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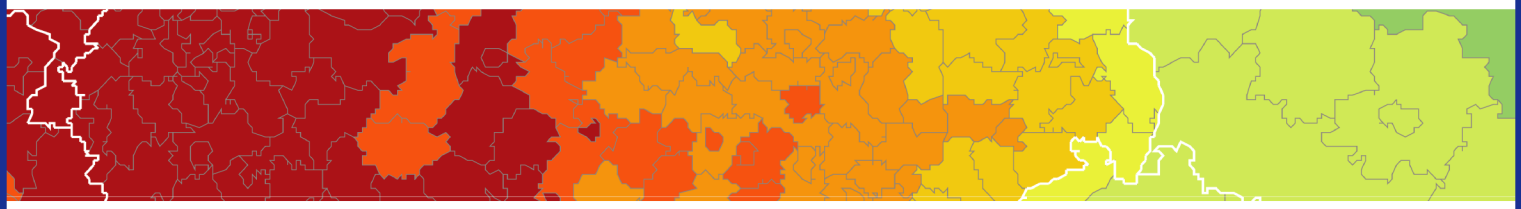

SUPER – Sustainable Urbanisation and Land Use Practices in European Regions

Applied Research

Annex 3.1: Case study selection and methods

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Abbreviations

CS	Case Study
ESPON	European Territorial Observatory Network
ESPON EGTC	ESPON European Grouping of Territorial Cooperation
ESPON PST	ESPON Project Support Team
EU	European Union
GDPR	General Data Protection Regulation
NGO	Non-governmental organisation
SA	Stakeholder Analysis
QCA	Qualitative Comparative Analysis
SNA	Social Network Analysis
SUPER	ESPON Sustainable Urbanization and Land Use Practices in European Regions
ToR	Terms of Reference

1 Justification and overview

The centre of the SUPER conceptual framework contains a 'black box' of practices which determine whether a particular site is converted to a different land use. Couch et al. (2007) argue that site-specific socio-environmental conditions, institutions and stakeholder interests can translate common macro-level drivers of urbanisation and broad-scale interventions into unique local land use patterns and governance arrangements (see also Allmendinger and Haughton 2007; Pagliarin and De Decker 2018). These arrangements are a crucial micro-level link between macro-level drivers (demography, economy, national policies, etc.) and macro-level outcomes (aggregated land-use changes in Europe). This section will explain how we plan to open the black box to gain insight into these practices.

First of all, a case study approach is necessary given that quantitative data is often too coarse, lacking or not-harmonised, European spatial planning scholarship often employs case study methodologies, particularly international comparisons, to understand urbanisation and land-use dynamics (Castree 2005; Farinós Dasí and Sánchez-Manjavacas 2018; Salet et al. 2003). To be effective, case studies must focus on a clearly delimited object, in this case an intervention or territory, that will be studied in depth (Feagin et al. 1991; Yin 2013). Case studies offer an opportunity to adopt a deep analytical approach that simultaneously considers influences of local, regional, national and even European policies and processes. A comparative approach enhances the explanatory value of case studies, because it allows for a modest testing of hypotheses and generalisation of results without disregarding the complex local interaction of variables (Bryman 2008). Few studies attempt cross-national research on urbanisation at the scale of the ESPON space.

In order to gain in-depth insight into local urbanisation and land-use practices in a variety of European regions, approximately 10 case studies will be carried out. These case studies concern how land is being converted to different uses and the extent to which this can be considered sustainable (both temporally and thematically). In addition, the case studies will gauge the relative impact or success of public-sector interventions in guiding these changes. By considering a wide variety of contexts, the case studies will provide insight on the potential transferability of best practices and how to engage key stakeholders. Finally, a deep analysis through case studies will provide the opportunity to check, refine and supplement the general trends established in previous tasks of the SUPER project regarding causality (driving forces).

Many topics addressed in the case studies were treated in a more superficial or aggregated level elsewhere in the project. However, only the case studies can provide insight into the local practices that produce land-use changes in context and the extent to which specific interventions are effective in fostering sustainability. It allows for an observation of how 'key agents' – e.g. planning departments, land owners, businesses, activists, building companies and property developers – interact and work within, around or outside of existing formal and informal institutions to produce particular land-use decisions (Phelps et al. 2006).

The aim of the case studies is therefore not only to assess the impact of specific interventions in terms of (temporal and thematic) sustainability but also to uncover the causal mechanisms of specific instruments, their positive and negative side effects, impact of other factors, etc. Case studies are particularly useful for revealing the conditions under which the analysed policies/instruments proved effective.

This report contains a detailed description of the process that led to the selection of 10 case studies. This is done in chapter 2. Chapter 3 describes the methodological framework that was developed for the project. The specific guidelines and materials that were given to each team in charge of developing a case study can be found in Chapter 4, ahead of the closing list of references (Chapter 5).

2 Case study selection

This chapter presents the philosophy and approach taken to select case studies for the ESPON SUPER Project. First, the selection criteria is described, then the considerations and procedure that was followed for case study selection. Section 2.3 provides the final selection.

2.1 Criteria according to the Terms of Reference (ToR):

- Cover several types of areas: urban (monocentric, polycentric), rural, functional areas, coastal areas, mountain regions, peripheral-border, cross-border, sparsely populated.
- Macro-regional diversity coverage: Atlantic, northwest, Mediterranean, Central Europe, Danube area, Balkans, Alpine, Adriatic …
- At several scales: multi-scale, from national to local, regions and cities (with special attention to the local, the most complex one because it is affected by all other above)
- At least two case studies should be functional areas
- Success histories (but also failures): "best practices, in regions and cities that showed positive developments, and a few regions and cities that encounter large challenges and negative developments."
- Extrapolation should be possible from case studies to other areas: "how successful strategies, policies and mechanisms work (or could work) in practice at local, regional and national scale to minimize land take and urban sprawl and encourage sustainable land-use and to identify good practices that could be inspirational for similar regions and cities."

2.2 Questions of interest based on the ToR

Look into the following aspects:

- To what extent can the observed land-use changes in the case be considered sustainable?
- To what extent did short-term thinking weigh up against concerns of long-term economic, ecological and social vitality?
- To what extent were trade-offs avoided between economic, ecological and social values (e.g. urban green spaces in densifying areas)?
- Was there a tension between sustainability at different levels of scale (e.g. a locally sustainable development having unsustainable attributes at the regional level)?
- To what extent is there a correlation between urban form (e.g. high-density contiguous urbanisation versus low-density scattered development) and sustainability?
- How much impact did various interventions have in producing sustainable urbanisation and land-use outcomes?
- To what extent were place-based approaches and territorial cooperation responsible?
- To what extent were financial, fiscal and economic mechanisms responsible?
- How sustainable are the measures themselves over time?
- Do they produce economic benefits?
- To what extent to they effectively internalize external costs?
- To what extent do they enjoy popular support or consensus among stakeholders?

- How can urban sprawl be contained and which instruments can be used to do that?
- How can the impacts of land take/soil sealing be limited?
- How can the place based approach and territorial cooperation be used?
- How can we benefit economically from measures to limit land take/soil sealing?
- How can financial, fiscal and economic mechanisms be used to limit urban sprawl?
- How can external costs be internalized? For example: at the moment it is often cheaper to develop greenfields instead of brownfields, but the costs of for instance the ecosystem services lost by developing a greenfield are not included in the development costs.
- How can green and open spaces in urban areas be maintained for the quality of life, despite the (laudable) effort to densify settlement areas?

In order to provide:

- More detailed insight into the benefits of sustainable land-use for smart, sustainable and inclusive territorial development
- Knowledge on how to promote sustainable land-use in territorial development
- The governance mechanisms (to be) applied to promote sustainable land-use
- Evidence on the degree to which sustainable land-use is rewarding from an economic point of view, but also on possibilities for policy making to overcome the potential resistance of the private sector to sustainable land-use

In the SUPER project, to achieve optimal validation in CS selection under the time constraints of the project time table and given the limited number of CS to be performed, the 'Data Triangulation Method' (Patton, 2002) was used. Involved in this method were the members of each SUPER research Team, the SUPER Consortium, external experts (through a public survey) and, finally, representatives of ESPON. The process started with the definition of criteria for the CS, in accordance with the Terms of Reference, that were presented and discussed at the SUPER Project kick off meeting held in Den Haag 8th February 2019. The definitive criteria and a CS list proposal were to be discussed at a later session together with the ESPON ECTG and PST in Brussels (May 15th 2019). Based on the agreed-upon requirements, criteria and method, each partner team selected and proposed a minimum of 5 CS. The cases thus collected were homogenized as basis for the final decision. The list was appended based on an open survey to experts at EU level. Following comments and recommendations from evaluators in reaction to Inception Report, a shortlist was sourced from both these lists in order to cover ToR requirements. The final list, including criteria and SUPER team order of preference is presented in section 2. This shortlist serves as basis for the discussion and final case selection that was decided on 15th May with project leaders, ESPON ECTG and ESPON PST.

2.3 Results of case study selection

In this section, the results of the case study selection process are presented. The first subsection introduces the longlist of possible case studies that were identified by combining the SUPER team expert knowledge and data gathered though the public survey. Section 2.3.1 presents the shortlist of candidates, with a characterisation of each potential case according to a range of variables. The final selection of 10 case studies is listed and mapped in section 2.3.2.

2.3.1 Longlist of case studies

Table 2.1presents the longlist of case studies initially suggested by the ESPON SUPER teams, while the subsequent Table 2.2 contains a longlist of cases suggested by the consulted actors.

Table 2.1: Longlist of potential case studies suggested by the partners

Code	**Case**	**Rationale**
AT1	"Gründachstadt Linz" (roof greening of the city of Linz, Upper Austria)	Historical review: - Dramatic loss of green spaces and loss of quality of life. - Economic boom in the 60s and 70s with high environmental degradation: 4 pillars of the Linz green roof policy: 1) Sound basic research 2) Legally binding development plans 3) financial support 4) Information and advertising

AT2	"Kooperationsplattform Stadtregion" (Cooperation platform of an urban region) (city of Salzburg and surrounding communities)	A regional federation consisting of the city of Salzburg and 10 surrounding communities. Tasks: Preparation and amendment of the regional programme, preparation of regional development concepts, comments on zoning and development plan. Instruments used: The core instrument is the regional programme, which regulates spatial planning issues at regional level (regional green belts, regional locations for residential and commercial development, settlement boundaries, recreational axes, list of regionally important transportation projects, ...). Background: thinking across community borders, solving problems together, goal: cooperation instead of incorporation Thematic initial problems: "affluent suburb belt" - due to land scarcity and high land prices, settlement development and commercial development are pushing into more outlying areas, increase in economic and commuter networks, congestion of the road network, environmental pollution (noise, fine dust, etc.), declining quality of life, fragmented settlement and commercial development. The core task is to develop the regional programme on the basis of the ROG (Spatial Planning Act), e.g.: - Regional green belt: Protection of important regional open spaces, especially in the city of Salzburg - Green belt declaration from the 1980s was largely maintained, newly adopted in the regional programme and in the REK (regional development concept) of the city of Salzburg. - Possibility of intra-regional area compensation: if areas in the green belt are used for development, compensation can be made in other communities.
AT3	"Regionaler Leitplan - Bezirk Mödling" (Regional Master Plan of 20 communities of Mödling in Lower Austria)	On the initiative of all communities in the Mödling district and with the support of the Province of Lower Austria, representatives of the communities and experts from the planning department of the Province of Lower Austria drew up the regional master plan. This plan sets an important milestone for sustainable and coordinated spatial development. The following guiding principles for spatial development were formulated: - The guiding principle for urban development: "Growth yes, but controlled and steered." - The guiding principle for green and open space: "Protect, use, connect, design". - The guiding principle of mobility: "Modal split in favour of sustainable transport modes".

AT4	Infrastructure development and maintenance fee (applied in Upper Austria)	Background: - Development costs come up when the area is developed but the infrastructure fee is paid when owner applies for building permission. - The infrastructure fee is calculated on the base of size of plot etc. but: not on the base of the actual costs. - There is no possibility to force the owners to use the land in line with the land use plan. Only owners applying for building permission could be charged with the communal fee. Thus, there is unused infrastructure capacity that has to be constructed and maintained. (An Austrian study showed that about 1/3 of the fully developed land is vacant.) - As this vacant land is not available for further urban developments the municipalities are forced to zone additional building land in other areas to cover the demand of building land. The Infrastructure fee as applied in Upper Austria aims to reduce fully equipped vacant building land. It has to be paid when infrastructure (street, waste water sewage, drinking water supply) is completed by the land owners with a maximum of 50 m distance to infrastructure, independently whether a building is constructed on it or not. The amount is 20% of the calculated investment costs of the Infrastructure development in the next 5 years. After the five years, the land owner have to pay an infrastructure maintenance fee. When the planning permission is applied, the communal fee is reduced by the amount of money already paid.
AT5	Plan STEP 2005 in Vienna	Ten years of target area management in Vienna based on Urban Development Plan STEP 2005 policy have resulted in favourable developments in the target areas (e.g. the evolution of Danube Canal into a leisure and urban recreation zone or the rapid developments along the U2 axis in the 2nd municipal district Leopoldstadt). The target areas are areas of importance for the city as a whole, where high development potential and/or specific challenges entail complex requirements regarding co-ordination and fine-tuning between actors, and hence generate frame conditions that necessitate particularly close collaboration and consultation between private and public interest groups (municipal departments, land owners, developers, planners, etc.).
AT6	"Vision Rheintal" (Vorarlberg)	The Vorarlberg Rheintal has undergone massive change over the past 50 years. Separated villages and small towns have become an almost closed band of settlements. The demand for space was constantly growing. In 2004, the federal government decided to launch the project “Vision Rheintal” to consider the region as a whole and to tackle spatial planning challenges jointly and across the communities.

