

Section 1 - Application details

Title of the proposal*	The New Planning: Empowering Resilient Societies (EmpiReS)
Main Applicant **	Prof.dr. Wil Zonneveld
E-mail	w.a.m.zonneveld@tudelft.nl
Correspondence preference	<input type="checkbox"/> Dutch <input checked="" type="checkbox"/> English
Primary NWA route applicable to the research proposal**	Towards resilient societies
Secondary NWA route(s) applicable to the research proposal (if applicable)	Smart, liveable cities Quality of the living environment
Registration number of your initiative	TRS. 1923
Keywords (max. five)***	Resilience, spatial planning, regional development policy, sustainable infrastructure planning, governance
Budget range requested budget	<input checked="" type="checkbox"/> 0.5 – 2 M€ <input type="checkbox"/> 2 – 5 M€ <input type="checkbox"/> 5 – 10 M€

Layperson's summary (in English) max 200 words

EmpiReS seeks to meet the urgent demand for more effective territorial development tools that will ensure a resilient society in the context of critical challenges from climate change, global economic competition, increasing social and economic disparities and population change. These challenges increase uncertainty and competition in society. Conventional planning and implementation tools (the proverbial Dutch polder model) are no longer sufficient to cope with the interconnected and cascading effects of change. Building resilience requires integrated and adaptive action across sectors, levels of government and the public-private divide.

The need to develop capacity for integrated and adaptive action is one of the key aims of the *Nationale Omgevingsvisie* (NOVI). However, the ambitions of NOVI cannot be dealt with by government alone but need action by multiple actors who collectively can address diverse objectives, cultures and competences. Social partners in EmpiReS have identified the need for innovative approaches that reach out to, and unify, diverse actors. EmpiReS will critically evaluate the performance of spatial planning, territorial policies and infrastructure tools. We will develop and test new tools in a co-creative process with societal partners. We seek inspiration from other countries and will produce road maps for the dissemination of successful governance models.

Section 2 - Research proposal

Description of the research proposal and the intended breakthrough

Awareness of ongoing deep societal transformations coupled with urgent challenges is increasing. At the global level, the seventeen UN Sustainable Development Goals provide a framework for the achievement of a better and more sustainable future for all. At the European level, societal challenges form the underlying rationale for EU Cohesion Policy 2021-27 (CEC, 2018, Council of the EU, 2019). Challenges include a profoundly transformed economy and society, increasing inequalities, high unemployment rates, an ageing society, and climate change.

Societal challenges entail a strong territorial dimension because their impacts are very unevenly distributed across and within cities and regions (Dijkstra et al., 2018). The acceptance of these inequalities is reaching its limits. Across Europe, social movements demand decisive action and increasingly argue for a fundamental break with established institutions and policies (Rodríguez-Pose, 2018). In the Netherlands there is a significant increase in citizens' recognition of disparities and conflicting values (SCP, 2019). These forces put social and political stability at risk and threaten the resilience of the society and its territory. The territorial impacts of societal challenges also create significant barriers for effective, efficient and legitimate responses to problems in cities and regions. Sectoral policies in both the public and private spheres have an independent but determining impact on spatial, economic and social developments. At the same time, the multitude of concurrent territorial changes has created a context of high uncertainty, controversy, and complexity (Van Buuren et al., 2013) with which existing institutions have struggled to cope. Stakeholders in Dutch spatial planning argue that current sectoral approaches may even exacerbate rather than ameliorate institutional fragmentation and competition over territorial resources.

The EmpiRes research will devise institutional arrangements that address the challenge that fragmented policy making and investment makes to legitimate and accountable territorial governance. It will critically evaluate currently used instruments and tools, and identify options for new mechanisms that better balance the interests of government sectors, private investment and civil society. It will provide a roadmap towards new institutions that will guide disparate policy sectors to coordinated action, whilst also empowering local societal actors in urban transitions and sustainable economic growth. EmpiRes will answer the following research question:

How can a new model of (spatial) planning contribute to empowering resilient societies?

