



NODUS

Linking Urban Renewal and Regional
Spatial Planning

Baseline Study



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Introduction: What is NODUS for?

The 'internal integration' of area based policies is a well known requirement for spatially concentrated urban redevelopment actions, aiming at stakeholder inclusion, and horizontal connections between the different policy fields in the neighbourhoods selected for public interventions. The 'external integration' of area based policies is less emphasized, although the vertical multi-level governance links, the spatial connections between the selected neighbourhoods and the other (better included) areas of the city and the functional connections to broader policies are considered to be increasingly important.

NODUS focuses on this second type, external integration of area based policies, concentrating on the links between regional level planning, governance and local area-based urban regeneration. The aim is to improve the coordination between these policies at supra-local (regional) level in order to achieve more balanced urban development.

In a narrower sense, the methodological aspect of NODUS is to develop a methodology how to act on supra-local (metropolitan, regional) level to assign the worst neighbourhoods as local renewal areas, how to implement area-based interventions and how to ensure that such interventions (combined with other public policies) lead to balanced results from supra-local perspective.

1. Linking urban regeneration with regional governance and planning: the ‘State of the Art’

This paper aims to give an overview on the links between urban regeneration and regional spatial planning. It starts with the analysis of the European views on integrated urban development, including the theoretical debates about the methods how public interventions should be accomplished. The discussion of the role of regions and metropolitan areas in Europe concentrates on the governance aspect, while the overview on the European experiences with regional planning policies deals with the planning aspect. The final analysis of the links between governance, planning and urban regeneration policies elaborates on the theoretical challenge for NODUS.

This State of the Art is seen as a first step on the construction of a reference document with the most interesting experiences of linking these policy fields. According to this interpretation, the objective of this document is as much to start this collecting of experiences as to define a structure to be completed in further steps (phase II).

1.1. European views on integrated urban development: the need for public planning and policies on wider urban scale (theoretical overview)

1.1.1. The challenge of sustainability and social inclusion in European urban development

European urban development is largely affected today and in the future by sustainability and social inclusion challenges. Regarding the sustainability aspect, many analyses have shown the dramatic consequences of un-coordinated, sprawling urban development. The European Environmental Agency (EEA, 2006:24) draws up three scenarios for one of the booming European cities by 2020. The 'business as usual' and the even more market determined 'scattered development' scenarios lead to further expansion of the built-up area, with sharply increasing commuter movements by car, causing dramatic decline in the quality of the environment. The only acceptable 'compact development' scenario, on the other hand, would require strict spatial regulation measures at metropolitan level, which do not exist today in most European cities. According to the conclusion of the analysis the sustainability of future urban development can only be achieved with the help of larger-scale, metropolitan or regional planning which has to steer and regulate local urban development processes.

Similar to the sustainability issue, social inclusion problems, socio-spatial segregation and the related decline of certain areas can not be considered just as a local phenomenon. The causes, forces behind segregation processes, that result in physical decline and the concentration of deprived population within certain areas, are to a large extent determined at supra-local level. The evolution of real estate and land markets and their demographic and economic impacts, having strong effects on the inequalities, are also metropolitan and regional area level processes.

Despite these wide-spread negative territorial effects, public interventions against social exclusion and deprivation are usually concentrating on the worst areas and there is very little understanding regarding the need for metropolitan or regional planning as co-ordination mechanisms above the localised area-based interventions.

1.1.2. Changing public perceptions of tackling spatially concentrated social problems

The public interventions to deal with spatially concentrated social problems show remarkable changes in the half century. In the first after-war decades deteriorated neighbourhoods were not at all in the focus of public interventions as these concentrated on the development of new areas, in the spirit of solving the problem of quantitative shortage of housing. It was only in the 1970s that in some European countries the qualitative aspects of urban development gained ground. At the beginning, however, this did not mean more than the physical renewal of the housing stock to improve the most deteriorating areas.

In the 1980s increasing amounts of financial means were spent on physical renewal. The results of such interventions were, however, very limited: the renovated neighbourhoods started soon to deteriorate again, or, if this did not happen and the area improved, the original poor residents had to leave, not being able to pay the increasing prices/rents.

By the 1990s it became clear that area based interventions have to be integrated to achieve lasting success. The new approach aimed at coordinating physical with economic and social interventions, leading to integrated area-based urban renewal. In this sense integration means coordination between functions (housing, employment, social welfare, etc.) and also between sectors (public, private, voluntary). The 1990s and the 2000s can be considered as the heydays of this spatially concentrated, functionally integrated approach, which was also included into the philosophy of the EU Structural Funds, in the form of the very successful URBAN Community Initiative.

Public interventions have many types, ranging from general (e.g. income support, pension schemes) through functional (e.g. housing allowances, health care subsidies) until area-based interventions. The strive for functional integration increased the belief in the area-based programmes, as the different types of public interventions seem to be integrated the easiest on the basis of a limited area.

1.1.3. The theory and practice of integrated area-based urban regeneration

The figure below (developed by Claude Jacquier in the course of the Regenera Urbact 1 project, see Jacquier-Bienvenue-Schlappa, 2007) helps to understand the basic options for area based interventions.

Without any intervention the area depicted in the $t(0)$ time period deteriorates and therefore declines regarding its relative position in the local housing market. Dependent on the strengths and content of public and private interventions, in the $t(n)$ time period there are four options regarding the further changes in the relative position of the area:

- A1: Without any intervention deterioration will continue and the area will further decline towards the bottom of the local housing market. This leads to the disintegration of the area both in physical and social terms, as only the most disadvantaged people will remain in the area which will also attract other disadvantaged people.
- A2: A limited scale public intervention into the physical structure can stop the decline of the area. This is, however, most likely only a temporary solution as after a while, in the absence of further public interventions, the deterioration will continue.
- A3: With a strong, market based private intervention the area can be improved substantially. Investments come from outside-the-area investors who recognize the potential high value of the area, which, however, can only be achieved with total change of the local population. The name of this process, gentrification, refers to the necessarily higher status of the new residents, replacing the original residents who have to leave the area.
- A4: This is the option of publicly financed integrated urban regeneration, 'for' and 'with' the local population. This is the most difficult option, as the level of public intervention must be high enough and must achieve the needed complexity (integration of different sectoral policies), while large-scale investments by private actors have to be kept away, not allowing the gentrification of the area.

From the difficulties to achieve the 'optimal' A4 option it can easily be understood why this option is relatively rarely occurring in real practice. Another difficulty with A4 is its instability. Even if the A4 option proves to be the best regarding the chosen neighbourhood, it is not at all sure that the successful regeneration of the area with preserving the original residents will last for long. In fact, the opposite is more likely (as the critical analysts of area based programmes claim): either the original residents have to leave due to the increasing prices sooner or later the area which becomes gentrified, or the level of the needed continuous improvements can not be kept and deterioration starts.

Despite the major difficulties, A4 is considered as the best option, for the promotion of which strong public policies have been set up in many countries. In the last two programming periods, even the European Union issued a programme (URBAN) for the explicit support for integrated area-based regeneration of deteriorated urban areas. For the illustration of such programmes in the practice, it is worth to summarize the basic elements of the URBAN regulation.

According to the philosophy of URBAN the high concentration of social, environmental and economic problems of urban conglomerations can be tackled with complex operations combining the rehabilitation of obsolete infrastructure with economic and labour market actions (job creation), complemented by measures to combat social exclusion (education and training) and upgrade the quality of the environment.

Drift through urban space and time

Position of communities in fragmented urban space.