AT7	Masterplan - Cooperative spatial concept for the core region of Salzburg	The housing development in the city of Salzburg increasingly leads to shortages and high costs, which lead to migration with undesirable side effects (traffic, environment, consumption of land). A shortage of land and high land prices are pushing settlement development from the inner part of the core region further and further into outer peripheral locations. This will result in an overuse of land. Housing will become a major cost problem for an increasingly large proportion of the population. Traffic will increase; as a result, environmental pollution and land-take will also increase. The Masterplan is intended to provide an overall picture of key development measures for the entire core region on the Bavarian and Salzburg sides until 2030. With the help of the Masterplan the described negative effects should be counteracted and it aims to contribute to a balanced economic, social and environmental development of the region. It provides sustainable measures in the areas of housing, economy, transport, landscape and open space.
BE8	Betonstop: Flanders plan to halt land take by 2050	While the plan adopts a restrictive approach, it may have caused an acceleration of development ahead of the 2040 no take restriction. Oppotunity to study unexpected or contradictory effects.
BE9	Flanders plan to halt land take by 2050	While the plan adopts a restrictive approach, it may have caused an acceleration of development ahead of the 2050 no take restriction. Oppotunity to study unexpected or contradictory effects.
BE10	Ghent traffic calming	Ghent has closed roads between neighborhoods to car traffic. The only way to cross from one to the other is via the ring road. Aim is to enhance liveability and promote cycling and walking.
BE11	Integrated policy planning in Antwerp & Flemish decree on spatial planning	In early 1990s urban planning policy in Antwerp started evolving towards integrated policy planning, with urban development obtaining a key position. Global Spatial Structure Plan for Antwerp - GSA (1990) attempted to promote a new development strategy with intention to halt the process of on-going suburbanization and degeneration of the city. Shortly after, in 1996, a Flemish decree on spatial planning obliged municipal governments to draw up their own spatial structure plans, while urban development became the sprearhead of all other policies.
HR12	Legalization in Croatia	In 2011, new legislation was put in place legalizing irregular developments, particularly second homes. It is unclear whether this has affected the pace of development, accelerating or decelerating it.
HR13	Protected Coastal Area within the Physical Planning Act	Physical Planning Act defines the protected coastal area (PCA) encompassing the area of coastal self-governing units. For the purpose of protection and sustainability of development, the restricted area covering 1000 m wide continental belt (both on terrestrial part and islands) and 300 m wide sea belt measured from coastal line is determined. Certain limitations are prescribed for planning and use of the restricted area. Additional limitations are determined for building within 100 m from the coastal line.

CZ14	Principles of Urban Policy in Czechia	The Czech Ministry of Regional Development produced the Principles of Urban Policy in 2010. It is a framework document that provides guidance and aims to help co-ordinate urban development activities at all levels of government and to link existing sectoral policies with urban policies.
DE18	Plan based on market tools to stop land take	Chance to study neoliberal approaches to containment
IT19	Fiscal taxation	Increased fiscal pressure on buildings has apparently led to a reduction of development pressure. An opportunity to assess the indirect effects of sectoral policies
IT20	3 March 2013 referendum + 2014 revision of the Federal Law of Spatial Planning	In the 2013 referendum, a majority (63%) of the Swiss population voted in favour of a revised Federal Law on Spatial Planning in order to regulate housing development, preserve the landscape and to reduce urban sprawl.
IT21	Law on Building Amnesty	In the last three decades, Italy has adopted at least three Law on Building Amnesty (47/1985;724/1994 and 326/2003) through which remit and legalize hundreds of thousands of buildings (i.e. primary and secondary houses, construction extensions etc.). As a case study it is interesting to explore if "amnesty approach pays or is unsustainable in terms of land use and consumption).
IT22	Municipal Structural Plan	The Municipal Structural Plan (PSC-Piano Strutturale Comunale) has been jointly-adopted by ten Municipalities grouped on the Union of Municipality of Bassa Romagna, in 2009. The plan has two main objectives: contrast the urban sprawl and support sustainable development. By using it as a case study it is possible to understand the efficiency of intern-municipal local plans in dealing with sustainable land use.
IT23	National inner area strategy	The national strategy tries to enhance the sustainable land use within the Italian territory (with particular attention to the inner areas, especially those which present a negative demographic shift)
IT24	Regional Landscape Plan	The plan has been adopted in 2013. As a case study is interesting since it focuses on the management of the landscape Tuscany Region currently under development pressure (infrastructure, real-estate and so on).
IT25	Regional Law on soil consumption (n. 19/2009) in Friuli-Venezia Giulia	The regional Law aims to improve the containment of new soil consumption, through measures that improve e.g. the energy or hygienic-functional quality of buildings, the surfaces or volumes provided by planning instruments.
IT26	Regional Law on soil consumption (n. 65/2014) in Toscana	The Law allows to occupy new non-built land in urbanized areas identified by the structural plan of the municipalities. During the five years following the entry into force of the Law, non-residential transformations outside urbanized areas that involve new land use are only allowed if they receive a favourable opinion from the co-planning conference.
IT27	The zero-growth plan of the municipality of Cassinetta di Lugagnano (MI)	Cassinetta di Lugagnano is the first Italian municipality to have approved (in 2007) a zero-growth urban variant.
NL28	Abolition of buffer zones	The national government has pushed towards the abolition of long-standing buffer zones where development was restricted. The case study would help assessing the effects of de-regulation

NL29	Abolition of buffer zones	The national government has pushed towards the abolition of long-standing buffer zones where development was restricted. The case study would help assessing the effects of de-regulation
NL30	Compact city policy (Vinex) in polycentric region	This is interesting because the policy resulted in mid-density concentric but scattered development in South Holland region. It has some features of "sprawl" but not others. It has excellent bike and transit, but suburban densities and scattered morphology
NL31	Dezoning urban functions via imposed land-use plan	The province of Utrecht has applied its right to make a local zoning plan in an unorthodox manner: to convert unbuilt office zoning back to agricultural. Many of these sites are on highways and are seen as unsustainable. It is an experiment to see whether the province will have to pay damages. By giving a 3 year warning before the plan takes effect, the province hopes to avoid any payment.
NL32	Giving away fixer-upper homes in deprived neighborhoods (Rotterdam)	State-sponsored gentrification. Homes were provided free-of-charge by the city to anyone willing to invest a certain amount in renovation and promising to live there for at least 5 years.
NL33	Goverance in Brabantstad : interurban cooperation to create a cohesive and competitive metropolitan region	This initiative is a partnership to strengthen the functional urban network of cities in the province of Brabant. Much of the cooperation takes places in the physical domain, such as infrastructure and economy
NL34	High density urban expansion	Amsterdam is experiencing reurbanization but with little land to build on within the municipal boundaries. It is opting for high-density housing on brownfields and landfill.
NL35	Peripheral retail (PDV) policy	Since 1973 the Netherlands has applied restrictions of what can be sold by retailers at out-of-town sites. Only shops like car showrooms, furniture, garden centres and DIY are allowed. Supermarkets and clothing is, for example, prohibited.
NL36	Profit-sharing plan for urban development	This is an addendum to the zoning plan called *exploitatieplan* that allows municipalities to reap some of the value increases from local development plans. It is not required, but it can be used in negotiations with developers.
NH37	Red for red policy	This policy allows development in the countryside only if the same floorspace of urban land is deurbanized (demolotion, dezoning). It is applied at the provincial level, e.g. North and South Holland, Brabant
NH38	Red/green contours	These are areas designated in the province of Zuid Holland designed to encourage or discourage growth. They were introduced as national policy, but never implemented nationwide.
NH39	Sustainable urbanization procedure	A rule requiring all zoning plans enabling urbanization to first argue (1) the need for this development (2) why, if on a greenfield, it could not be accommodated in existing areas and (3) if on a greenfield, if it is multi-modal accessible

NO40	Agreements for Sustainable Transport and Land Use in Urban Areas	In order to counteract a further increase in green gas emissions from passenger traffic and limit urban sprawl, the Norwegian government has launched an ambitious policy for urban areas. The National transport plan for 2018-2029, determines a zero-growth objective for passenger car traffic in the larger urban areas.
PL41	Housing policy regulations	Due to undersupply of housing in Poland (deficiency is estimated at ca. 1 million dwellings) successive governments have been introducing regulations aimed at increasing supply in this area in the form of private investments. In the largest cities the regulations have had a substantial impact on land consumption and sustainability of the development. Some controversial solutions show to be favouring developers giving local authorities limited control over sprawling developments.
PL42	Integrated Territorial Investments (ITI)	In Poland this EU instrument is implemented within 17 metropolitan areas and forced cities and surrounding municipalities to collaborate (weak collaboration among municipalities within metropolitan areas in Poland is a major challenge for the effective spatial management). It is very tangible policy instrument: it combines formal development strategy process with the availability of significant funding and governance structures (both top-down and bottom-up models are implemented). Thematic scope of the instrument is very broad and varies among metropolitan areas. However, the most typical areas include: quality and access to public services, public transport and transport infrastructure, environmental issues management. Its effectiveness is varied across metropolitan areas. In the case study we will provide an overall analysis of the instrument, as well as "micro case studies" of its implementation in selected metropolitan areas.
PL43	Poznan metropolitan area planning law	Intensive suburbanisation outside the city's administrative boundaries, residential and industry/services, also in the airport vicinity (despite restrictions)
PL44	Tri-City metropolitan area planning law	Three cities with strong functional and spatial connection, suburbanisation, residential development consuming green areas, including dunes, extensive post-industrial harbour areas that need redevelopment, personal conflict between local authorities hampering collaboration
PL45	Warsaw metropolitan area - planning law and housing policy implementation	The largest metropolitan area in Poland, intensive suburbanisation, also within the city's administrative boundaries, development within aeration corridors and protected and green areas, and also intensive brownfields development. In the case study we will assess how national and local planning regulations - including housing policy instruments - are implemented in a complex system of rapidly developing and sprawling metropolitan area.
SP46	22@Barcelona	22 @ Barcelona project transformed two hundred hectares of industrial land of Poblenou into an innovative district offering modern spaces for the strategic concentration of intensive commercial and knowledge-based activities. This initiative was also a project of urban refurbishment and a new model of city providing a response to the challenges posed by the knowledge-based society. It is the most important project of urban transformation of Barcelona city of the last years and one of the most ambitious of Europe of these characteristics, with a high real state potential and a 180 million Euros public investment of infrastructure plan.
SP47	Coastal Director Plan of Catalonia	The 2005 plan approved a moratory on development in the 500m buffer along the coastline. A chance to explore a coastal setting, the effects of a moratory approach and the politics behind it.

SP48	Huerta de Valencia Spatial Plan	Sub-regional plan with long history in order to preserve a traditional agrarian landscape. Interesting evolution from protection (restrictive) to conservation (prudent and creative use). In coordination with other sectoral and urban plans. Finally this proactive plan takes part of a new Law combining preservation, agrarian-productive use, in a new participatory way, looking for a new model of spatial/regional (economic) development.
SP49	Physical Environment Special Plan Protection (Andalucia Region)	First instrument for protection of open spaces at NUTS 3 level (1980s). Very interesting case due its long life with changes in legislation (environmental as well as spatial and urbanism) in Andalucia context. That implies new relationships among instruments and objectives, affecting impact and efficiency, and conditions for that.
SP50	From Non-Developable Land Law to Green Infrastructure (Valencian Autonomous Region)	Very interesting case, one of the most particular in Spanish context. Spatial Planning is less normatively developed than land use and urbanism laws. Non-developable land is the way, at local level, to promote spatial models while spatial sub-regional plans was absent. Non-developable land could be of two different natures: with special protection (protected natural areas) or common non developable areas (without specific protection rules). Green Infrastructure concept is developed at Valencian Autonomous Region in a very specific way, going forward protected areas to embrace even open urban spaces. Green infrastructure is so not only natural but also forest, agrarian and urban (grey, brown, blue... infrastructure) as territorial matrix-template to determine future urban developments.
SP51	Economica and Commercial Activities Sectoral Plans	After crash of real estate burble in Spain, a way to promote new developments is not housing but facilities for economic, logistic and commercial activities. New regulations and plans are being developed in several autonomous regions on their own (Aragon, Basque Country, Valencian Autonomous Region....). A new opportunity to build new centralities affecting containment initiatives as local mobility plans.
SE52	Referendum to limit land take	In Switzerland they apply a stricter spatial planning law in order to slow down land consumption. According to the law, building zones have to be defined in a way that they correspond to the expected demand for 15 years. Cantonal building zones, which are too big, have to be reduced in size, need an adaptation of their building plans within five years and have to be submitted to the Federal Council for approval. Until approval is granted, a moratorium applies: the total area of the building zones may not be increased in the individual cantons. Further, zoning of new building land is only permitted, if a de-zoning to the same extent takes place at the same time.
UK53	Municipalities resisting national laws	An expansive revision of national legislation is being resisted and overruled by some municipalities that favour containment. Opportunity to explore inter-scalar power struggles and conflicting visions at different levels of the administration.
SE103	Stockholm Urban Containment Strategy	A strategy focusing on containing further urban expansion adopting a comprehensive perspective that gives consideration to economic, social and ecological dimensions. It gives specific consideration to rural land.

DE104	German Land Take Reduction Target	The German Soil Protection Legislation which came into force in 1999 promotes brown field recycling and gives clear regulation on soil clean up. It legally applies the precautionary principle to soils, but in this respect implementation is still weak. The 30 hectares goal successfully builds on the communities of practitioners around the soil issues. The 30 hectares goal illustrates the modality of a National SDS that combines hard regulation with soft policies and with a multi stakeholder approach.