EmpiRes will investigate this question through the lenses of regional and local development policies, spatial planning, and sustainable infrastructure planning - using resilience as an overarching concept (Pike et al., 2010). These three disciplines are crucial to territorial development and are thus central to the management of the diverse territorial claims, but are fundamentally different in their approach and tools. **Regional and local development policies** aim to reduce social disparities across territories and enhance regional economic competitiveness. Policies generally comprise a wide range of fiscal and financial measures such as targeted regional funding instruments, special tax allowances or aid regimes with a territorial dimension (Barca et al., 2012, Davies, 2018). **Spatial planning** seeks to coordinate the territorial impacts of sectoral government policies (Dühr et al. 2010) and uses land-use regulation, policy frameworks and strategies, alongside 'soft' coordination measures. Visioning, designing as well as information and knowledge-sharing tools are used to facilitate strategic, legitimate and accountable decisions in networked governance settings. **Sustainable infrastructure planning** focuses on direct investment into structural spatial organisation, and involves a broad range of evidence-based mechanisms for the prediction and monitoring of resulting spatial, social and economic change (Arts et al., 2016, Switzer, 2019).

Societal **resilience** is defined as society's ability to respond to a wide range of demands while maintaining institutional coherence and social cohesion. Moreover, resilient societies have the ability to learn from their own experience and to consolidate lessons learnt in institutional and organizational reforms that increase future resilience (Pike et al., 2010). Resilience requires adaptive institutional capacity that allows actors to anticipate the cascading effects of system shocks and to transpose action (Stanícková, M., & Melecký, L., 2018). Duit (2016) notes that when resilience thinking is used to assess public organisation, the emphasis is on the robustness, flexibility, and adaptability of public governance. In order to address societal challenges, the initiatives of actors at multiple administrative levels and across policy sectors and societal domains, need to be compatible (Kooiman, J., 2008). In a context of fundamental societal and territorial transformations, this means that the integrative ambitions of spatial planning need to go hand in hand with the strong implementation focus of

regional and local development policies and sustainable infrastructure planning. It also means the empowerment of many actors to cooperate on the design and implementation of policy.

The societal relevance of EmpiRes evolves against the background of the current Dutch spatial planning approach. Traditionally, the so-called Polder model values diversity and plurality, and facilitates political consensus by means of consultation and negotiation. Dutch spatial planning is a cornerstone of this model as it addresses the diverse spatial claims that are a product of societal needs. It has been transformed by accommodating fundamentally different social models since the post-war period, and strong shifts in decentralisation and deregulation since the mid-1980s (Balz and Zonneveld, 2018, Needham, 2014). Due to the uncertainty, contentiousness, and complexity of today's societal transformations and challenges, the approach seems no longer to deliver satisfactory results. Recent years have seen the reform of a wide array of planning instruments (e.g. *MIRT*, and the *Top Sector* policy) and the emergence of a variety of new tools (e.g. *Region Envelop*, *City Deals*, and *Regional Energy and Climate Strategies*). These entail an enhanced territorial dimension and seek to give local levels of government and societal actors more leverage. Moreover, recent revisions of fiscal equalisation provide sub-national government with more autonomy and capacity to respond to their particular political circumstances (for a review of revisions, see e.g. OECD, 2017, Rfv, 2017). The Inter-governmental Programme (*Interbestuurlijk Programma*, IBP) seeks to comprehensively bundle new instruments by building upon principles of 'reflexive governance' (IPB, 2018). These trends are most prominently reflected in the upcoming new national spatial vision (NOVI). The Environmental Planning Act (*Omgevingswet*), projected to come into effect in 2021, aims at more room for policy discretion. In alignment with this act, NOVI seeks to empower local actors, while simultaneously providing more robust and just long-term planning guidance (Ministerie van I&M, 2017). While underlying rationales are embraced, actors express strong concerns about implementation arguing that the multiplicity of simultaneously ongoing changes obstructs political prioritisation, causes institutional fragmentation, and impedes institutional capacity to address the cascading effects of system shocks on territories efficiently and effectively.

The scientific relevance of EmpiRes lies in its ambition to integrate different theoretical approaches to societal resilience and apply them practically. The importance of resilience is acknowledged in all domains under investigation. Spatial planning, emphasises resilience concepts such as 'adaptive spatial planning', and 'adaptive governance' (Van Buuren et al., 2013). 'Economic resilience' is a key concept in regional and local development policies (Davies, S., 2011). EmpiReS builds up upon the observation of increasing convergences between approaches. Its main contribution is projected to be in the systematic assessment and appraisal of innovative attempts to combine instruments that facilitate responses to problems in particular locations, while recognizing a need for robust planning guidance.