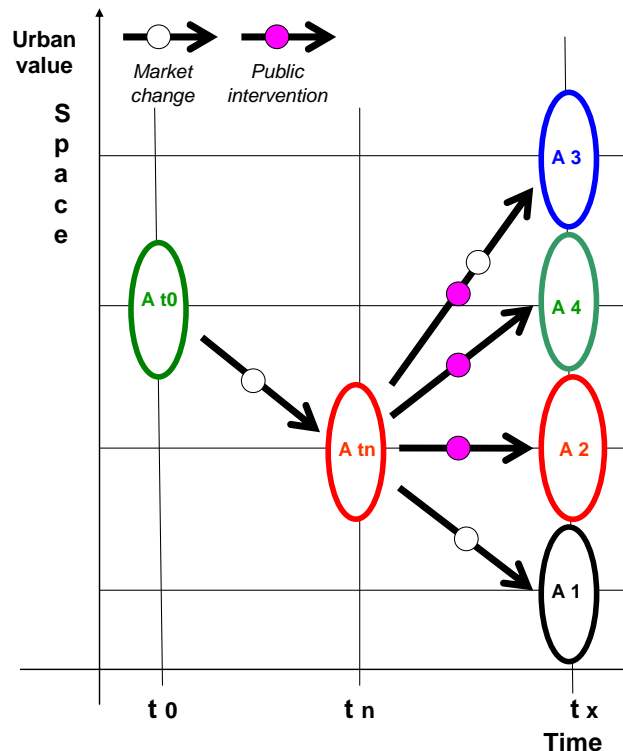
Which strategies?

A1 decline

A2 steady state

A3 gentrification

**A4 coherence
best practice**



Source: Jacquier-Bienvenue-Schlappa, 2007:27

The URBAN programme laid down strict criteria for the selection of target areas. These must have been deteriorated (proven by indicators) from physical, social and economic point of view, as well. For the eligible areas, which had in the URBAN 1 programme the average size of 6 square kilometer and a minimum population of 20 thousand, integrated development concept had to be prepared for 5-7 years period, in a broad partnership involving all the parties concerned.

The majority of the URBAN programmes has been implemented in cities over 100 thousand population. The EU financial means were not at all very big (with an average of 10 million euro for an area), however the required 50% co-financing and the inclusion of the population, the civil sector and the market actors made substantial improvements possible. With the integrated schemes of URBAN the quality of life in the targeted areas could considerably be improved.

1.1.4. Theoretical debates about area based interventions

The supporters of area-based interventions argue (Vranken-De Decker-Van Nieuwenhuyze, 2003:61) that although general anti-poverty programmes are essential, direct interventions into the most deprived neighbourhoods are of basic importance. Such interventions are needed to correct market failures (the capital avoids problematic neighbourhoods) and to empower the residents, improving their access to mainstream job opportunities and other institutions of the society.

However, from the end of the 1990s increasing number of analyses of area-based integrated urban regeneration projects result in critical remarks. Such critics point out how restricted in spatial sense improvements are, leading at the same time to huge external effects, as a result of pushing out the most 'problematic' residents from the improved neighbourhoods. In many cases not even the most deprived areas are selected for integrated regeneration. The limited and targeted interventions can always be considered as the easiest way to calm down the bad

consciousness of the society: it is easy to say that the public has done its best with spending some money in the worst areas and if things do not improve in the chosen areas it is the fault of the people who live there.

Research has shown that even successful area based initiatives can have some perverse effects: real results in one small area (with concentrating all public means to that area) might not prove the overall success of the interventions as the rest of the city might suffer badly from the lack of attention and money. To achieve 'easy results' in small neighbourhoods often only aims at political goals (especially in election periods) instead of lasting improvement in larger urban areas.

Further arguments doubt the potentials of area based policies from wider societal perspectives. Such „... approaches simply displace problems between different neighbourhoods and do not add to the overall economic and social well-being of the city as a whole – they are the equivalent of rearranging the desk chairs of the Titanic...”. This is the more true as „... the causes on the problems and the potential solutions ... lie outside the excluded areas.” (Vranken-De Decker-Van Nieuwenhuyze, 2003:62) Another phrasing of this statement is as follows: “Social cohesion is put forward as the ‘problem’ of poor neighbourhoods, forgetting that it concerns the whole of the society.” (Kesteloot-Cassiers, 2008:57) “The possibilities for changing the spatial conditions of inequality are ... few and difficult. ... there is a danger to focus on the neighbourhood scale and forget about other geographical scales, leaving solutions at a higher level, such as making the poor richer or giving equal rights to immigrants, aside. This means that the interest in spatial policies as a solution to the problem of disadvantaged urban neighbourhoods is likely to offer only partial solutions, and maybe even counter-productive to the extent that they distract from the more fundamental processes leading to serious disadvantage at the household level.” (Kesteloot-Cassiers, 2008:59)

Besides questioning the efficiency of area-based interventions some authors raise doubts about their rationale. Musterd-Ostendorf (2008:87) point out that the usual argument for area-based interventions is based on the belief that “... neighbourhoods in decline are highly segregated neighbourhoods, that segregation is increasing, and that this segregation is producing its own negative effects...”. The authors show that research does not underpin these assumptions: in Dutch cities segregation levels are moderate and are not increasing. Higher income groups are more segregated than those with lower incomes. Even in the poorest neighbourhoods the share of middle income families exceeds the share of the poor households, thus “... the poor are not cut off from society, even in the poorest neighbourhoods.”

Although the Dutch situation has its own specificities (among which one is the long history of area-based efforts to combat social exclusion problems) it is not unique at all compared to other European countries. It seems to be a common European practice that political discourses are separated from empirical research and facts. As research in many countries has proved that poverty is not confined to poor neighbourhoods, it is not a surprise that for example in Sweden “... only five per cent of the poor were reached via area-based policies.” (Andersson-Musterd, 2005). As Musterd and Ostendorf put it (2008:90) “... area-based interventions may result in missing the social targets to a great extent...”.

There were a number of EU financed research projects (such as BETWIXT and URBEX) which also reached the conclusion that neighbourhood level interventions are not enough to fight poverty (Cameron-Gilroy, 2008:23).

In order to improve the efficiency of area-based interventions, the idea of “social mix” has been raised. The original version of this idea aimed to achieve in poor neighbourhoods better mix of different housing categories, with the hope that a supply of new good quality housing will attract new affluent households, leading to better social mix of local residents. Evaluation of such policies (e.g. the Dutch Big City Policy), however, showed problems: “... the idea of attracting the better-off to settle in disadvantaged neighbourhoods appeared not to work.” (Musterd-Ostendorf, 2008:83). In a later version of this policy the aim has been modified „... social mix can at least offer the opportunity to successful households to stay in the neighbourhood. This means that they will not have to run up the downward escalator and leave the neighbourhood.” (Vranken-De Decker-Van Nieuwenhuyze, 2003:61)

A practice of the social mix strategy can be shown on the case of the Dutch urban renewal programmes in which a part of cheap dwellings are demolished, and replaced by more comfortable dwellings offered to successful local households, i.e. not only for families from outside the neighbourhood. The success of area based projects, however, depends also on the possibility „...to provide decent jobs within the neighbourhood (or within distance that is easy to bridge).” (Vranken-De Decker-Van Nieuwenhuyze, 2003:62)

Very recent examples on social mix policies show new dilemmas to emerge. This strategy can easily become too much ‘fashionable’, applied without careful analysis of local circumstances and/or leaving important aspects out of consideration. In many cases large-scale demolition programmes are launched in lower status neighbourhoods with reference to social mix policies but with no or little regard on the external effects and on other social consequences. In the case of Paris, for example, large scale demolition in the banlieus (large prefabricated housing estates in the outer parts of the city) are heavily criticized by social analysts referring to the fact that in the same areas there is a huge shortage of social housing.

Social mix ideas, if not applied carefully and in combination with other public interventions, might be in sharp contradiction with the social goals of housing policy. A recent case for this can be traced in the four largest Dutch cities which apply urban regeneration through the demolition of some of the worst housing stock with cheap public units and the creation of high-value new owner occupied housing. The aim is to increase social mix through the creation of housing mix which might attract middle and higher income people back to the city, into the new high quality housing built in the previously poor neighbourhoods. For this policy there is an investment budget of 1.4 billion euros given by the national government with additional resources from urban authorities and housing corporations for the period 2005-2009. However, these cities are criticized by analysts that with attracting higher-income residents through positioning their urban areas in the competition of the VINEX locations (large scale new developments outside their territory) their real aim is to increase their tax base, which leads at the same time to unacceptable social consequences.