Table 2.2: Longlist of potential case studies suggested by territorial actors' survey

Cs	Name	Country of respondent	Description
52	Revitalization of areas through regeneration of degraded areas in accordance with the integrated development programmes of municipalities	Latvia	The support is planned for the priority public infrastructure investment projects which are defined in integrated municipal development programmes and which are aimed at the promotion of revitalisation of urban environment, renewal of brownfield sites and other degraded territories (i.e. deprived areas)75 which are either planned or used for entrepreneurship in municipalities of development centres of national and regional importance (incl. municipal territories outside the development centre); the eligible expenditure, among other items, will comprise costs associated with construction/ renovation of buildings and equipment (in limited amount). In Latgale Planning Region investments are planned in development centres of national and regional importance (incl. municipal territories outside the development centre and in surrounding municipalities). The revitalized degraded territories will be adapted for developing of new businesses or expansion of existing companies to promote employment and economic activity in municipalities. Compliance with the integrated municipal development programmes, incl. the investment plans, will be set as a precondition for receiving funding from EU funds.
53	Additional floors	Malta	Permission to build two additional floors
54	ALPARC strategic plan	Italy	sustainable land use in agricultural and touristic areas
55	Bjelovar-Bilogora County's Development Strategy	Croatia	This strategy analyses spatial conditions and resources and provides development priorities, while cooperating with local partners.
56	Building Law	Croatia	The Building Law allows building recreation and golf land use outside the
57	building zone transfer	Switzerland	Relocation from development rights in the village centre towards agricultural areas outside of the village
58	City of Helsinki master plan 2017	Finland	Local master plan containing binding regulation to change arterial highways in to urban boulevards, and change modality towards public transport, walking and cycling.
59	Coastal development	Malta	Hotels being given permission to extend footprint on the shore

60	Confort City	Romania	High density residential development in a greenfield area without basic utilities and close to a landfill area
61	decision on development circumstances (on building conditions)conditions	Poland	The decision should be issued to prepare and regulate development where there is no area plan. The idea is to set an area of analysis around a site and prepare conditions of the development for the site similar to what we find in the given area.
62	densification along the Black Sea littoral area	Romania	intensive speculative development in a vulnerable area nearby outstanding natural areas
63	Eco-points, Eco-accounts accounts and land pools	Luxembourg	Compensatory principle: Land that is used for infrastructure and building projects is compensated by the restoration of natural habitats
64	Electric cars subsidies	Other	Strongly positive economic incentives for electric cars at national (taxes) and local level (road pricing)
65	environmental assessment	Slovenia	environmental assessment
66	Federal Act on Spatial Planning	Switzerland	The act regulates spatial planning on the national level and gives guidelines to the cantons , who are in charge of implementing spatial planning (https://www.admin.ch/opc/en/classified-compilation/19790171/index.html)
67	Government - municipality urban agreements on land use, housing and transport.	Finland	Funding and development agreement on following five years development concerning land-use, housing and transport.
68	Housing arrangements	Croatia	Ministry of territorial governance are providing housing in empty apartments and houses for privileged rent prices and possibility of buying the housing unit after a certain period of years.
69	Impuls Innenentwicklung / Impulsion Développer vers l'intérieur	Switzerland	A national subsidy passed by parliament in 2016 to aid the implementation of urban intensification (as intended by the revision of the Federal Act on Spatial Planning) for a duration of 4 years (until 2020). It encompasses a subsidy of 550'000 Swiss francs, which is mostly intended for use by a national planning association named EspaceSuisse, who has the task to strengthen its consultation activities, offer further education and provide a collection of best practices.
70	Law on Territorial and Urban Planning, after 1990	Romania	responsible management of natural resources and environmental protection

71	Law on the systematization of the territory and of the urban and rural localities (58/1974)	Romania	The judicial organization of the territory of Romania, of the counties and municipalities, rural and urban localities, functional zoning on how to use it land, establishing the height regime, building density, population density, a planted and recreational areas, equipping with social-cultural facilities, technical-technical works and communication and transport ways, preserving and improving the environment, putting value of historical and art monuments and historic sites.
72	limiting the expansion of building areas	Croatia	Imposing restrictions more stringent than those contained in the law to limit unwarranted extension of building areas.
73	Minimum parking	Romania	Requiring developers to include off-street parking regardless of urban context.
74	National land use guidelines	Finland	Government decree on national land use guidelines must be taken in to account in regional and local spatial planning.
75	National Policy of territorial development	Czech Republic	The Policy sets national priorities of sustainable development that must be followed in all planning instruments as well as in decisions on urban change (planning permissions). Examples of the priorities: support for polycentric development; prevent from social spatial segregation; water retention; permeable landscape.
76	Physical Planning Act	Croatia	This law contains restrictions in land use (building) outside settlement borders, regulates terms and conditions of further spreading of the settlements, protects sensitive areas such as maritime or those under protection (nature and heritage) etc.
77	Plan de Acción para la Implementación de la Agenda 2030 para el Desarrollo Sostenible	Spain	Political committee for the evaluation and reform, if needed, of the actions and plans adopted in the context of the ODS (sustainable development goals) of the UN.
78	Plan de Ordenación del Territorio de la Aglomeración Urbana de Granada	Spain	Propose an orderly restructuring of the urban area, in order to promote the internal cohesion of the region
79	Principles of territorial development of the Hradec Králové Region	Czech Republic	http://up.kr-kralovehradecky.cz (only in the Czech language)
80	Proof of need to zone new buildable areas	Czech Republic	When zoning new buildable land, the need for new land (and formerly impossibility to use currently zoned buildable land) needs to be proved according to the Building Act
81	Protection of agricultural land	Czech Republic	According to the law, first and second best quality of soil out of 5 quality categories can be used for building only if other public interest prevails above the public interest to protect soil
82	protection of historically important settlement structures	Switzerland	protection of places of general interest / historical importance; restricts new constructions or changes of the existing structures

83	Re-Block project	Italy	Local Action Plan for urban regeneration
84	Regional Energy Concept of the Hradec Králové Region	Czech Republic	Concept evaluates the usability of renewable and non-traditional energy sources (biomass, biogas, use of solar energy, use of water flows, use of wind energy, energy environment, waste heat), etc.
85	Resort Rânca	Romania	Speculative winter resort development affecting the landscape and the natural environment
86	Revision of spatial planning legislation	Switzerland	New guiding principle: densification
87	rezoning	Switzerland	Reduction of oversized building zone
88	Secondary homes	Switzerland	LAU with over 20% secondary home cannot build anymore secondary homes
89	Spatial Plan for Dubrovnik-Neretva County	Croatia	This plan regulates interventions referring to land us on county level, providing guidelines for more detailed planning on local level.
90	Spatial Plan of Primorje-Gorski Kotar County (year 2000)	Croatia	Spatial Plan of Primorje-Gorski Kotar County (year 2000) set the criteria for determining the size of the building areas of settlements in each administrative unit. The basis for the sizing of the maximum building areas was the population projection of County residents in 2015. The maximum surface area of the building areas of settlements in each municipality or town was derived from the projected population of the municipality and the minimum density of the inhabitants of the urban area.
91	Spatial Plan of Primorje-Gorski Kotar County (year 2013)	Croatia	Spatial Plan of Primorje-Gorski Kotar County (year 2013) set the criteria for positioning the building areas in relation to the assessment of the sensitivity of a space. Sensitivity is assessed in conjunction with the starting points and goals of the conservation and protection of a space. The basic components of the space which are assessed are: the water, sea, forest, the soil and particularly valuable areas of nature. The result of the assessment is a map of the limitation of construction (map of sensitivity). The map of sensitivity of the space is the base for the determination of new construction areas in the spatial plans of municipalities or towns.
92	Spatial Plan of Primorje-Gorski Kotar County (year 2013)	Croatia	Spatial Plan of Primorje-Gorski Kotar County (year 2013) set the criteria for possibility of expanding building areas of settlements in municipalities in such a way that the total surface of building area of settlements may be expanded up to a maximum of 20% of the surface area of total built-up part, and only if that part exceeds 80% of the surface area of the total building area in the municipality.

93	Strategic Framework Czech Republic 2020	Czech Republic	Strategic document (approved by national government 2017) following the SDGs of UNO.
94	Strategy of integrated cooperation on Czech - Polish border	Czech Republic	http://4cbc.eu/en and http://esus-novum.eu
95	Street standards for cars	Romania	Requiring specific design parameters aimed at improving traffic volume regardless of urban context.
96	Swiss Agglomeration Programmes	Switzerland	policy that intends to better coordinate housing and transportation developments within functional urban areas (overcoming borders between municipalities)
97	Thematic emphasis site development and site management within the new regional policy (NRP) programme	Switzerland	With the New Regional Policy (NRP) both the federal government and the cantons support mountain and border regions as well as rural areas in coping with changes in economic structures. Each canton has a unique implementation programme for each programme period. For the period of 2016 to 2019 the canton of Lucerne included a thematic focus point for site development and site management, in order to facilitate the implementation of urban intensification processes in its municipalities and aid sustainable land use development.
98	town of Siewierz	Poland	A new development done according to rules of new urbanism
99	Value capture	Other	Tax on planning gains
100	Zelená úsporám / Green for savings	Czech Republic	Subsidies for energy savings in buildings and water retention in residential areas.
101	Zoning for separate uses	Romania	Requiring the segregation of plot uses, usually single-use zoning.

2.3.2 Analysis of candidates

All cases in tables in tables 2.1 and 2.2 were assessed against a set of paramaters go guarantee their diversity and representativity of the different realities in the European space. Table 2.3 presents the synthetic results of an assessment matrix based on these parameters for 21 pre-selected case studies.

Table 2.3: Shortlist of candidate case studies and characterisation

	13 CS from partner suggestions													**8 CS from territorial actors' survey**							
	AT6	**BE11**	**HR13**	**IT22**	**IT25**	**NL336**	**NL339**	**PL422**	**PL444**	**SP48**	**SP48**	**SE103**	**DE104**	**52LV**	**57CH**	**62RO**	**67FI**	**74FI**	**81CZ**	**88CH**	**101RO**
TYPES OF AREAS																					
URBAN MONOCENTRIC		X						X		X		X	X	X		X	X	X			

URBAN POLICENTRIC	X		X	X		X	X	X	X		X		X		X					X
URBAN-RURAL				X				X		X	X		X		X				X	X	
RURAL					X						X		X		X				X	X	
FUNCTIONAL AREAS	X			X				X		X	X		X	X							
COASTAL AREAS			X	X	X				X	X	X		X			X					
MOUNTAIN REGIONS	X										X		X		X					X	
PERIPHERAL-BORDER									X		X					X	X	X			
INTERNAL CROSS-BORDER	X	X			X						X		X				X	X			
DENSITY																					
HIGH DENSITY	X	X	X			X	X	X	X	X	X	X	X	X		X	X	X	X		X
LOW DENSITY				X	X		X	X			X		X		X		X	X	X	X	
LAND USE TREND																					
PRO-GROWTH						X		X	X					X	X	X	X				
CONTAINMENT	X	X	X	X	X		X	X		X	X	X	X					X	X	X	X
EU REGIONS																					
ATLANTIC											X										
NORTHWEST		X				X	X						X								
BALTIC SEA								X	X			X	X	X			X	X			
MEDITERRANEAN AREA			X	X	X					X	X										
CENTRAL EUROPE								X	X							X			X		X
DANUBE AREA													X			X			X		X
ALPINE SPACE	X												X		X					X	
BALKANS																					
MAIN SPATIAL PLANNING TRADITIO																					

N																				
URBANISM				X	X					X	X			X						
LAND USE	X	X	X											X						
REGIONAL ECONOMIC DEVELOPMENT								X	X							X			X		X
INTEGRATED PLANNING						X	X	X	X			X	X		X	X	X	X	X	X	X
STATE MODEL																					
Centralized			X					X	X					X		X			X		X
De-centralized Local						X	X					X		X			X	X	X		
Regionalized + Constitutional Regions				X	X			X	X	X	X										
Federal	X	X											X		X					X	
SCALE/LEVEL																					
National							X						X					X	X	X	X
Regional (NUTS2)	X		X		X					X	X										
Local Level NUTS3)			X		X		X				X				X						
Supramunicipal Level - Grouping (LAU1)				X			X	X	X	X											
Municipalities. Local Level (LAU2)				X		X	X		X	X		X		X		X	X				
Cities		X		X		X			X			X		X			X				
LEVEL OF SUCCESS (ESTIMATED)																					
UNSUCCESSFUL										X						X					X
MIXED	X		X	X	X	X	X	X	X	X	X	X			X			X	X		
SUCCESSFUL		X									X		X	X			X			X	

2.3.3 Final selection (10), reserves and the Swiss case

The final selection of 10 CS to be developed in the project was as follows:

Code	Intervention
NL39	Sustainable urbanization procedure
SP48	Huerta de Valencia Spatial Plan
IT22	Municipal Structural Plan
SE103	Stockholm Urban Containment Strategy
AT6	"Vision Rheintal" (Vorarlberg)
HR13	Protected Coastal Area Within the Physical Planning Act in Croatia
BE11	Integrated Policy Planning in Antwerp & Flemish Decree on Spatial Planning
62RO	Densification along the Black Sea Littoral Area
PL42	Integrated Territorial Investment
DE104	German Land Take Reduction Target

In addition, four case studies were selected as suitable replacements should for any reason one of the ten selected cases could not be studied. Each replacement could fill in for a case study of similar characteristics and interest. They were the following:

Code	Intervention
SP49	Physical Environment Special Plan Protection (Andalucía Region)
IT25	Regional Law on Soil Consumption in Friuli-Venezia Giulia
88CH	Secondary homes
52LAT	Regeneration of degraded areas

It is worth mentioning here that, when the development of the 10 CS was ongoing, the project incorporated an 11th case study, which was deemed of interest to increase the quality of the sample. The case was identified as:

Code	Intervention
CH	Revision of the Swiss Spatial Planning Law, focus on Canton Aargau

The final selection of cases ensures an even spatial distribution, as illustrated in Figure 2.1 and Figure 2.2.

