality and added project value opportunities
LNV	Collectively the stake-holders have to aim for the broader project purpose	Authority: the national government supervises O, F, GS, K, Z and D
		Finances: LNV will not finance the implementation of all its IJsselsprong goals by itself and thus depends on financial support from V&W, VROM,O, F, K, Z, D and GS, project optimalisations to save money and/ or financial constructions with private parties
		Land ownership: -
		Specific knowledge & skills: ▪ LNV has legal environmental expertise ▪ O, F, GS, K, Z and D provide LNV with information over local and regional decision-making
		Goals: The project vision and strategy have to be coordinated with F, O, K, Z, D, GS, VROM and V&W to achieve commitment and added value. For the implementation political and financial support is needed ▪ O, K, Z, GS, V&W, VROM and LNV all require flood protection, but O, K, Z and VROM prefer measures that fit their own spatial plans (a bypass instead of large spatial reservation area) ▪ O, K, D, F and LNV aim for the realisation of an environmental area. A part will be located in the bypass and D has space to develop a coherent environmental area

Appendix 6: Avenue2 workshop

To derive experiences with using the conceptual IADM approach, interventions were implemented in a third case (Step 3 of the reflective cycle). Since it was impossible to test the conceptual IADM approach in a laboratory and since the time required for a long-lasting practical experiment was lacking, it was decided to analyse whether the conceptual IADM approach is usable in practice and is also user-friendly. Therefore, a workshop was organised with the stakeholders of the Avenue2 project in 's Hertogenbosch. The Avenue2 project is an integrated area development project that was in the initiation phase at the time of the workshop. The workshop was held on the 30 July 2008 in the municipal office building of 's Hertogenbosch. In the workshop, interventions based on the IADM approach were implemented and experiences with the designed approach were assessed.

The participants of the workshop were asked to apply the IADM approach to their project in a simulated, speeded up environment. Therefore the workshop was divided in several rounds. In each round, a new issue or activity was introduced. The focus of the workshop was on the new and adjusted elements in the strategic planning process model: the initiative, the network analysis, the strong iterative manner of plan development and the IADM guidelines. First the conceptual IADM approach was presented to the participants. Then, in three rounds, the participants addressed the following issues:

- the initiative;
- a network analysis; and
- the plan development strategy.

A6.1. Participants of the workshop

- Mr Buitink, project leader Avenue2 project, municipality of 's Hertogenbosch;
- Mr Braakhuis, economical affairs, municipality of 's Hertogenbosch;
- Mr Van Voorst, public space and transport, municipality of 's Hertogenbosch;
- Mr Van Aalst, strategic policy development, municipality of 's Hertogenbosch;
- Mr Van der Zouwe, strategic policy development, municipality of 's Hertogenbosch; and
- Mr Grooten, master student, University of Twente.