1.1.5. The need for a ‘second integration’ of area-based programmes

The short overview of arguments listed above lead to the conclusion that in order to achieve lasting results in deteriorated parts of cities „... area-based policies have to go hand in hand with a radical and large-scale redistribution of work, schooling opportunities and purchasing power.” Vranken-De Decker-Van Nieuwenhuyze, 2003:61) Further to this statement, which argues for functional integration, we can add the requirement of spatial integration, as the regeneration of small, isolated areas has very rarely lead to improvements in broader territorial sense.

Thus, besides the interventions in the concrete, precisely delimited small areas also wider frameworks and visions are needed. We could call this as the requirement for the ‘second integration’ of area-based programmes in spatial and functional sense for the whole urban territory – following the first integration which aimed at the integration between functions and between sectors focusing on the selected action area only.

The potential integrative systems over local area based actions are metropolitan (regional) level governance and planning systems. This means that local, area based actions must be integral parts of higher level, larger scale development strategies which have to be embedded into metropolitan (regional) governance and planning systems.

1.2. The role of regions and metropolitan areas in Europe: the governance aspect

1.2.1. The need for regional (metropolitan) level government and governance

In order to formulate successful strategic spatial perspectives for a whole metropolitan area important endogenous governance arrangements have to be fulfilled (Salet-Thornley-Kreukels, 2006: p.XIII), as coordination in:

- spatial sense (between different spatial levels of policy, from national through regional, metropolitan to local),
- functional sense (between different land uses and activities: housing, transport, economic development, environmental sustainability, ...)
- sectoral sense (between the public, private, voluntary sectors).

There are different traditions of institutional conditions across European countries regarding the intergovernmental relations, such as the corporate model, regional federalism, the unitary government in different versions, ranging from the Napoleonic traditions through the British version until the centralized systems of the socialist countries. There are also differences regarding how precise is the allocation of tasks between different government layers. Where it is well-defined (e.g. in Germany) it is difficult to re-centralize regional functions but it is also difficult to 'squeeze in' a new governance layer, e.g. the metropolitan level. (Salet-Thornley-Kreukels, 2006:5)

The last decades brought about huge spatial restructuring in European metropolitan areas. The dominant tendency was urban sprawl until the very recent years when in some parts of Europe the center of the metropolitan areas started to grow again. Besides the internal restructuring many of the metropolitan regions grew rapidly as a result of immigration while there are also examples on shrinking city-regions in some parts of Europe (Salet-Thornley-Kreukels, 2006:14).

Because of the lack of overarching data on European city-regions the mentioned processes can only be illustrated with data about the NUTS2 regions.

Table Total population change in NUTS2 regions between 2000-04

	Natural population change	Net migration	Total population in 2004 (th)	% of EU population
Population growth	Positive	Positive	174.056	36
	Negative	Positive	129.123	26
	Positive	Negative	49.585	10
Population decline	Negative	Positive	39.673	8
	Positive	Negative	23.074	5
	Negative	Negative	73.113	15

EC, 2007:71

The table shows that while almost 3/4 of the European population is living in growing regions, the share of shrinking regions is also significant, especially taken into account that 73 million people live in areas which are declining both from natural population change and migration points of view.

The spatial restructuring resulted in significant changes in the socio-spatial composition of many neighbourhoods, both regarding the places from where people moved out and those to where they were moving in. Among the dynamically changing neighbourhoods, whether expanding or declining or restructuring, many can be considered as “problematic” from some points of view, e.g. having one-sided social structure or deteriorating physical environment, or both.

Putting this changes into spatial perspective metropolitan processes can be summarized as follows: “... de-industrialisation and polarisation on the labour market have gradually created a spatial mismatch between the disadvantaged neighbourhoods in the city centre and the growing opportunities for unskilled labourers in (some parts of) the urban periphery. ... new economic growth in metropolitan cities is based on the knowledge economy. However, this growth hasn't produced the expected positive social effects ... the spatial mismatch is even getting bigger ... polarisation within urban areas is growing...” (Kesteloot-Cassiers, 2008:57)

The tackling of the mounting problems of these neighbourhoods is a new tasks for metropolitan level policy making. The increasing challenge towards metropolitan-wide policies was not accompanied with similar increase in opportunities for metropolitan wide governments and governance. The growing discrepancies between the real world processes and the existing formal government structures lead to the development of new forms of governance solutions and institutional partnerships in some innovative metropolitan areas.

1.2.2. Historical development: changing conditions for metropolitan governance

The co-operation between the cities and their surrounding areas has had ups in the 1970s and 1980s, downs since then, and is at the beginning of the 21st century in upswing again (Homan-Howl-Tosics, 2007).

The recently observable new city-region co-operation period, though, will be different from the earlier one: it is unlikely that the main outcome of the present co-operation period will be again mass establishment of fixed boundary new layers of administration. The earlier abolished entities are unlikely to be reintroduced because of the general fear that any new stable entities would soon become too rigid, working on their self-interest.

Therefore co-operation models are the most likely way today how larger territorial units can be created. In the new co-operation period new types of co-operation are likely to develop, putting more emphasis on governance, on network-like structures and flexibility.

Thus the new units will not have overall decision making power but aim to serve as a discussion platform for the participating municipalities, how to create co-operation and public service agreements in the Functional Urban Area for those municipalities, who agree to do so.

The city-regions have double task: to address the internal conflicts within the functional urban area and to fully explore the potentials of economic co-operation in the broader urban area. These tasks need different approaches: a framework for stronger co-operation in metropolitan areas vs. voluntary agreements between cities and their surrounding areas. For the former Metrex (the network of European metropolitan regions and areas) developed a range of models (NLGN, 2006), while the latter is discussed in many publications under the heading of “creative governance” (see e.g. Balducci-Kunzmann-Sartorio, 2004).

From the work of METROGOV it can be concluded that no unified solutions are possible for European city-region (metropolitan) governments as conditions differ largely:

- In some cities administrative arrangements largely correspond to the geo-economic realities (the administrative city almost covers the morphologic urban area, and the narrow definition of city-region is close to the functional urban area) while in others the administrative city is much smaller than the morphologic urban area
- Cities differ in forms of governance arrangements, based on different historical organisations which work on similar issues

- The opportunities available to city-region partnerships are different with devolution of policy, responsibility and resources being greater in some countries and city-regions than others. The size of municipalities, their legal competencies and the “culture” of co-operation is very different across European countries.

For the NODUS project it will be an important task to explore, on the basis of the analysed approaches, the potential city-region areas around the core cities of the NODUS partners.

1.2.3. Present forms and experiments with metropolitan governance

Despite the large differences across European metropolitan areas it is possible to elaborate models of the most important types of metropolitan governance relations. The Salet-Thornley-Kreukels book (2006:381) gives the following list of „... different types of formal relationships between local and meso-level governments:

- unity of meso-level states and local government at meso-level
- duality of local and meso-level government with a regional hierarchy
- duality of local and meso-level government with a 'mediating' meso-governments
- functional relationships and symbolic projects.”

The first model refers to large unitary local governments which cover not only the core city but also some of the suburban municipalities. Today only a few cities belong to this category (e.g. Greater Berlin and more debatably Vienna, Budapest) and it is clear that no new cases are to be expected as this type of administrative unification of the city with the surrounding area is not fashionable recently. This model is strong from the internal cooperation perspective but very inflexible regarding dynamic processes in the suburban parts of the city.

In most cases the central city (the local level) and the outer city-region area are belonging to different administrative units. This “duality of local and meso-level government” can show a hierarchical pattern, where the broader unit has the higher level administrative and planning rights. Such models (e.g. Catalunya and Barcelona, Lombardy and Milan) function usually with huge conflicts and continuous power games which can probably only become easier if the political colour of the two levels become the same and also both leaders opt for cooperation instead of power struggles.

In the other version of the duality structure the meso-level government is significantly weaker, having only some strategic planning and coordinating functions. The latter refer to a kind of mediating function between the strong administrative levels, i.e. the local and the central government. The relative success of this model (existing e.g. in France, in the Netherlands) depends largely on the position of the meso-level unit, whether it gets enough support from the national government (otherwise its efforts can easily be ignored by the stronger players).