Figure 2.1: Spatial distribution of selected case studies (national level)

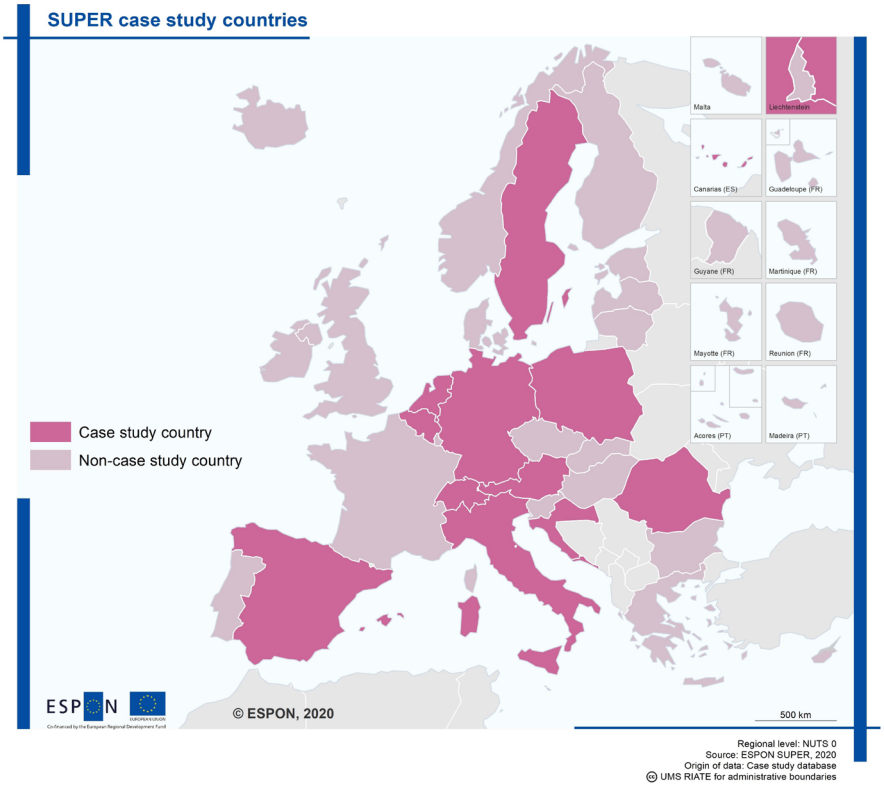
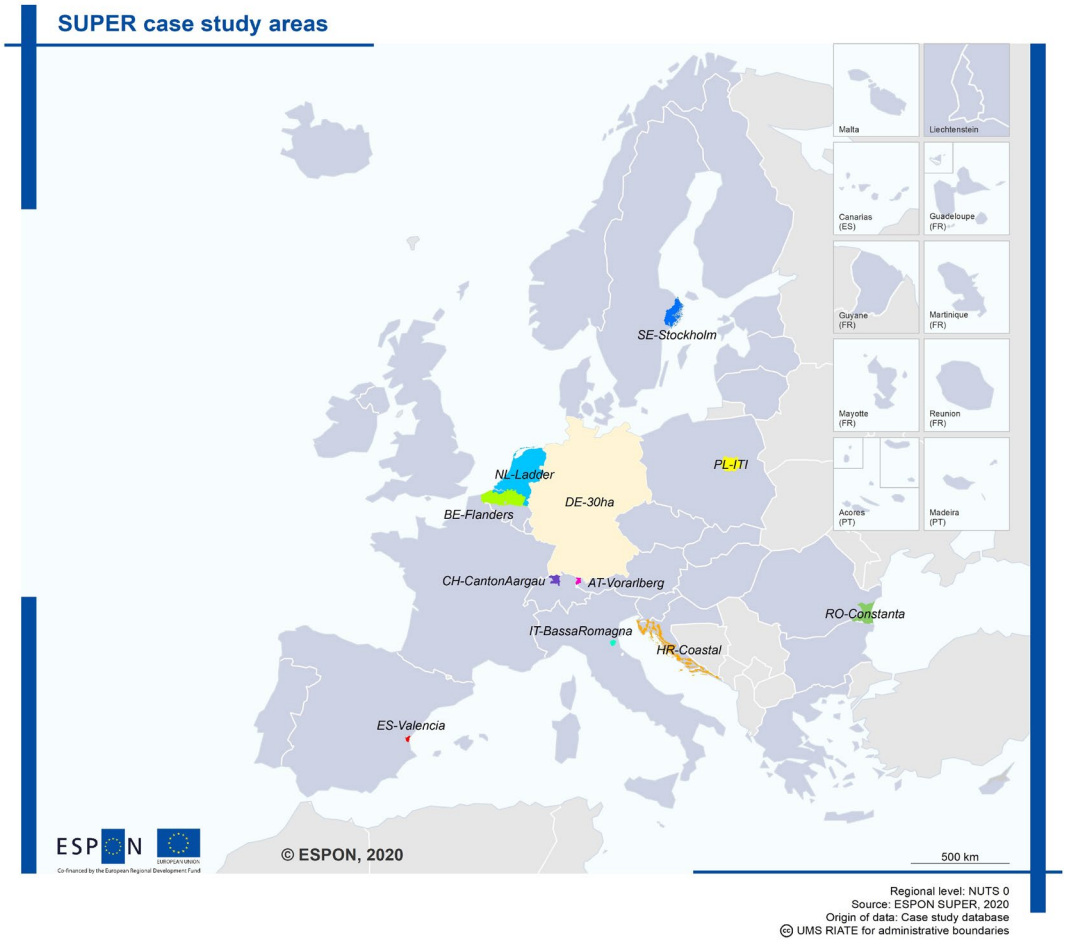


Figure 2.2: Spatial distribution of selected case studies (level of intervention)



3 Case study methods

3.1 Case study aims and scope

Despite living in the age of big data, the social sciences still benefit from case study methodologies in a variety of ways. Defined by Feagin et al. (1991) as an “in-depth, multifaceted investigation conducted in great detail and relying upon a variety of data sources”, they allow the grounding of observations and concepts about social action and structures within spatial settings (as explained in section 2 of this document). Case studies benefit from a variety of qualitative and quantitative research methods to triangulate results from different sources (Yin, 2013). Spatial and urban planning research has often relied on case studies to develop new insights into how societies shape both their territories and institutions, always extracting valuable lessons for the future (Castree, 2005; Farinós Dasí and Peiró Sánchez-Manjavacas, 2018; Salet et al., 2003).

In ESPON SUPER, the aim of developing case studies is to make visible the sets of local-based practices that lead towards the implementation of specific interventions, their form and, ultimately, their degree of success. Too often, in the context of spatial policy and planning, the local practices that determine the long term trajectory of the territories and their land uses are defined as “black boxes”, owing to the lack of knowledge regarding how decisions are made (Allmendinger, 2016; Healey, 2006). Rather than resulting simply from shortcomings in democratic transparency or organizational coherence of institutional structures, this is the result of the inherent complexity of territorial governance practices. They usually involve several stakeholders with diverse -often clashing- interests, and an uneven distribution of power to advance these interests or of the capacity to influence other subjects (Foucault, 1984; Swyngedouw, 2006). While it is widely acknowledged that institutional actors have a central role in land use decision making, scientific research has proved the influence that other groups may exert, either informally (lobbying, protesting, etc.) or normatively (through public consultation, participation processes, etc.) (Healey, 2006; Ostrom, 2009). The needs, demands, perceptions, knowledge and actions that these groups articulate, as well as the stable or transient relationships that they forge (collaboration, coordination, alliance, conflict, etc.) all shape policy making (Few, 2002; Robbins, 2012). Therefore, to disentangle how decisions are made within the case studies, a characterization of the contextual policy and land use conditions prevailing in the area is important, but not sufficient. It must be complemented with an identification of the institutional and non-institutional stakeholders who were involved in pursuing, designing and implementing the local intervention (also those who were neglected) and an understanding of how they interacted with each other in the process.

It is expected that uncovering the complexities of local-based practices and assessing their results in terms of land use outputs in a variety of territories, sociological settings and scales will facilitate the identification of key drivers, insights on their functioning and the formulation of recommendations for best practice.

3.2 Case study methodological justification and overview

Given the aforementioned aims and expectations, Stakeholder Analysis (SA) offers a suitable theoretical and methodological framework to guide the exploration of the case studies. Originally developed in the context of private firm management, stakeholders were defined by Freeman (1984, p. 46) as “any group or individual who can affect or is affected by the achievement of the organization's objectives”. Since then, stakeholder theory has evolved and has also been successfully applied to the public realm of policy making, governance, environmental management and spatial planning, among others (Flak and Rose, 2005; Grimble and Wellard, 1997; Hermans and Thissen, 2009; Reed et al., 2009). In their thorough review, Brugha and Varvasovszky (2000) state that “Stakeholder analysis aims to evaluate and understand stakeholders from the perspective of an organization, or to determine their relevance to a project or policy. In carrying out the analysis, questions are asked about the position, interest, influence, interrelations, networks and other characteristics of stakeholders, with reference to their past, present positions and future potential”. Extensive scientific literature provides methodological advice and guidance on using SA (Brugha and Varvasovszky, 2000; Mitchell et al., 1997; Raum, 2018). Some of this literature is specifically focused on stakeholder identification and analysis techniques in the field of public policy and planning evaluations (Bryson et al., 2011; Hansen and Vedung, 2010), and has been used to develop the SUPER case study methodological framework. SA methods strongly rely on the qualitative analysis of data collected from interviews, grey literature and media, often coded and processed using Computer-Assisted Qualitative Data Analysis Software (Creswell, 2013).

Together with SA applied to the evaluation of the case study interventions, special attention has been given to fully investigating the relationships between the involved stakeholders that underpin the development of each local set of practices, as well as the institutional framework and spatial context where they take place. In its theoretical foundations, Social Network Analysis (SNA) assumes that relationships among interacting units in a system are important for its future development (Wasserman and Faust, 1994). In the field of spatial planning, it purports that informal decision-making arrangements and the involvement of non-state actors are crucial aspects of policy-making (Adam and Kriesi, 2007). Thus, SNA becomes a natural fit within the scope of the SUPER case study approach. In fact, authors like Reed et al. (2009), consider SNA as a methodological step within SA that supports the investigation of relationships between stakeholders. The analytical toolkit of SNA aims to model these structural patterns as networks of nodes (actors) and ties (relationships) -often with the use of specialised software- to support topological representations and the systematic calculation of quantitative metrics (Dempwolf and Lyles, 2012). These metrics indicate the relative position (centrality vs periphery, betweenness) and weight (influence) of each stakeholder in the actor map (Bodin and Crona, 2009; Borgatti et al., 2002; Freeman, 1978). Of particular value is the identification of key highly influential and interested stakeholders (groups of interest, community organizations, financial institutions, etc.) and alliances whose interests were best served by the intervention (Colvin et al., 2016; Mitchell et al., 1997). Accordingly, their

interests were likely to represent the main drivers for implementation. Additionally, flexible configurations of the actor cartography and the use of symbology to represent variables may facilitate the interpretation of stakeholders' interest geometries in relation to a variety of assessed opinions and reported perceptions (Lienert et al., 2013; Marshall and Staeheli, 2015). Within the SUPER framework, this property facilitates the integration of SA and SNA in order to produce qualitative, quantitative and cartographic results that enable a comprehensive understanding of the drivers intervening in a case study (see, for instance Caniato et al., 2014; dos Muchangos et al., 2017; Lienert et al., 2013).

The use of SA and SNA in each case study will bring light into the complexities of intervening in specific settings. However, the case study working package of SUPER would not be complete without a comparative evaluation across all case studies aiming to identify transversal patterns, transferrable learnings and to potentially generalize the results (Yin, 2013). This meta-analytical task will be an eminently qualitative effort of cross-comparison of matrices, actor maps and case study reports (Creswell, 2013). The Qualitative Comparative Analysis (QCA) theoretical and methodological set has been chosen to provide the approach and tools at this stage, as it is specifically suited to address the construction of new theory, building on the systematic comparison of case-study results in the broad field of the Social Sciences (Berg-Schlosser et al., 2009; Schneider and Wagemann, 2012). The effectiveness of this approach will be maximized by the fact that all case studies, in spite of local specificities, will be coordinately explored using common methods and shared understandings.

3.3 The case study methodological framework step by step

Figure 3.1 provides a visual synthesis of how the methodological framework will be developed, including the data inputs that will be required in each step, the expected outputs, the connections and flows between them and a distribution of duties among the different sub-teams. At the broadest level, the framework is divided into 3 successive stages (read from top to bottom in Figure 3.1), each further expanded into a variable number of sub-stages and tasks within each sub-stage.

3.3.1 Stage A

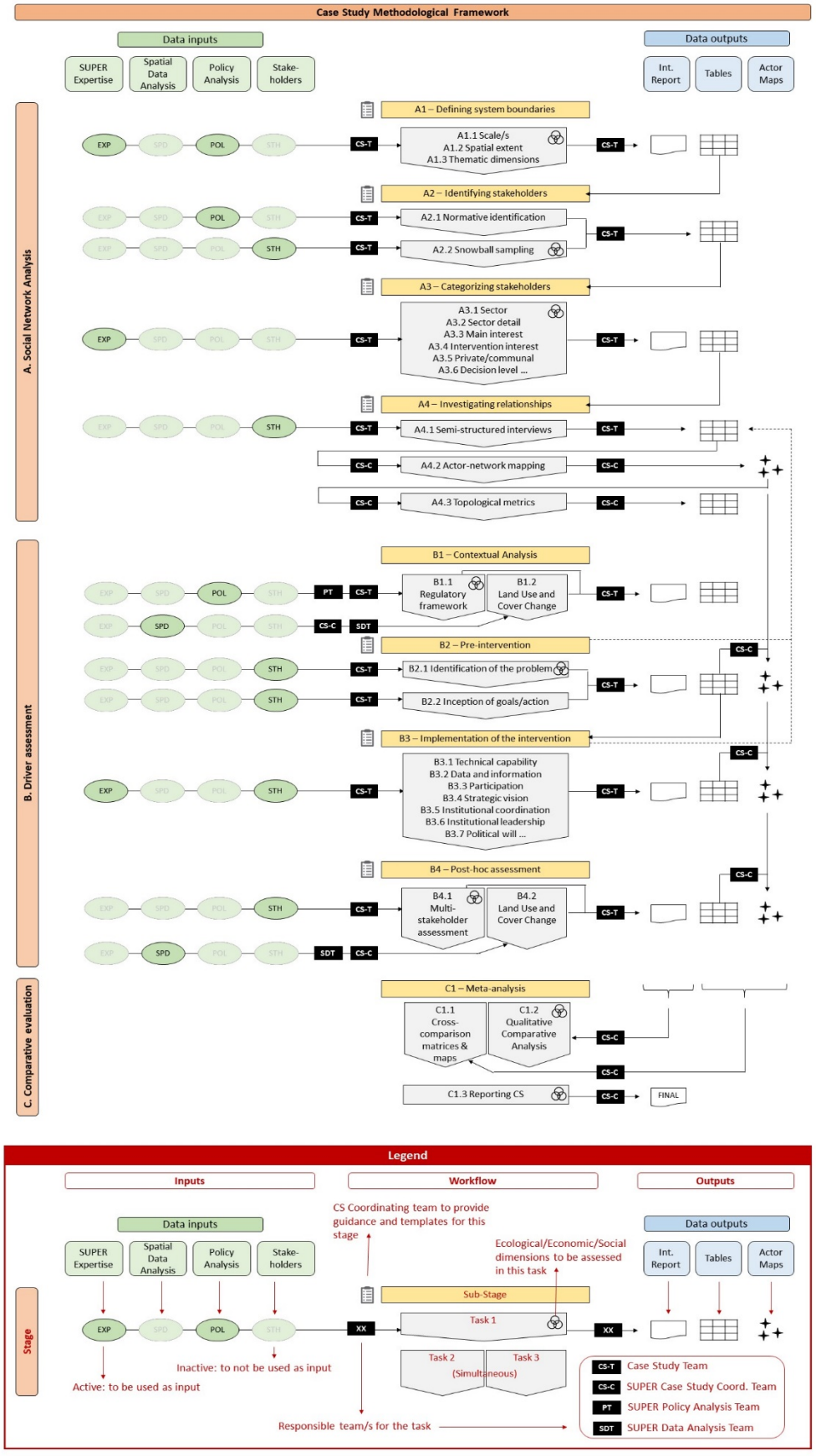
The first stage (Stage A in Figure 3.1), is the development of the SNA for each case study, by an assigned case study team and the coordinating team in the last stages. Following the recommendations from the literature, Stage A is divided into 4 sub-stages. As indicated in the figure, teams involved in all sub-stages of stage A will receive specific guidance documents and templates from the case study coordinating team.