Approach and methods

EmpiReS will be a long-term commitment of four years. Methodologically, EmpiRes stands out through its integration of the following elements:

(1) A comparative analysis of international cases will identify best practices and lessons for the building of resilient societies focusing on challenging contexts and examples of integration of action across sectors and levels of government. In this respect, the project team have recently completed extensive comparative international projects (see description of the consortium).

(2) A co-creative process – labelled *The New Planning Dialogues* – will involve national, provincial and local governments as well as societal actors and international partners in the critical assessment of current institutions and the building of a new approach. Dialogue activities will generate a constructive process of knowledge co-creation and co-design. The *New Planning Dialogues* will make use of the applicants' and project stakeholders' wide social networks to reach out to societal actors in Dutch cities and regions as well as international experts and practitioners. The dialogue will also be supported by a series of conferences and events that start in June 2019 and thus contribute to the further refinement of the project proposal.

All stakeholder involvement will follow good practice guidelines concerning the translation of evidence into language and formats that are usable, and the publication and sharing of findings. Using the particular expertise of applicants, communication will entail extensive graphic visualisation. (The testing of innovative design-led approaches to the sharing of geographic information and knowledge will provide for a side-output of the research.)

EmpiReS will employ a range of complementary research methods allowing for revealing a plurality of perspectives on issues, maximising validity of the research and minimising the risk of biases. The project is structured around the following work packages (WP).

0 Preparation: Underpinning the need for a new planning approach (underway):

- EmpiReS has been co-initiated by stakeholders in the upcoming Dutch national spatial planning vision (NOVI) as well as by municipal, provincial and societal actors. Their initial involvement during a series of (match-making) events resulted in the problem definition, desired project outcomes and methodologies that are described in this proposal. Stakeholders' commitment to this project has been sustained since early 2018 demonstrating the high relevance of the research proposal and trust in the project consortium.

1 Framework of analysis: Understanding different approaches to resilience (year 1-2):

- Drawing on the applicants' expertise in spatial planning, regional and local development policies, and sustainable infrastructure planning, WP 1 seeks to systematically evaluate the contribution of territorial development approaches to building resilient societies. For each of the three disciplines, WP 1 will systematically present the objectives and approaches to resilience, tools and instruments, as well as achievements and shortcomings. In order to do so it will analyse the theoretical state of art in the three fields by systematically reviewing academic literature and practice. Moreover, drawing on a review of policy and evaluation reports of international practical cases – selected by their concern about particularly urgent societal challenges – WP 1 will collect systematic qualitative information on these cases and the factors that explain their performance. The outcome of research is a portfolio of innovative practices and a description of policy instruments and tools that allow societies to respond to the cascading effects of system shocks. A major joint academic-practitioner-stakeholder conference will be organised to discuss and complete the theoretical framework.

2 Evaluation: The performances of the current Dutch spatial planning model (year 2-3):

- WP 2 aims at identifying and evaluating existing territorial development approaches and instruments in the Netherlands through the lens of resilience. The project team will compile a typology of all existing and planned Dutch territorial development tools (e.g. *MIRT*, *Region Envelop*, and *Regional Energy and Climate Strategies*) through an in-depth analysis of primary and secondary literature. The performance of each type of tool and instrument will be evaluated in co-operation with the projects partners who are practitioners and have direct experience with these instruments. Resilience criteria that will be considered include (1) governance; (2) coordination with other tools/instruments (complementarity and synergies); (3) performance in terms of robustness, flexibility, and adaptability; and (4) challenges.
- WP 2 seeks to deepen insights into the strengths and weaknesses of the current Dutch spatial planning model. It will pinpoint how distinct fiscal, financial, land-use and coordination instruments likewise enhance or hinder transformations towards resilience. WP 2 will rely on intense involvement of local and regional public, private and civic stakeholders through policy labs, seminars, workshops, etc.

3 Prescription: Empowering resilient societies (year 3-4):

- WP 3 seeks to apply the theoretical insights and practical international examples identified in WP 1 on the specific context of the Netherlands as outlined in WP2. Relying on the continued engagement of the public and private partners in the consortium, various solutions and innovative ideas will be co-created with public and private stakeholders.
- These innovative ideas will be taken up by the public and private partners in the consortium and tested in real-life conditions. Testing will focus on the integration of action by sectors and levels of government as well as societal actors and thus new implementation mechanisms. Partners will feedback experiences on an ongoing basis allowing the formulation of detailed and practical policy recommendations for a new spatial planning model.
- Ultimately, integrating all elements and insights of the EmpiRes project WP3 will create a road map for the dissemination and development of successful models for the empowerment of a resilient society.