The last model based on functional relationships and symbolic projects is also quite widespread (in Britain, in Austria, in some German regions). Its advantage is the flexibility while its weakness is the lack of coordinating functions – except for the concrete sectors (e.g. public transport) for which the functional relationships exist.

This typology of metropolitan level administrative relationships could be a good approach for the analysis of the existing governmental and governance practices of the NODUS partners.

The analysis of European metropolitan governance practices concludes in some important statements which are of relevance also for the NODUS work. One of these argues against too quick changes in the formal government structures: „... continuous experimentation with governmental structures will eventually erode their social and institutional position. It may prove more prudent to rely on stable structures of government and to organize or to participate in, flexible practices of coordination emanating from these familiar institutions. ... durable institutions of government should adopt flexible policies of coordination.” Salet-Thornley-Kreukels, 2006:378.

According to another important remark the motive of equalizing social and financial conditions within metropolitan regions presupposes hierarchical conditions, while the motive of joint economic development policies presupposes cooperation between municipalities with different interests.

In the late 1990s two main theoretical approaches emerged for territorial co-operation in urban areas around large cities, with opposing suggestions. The approach of structured, pre-defined city-regions mean renaissance of co-ordinated, formal co-operation philosophy with the aim of strengthening the metropolitan level, based on the conviction that a complex system of voluntary agreements is not enough. The flexible approach (e.g. creative city-region governance), on the other hand, is based on informal co-operation in flexible spatial structures, where the voluntary co-operation might be strengthened by specific tools which are offered from above, and accepted in a voluntary way from below.

A similar conclusion has been reached in the work of the METROGOV project, according to which there should be a difference in the functions between the spatially narrower and broader definitions of city-regions. The narrower definition – relating to the functional urban area around the city – involves the co-operation in a wide range of public services (special purpose entities in flexible or set spatial set-up) and in land use planning (mechanism to guarantee the implementation of common regional-level strategic decisions, in fixed area). The broader co-operation – the larger zone of economic influence around the core city – should aim at economic planning and development, and possibly in some public services (transport, etc) in flexible bottom-up partnership. Both approaches are needed, but for different purposes. Fixed boundaries are indispensable for strong regulatory functions – a territorial land use control system needs legal background and an institution exerting the control in a strictly defined area. On the other hand, in the quickly changing world for economic development cooperation flexible boundaries are more suitable, allowing changes in partnerships.

From this analysis it follows that for the development and execution of regional or metropolitan level systems of balanced and integrated area-based regeneration interventions the presence of hierarchical, stabilized governments systems create better opportunities compared to the case of flexible institutional patterns (which are also needed but for different purposes).

1.3. European experiences of regional urban development planning and programmes

The aim of this section on regional urban development planning and programmes is not to be a compendium of academic books and articles about the evolution of planning in history, but a synthesis of the most interesting and representative experiences in Europe today. Moreover, the emphasis will lay on recent or current experiences of linking regional urban development planning with urban regeneration.

1.3.1. Defining the concept and the territorial scale

In order to focus the analysis, a clear definition of the concept has to be developed. In this work under the term regional urban development planning we understand,

- regarding the content all types of planning activities related to regeneration of residential areas, organizing the distribution of uses and activities on the territory with the aim to give them a geographical expression
- regarding the territorial scale activities undertaken by supra-local, e.g. metropolitan, regional, national administrations, with defined competences on the subject.

According to this and taking into account the different types of spatially oriented planning activities and territorial scales, this work will focus only on the marked cells of the following diagram:

		Territorial scale				
		Local	Metropolitan	Regional	National	European
Type of planning	Land use					
	Urban					
	Spatial					
	Strategic					
	Sectorial					

The different colours in the table show that strategic planning is considered only when it has a strong spatial outcome, i.e. the strategic planning in its final stage is applied to a concrete territory.

1.3.2. Country experiences with spatially oriented urban development policies

The history of higher (supra-local) level urban development policies is not very long in Europe. As first attempts, in 1977 the UK government published a White Paper on the problems of the inner cities, and in 1981 France launched the Politique des Villes. Since then the urban focus of national level development policies have strengthened, which can be illustrated with the fact that there are many useful publications that deal with the overview on national urban development policies in the EU countries. Besides the detailed analyses of the 'old' EU member states (see e.g. De Decker-Vranken-Nieuwenhuyze, 2003; Berg-Braun-Meer, 2004) there are

also attempts to survey the case of the new EU countries (see e.g. Kempen-Vermeulen-Baan, 2005).

One of these overarching studies defines 'urban policy' as follows: "... whole set of government measures at different administrative levels – European, national, regional or local – that is directed to cities. ... it is important to make a distinction between policy that is explicitly directed to cities and policy that is not, but that is 'urban' in the sense that it has substantial impact on cities, such as housing policy, transportation policy, spatial planning policy, etc." (Berg-Braun-van der Meer, 2004:4).

According to the mentioned study there are still relatively few countries among the EU-15 that have explicit urban policies on national level: UK, France, Netherlands, Belgium (Berg-Braun-van der Meer, 2004:96). There are some additional countries, which – although not having general urban policies – have at least national level policies related to urban renewal: Germany, Sweden, Denmark.

The analysis mentions the importance of integration between different sectoral (functional) policies. Besides institutional integration, i.e. ensuring the coordination between ministries most relevant for urban development, the other main possibility to strengthen the integration of different policies is the area based approach (p.110).

In Europe there are some well-known examples of national (or in federal countries sub-national) level area-based integrated urban regeneration policies, such as the Soziale Stadt (Germany), the Catalanian system, the Big City Policy (Netherlands), of which integrated area-based urban regeneration is part of.

There are three important questions emphasized in regard the area-based integrated urban regeneration policies: the strengths of the boundaries and the size of the areas; the criteria for the selection of the areas; and the links between area-based policies and the more general, mainstream policies (Berg-Braun-van der Meer, 2004:111).

Another important factor of these policies is the multi-level government structure. There are important differences between national urban development programmes regarding the decision-making structure, i.e. the role of the higher and lower level public actors in determining the content of the programme and the spatial assignment of the projects. The following hypothetical typology can be created.

In all cases first the content of the programme is determined on national level, on the basis of which the most important indicators are selected. Differences start in the second step.

- Based on the indicator values the assignment of action areas is done by the national level in a unified system for the whole country (top down procedure). Some of the earlier UK policies belong to this category. A most simple version of such an approach were those very early policies when the worst known areas – e.g. where urban riots were in the past – were pinpointed as action areas.
- Regions/municipalities get differentiated financial means according to their performance regarding the selected indicators. The assignment of concrete action areas is
 - the responsibility of the regional/municipal level (e.g. BCP in Netherlands)
 - is a matter of bottom-up bidding procedure by the municipalities which have eligible areas.

There might be, of course, major differences among the countries in the strength of the local level in determining the content of the national programme, influencing the financial conditions and regarding the selection of the action areas.

In all cases the first (internal) integration of the area-based projects is ensured by the institution (ministry) determining the content and basic framework for the programme. The difference is about the way how the secondary integration, i.e. the balanced territorial distribution of the area-based projects is ensured. In the top-down determined programmes also this dimension is taken care of by the central authority (ministry), while in the less top-down programmes the

lower level, i.e. the regions/municipalities get more role in this regard. This also means that in this second type there is a danger for imbalances in the programme – the more decisions are taken on the lower level, the more chances there are for less balanced distribution from the higher level perspective.

In the theoretical chapter many critical remarks against the area-based policies have been analysed. The main problems of such policies were in connection with the fact that the public interventions were limited to very small target areas. The emerging problems can potentially be handled with the following alternative regulations:

- selection of larger areas (which contain large number and large share of the poor residents of the urban area),
- ensure better mix between micro-level physical interventions and meso-level sectoral public policies (education, job-creation, etc.)
- ensure the combination of top-down frameworks to assure sectoral and territorial balance and bottom-up ideas for locally best suited actions.