In the first sub-stage (A1), the system that is involved in the studied intervention will be defined and characterized. Documental analysis of relevant policy, coupled with the expertise

of the leading team, will enable the determination of the spatial extent of the intervention (the boundaries of the system) and the completion of a table inductively identifying all the relevant scales that participate or receive the impacts of the intervention (rows), as well as the thematic dimensions involved (environmental, financial, political, etc.).

The resulting matrix will become the template to be filled in sub-stage A2, with all the stakeholders that are identified in a succession of two tasks. First, the revision of policy will single out the stakeholders that are normatively related to the intervention, and a snowball sampling effort will facilitate the discovery of other groups that were not formally involved in the normative process.

Figure 3.1: Methodological framework



In sub-stage A3 each stakeholder will be characterized according to a pre-defined set of variables that will later on be used to test alternative geometries of interests, preferences and perceptions in the social network. In case of very broad case studies, these variables might also be used as the basis to pursue a dimensionality reduction. The list of proposed variables is susceptible to being expanded by case study teams if new attributes of analytical interest emerge from stakeholder consultation. At the least, categories include the broad sector of the stakeholder (e.g. Civil society), a more detailed sector description (e.g. Environmental NGO), the area of interest of the stakeholder (e.g. Environmental protection), its interest in the studied case (e.g. to prevent soil sealing in the threatened north-western sector of the city), its sphere of action (communal or private) and the scale at which it makes decisions (e.g. Province). Teams will produce a short report presenting the stakeholders, their characteristics and any additional observations that are deemed necessary to understand their role or their inclusion in the case study.

The highest workload in stage A is placed in sub-stage A4. Task A4.1 requires to conduct semi-structured interviews to all stakeholders identifying and characterized in previous sub-stages. The interviews will combine closed questions, Likert-type rating scales and open questions with the goal of identifying the type and intensity of relationships that each stakeholder has with the rest. Interviews will be audio-recorded and used to fill in actor-linkage tables. These tables will be strengthened and completed with observations recorded in sub-stages B2 and B3 that might contribute new insights into the relationships between actors. The resulting matrices will be passed on to the case study coordinating team for SNA mapping (task A4.2) and the measurement of quantitative indicators of topological structure (task A4.3). These two tasks will be seamlessly developed with UCINET software, one of the most popular suites for SNA, equipped with network data visualisation and metric calculation modules (Borgatti et al., 2002). The outcomes will be presented as actor maps and graphics.

Actor maps for each CS will be divided using the modes of interaction: Cooperation, Negotiation, Pressure, Conflict or None. Each mode of interaction will be the base for drawing the graph of relationships. The software's own algorithm will draw the most connected nodes to the centre and the least connected nodes to the periphery. Node sizes will depend on the quantity of the relationships but, in order to avoid the weight of the stakeholders interviewed, the index of centrality indegree will be used. This index works considering only the interaction mentioned by others, not any interaction mentioned by itself. After the graph is drawn, it will be characterized by using the actor constellation information: Sector, Sub-sector, Private/public, Decisional level or Main interest. In addition, plots will be generated using a spreadsheet program to represent the values of affectedness and influence of each stakeholder group.

3.3.2 Stage B

In a second stage (Stage B, Figure 3.1), each case study will delve into the detailed assessment of the intervention process. Largely relying on information provided by the previously identified stakeholders and making use of the results from stage A, this step will allow each case study team to gain a better understanding of how the underlying drivers shaped decision-making and determined its effectiveness. The envisaged four sub-stages replicate the ordinal development of the intervention. The development of sub-stages B2, B3 and B4 will be aided and guided throughout by documentation provided by the case study coordinating team.

In sub-stage B1, the contextual setting in which the intervention took place will be explored from two complementary perspectives. In one task, the regulatory framework of the local setting will be assessed and presented. This will be developed, whenever possible, by downscaling the results of previous work packages, supplemented by policy analysis at the local level by the team responsible for the case study. Figure 3.1 highlights how this task must take into account all the dimensions of sustainability. In a parallel task, pre-intervention land use maps and quantitative indicators will be downscaled by the relevant team and further refined by the case study coordinating team. The case study team will be responsible for the generation of a report synthetizing the contextual environment in which the intervention took place accompanied by tables with relevant quantitative indicators of land use and land use and cover change. The remaining sub-stages will largely rely on semi-structured interviews with stakeholders and their audio-taping as input data.

Sub-stage B2 will explore how stakeholders acted in this context prior to the intervention. In task B2.1, questions will assess the motivations of the actors to be involved in the intervention, their perception of its need and urgency, their opinions on the problems that they perceived in need of tackling and so on. Similarly, in task B2.2, the origin of the intervention will be explored by consulting the stakeholders on who launched the initiative, under what pretext, how was it organized, with what goals, etc. Answers in sub-stage B2 will be systematically transferred to standard tables shared with all case study teams by the coordinating team. Once collected, these tables will be used by the case study coordinating team to generate new actor maps reflecting the gathered data. A digestion of the results will be presented as an internal report by each case study team.

In accordance with the perception of each stakeholder regarding the objectives of the intervention, sub-stage B3 will record their observations on how each action was developed, with special attention on good practices or opportunities offered by the intervention that were seized and poor practices or barriers that were encountered. The implementation of the intervention will be dissected across the thematic division proposed by Mashiri et al. (2017) and designed for measuring spatial planning outcomes. Their classification addresses technical capability, data and information, participation, strategic vision, institutional coordination, institutional leadership and political will, but is subject to be eventually expanded

in the light of preliminary results. Outputs of sub-stage B3 will be processed and presented in the same way those in sub-stage B2 were.

Sub-stage B4 will focus on the assessment of the results (or lack of) produced by the studied case. Each team responsible for a case study will interview the stakeholders querying for their assessment of the performance of the intervention in all relevant dimensions, whether these fall within the range of interests of the stakeholder or not (task B4.1). Concurrently, the team in charge of spatial data, with the support of the case study coordinating team, will assess the recorded impact of the intervention on land use and cover changes (task B4.2). The results of this sub-stage will be presented in tables to be duly incorporated into the actor-mapping exercise by the case study coordinating team and, with all these outputs, each case study team will produce a report offering their expert interpretation of the findings and the drivers that explain them.

3.3.3 Stage C

The third and last stage of the case study working package, the comparative evaluation, will be the full responsibility of the case study coordinating team. The meta-analysis will consist of two analytical tasks and a descriptive one. In task C1.1, the matrices and actor-maps produced in all the case studies will be brought together for cross comparison and statistical tests of correlation. Nevertheless, the confidence of the team is that task C1.2 will offer more meaningful results. A QCA, supported with the use of MAXQDA software, will be used to code and systematically compare the results of the different case studies reported in the internal reports to identify and explain patterns in the data, common drivers and causal links between contextual variables, the interventions and their effects. The outputs of this task, together with the theoretical constructs and generalizable best practice suggestions emanating from it, will become the central body of the report to be curated in task C1.3.

It must be noted that, while the workflow has been presented as a step-wise approach, limited resources and efficiency advise that each case study team will consult stakeholders only once and will carry out all data gathering tasks (A2.2, A4.1, B2, B3 and B4.1) in a single meeting. These tasks must be developed in the subsequent four months after the provisions in the Inception Report are final and the necessary guidance has been distributed by the case study coordinating team.

4 Case study guidelines

The following text is a reproduction of the case study guidelines that were distributed to each ESPON SUPER team ahead of developing the cases.

SUPER Case Study Guidelines

This document will aid ESPON SUPER CS teams by:

- Outlining the step-by-step research procedure to successfully complete each CS
- Clarifying the meaning and intent of the tasks involved in each stage
- Estimating the expected workload in each stage
- Contributing to a common understanding of key goals, concepts and methods
- Presenting the supporting materials (provided separately) on which each team will rely to collect and process data
- Listing the expected outputs and (together with the templates) offering advice on their format and content
- Imposing formal rules on the systematic delivery of outputs

For a general understanding of the CS strategy, teams are advised to consult the Case Study Methodological Framework, as presented and described in the Inception Report [Figure 1.1 in the Interim Report Annex 4]. For greater convenience, the figure has been distributed as an attachment to this document (v. “CS_Framework.pdf”). You may note that minor modifications were introduced to overcome small methodological challenges and to simplify the overall workload.

For an overview of the calendar that ESPON SUPER is committed to adhere to in the development of the CSs, see the attached file “CS_Schedule.jpg”.

Notations for stages (A, B, C), sub-stages (A1, A2, A3…) and tasks (A1.1, A1.2, A1.3…) in the schedule and in this document follow the conventions used in the aforementioned framework.

In tune with this approach, the guidelines provided here are structured following the pattern sketched in the methodological framework, for all sub-stages and tasks in which CS teams are directly involved (CS-T label in the framework) and guidance is indicated to be provided by the coordinating teams (icon in the framework).

For stages, sub-stages and tasks in which no guidance is provided (i.e. B1.1, B1.2, B4.2, C), the CS coordinating team will consult the involved teams and will be in charge of contacting CS teams when a strategy has been defined.

Some tasks in these guidelines should be developed synergistically, others iteratively, so it is advisable that teams or team leaders carefully read this document to internalize the big picture of the work before their job begins. Nonetheless, the organization of the tasks is relatively lineal, and it requires to begin with sub-stage A1 before successive sub-stages can be started.

Most importantly, interviewing should not begin at least until task A2.1 (normative identification of stakeholders) is completed, and work on A2.2 (snowball sampling) and A3 (stakeholder characterisation) has begun.

At the end of each sub-section of this document, teams can find a table summarizing the expected outputs of each sub-stage and an estimation of the workload.

In most cases, these outputs are the result of filling-in tables and templates that are provided as attachments to this document. Teams should complete these files within the deadlines provided in the schedule and upload them to the SUPER cloud (https://bscw.bund.de/).

The names of the files should be adapted to identify the corresponding case study by replacing the suffixes “template” or “****” with the CS code as defined in Annex 2 to the Inception Report (e.g. “A1_REP_NL39.docx”):

NL39	Sustainable urbanization procedure
SP48	Huerta de Valencia Spatial Plan
IT22	Municipal Structural Plan
SE103	Stockholm Urban Containment Strategy
AT6	“Vision Rheintal” (Vorarlberg)
HR13	Protected Coastal Area Within the Physical Planning Act in Croatia
BE11	Integrated Policy Planning in Antwerp & Flemish Decree on Spatial Planning
62RO	Densification along the Black Sea Littoral Area
PL42	Integrated Territorial Investment
DE104	German Land Take Reduction Target

At the end of this document, a checklist of inputs and outputs is provided. Please make sure that all the inputs are available to you.

After completion of the CS, please also use this list to ensure that you have uploaded all deliverable outputs.

Contact UVEG:

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4.1 A. Social Network Analysis

CS Teams will not be responsible for conducting the Stakeholder / Social Network Analysis per se, but are entrusted to collect all the relevant information that will enable a proper definition of the problem (A1), an identification of the involved stakeholders (A2), their characterisation (A3) and the identification of the relationships that may exist between them (A4).

4.1.1 A1 Defining system boundaries

Using the studied intervention as the basis, CS teams must identify the scale, geographical scope and thematic and temporal dimensions involved.

A1.1 Scale/s

The scale of the case study is not necessarily the same as the extent of the intervention (for this purpose, see A1.2). In most –if not all– cases, an intervention will involve regulations, stakeholders, and impacts at a variety of scales. This is particularly true of interventions designed at smaller scales (e.g. influenced by regional and national levels), whose influence scales up once they are deployed at larger scales, insofar new institutional and non-institutional stakeholders become engaged with the intervention and its effects. On the other hand, interventions set at scales closer to the local level (e.g. municipal plan), are also developed within a framework of more general regulations, involving, for instance, upper levels of the administration or being confronted by regional or national actors.

For this task, it is important to identify the main scale at which the intervention is designed and implemented, but also all other relevant scales involved. The identification of the stakeholder ultimately responsible for the intervention might be very telling in figuring out the main scale of the case study.

To aid the teams in this task and to homogenize the use of the nomenclature among teams, we suggest to use the following template, filling a single cell in the “Main scale” column, and as many as necessary in the “Other scales” column.

Table 4.1: Scales

Scales	Main scale	Other scales
Supra/Trans-national		
NUTS 0		
NUTS 1		
NUTS 2		

NUTS 3		
LAU1 – NUTS 4		
LAU2- NUTS 5		
Infra-LAU2		

***Example**:*

The table should be filled-in by inserting in the appropriate cell the name of the corresponding unit for the case study, in English (if a translation is available). For instance, the table for a fictional case study in which the city of Frankfurt am Main, in Germany, implemented an intervention that affects a specific suburb, with technical support from offices in the administrative region, and received funding from the State but not from the Federal Government should look like this:

Scales	Main scale	Other scales
Supra/Trans-national		
NUTS 0		
NUTS 1		Hessen
NUTS 2		Darmstadt
NUTS 3		
LAU 1-NUTS 4		
LAU 2-NUTS 5	Frankfurt-am-Main	
Infra-LAU		Sachsenhausen

As a follow-up to the example, if the German NGO *Bund für Umwelt und Naturschutz Deutschland* opposed the project, then the cell "Other scales" for NUTS 0 should be filled in with "Germany". If, furthermore, Friends of the Earth Europe also expressed concerns about the project, then there's a case for filling-in the Supra-national cell in the same column with the text "Europe".