Description of the consortium

EmpiReS is a consortium between Dutch universities, public and academic knowledge institutes, local, provincial and national governments, and private sector organisations. The consortium brings together a diverse set of leading institutions in planning research - covering a broad range of disciplinary and methodological perspectives in the wider field - and societal actors in Dutch spatial planning.

The consortium is led by the **Section of Spatial Planning and Strategy, at the Department of Urbanism of the Faculty of Architecture and the Built Environment at the Delft University of Technology (TUD)**. Focusing on trans-disciplinary research, the Department of Urbanism holds unique expertise on the integration of knowledge on urban and regional planning, human geography, urban and regional design, urban, policy and political studies, and regional and local development. A body of knowledge at the Section of Spatial Planning and Strategy which is highly relevant for EmpiReS concerns spatial planning systems and cultures. Recent research projects involving a systematic appraisal of spatial planning instruments across these systems and cultures include the ESPON 2020 project *Comparative Analysis of Territorial Governance and Spatial Planning Systems in Europe* (COMPASS), and the projects COHESIFY and REPAIR funded by the Horizon2020 Framework Programme for Research and Innovation. The expertise of the section in Dutch spatial planning is reflected in a long history of research (output) and collaboration.

The **European Policies Research Centre (EPRC)**, located since 2018 in Delft, is a leading institution in the realm of regional and local development policies.. The institute holds expertise on regional development and regional policy in Europe, EU Cohesion policy, European territorial development, competition policy and subsidy discipline, and financial instruments. Particularly relevant for EmpiReS is EPRC's longitudinal comparative research on regional development policies in 30 European countries. This project focuses among others on an annual review of regional economic development, regional aid policies, regional governance and economic development, regional innovation policies and cluster strategies, economic restructuring and the use of financial instruments in national regional policy programmes, including the Netherlands. EPRC holds a unique position through operating at the nexus between academia and applied research. Through this position it can enable a wide network of academics and practitioners in European countries, and thus contribute to the facilitation of the international scope of the EmpiReS project.

The **Faculty of Spatial Sciences at the University of Groningen** has an extensive track record on sustainable infrastructure planning. Its expertise is reflected in a wide array of publications and research projects. The Faculty also holds a particular expertise on instruments used in the implementation of Dutch planning directives, policies and infrastructure projects. This is reflected in multiple advisory roles in Dutch spatial planning that experts at the faculty hold, as well as leading roles in European research projects (Horizon2020, CEDR). Involved faculty members also hold a specialisation in the use of design-led approaches to planning and stakeholder involvement.

The **Delta Metropolis Association (Vereniging Deltametropool)** has a unique expertise in regional spatial planning, design and governance practices in the Netherlands. Since its establishment in the early 2000s, it has investigated metropolitan development in the Netherlands and the wider Euro-Delta Metropolis. Applied research focuses on urban renewal, the energy transition, economic resilience, accessibility and mobility, and aims at ensuring a resilient and future-oriented international positioning of the Netherlands. Through its extensive experience in cooperation within a broad and layered administrative and knowledge-oriented network, the association strongly supports the societal relevance of the EmpiReS research.

The consortium of **stakeholders that confirmed their interest in EmpiReS** is composed of a variety of actors, reflecting different government sectors, levels of government, private and public interests in territorial development and different geographies. The consortium is tightly linked to current spatial planning initiatives, in particular the implementation of the new Dutch spatial planning vision NOVI. In addition, it involves several stakeholders that can provide access to a wider set of stakeholders in urban and regional areas, and thus have the capacity to intensify links to societal actors in the course of the research. All stakeholders that are listed here were intensively involved in the formulation of the EmpiReS proposal.