In the NODUS project all these alternatives have carefully be studied on the cases of the partner regions/cities.

1.3.3. Methodological challenges for area-based urban regeneration policies

Within the general framework of area-based urban regeneration programmes, NODUS aims to pay special attention to some important methodological questions. Among these are determination of the size of action areas and the selection process of these areas.

Regarding the latter question the definition and application of the deprivation index is of crucial importance. These indices allow to identify deprived areas at the local level. (Local is understood here as infra-municipal level, this is, generally those spatial units used for census or electoral purpose which have a very similar population, between 1.000 and 3.000 inhabitants.) The indices are made up of several indicators designed to measure specific features of a particular deprivation theme. Usually, some of the indicators are grouped into thematic dimensions or domains in order to obtain multiple indices regarding different areas of interest. In all cases, the indicators are summarized in a single index which, after mapping or ranking the different spatial units, allows to obtain a simplified but useful picture of the most deprived areas. The most experienced in the construction of this kind of indices appear to be Anglo-Saxon countries, where four experiences can be clearly identified:

- The Scottish Index of Multiple Deprivation
<http://www.scotland.gov.uk/Topics/Statistics/SIMD/>
- The English Indices of Deprivation
<http://www.communities.gov.uk/communities/neighbourhoodrenewal/deprivation/deprivation07/>
- The Welsh Index of Multiple Deprivation
<http://new.wales.gov.uk/topics/housingandcommunity/regeneration/communitiesfirst/wimd?lang=en>
- The Northern Ireland Multiple Deprivation Measure
<http://www.nisra.gov.uk/aboutus/default.asp2.htm>

An overview of indices of deprivation across the UK, by the Office for National Statistics, describing the similarities and differences between the Indices of Deprivation across the United Kingdom, can be found at:

<http://www.neighbourhood.statistics.gov.uk/dissemination/Info.do?sessionId=ac1f930cce66a116a5f8a214384ae3ca431ed0502e9.e38Qa3mPbh4Kai0LaNeTahyKaNuSe6fznA5Pp7ftolbGmkTy?page=aboutneighbourhood/indicesofdeprivation/indices-of-deprivation.htm&bhnp=1>

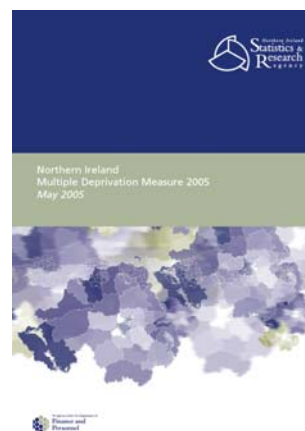
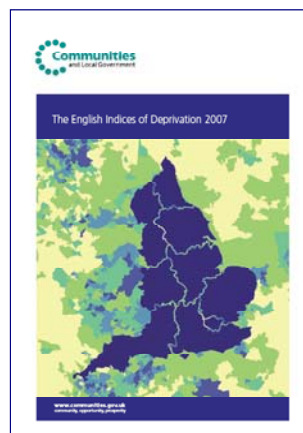
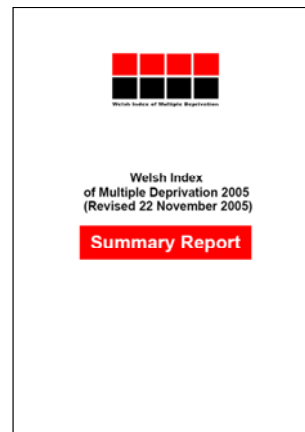
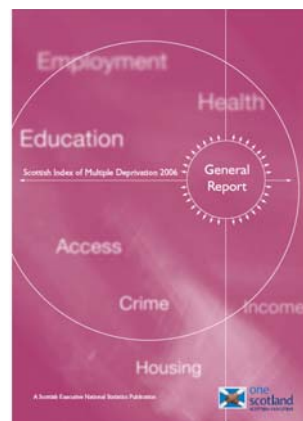
Also in The Netherlands some attempts have been made to built an index following the same criteria. The 'Living Conditions Index' was developed by the Dutch 'Social and Cultural Planning

Office' (SPC) to measure aspects of individual living conditions. It is composed of indicators from eight areas: housing, health, leisure activity, ownership of consumer durables, sport activity, vacation, social participation and mobility.

<http://www.scp.nl/english/>

The characteristics of the Living Conditions Index as well as the pros and cons before, during and after its definitions are fully described by Jeroen Boelhouwer in "Quality of Life and Living Conditions in the Netherlands", in *Assessing Quality of Life and Living Conditions to Guide National Policy*. Springer Netherlands, 2002.

<http://www.springerlink.com/content/v6l0768372328404/>



And also in Jeroen Boelhouwer & Ineke Stoop: "Measuring well-being in the Netherlands. The SCP index from 1974 to 1997". SCP (Social and Cultural Planning Office). Netherlands

http://composite-indicators.jrc.ec.europa.eu/CI_Soc0024.htm

For the case of Amsterdam, see Peggy Schyns and Jeroen Boelhouwer: "Measuring Quality of Life in Amsterdam from the viewpoint of participation. The Amsterdam Bureau for Research and Statistics / Social and Cultural Planning Office.

http://www.os.amsterdam.nl/pdf/2002_quality_of_life.pdf

All these experiences are of the greatest interest for NODUS to overcome the difficulties of the area-selection process.

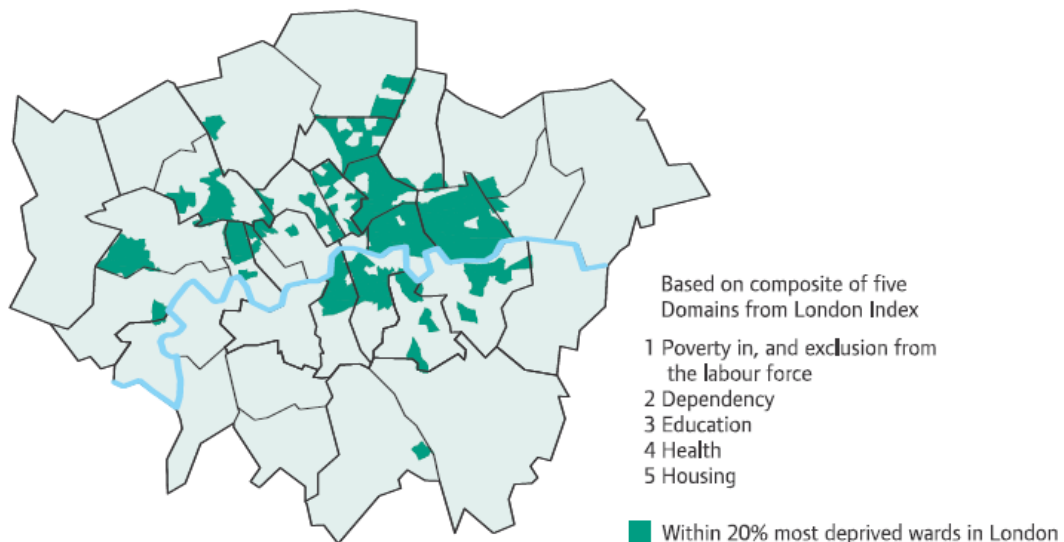
Nevertheless, few of the mentioned examples include a final application of these indices to area-based urban regeneration. One of the exceptions is the *The London Plan*, by the Mayor of London (*Spatial Development Strategy for the Greater London*), or the *West Cheshire/North East Wales Sub-Regional Spatial Strategy and Strategic Environmental Assessment Process Report*, 2006-2021.