As shown with this example, it is possible that the table cannot be completely filled-in until later on in the research, when interviews have been made and snowball sampling might have revealed the involvement of unforeseen stakeholders. Therefore, it is recommended that teams take an iterative approach to completing this task.

Outputs	A1.1

-

- A1_REP_****.docx: Subsection A1.1, fill-in the table and develop a brief rationale (≈100-500 words)

Workload	1 hour

A1.2 Geographical scope

The spatial extent of each studied intervention will be indicated in the accompanying A1 report. Teams may indicate a "surrounding area" that receives effects from the intervention.

In addition, teams are strongly encouraged to provide a polygon shapefile for the geographical scope of the intervention. This is particularly important for CSs areas not corresponding to standard NUTS/LAU units. In need of GIS assistance, please contact carmen.zornoza@uv.es

Outputs	A1.2

-

- A1_REP_****.docx: Subsection A1.2
- A1_SHP_****.zip: Optional shapefile, in compressed zip folder

Workload	1/2 hour

A1.3 Thematic dimensions

For greater efficiency, this task may be developed concurrently with A1.4 (Temporal balance) and A2.1 (Stakeholder identification).

In order to operationalize the concept of sustainability in the "sustainable land use" concept, it is important to consider from this early stage the thematic balance of each case across its three dimensions: Economy, Ecology, socio-territorial Equity. This will be addressed as a two-part job:

I. Relying on the formal document of the land use intervention that is being studied (or related normative in its absence), teams must browse for sections, articles or segments that address one, two or all three dimensions. This data will be extracted and pasted into the provided spreadsheet file ("A1_Sustainability_template.xlsx", sheets "Economy", "Ecology" and "Equity"), where each sheet collects information on one of the three sustainability dimensions. A record for the source (section, page, annex…) of each portion of data must be kept (Column A).

- An analytical reading of the data must enable each team to identify what is/are the main sustainability dimension/s that the intervention addresses, and which are secondary or left out altogether.
- Teams are encouraged to narrate and discuss how the objectives and/or actions of the intervention (as presented in the document) normatively address the 'three Es'. A limited number (3-6) of the most illustrative or relevant sentences and short excerpts should be translated into English in the spreadsheet and quoted in the report.
-

II. Adopting a critical approach and relying on their expertise, teams should discuss whether the intervention document remains oblivious to one or more sustainability dimensions that are certain to exercise an influence on its success or receive the impact of its implementation. This should be explained in the report.

Outputs	A1.3

-

- A1_Sustainability_****.xlsx: Fill in the first three sheets in the file
-
- A1_REP_****.docx: Subsection A1.3, develop a brief synthesis on the treatment that thematic sustainability receives in the intervention (≈200-500 words)

Workload	2-8 hours (depending on the volume of documental data)

A1.4 Temporal balance

For greater efficiency, this task may be developed concurrently with A1.3 (Thematic dimensions) and A2.1 (Stakeholder identification).

In order to operationalize the concept of sustainability in the "sustainable land use" concept, it is important to consider from this early stage the temporal balance of each case. This will be addressed as a two-part job:

I. By indicating the time frame in which the intervention was active (starting year – ending year).
   In the case that the ending of the intervention was premature, the reasons for the sudden interruption will be identified.

II. Relying on the formal document of the land use intervention that is being studied, teams must browse for sections, articles or segments that address temporal sustainability.

This data will be extracted and pasted into the provided spreadsheet file ("A1_Sustainability_****.xlsx", sheet "Temporal").

A record for the source (section, page, annex…) of each portion of data must be kept (Column A).

An analytical reading of the data must enable each team to identify how short, mid- and long-term sustainability of the intervention is addressed.

Teams are encouraged to narrate and discuss how the objectives and/or actions of the intervention (as presented in the document) normatively address temporal sustainability.

A limited number (1-3) of the most illustrative or relevant sentences and short excerpts should be translated into English in the spreadsheet and quoted in the report.

-

Outputs	A1.4

-

- A1_Sustainability_****.xlsx: Fill in the "Temporal" sheet in the file
-
- A1_REP_****.docx: Subsection A1.4, develop a brief synthesis on the treatment temporal sustainability receives in the intervention (≈100-300 words)

Workload	1 hour (synergistically with A1.3)

4.1.2 A2 Identifying stakeholders

The thorough identification and characterisation of stakeholders is a critical step towards the understanding of how they interact with each other and how, eventually, decisions are made.

Data to identify stakeholders can come from two complementary sources:

A2.1 Normative identification

For greater efficiency, this task may be developed concurrently with A1.3 (Thematic dimensions) and A1.4 (Temporal balance).

Documents related with the intervention and its implementation must surely identify institutional stakeholders involved with its deployment and management. In addition, other institutional and non-institutional stakeholders at different scales may be given a role. We want to keep track of these instances and consider them for conducting interviews.

A table needs to be filled, identifying each stakeholder and assigning it a label to be used throughout the project. Columns A, B and C of the sheet “Actor constellation” in the “CS_Stakeholders_****.xlsx” template spreadsheet are prepared to satisfy this step. Be mindful that the label you choose in column C will be used to identify each stakeholder in successive sheets. The corresponding code in column D is also important (see comments in the spreadsheet, sheet “Actor constellation”, columns C and D for details).

Once the key set of stakeholders has been identified, teams may begin interviewing (please refer to interview protocol for details: “CS_Interview_protocol.docx”).

A2.2 Snowball sampling

During interviews, previously unconsidered stakeholders may be mentioned. If they were in any way involved with the intervention, we want to keep a record of their participation and consider interviewing them.

The table in “Actor constellation” can be filled iteratively as new stakeholders are identified through snowball sampling.

Column E of can be used as a shortlist of the stakeholders you would like to interview and keep track of the ones already interviewed.

In addition, Q27 of the interview uses the snowball sampling technique not applied to stakeholders but to initiatives.

Outputs	A2
	-
	• CS_Stakeholders_****.xlsx: Fill in sheet “Actor constellation”, columns A to E.
Workload	2 hours (synergistically with A1.3 and iteratively with interviews)

4.1.3 A3 Categorizing stakeholders

For hypothesis-testing purposes, each stakeholder will need to be profiled against a short set of variables. Teams can rely on their expertise and, if needed, resort to websites or even the interviews (see question 0 in interview protocol) to build the profile of each stakeholder.

Columns A and B in the “Actor constellation” sheet of the “CS_Stakeholders_****.xlsx” must categorize the stakeholder. You may edit the categories “Other” and add or remove rows as needed. Columns F to H spreadsheet must be filled in.

A3.1 Sector and subsector

Please ensure that the categorization provided (Columns A and B in “Actor constellation” sheet) is correct.

A3.2 Private/public

Please select from the list.

A3.3 Decisional level

Please select from the list. Provided options are:

- Local (NUTS3 –where applicable-, LAU1-NUTS 4, LAU2-NUTS 5, Infra-LAU2)
- Regional (NUTS 3, 2, 1)
- National (NUTS 0)

A3.4 Main interest in the intervention

Please select form the list. Provided options are:

- Economic (e.g. low costs, cost-efficiency, making a profit, customer satisfaction, receiving a subsequent contract, keeping a mandate, compensation for building activities on one’s land, etc.)
- Legal (e.g. legal compliance, comply with service contract/standards/etc., implementation of regulations, execute law, harmonization of guidelines, etc.)
- Planning (e.g. preparation/implementation of land use planning, good/strategic planning, supplying areas for biodiversity conservation/recreation/agriculture/noise mitigation, rainfall runoff water management, mobility, etc.)
- Environmental (e.g. protection of biodiversity/urban green/water/groundwater/rivers/ etc., secure environmental and flood protection, protect resources, minimal impact of development, no aesthetic disturbance of the urban landscape, etc.)
- Societal (e.g. social acceptance/interests, participation, cooperation, acceptance of planning, information, fulfil expectations of citizens, democratic planning, tackle housing shortage, construction activities in the community, good reputation, prestige, good relationship to the local politics, etc.)

If you feel that a new category would best describe the stakeholder interest, you can edit the sheet “variables”, column E, by replacing one of the labels in green colour with the new category. The new category will now be selectable in the “Actor constellation” sheet.

Outputs	A3
	• CS_Stakeholders_****.xlsx: Fill in sheet “Actor constellation”, columns G, H and I.
Workload	1 hour

ATTENTION:

*Once the interviews have been conducted and column E in "Actor constellation" sheet has been edited to identify the interviewed stakeholders, please manually fill-in the first table in "Interviewed_Network" sheet in the "CS_Stakeholders_****.xlsx" spreadsheet. This will ensure that the headings in subsequent tables are automatically filled with the right stakeholders.*

Similarly, identify what stakeholders are active participants in the social network of decision-making and identify them in column F in "Actor constellation sheet" (see comment on column heading). Then, please manually fill-in the second table in "Interviewed_Network" sheet. This will ensure that the headings in subsequent tables are automatically filled with the right stakeholders.

4.1.4 A4 Investigating relationships

To understand the shape of the "Actor constellation" and their "Modes of interaction" we must ask each interviewee one closed-answer question and two Likert scale questions. These questions will be delivered as an online form for the interviewee to fill **after** the interview has taken place. Please refer to the online form protocol ("CS_Online_protocol.docx") for details.

A4.1 Semi-structured interviews

Once the answers to the online form have been received, teams must fill the corresponding column in the sheets "Modes of interaction", "Affectedness" and "Influence" in the spreadsheet "CS_Stakeholders_****.xlsx" (labels identifying each stakeholder in column A will have been updated automatically from the input you added in the "Interviewed_Network" sheet).

In each case, interviewees (not all stakeholders) will be identified as a column (this will happen automatically), and his/her answers regarding the other network actors (one in each row) will be recorded in the cells of that column.

ATTENTION:

It is very important to not fill the table the other way around, by filling a row with the answers of each interviewee against the stakeholder coded in each column. Remember: columns are for interviewees; rows are for network actors.

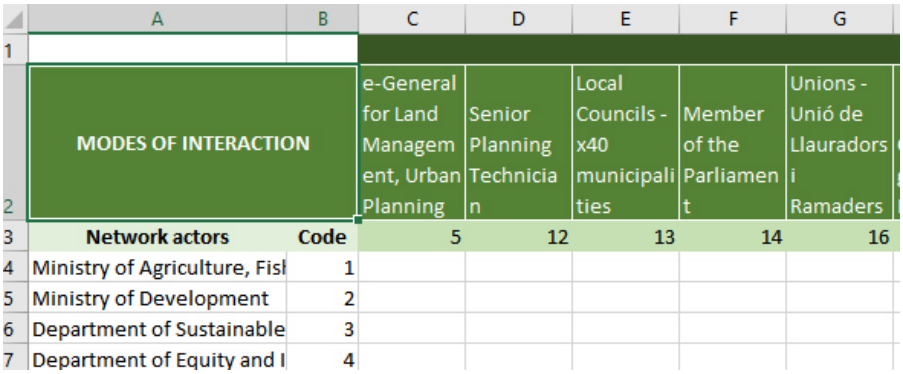
Operation: as instructed in the "CS_Online_protocol.docx", to speed thing up, you don't need to re-fill each cell one-by-one, you can copy and paste the relevant cells for each sheet (see document for instructions). Please make 100% sure that:

- The answers are in English

- The provided values match the stakeholders in each row.
- You have added the values to the correct interviewee (column).

.

Figure 4.1: Screenshot of the sheet Modes of interaction



	A	B	C	D	E	F	G
1							
2	MODES OF INTERACTION		e-General for Land Managem ent, Urban Planning	Senior Planning Technicia n	Local Councils - x40 municipali ties	Member of the Parliamen t	Unions - Unió de Llauradors i Ramaders
3	Network actors	Code	5	12	13	14	16
4	Ministry of Agriculture, Fisl	1					
5	Ministry of Development	2					
6	Department of Sustainable	3					
7	Department of Equity and I	4					

Outputs	A4.1

-

- CS_Stakeholders_****.xlsx: Fill in sheets “Modes of interaction”, “Affectedness” and “Influence”.

Workload	1 hour (aggregated time for all interviewees)

4.2 B. Driver assessment

As sketched in the Inception Report, the assessment stage of the methodological framework aims to explain what factors led to decisions regarding the aims, scope, goals, methods and form of the intervention, together with an assessment of its impacts on sustainability.

The structure of this section of the document mimics the chronology of an intervention, from the identification of the problem and the inception of goals and action (B2), through the factors influencing the actual implementation (B3) and, finally, paying attention to how the stakeholders assess its effectiveness and effects (B4).

The outputs that the CS teams are requested to produce rely entirely on the data gathered and recorded during the interviews with stakeholders.

Most of the job in stage B will be to select relevant information from the interviews, fill-in table templates and use them to support the preparation of an internal report interpreting the CS results (“B_REP_template.docx”).

It is recommended that the template for each interviewee is filled-in right after interviewing him/her, as with the fresh memory of the conversation many gaps will be easier to fill and it will help minimize the risk of mixing-up the answers of different stakeholders.

ATTENTION:

Please ensure that the ID code that has been assigned to an interviewee at the time of filling-in the "Interviewed_Network" spreadsheet, remains unchanged in the "Actor constellation" sheet from then on and in spite of modifications, otherwise mismatches might appear in the filled-in tables. You may still add new stakeholders at the bottom of the Actor constellation network, with a new, unused code.