Section 3 - The consortium

Main applicant			
Name, title(s)	Organisation	Position	Expertise
Prof.dr. Wil Zonneveld	Delft University of Technology	Professor	Spatial planning

Applicant(s)*			
Name, title(s)	Organisation	Position	Expertise
Paul Gerretsen	Vereniging Deltametropool	Director	Urban and regional planning, project management
Prof. John Bachtler	European Policies Research Centre	Director, Professor	Regional and local development policy
Prof. dr. E.J.M.M. (Jos) Arts	University of Groningen	Professor	Environmental and infrastructure planning

Section 5 – Other

5a. References

- Arts, J., Filarski, R., Jeekel, H., & Toussaint, B. (Eds.). (2016). *Builders and Planners – A History of Land-use and Infrastructure Planning in the Netherlands*. Delft: Eburon.
- Balz, V., & Zonneveld, W. (2018). Transformations of planning rationales: Changing spaces for governance in recent Dutch national planning. *Planning Theory & Practice*, 1-22.
- Barca, F., Mccann, P., & Rodríguez-Pose, A. (2012). The case for regional development intervention: Place-based versus place-neutral approaches. *Journal of Regional Science*, 52(1), 134–152.
- CEC (2018). *A Modern Budget for a Union that Protects, Empowers and Defends, The Multiannual Financial Framework for 2021-2027*, Brussels, 2.5.2018 COM(2018) 321 final
- Council of the EU (2019). The Sibiu Declaration. Brussels: General Secretariat of the Council.
- Davies, S. (2011). Regional resilience in the 2008-2010 downturn: Comparative evidence from European countries. *Cambridge Journal of Regions, Economy and Society*, 4(3), 369–382.
- Davies, S. (2018). Regional Policy in a Changing Europe. European Policy Research Papers No. 105. Glasgow: European Policies Research Centre, University of Strathclyde.
- Dijkstra, L., Poelman, H., & Rodríguez-Pose, A. (2018). The geography of EU discontent. *Regional and Urban Policy Working Papers*, 12.
- Dühr, S., Colomb, C., and Nadin, V. (2010). *European Spatial Planning and Territorial Cooperation*, London and New York, Routledge, ISBN 978-0-415-46774-2
- Duit, A. (2016). Resilience thinking: Lessons for public administration. *Public Administration*, 94(2), 364-380. doi: 10.1111/padm.12182
- IBP. (2018). *Programmastart IBP*. The Hague: Interbestuurlijk Programma (IPB).
- Kooiman, J. (2008). Exploring the Concept of Governability. *Comparative Policy Analysis: Research and Practice*, 10(2). <https://doi.org/10.1080/13876980802028107>

Ministerie van I&M. (2017). *De Opgaven voor de Nationale Omgevingsvisie* [Tasks for the National Environmental Planning Strategy]. The Hague: Ministerie van Infrastructuur en Milieu (I&M).

Needham, B. (2014). *Dutch Land-use Planning: The Principles and the Practice*. Farnham: Ashgate.

OECD. (2017). *The Governance of Land Use in the Netherlands: The Case of Amsterdam*. Paris.

Pike, A., Dawley, S., & Tomaney, J. (2010). Resilience, adaptation and adaptability. *Cambridge Journal of Regions, Economy and Society*, 3(1), 59–70.

Rfv. (2017). *Economisch omgaan met financiële verhoudingen. Een (regionaal) economisch perspectief op bestuurlijke en financiële verhoudingen*. Den Haag.

Rodríguez-Pose, A. (2018). The revenge of the places that don't matter (and what to do about it). *Cambridge Journal of Regions, Economy and Society*, 11(1), 189–209.

SCP. (2019). *Burgerperspectieven 2019/1*. The Hague.

Staníčková, M., & Melecký, L. (2018). Understanding of resilience in the context of regional development using composite index approach: The case of European union NUTS-2 regions. *Regional Studies, Regional Science*, 5(1), 231–254.

Switzer, A. (2019). *Transitioning the transport and land-use system*. (Doctoral thesis), University of Amsterdam.

Van Buuren, A., Driessen, P., P. J., Van Rijswijk, M., Rietveld, P., Salet, W., Spit, T., & Teisman, G. R. (2013). Towards Adaptive Spatial Planning for Climate Change: Balancing Between Robustness and Flexibility. *Journal for European Environmental & Planning Law*, 10(1), 29-53.

5b. Signature

By submitting this form, I declare that I satisfy the nationally and internationally accepted standards for scientific conduct as stated in the Netherlands Code of Conduct for Scientific Practice 2014 (Association of Universities in the Netherlands).

Name: Wil Zonneveld

Place: Delft

Date: 06-06-2019

Before you submit the pre-proposal in ISAAC you will be asked to sign the application electronically.