<http://www.london.gov.uk/mayor/strategies/sds/index.jsp>

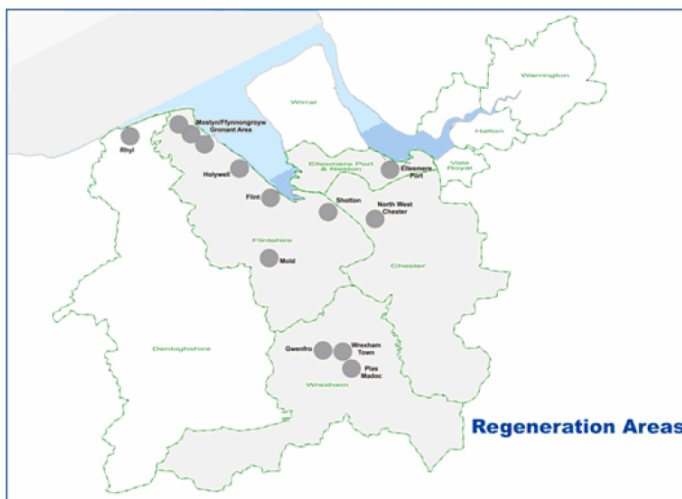
http://new.wales.gov.uk/dpsp/wsp/1335611/Master_Strategy_Document_-_1.pdf?lang=en

These are two cases of spatial strategies with a deep concern about the identification of deprived small areas at a regional level.

The London Plan: “Areas for Regeneration”



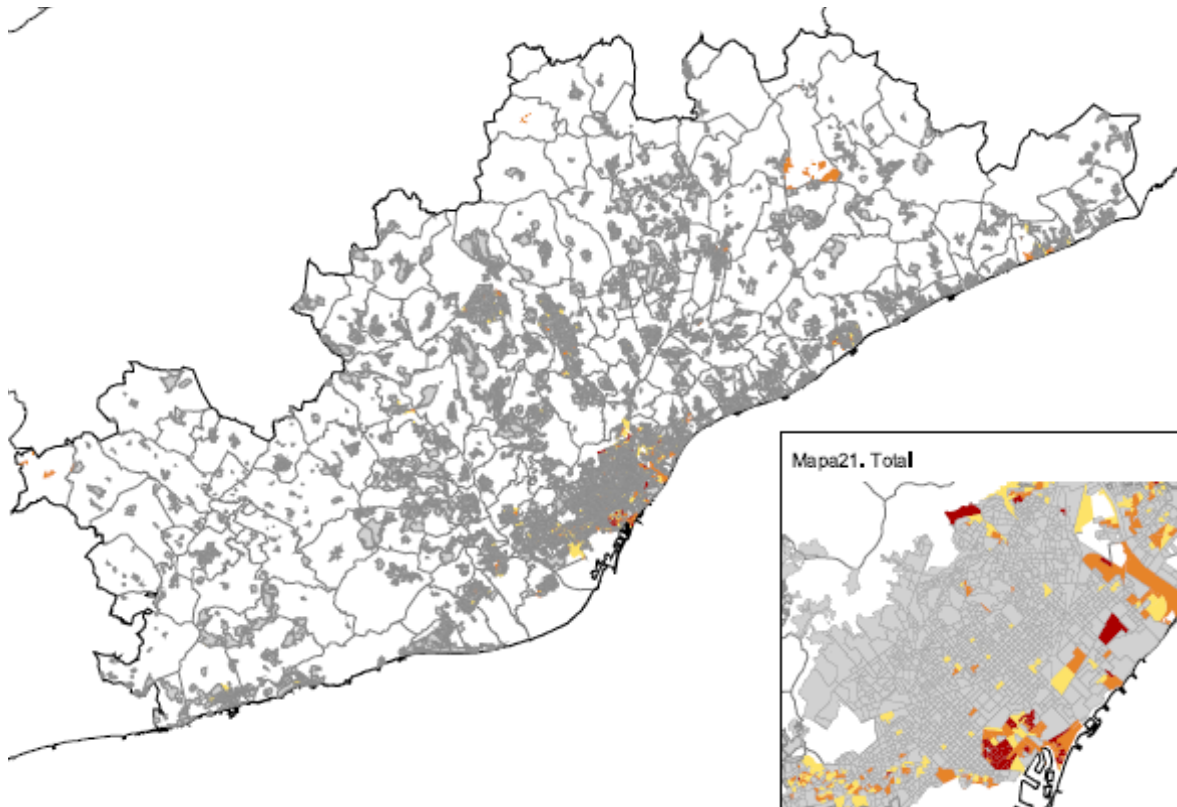
West Cheshire/North East Wales Sub-Regional Spatial Strategy: “Regeneration Areas”



Aiming for the same results, also the Catalan Regional Government, within its Regional Spatial Planning Programme (see section 2.3.2 for Catalunya), attempted to incorporate this approach in the preparatory works for the Territorial Plan of the Metropolitan Region of Barcelona. As a result, a first collection of maps representing several social, economic, environmental and physical indicators, as well as a synthetic index, was obtained.

<http://www.ietcat.org/htmls04/cat/publicacions/wpaper/IET%20working%20paper%20026.pdf>

Living conditions index for the infra-municipal areas of the Metropolitan Region of Barcelona



1.4. Applying integrative systems over local area based urban regeneration policies (the theoretical challenge for NODUS)

This chapter aimed to give a theoretical overview of integrated urban development policies, and their links to governance and planning aspects. There were many important, concrete issues discussed, which give tasks to be carried out during the work of NODUS, such as the analysis of the government/governance systems of the cities and supra-local entities of the NODUS partners, and the surveying and critical evaluation of existing area-based policies.

Besides these, the central question to be addressed in the course of NODUS turned out to be the following: how can the second, external integration of area-based urban regeneration projects be achieved?

In theoretical terms the need for the second integration of area-based urban regeneration projects comes logically from the fact that in order to achieve the first integration of different sectoral (functional) policies, the area-based approach has been implemented. To concentrate the many different public interventions to the same small area resulted in a new quality of outcomes: the possibility of integrated and participatory planning in the area has lead to real improvements. However, in this process also new problems emerged, precisely as a result of the area-based approach: in many cases the results were limited to the action area and brought around serious external effects outside this area. Furthermore, the segregation, social exclusion, poverty issues proved to be too difficult to be handled through small-scale area based interventions, which seemed to miss many of these problems.

Thus the new challenge is to re-integrate area-based interventions on higher territorial levels and in broader functional sense. Through this second integration important goals have to be achieved, that of

- territorial balance (a selection process organized from higher territorial level should ensure not only that the worst areas are selected but should also deal with the links of these areas with each other and with opportunity areas)
- functional balance (large enough areas have to be selected to include significant share of problems and aspects from outside the areas should be included).

As Musterd-Ostendorf (2008:90) put it, "... social life and social interactions are no longer confined to neighbourhoods, while social opportunities may not be neighbourhood-related. ... The social mobility of individuals must be addressed ... support can, partly, also be provided via urban policies, but not necessarily, and perhaps preferably not, along the lines of a belief in strong relations between neighbourhood segregation and social participation."

The biggest achievement of NODUS would be to raise some first hypotheses how these new challenges can be addressed in European urban areas.

2. A framework for regions and cities

Some regional and city partners of NODUS are experienced in both urban renewal and spatial planning, while some other have never developed specific programmes in one of these fields and, most of them, have undertaken projects in one or another but without a link between them.

The capacity of regions and cities to develop this kind of policies depends, however, on the competences they have on the subject. And, at the same time, the distribution of these competences depend on the administrative structure of their countries.

This is the reason why this section tackles these three points: the administrative structure of the states the regions and cities partners belong to, the distribution of competences in both urban regeneration and spatial planning among the different administrative levels, and the experience that, according to these competences, have accumulated.

This section is based on the answers that partners gave to the questionnaire attached in the annex.

These answers have been completed with a short second questionnaire about the expectations partners have in the results of the project and the main challenges and difficulties they foresee to achieve these results. Thus, the understanding of the objectives of the project by the partners, as well as a first evaluation of their position when undertaking it, is ensured.

The section reproduces the same structure for every region or city involved in the project:

2.1. The administrative structure

2.1.1. Administrative levels

2.1.2. Recent changes

2.2. Competences in urban regeneration and spatial planning

2.2.1. Urban Regeneration

2.2.2. Spatial Planning

2.3. Experiences in urban regeneration and spatial planning

2.3.1. Urban regeneration

2.3.2. Spatial planning

2.3.3. Links between urban regeneration and spatial planning

2.3.4. Main problems

Catalunya, Spain

2.1. The administrative structure

2.1.1. Administrative levels

Spain is a EU member state with an area of 504,785 sq, and a population of 46.063.511 inhabitants (1st January 2008).