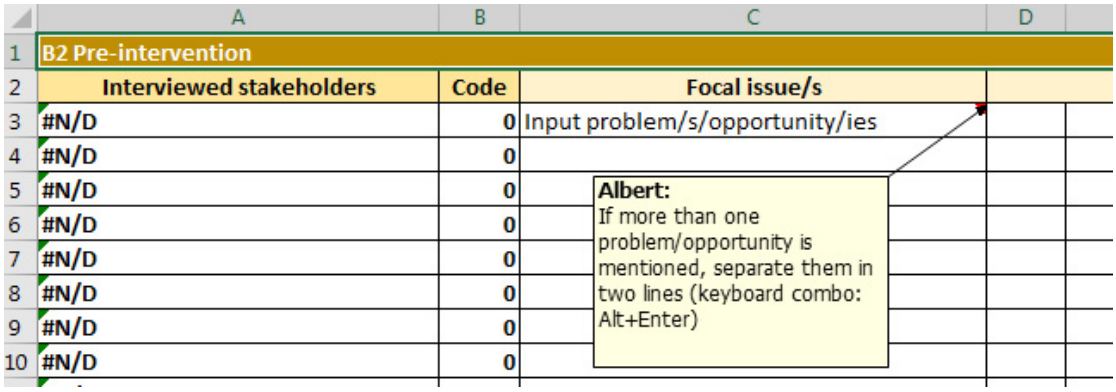
Below, at the beginning of each sub-section in these guidelines, a table describes:

- the interview inputs that teams can expect to count on to fill the templates,
- an indication of the corresponding outputs and
- the report section that the information summarised in the tables support.

The questions listed as data input are merely approximate; please consider the relevant data might have been answered in other questions or new questions introduced as follow-ups by the interviewers. It is not a linear exercise, you may have to go back and forth across tables.

While templates offer an easy way to fill-in more or less standardized information, the nuances and particularly important answers may be recorded throughout the templates by using the comment function (as shown as example in sheet "B2_Pre-intervention").

Figure 4.2: Screenshot of the sheet B.2 Pre-intervention.



Outputs	B

-

- CS_Stakeholders_****.xlsx: Fill in sheets "B2" (1), "B3" (1) and "B4.1" (5)
- B_REP_****.docx: Fill in all sections (2,800-11,000 words)

Workload	((1 hour interview + 2 hours fill-in templates) * n interviews) + 10 hours reporting

e.g. with 12 interviews: ((1+2)*12)+10=46 hours (excluding the arrangement of interviews and commute time, which is highly variable).

4.2.1 B2 Pre-intervention

The hypothesis here is that well before the intervention is formally approved, factors like the framing of the issues at hand, who defines it as a problem or identifies it as an opportunity, the level of consensus among stakeholders on the need/urgency to act and the form of the subsequent action, among others, can be related with the ease or difficulty of designing and implementing the intervention, and ultimately, its degree of success.

The treated outputs for the B2 tasks must be entered in the template sheet "B2_Pre-intervention". This sheet does not initially identify any stakeholders by name, but columns A and B will be automatically updated when stakeholders' codes are manually entered in the "Interviewed_Network" sheet, column A.

B2.1 Identification of the problem

Data Input		Outputs	
Prime Qs	1, 2, 3, 5, 6	Sheet	B2_Pre-intervention
Secondary Qs	4	Column/s	C, D, E, F
Report		Section B2.1	

In the spreadsheet, column C, please type-in the of problem or opportunity that the interviewee thinks that is addressed by the intervention.

If multiple motivations are mentioned, separate them with a line break. Answers for Q1 and Q2 are likely to contain this data.

In all cases use a simplified label (e.g. housing shortage, excess noise, green space provision, etc.). This will help identify similar perceptions among stakeholders.

You may finally count the number of instances of each identified problem, challenge, or opportunity as a quantitative summary for the report.

In column D, choose whether the interviewee agrees (Positive), disagrees (Negative) or remains unsure (Neutral) about the fact that the reported problem/opportunity existed in the first place, needed tackling or was worth pursuing. This will likely rely on the answers given in Q3. The reasons behind the selection can be posted in column E.

Figure 4.3. Screenshot of sheet B2_Pre-intervention.

In columns E and F, indicate the stakeholders that, according to the interviewee, most supported and most opposed the intervention. You may record their interests as comments in the relevant cell. This data can most likely only be found in the answers to Q5 and Q6.

When the template is full, with data from all interviewed stakeholders, move to the report to fill-in section B2.1.

B2.2 Inception of goals/action

Data Input		Outputs	
Prime Qs	1, 4, 7	Sheet	B2_Pre-intervention
Secondary Qs	2, 5, 6	Column/s	G, H
Report		Section B2.2	

In column H, indicate the general level of agreement of the interviewee with the specific actions scheduled in the overall intervention. Data may preferentially come from Q1 and Q4. In column I you may provide additional observations on the rationale.

In column J we want to record whether the interviewee considered that the deployment of the intervention was timely or ill-timed. Mostly based on the answer to Q7, choose among the three options provided and add observations in column K if necessary.

When the template is full, move to the report to fill-in section B2.2. The name and code of each interviewee are added at the end of the table, to make the reading of very wide tables easier.

4.2.2 B3 Implementation of the intervention

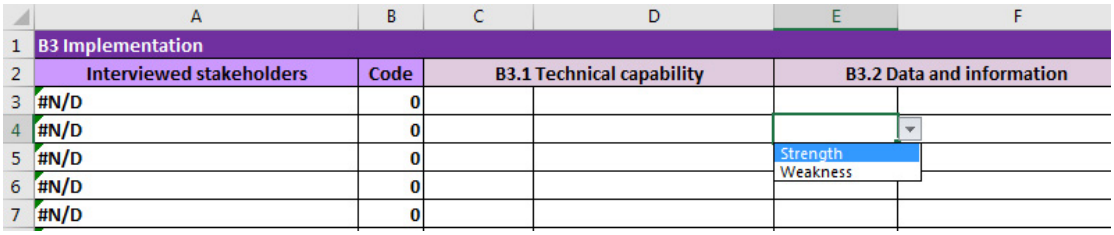
The analysis of how the intervention was implemented in each CS offers an opportunity to understand what went wrong or was missing, so that future implementations do not repeat the same mistakes. But more importantly, it allows to know whether, in any of the 7 topics that are addressed, the particular CS offers an example of best practice that future interventions

seeking sustainable land use in similar contexts may take advantage from by reproducing them.

In addition, the answers to these questions may offer interesting insights regarding how decisions affecting the implementation of the intervention were made.

The treatment of all this information in the templates is pretty straight forward: for each topic, it must be identified whether the interviewee considers that it was a strength that favoured the success of the intervention supporting sustainable land use or a weakness that hampered its progress and effect. The second column for each variable offers space to describe the argumentation of the stakeholder. Particularly illustrative quotations may be transcribed here.

Figure 4.4. Screenshot of sheet B3_Implementation.



When the grid in sheet “B3_Implementation” is full, it becomes the basis that will facilitate filling-in the corresponding subsections of sub-stage B3 in the report.

B3.1 Technical capability

Data Input		Outputs	
Prime Qs	15, 16	Sheet	B3_Implementation
Secondary Qs	1, 13, 14, 23	Column/s	C, D
Report		Section B3.1	

In column C, please indicate whether the management of the technical aspects of the intervention were considered a strength or a weakness for its implementation.

Technical capability may refer to both involved people with technical expertise and skills that are able to interpret and work with data and indicators as well as technical tools that were available to support the development of the intervention (e.g. cartography, GIS, air quality monitoring data, etc.).

As usual, add any comments that help interpret your selection in the accompanying column (D, in this case), including the identification of innovative and other good practices related to technical capability.

B3.2 Data and information

Data Input		Outputs	
Prime Qs	16, 17	Sheet	B3_Implementation
Secondary Qs	1, 23	Column/s	E, F
Report		Section B3.2	

In column E, choose whether an interviewee thinks that the quantity and quality of data and information was a strength for the implementation of the intervention, or if low quality or shortage hindered their efforts. It is of particular interest to know if new data collection, management or visualization tools were created or used for the intervention. These observations may be added in column F.

B3.3 Participation

Data Input		Outputs	
Prime Qs	10, 11, 18	Sheet	B3_Implementation
Secondary Qs	1, 8, 9, 13, 14, 23	Column/s	G, H
Report		Section B3.3	

From the combination of answers to Q10, Q11 and others in the questionnaire, we must have gathered a quite complete picture of how participation worked during the implementation of the intervention, whether it was designed as an institution-led normative process or a more informal arrangement and whether private and public interests were well balanced or not.

In column G indicate the impressions from the interviewees choosing whether they perceive the process of participation as a strength (in the sense that it was a fair, equilibrated process in which nobody was excluded) or a weakness of the intervention (in the sense that some were left out or conflict or other problems emerged).

The ingredients for success or the specific setbacks highlighted by each interviewee can be annotated in column H.

B3.4 Strategic vision

Data Input		Outputs	
Prime Qs	12, 13, 14	Sheet	B3_Implementation
Secondary Qs	1, 8, 23	Column/s	I, J
Report		Section B3.4	

If the intervention included a well-defined and widely agreed vision of its outcome, as well as a clear target on when and how to achieve it, that's a strength of the CS.

In column I, please Indicate whether each stakeholder is positive about this or, conversely, if the absence of a proper vision or contentiousness around its definition was a weakness of the intervention.

Please refer to column J to annotate a brief description of the vision (as described by each interviewee). While Q12 is the focus here, Q13, Q14 and others may also provide relevant information regarding the targeted impact of the intervention.

B3.5 Institutional coordination

Data Input		Outputs	
Prime Qs	9, 11, 27	Sheet	B3_Implementation
Secondary Qs	1, 5, 7, 8, 18, 23	Column/s	K, L
Report		Section B3.5	

In spite the fact that only Q11 explicitly addresses institutional coordination (and in regards to the participation procedure), surely other answers offer interesting insights on the role that the leading and other institutions played in the implementation of the intervention.

In column K, please record whether good coordination among institutions was perceived (strength) or if it was a lack of coordination or miscoordination that prevailed (weakness).

Clarifying statements supporting the chosen option can be provided in column L.

B3.6 Institutional leadership

Data Input		Outputs	
Prime Qs	9	Sheet	B3_Implementation
Secondary Qs	1, 8, 11	Column/s	M, N
Report		Section B3.6	

The way in which leadership is exercised can make or break any project.

Indicate in column M whether the role of the institutional leader was, according to the interviewees, a strength or a weakness for its implementation. Add any observations that explain the classification in the next column.

B3.7 Political will

Data Input		Outputs	
Prime Qs	8	Sheet	B3_Implementation
Secondary Qs	1, 2, 6, 9, 18	Column/s	O, P
Report		Section B3.7	

While political involvement and commitment with public policy approval and development might be a valuable asset, sometimes disputes between parties, changes in electoral cycles or an excessive desire from political figures to gain credit can hurt efforts to successfully implement intervention initiatives.

In column O, indicate whether political will was a strength or a weakness in the CS. In column P, please specify how the stakeholders explain the relationship of the intervention with political interests and involvement.

4.2.3 B4 Post-hoc assessment

Fitting the scope of the project, task B4.1 (Multi-stakeholder assessment) has been divided into 5 different sub-tasks to make it more manageable, addressing the effects on the urbanisation and development culture, the three components of thematic sustainability and another one focusing on its effects on the operational or applied dimension of policy and decision-making. Temporal sustainability is addressed transversally in each of them.

CS teams are asked to fill-in the corresponding 5 templates in the "CS_Stakeholders_****.xlsx" spreadsheet matching the title of each sub-task.

Please beware that this part of the interview is likely to be the most open and flexible, owing to the specific aims, scope, scale and implementation of each intervention, so teams are invited not only to adapt the questionnaire to their convenience at the time of interviewing, but also to add new fields in the templates if they consider worthy for the ulterior analysis of the CS.

As usual, the templates will constitute a basis upon which CS teams must interpret the significance of the results and extract best/poor practice lessons, which must be reported in "B_REP_****.docx", section B4.

B4.1a Planning and development culture

Data Input		Outputs	
Prime Qs	19, 21	Sheet	B4.1a_Planning_culture
Secondary Qs	20, 23	Column/s	C-M
Report		Section B4.1a	

The table is prepared to be filled in with the answers from Q19a. It is formatted to record the nature and magnitude of three effects of the intervention on urban development processes, but the table may be conveniently expanded by adding new sets of three columns (Impact, Magnitude, Reasoning). The first and third column of each set can be freely filled-in with a

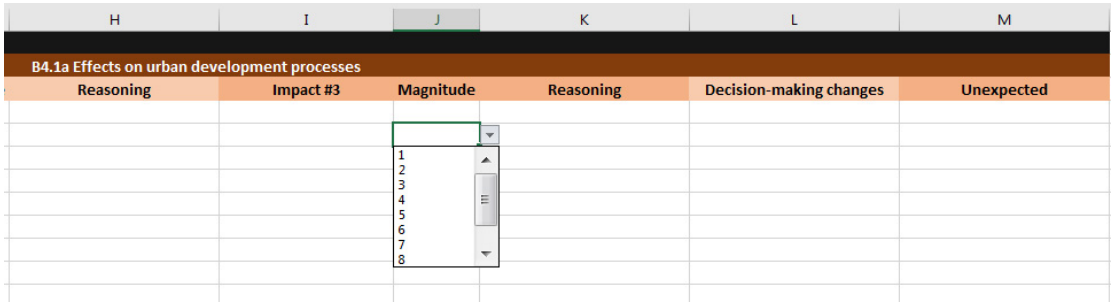
synthetic description of the inputs gathered from the interview. A value between 1 and 10 must be chosen from the drop-down list in the second column (Magnitude) of each set.

Answers from Q19b should fill column L.

Answers from Q19c can be reproduced in column M of this sheet, detailing to which impact the content refers to. If more than one main impact was recorded, you may use a line break for each (Alt+Enter).

Finally, column N, might be filled with the answers to Q21, which is directly connected with the discussion of the impact of the intervention on planning practices.

Figure 4.5: Screenshot of sheet B4.1a_Magnitude



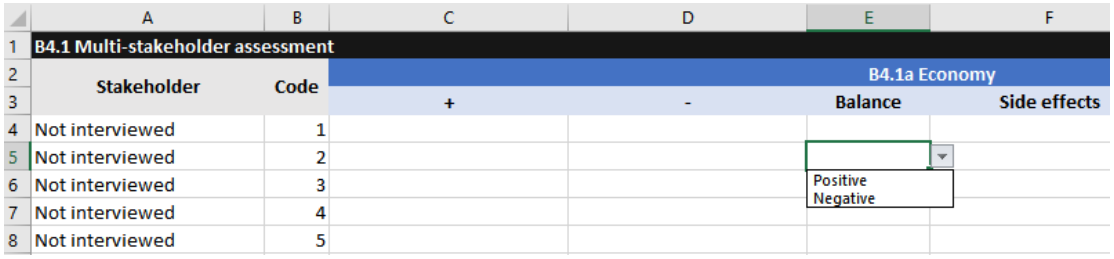
B4.1b Economy

Data Input		Outputs	
Prime Qs	20	Sheet	B4.1b_Economy
Secondary Qs	1, 12, 22	Column/s	C-H
Report		Section B4.1b	

Regarding the effects of the intervention on economic sustainability, please report in columns C and D the perceived positive and negative impacts, as perceived by each interviewee. You may use different lines in each cell to list multiple benefits/dis-benefits (using the combo Alt+Enter to break lines).