Spain has been a parliamentary monarchy since 1978, with a constitutional system adopted by the Spanish Parliament after Franco's dictatorial regime. In 1986, transition to democracy was consolidated by the accession to the European Union.

The administrative structure in Spain until the late seventies was quite simple, with a three level administration where the State was on the top and the municipalities (over eight thousand) on the bottom. A single level, the provinces, was the connection between them.

The division of the Spanish territory into provinces is dated in 1833, and it is clearly inspired by the liberal and rational ideology prevailing in Europe during the XIXth Century. As many as 50 provinces were created, all of them with a similar extension and number of inhabitants. The aim to transfer the principles of equity to all the citizens led, thus, to this balanced division from the State point of view.

Tough this structure prevailed for many years, some regional particularities could be identified below the homogeneous mesh of the provinces, and some regional identities arose, having some short periods of acknowledgement for a few times.

In parallel, the important growth of the most important cities (Madrid, Barcelona, Valencia, Bilbao) during the post war period led to a new metropolitan reality in their areas of influence, together with the necessity of specific administrative bodies covering the supramunicipal scope where the real city extended. This led to the creation of four metropolitan entities for each of these four areas, with a high level of competences.

2.1.2. Recent changes

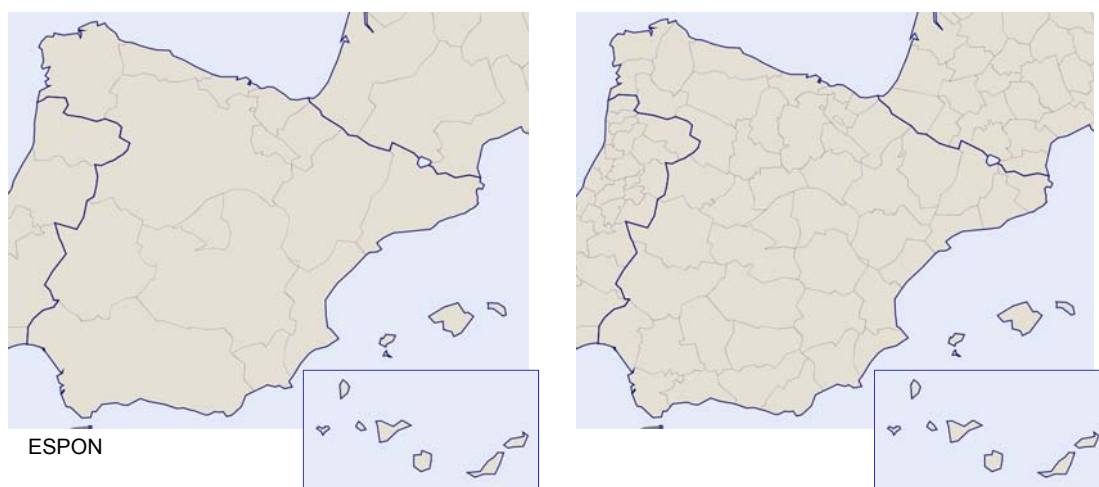
After the death of Franco and the recovering of Democracy, this administrative structure was partially modified in order to attend the demands coming from the people.

The 1978 Constitution recognised the existence of a regional reality in many parts of Spain. According to this recognition, Spain was divided into 17 Autonomous Communities (and two Autonomous Cities in the north of Africa: Ceuta and Melilla). This division, corresponding with the NUTS 2 European level, was superimposed over an earlier one into 50 provinces (NUTS 3), so that the Autonomous Communities or regions are a grouping of those.

The Constitution also determined that Autonomous Communities could internally divide their own territory. Catalunya was one of the few Autonomous Communities that undertook this internal division. Thus, in 1987, on the passing of the Spatial Planning Acts, the Catalan territory was divided into 38 *comarques* (counties), that later became 41. There is also a project to divide the country into seven regions, that is, groupings of these *comarques*.

These divisions (in counties, or in regions as planned, or any other model that may be created to solve specific issues such as the metropolitan areas) did not replace the existing ones into municipalities and provinces, but overlapped them.

Administrative levels in Spain: *Comunidades Autónomas* (NUTS 2) and *Provincias* (NUTS 3)



Basic data

Administrative units		State (NUTS 0)	Region	City
	Name	Spain	Catalunya	Barcelona
NUTS 2	Comunidades Autónomas	17	1	
NUTS 3	Provincias	50	4	
LAU1 (or similar)	Comarques	-	41	
Municipalities (or similar)	Municipios	8.111	946	1
Districts (or similar)				10

Main figures		Spain	Catalunya	Barcelona
Area (sq. km.)	2007	505.990	32.113	101
Population	2007	45.200.737	7.210.508	1.595.110
Density (inhab./sq. km.)	2007	89	225	15.731
GDP (M€ in current prices)	2007	1.049.848	208.627	-
GDP per capita	2007	23.226	28.934	-

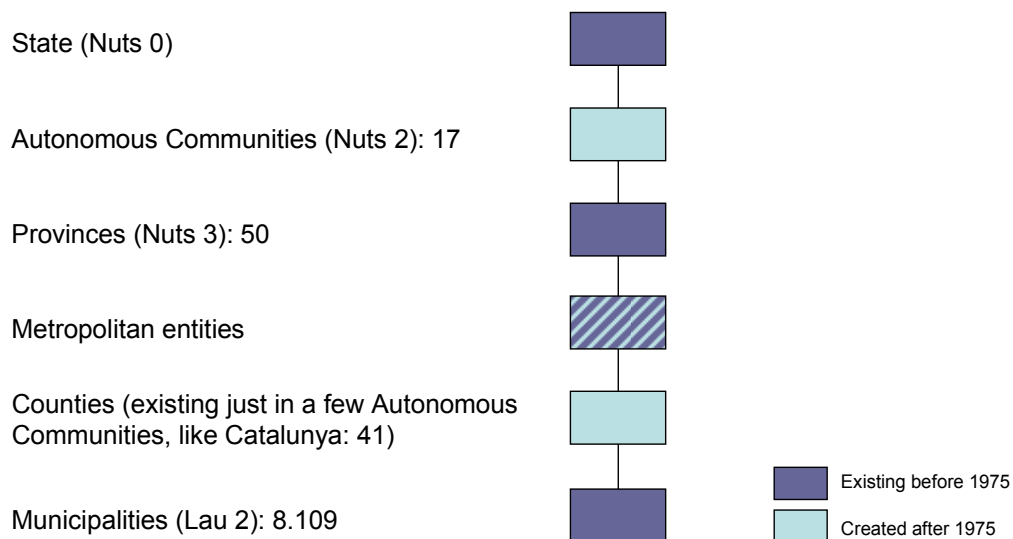
SOURCES:

Ine

Idescat

Aj. de Barcelona

Administrative structure in Spain



Catalan “Comarques”



Metropolitan entities for the area of Barcelona



The same Spatial Planning Acts passed in 1987 abolished the metropolitan government for the area of Barcelona that had been created in 1974, in a parallel process to the one occurred in Madrid, Bilbao or Valencia, as well as in some other cities in Europe. The fully provided metropolitan government for the area of Barcelona was thus replaced by two different entities, covering different areas and devoted to specific activities but, in any case, being of the importance of the former government.

The new administrative structure in Catalunya is completed, finally, at a lower level with the same municipalities (8.111 throughout Spain, 946 in Catalunya) existing in the past.

As a result, the Catalan territory as a whole bears a complex framework of administrative divisions with the corresponding institutions responsible for their management, and the resulting complexity in terms of sharing out competences.

2.2. Competences in urban regeneration and spatial planning

2.2.1. Urban Regeneration

When the Spanish Constitution was approved in 1978, competences in Urban Planning were transferred to Autonomous Communities. Article 148.1 assigns “exclusive competences in terms of Spatial and Urban Planning, as well as Housing” to Autonomous Communities. This has led to each of the Communities developing their own legislative framework and any necessary instrument in these fields.