You may add comments to elaborate on the reported items and/or cite quotations. In column E, choose whether you assess the stakeholder's assessment of economic impact of the intervention to be positive or negative overall. The counts in rows 26 and 27 will help you discuss the perceived economic performance of the intervention in the report.

Figure 4.6: Screenshot of sheet B4.1b_Economy



	A	B	C	D	E	F
1	B4.1 Multi-stakeholder assessment					
2	Stakeholder	Code	B4.1a Economy			
3			+	-	Balance	Side effects
4	Not interviewed	1				
5	Not interviewed	2				
6	Not interviewed	3				
7	Not interviewed	4				
8	Not interviewed	5				

The side effects, if any, of the intervention on economic performance in the area can be reported in column F.

Columns G and H should collect the answers from Q20, which explicitly queries about the temporal sustainability of the intervention impacts. Fill them in only if the interviewee answer refers to economic outputs. The counter at the bottom is intended to support your discussion of the results.

B4.1c Ecology

Data Input		Outputs	
Prime Qs	20	Sheet	B4.1c_Ecology
Secondary Qs	1, 12, 22	Column/s	C-H
Report		Section B4.1c	

Follow the same guidelines as provided in the previous point B4.1b, moving the focus from the Economic dimension to the Environmental one.

B4.1d Equity

Data Input		Outputs	
Prime Qs	20	Sheet	B4.1d_Equity
Secondary Qs	1, 12, 22	Column/s	C-H
Report		Section B4.1d	

Follow the same guidelines as provided in the previous point B4.1b, moving the focus from the Economic dimension to the Social one.

B4.1e Balance

Data Input	Outputs

Prime Qs	19-25	Sheet	B4.1e_Operational
Secondary Qs	all	Column/s	C-K
Report		Section B4.1e	

Within the sub-task addressing the impacts of the intervention on the operational aspects around sustainable land use treated in the interview, we can distinguish four blocks:

- Lessons. The answers to Q14 and Q23, but also those elsewhere, should lead to the identification of failures and challenges faced by the intervention, but most importantly, lessons on how they were managed to fix, minimize or overcome them in the CS.
  Valuable innovations that could serve as inspiration or model in other contexts may have been identified in Q13, but again, they may have been described in other questions.
  These experiences can be recorded in columns C, D and E of the "B4.1e_Balance" sheet, together with any necessary observations added as comments.
  -
- Stakeholder impact. Q5, Q6, Q18 and Q24 are likely to led to the identification of overall winning and losing stakeholders with the intervention.
- In column H, you may report the mechanisms that were used to compensate losing parties or to re-distribute the benefits.

- Balance. Questions Q22 and Q25 are very open, but they could provide some important insights on overall stakeholder satisfaction with the whole intervention process, from its inception, through its implementation and, finally, its impacts.
  In column I, offering a binary list, please indicate whether the interviewees' expectations have been generally met or not.
  Suggestions for improvement formulated by the stakeholders may be recorded in column J, together with other comments that CS teams may want to report as possible enhancements for future interventions.

Figure 4.7: Screenshot of sheet B4.1e_Balance

F	G	H	I	J
Stakeholder impact			Balance	
Winners	Losers	Compensation	Met exp.	Suggestions

If, answering to Q26, interviewees draw attention towards other projects and best practices, please fill in column K and, when the template if complete, communicate our partner POLITO about them at giancarlo.cotella@polito.it.

4.3 Reporting

In the report template of stage B ("B_REP_****.docx"), at the end of each of the three main sub-sections (B2, B3 and B4.1), there is a brief conclusion section, expected to be filled with a synthetic digestion of the results (100 to 400 words).

The last section of the report (Conclusions, 300 to 1000 words) must be able to answer at least some of the questions contained in the Terms of Reference of the project. Results from tasks B1.2 and B4.1 must have been made available to you before reporting these final conclusions. See the template for details.

4.3.1 Inputs and outputs checklist

Input	Check?	Deliverable output	Check?
CS_Guidelines.pdf		-	
CS_Framework.pdf		-	
CS_Schedule.jpg		-	
A1_REP_template.docx		A1_REP_****.docx	
A1_Sustainability_template.xlsx		A1_Sustainability_****.xlsx	
CS_Stakeholders_template.xlsx		CS_Stakeholders_****.xlsx	
CS_Interview_protocol.docx		-	
CS_Online_protocol.docx		-	
CS_Online_template.xlsx		-	
B_REP_template.docx		B_REP_****.docx	

Where **** is replaced with the CS code (see page 2).

4.4 Interview protocol

ESPON SUPER Interview protocol

As you have read in the CS guidelines, interviews and the information we can obtain from them are a key component of the CS strategy, providing the primary data that, once processed, will allow us to answer most of the ToR questions.

Given the allocation of time for teams to conduct CSs (20 days/CS) and the estimation of workload for collecting and processing the information (see guidelines document for reference), it is expected that each team will conduct between 8 and 15 stakeholder interviews.

This document will support CS teams by setting the preliminary tasks that they need to address prior to interviewing and providing an interview template that they may use on site (Appendix II).

Note that the template is a basic pattern of the questions that all teams should address, but you are encouraged to add questions to deepen the understanding of your CS or adapt other questions to fit the specificities of the CS.

In any case, bear in mind that we expect interviews to last between 60 and 90 minutes, so it is important not to overwhelm interviewees with excessive questioning and/or departing too much from the focal issue.

Your interviewing skills and a good understanding of what it is expected to obtain from the interviews (you can find it in the guidelines and the spreadsheet/report templates) can go a long way in making this a rich and useful experience.

For instance, it is important that interviewers are flexible enough as not to reiterate questions that appear in the protocol but that may have been already answered by the interviewee in previous or open questions (e.g., in Q1).

Another valuable resource is to build on information that has already been provided to us at the time of formulating the successive questions in a more engaging manner (e.g. *you briefly mentioned that xxxx Coincidentally, now I would like to ask you how did…*)

Unless opposition is expressed, interviews should be recorded, for your convenience.

Audio files are not a deliverable output of the project, but they will greatly assist you in not losing details and facilitating the task of filling-in the templates.

Obtaining permission from interviewees to be recorded is just one of the preliminary tasks that teams must prepare before moving on to meeting the subjects.

4.4.1 Preliminary tasks

The completion of tasks B2.1 and B2.2 will provide you with a list of potential interviewees.

You may use the “Actor constellation” sheet in the “CS_stakeholders_****.xlsx” document to keep track of them and decide which ones is worth interviewing.

Once you have contacted an interviewee to arrange a meeting, you must inform him/her/them of the SUPER policy on privacy and confidentiality.

To this end, you will share the form in Appendix I. You should do so by sending it via e-mail in advance for their review.

Before the interview (and recording, if allowed) begins, you should collect a signed copy of the form, documenting their agreement. It is advised to bring with you spare copies of the form, blank, in case they did not print it.

Since you are visiting the printer room, you might as well send a couple of copies of the interview protocol (Appendix II), that will allow you to touch on all 27 questions.

You may tweak it beforehand, for instance by replacing the instances of XXX by the actual name of the intervention, or by adding or modifying questions to suit your needs.

Some observations have been added to the protocol in ** blue ** colour. You should familiarize with these comments before the interview to facilitate its flow. Pay special attention to the ones indicating what are the most relevant questions and the very last one, which closes the interview.

4.4.2 Appendix I – Privacy disclaimer and agreement form

You can find the form in your “CS_Pack” folder, as “2019_PBL-SUPER_Casestudies_GDPR-agreement.pdf”.

The first page is for information purposes only, and it must be kept by the interviewee.

The second page is the one we need to collect, properly filled and signed.

4.4.3 Appendix II – Interview protocol

** To be read aloud (or explained in local language) ** The goal of the interviews in ESPON SUPER regarding this case study is to gain a better understanding on how urban development decisions were made and the effects that XXX [the CS intervention] has had on the environment and the communities.

By collecting this information and comparing the 10 case studies, we hope to be able to obtain examples of best practices and make suggestions to improve how land is planned and developed across Europe.

This interview will last about an hour and will address 4 blocks:

A. Background and context
B. How XXX was implemented
C. Assessment of results
D. Own reflection

A. Background and context [10 minutes]

** Only if we are missing some information to profile the stakeholder ** 0) Before starting with the interview proper, could you tell us a bit about YYYY (name of the institution/ group/ stakeholder)?

1) What is, in your own words, XXX (name of the intervention)? How does it work?
2) Why do you think XXX was introduced?
3) ** If previous answer is a response to a problem ** Do you personally agree that the problem needed fixing? Why? When did you start feeling that this was a problem?
   - ** If previous answer targets an improvement/opportunity ** Did you personally agree that this was an opportunity worth pursuing? Why?
4) Do you feel that XXX is a good way to address the problem/opportunity/challenge? If not, why?
5) Who was most in favour of XXX? Why did they/you support it?
6) Were there parties opposed to its introduction? Who were they? Why did they/you oppose it?
7) Do you feel that XXX was timely, premature or arrived too late?
8) Did, at any point, political interests interfere with the design and development of the intervention? If so, how? Was it for the better or the worse?

B. How XXX was implemented [15 minutes]

9) Was there a clear leader pushing for XXX? Who were the followers?
   - Do you feel that the champion of XXX pushed to impose its views rather than being receptive of all opinions?
10) During the implementation of XXX, was there an excessive presence of private interests or was it carefully balanced with public needs?

11) If there was a participation process that led to XXX, was it fair? were all voices heard?
    - Who coordinated it? did he/she/they do a good job?
12) What did the intervention aspire to achieve for the future of the area?
13) Would you highlight any particularly original and innovative practice in the way the intervention addressed the problem/opportunity?
14) Conversely, could you highlight one weakness of XXX? Did it omit or neglect something?
15) At the time of addressing the technical aspects of XXX, do you think that everyone was able to understand what was being proposed and discussed?
16) Was there enough data and technical expertise available at the time of discussing XXX? If not, who or what was missing? why?
17) Did XXX take enough into consideration local territorial characteristics/needs? Were ex-ante analyses carried out in an effective way?
18) Did XXX introduce new stakeholders or change the power balance of existing ones?

C. Assessment of results [20 minutes]

** This is an important section. It can take time. Interviewers are welcome to get creative and point to issues that are relevant regarding the effects of each case study, which might be very different in scale and typology **

19) **Magnitude of effects**: In your own words, what was the most important impact of the intervention on urban development processes? Can you give an estimation of the size of the effect (1= no impact, 10=decisive) and explain why?
    - a) What other effects did the intervention have (repeating 1-10 scale). [hint: on substantive matters (e.g. higher densities, different sites, more mixed-use), procedural matters (sped up or slowed processes), or governance (some parties became more/less important, better/worse coordination).
    - b) Can you provide concrete examples of decisions that were made differently due to the intervention? If not, do you know anyone who might know this? ** this is a very important question, please try to get as many examples as possible **
    - c) Were any of these effects unexpected?
    -
20) **Sustainability**: We are interested in assessing the effects of the intervention in terms of sustainability. To help us, please give your opinion on the following.
    - a) Was the intervention positive or detrimental for economic betterment?
    - b) Did it support or was deleterious for ecological conservation and restoration?
    - c) What were its social impacts?
    -
    - In addition, do you think the effects are:
    - a. Temporary. Why?
    - b. Structural. Why?

D. Own reflection [15 minutes]

** This is also a very important section: invite the respondent to think about this and give candid answers **

21) How would have things happened differently if the intervention had not been implemented?
22) Did the intervention live up to your expectations and those of your partners? Yes/no. Why?
23) Did the intervention find impediments or fall short in some other way? How? Were they overcome? (e.g. regulations, bureaucracy, finances, information, access to decision-makers, lack of control, etc.)
24) All things considered, which individual or group gained the most and who was negatively affected by the intervention? Was this expected? How were negative side-effects managed or compensated?
25) In hindsight, would you have done or suggested something differently?

_____

Extra questions

26) Does XXX present similarities to other European projects or best practices that you might be aware of?
27) In our conversation we have already talked about many people, groups and institutions that had something to do with the intervention. Can you think of any other that would be interesting to interview? That would be very helpful for us. ** Then add new stakeholders to the Actor constellation in CS_Stakeholders_****.xlsx. Consider interviewing them **

** In addition to thanking the interviewees, inform them: **

To complete the interview, we would like to ask you to tell us more about the profile of the other involved stakeholders and, in case you interacted with them, how was the relationship. We still don't have a complete list, so it would be useless to do this exercise at this stage. We'd like to contact you again in a couple of weeks. We'd send you a link to an online form where you'd be able to fill-in this information, very simply, in about 10 minutes and then send it to us electronically.

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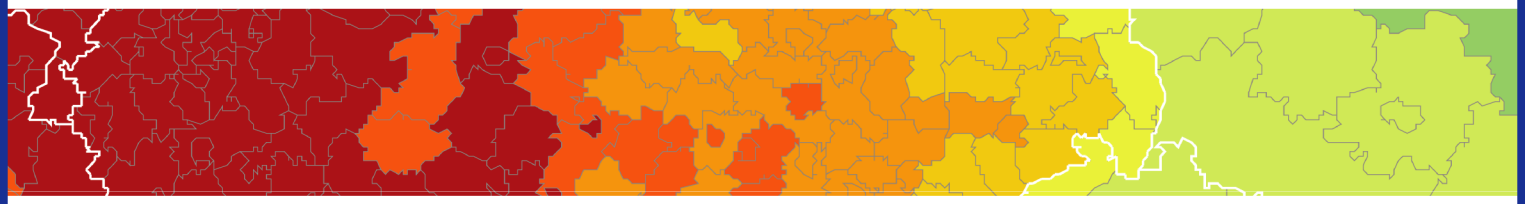

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ESPON 2020 – More information

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