In the case of Catalunya, this exclusivity of competence was also reflected by the 1979 Statute of Autonomy, and later by the 2006 Statute (article 149).

There are no specific competences in urban regeneration. Regeneration is considered as a part of urban practice (Decret Legislatiu 1/2005: “Text refòs i reglament de la LLei d’Urbanisme”).

Competences in local/urban planning reside both in the local and the regional level: local authorities (municipalities) have the capacity to design their own urban plan, while regional authorities (as Generalitat de Catalunya) have the competence on definitive approval of the local plans. This means, that, apart from spatial planning, the Catalan government (as the rest of Autonomous Communities) have competence when it comes to the final approval of Municipal Spatial Plans. These plans, called “Municipal Spatial Planning Plans” (“Plans d’Ordenació Urbanística Municipal”) in the 1/2005 Legislative Decree, are written by the municipalities, but the final approval by the Government of the Autonomous Community guarantees coherence among the different municipal plans, as well as their adaptation to the guidelines set by a higher planning.

At the same time, and related to urban regeneration, this means that the Catalan regional government can not act directly on the local planning, but it can approve the local plans and help the local development, as well as encourage some local projects

2.2.2. Spatial Planning

As said above, in 1978 competences in Urban planning, but also in Spatial planning, were transferred to Autonomous Communities. As a result, the Catalan Parliament approved the “Territorial Policy Act” (“Llei de Política Territorial”) in 1983. This Act aimed to guide the development of territorial plans in order to restore, keep and project rationality in land use.

After a period of not much activity by the Catalan government (with just the approval of several Sectorial Plans of a certain relevance: roads, protection of areas of natural interest...), in 1995 “General Territorial Plan for Catalunya” (“Pla Territorial General de Catalunya”), was finally

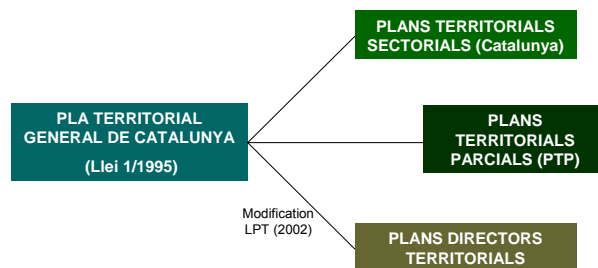
approved. The plan, for the whole territory of Catalunya, presented, however, a very limited scope for proposals.

The General Plan must be developed at a smaller scale by several “Partial Territorial Plans” (as many as seven), where the guidelines provided in the general document should be developed in detail. This commitment, however, was also slightly carried out, with just the approval of one of these seven plans.

However, in the last years, the “Planning Programme”, re-launched by the current Administration, is trying to stimulate this field again, and to alleviate, as far as possible, the negative consequences that the prolonged lack of planning has had on the whole of the Catalan territory, in a period of very strong urbanisation.

Together with the instruments determined by the 1983 “Territorial Policy Act” (the “General Territorial Plan” for the whole of Catalunya, the “Partial Territorial Plans” for at least a *comarca*, and the sectorial territorial plans to be implemented in Catalunya and aiming at a specific aspect of the territory: roads, railways, areas of natural interest, and so on), the 2002 “Urban Planning Act” includes the “Urban Planning Master Plans” (“Plans Directors Urbanístics”), with greater specification of content and a more accurate objective to be expected, regarding the resolutions.

Structure of the Regional Spatial Planning according to Llei 23/1383, de Política Territorial (Territorial Policy Act)



Scope of the Plans Territorial Parciais



2.3. Experiences in urban regeneration and spatial planning

2.3.1. Urban regeneration¹

- The ‘problem’: the evolution of the urbanization process

During the decades of 50’s, 60’s and 70’s, the Catalan, as well as the main Spanish cities, underwent a strong process of growth that became the fastest in their history. This process took place, however, under conditions of economic and social precariousness, as well as a dictatorship. From an urban point of view, this often involved overcrowding of the population in

¹ Despite there is not much written in English about the recent Catalan experience in urban regeneration, an article summarizes the reason, the aims and contents of the Catalan Urban District Programme: Oriol NEL-LO: “Against Urban Segregation and for Social Cohesion: Catalan Urban Districts Act”. Seminar “Periferie come Banlieues?” Istituto Universitario di Venezia. Ca’Tron, 30-31 March 2006.

certain pre-existing neighbourhoods of the cities and the emergence of new, under-served urban areas which were poorly connected to other areas and with an enormous deficiency in infrastructures, facilities and services.

After 1975 this negative tendency was partially overcome by the provision of facilities and services and by a process of metropolitanisation that helped to reducing the differences among the municipalities in the metropolitan area.

However, some new phenomena appeared at the end of the 90's that can contribute to increase the urban segregation: a peak of demographic growth associated with immigration, combined with the real-estate market situation. This combination has resulted in the appearance, yet again, of problems of overcrowding, degradations of public space and concentration of social problems in some neighbourhoods: those where the prices are relatively lower than in the rest of urban areas.

In the great majority of cases the problem we are referring to occurs in the historical districts, mass housing sites constructed in the sixties and seventies, as well as districts resulting from processes of marginal urban development.

As a consequence, it is necessary to correct situations that could lead neighbourhoods into a difficult-to-reverse spiral of physical and social degradation.

- The answer: The Catalan Urban Districts Regeneration Programme

One of its first legislative initiatives undertaken by the Government of Catalonia was devoted precisely to tackling this situation: the Law on Improving Districts, Towns and Urban Areas requiring Special Consideration. This law initiates a programme devoted to the rehabilitation and specific promotion of districts which, on account of their characteristics, require special consideration from the authorities.

The Law seeks above all to send out a three-fold message. Firstly, a message for the people living in those districts, to make it quite clear that the Government will not tolerate the deterioration of living conditions and harmonious social conditions anywhere in Catalonia. Secondly, a message to the district councils, to assure them that the Government will be behind them in tackling a problem which is indeed local but which has origins and consequences of a general nature. And lastly, a signal to the market, to warn economic agents that the authorities are willing to make a number of investments that will eventually enhance the value of private property assets.

The way the Programme works is quite simple. A financial fund destined to the rehabilitation and specific promotion of neighbourhoods which require special attention is created by the Generalitat de Catalunya (Catalan Regional Government). This fund (400 M€) will be used as a co-financing (between 50% and 75%) of regeneration projects promoted by the municipalities, with a maximum of 20M€ per project.

There is one yearly call for projects coming from all the municipalities of Catalunya.

There are two main mechanisms to evaluate and select the projects:

- The consideration of existing problems based on some statistical indicators referred to four different areas:
 - urban development;
 - demography;
 - infrastructures and mobility;
 - economic and social problems.
- The qualitative evaluation of the projects, carried out by a Commission

There are eight thematic fields of action for the eligible areas:

- a) Improvement of public space and inclusion of green areas
- b) Rehabilitation of and equipment for the collective elements of buildings

- c) Provision of facilities for collective use
- d) Incorporation of information technologies in buildings
- e) Promotion of energy efficiency, savings in water consumption and waste recycling
- f) Gender equality in the use of urban space and facilities
- g) Accessibility and suppression of architectural barriers
- h) Development of programs that involve social, urban and economic improvement of the neighbourhood

A Monitoring Committee integrated by the Generalitat de Catalunya, the local authority and representatives of neighbours, citizen and economic and social associations is created. This Committee will meet at least three times every year, and for each of this meetings the local authority has to present a report describing the state of the project. At the end of the project, the monitoring committee will present a final report.

An Office for the neighbourhood Programme and the Forum of Neighbourhoods have been created. They are dedicated to give both technical and administrative assistance to the local authorities participating in the programme

The implementation of the programme started just after the law that regulated it was passed. During the period 2004-2007, as many as seventy-one projects have been carried out all around Catalunya.

The total cost of the projects included in the Programme for these four years has been 791 million of euros (395,2M€ of them been covered by the financial fund of the Catalan Government), which represents an average of 11,1 M€ per project.

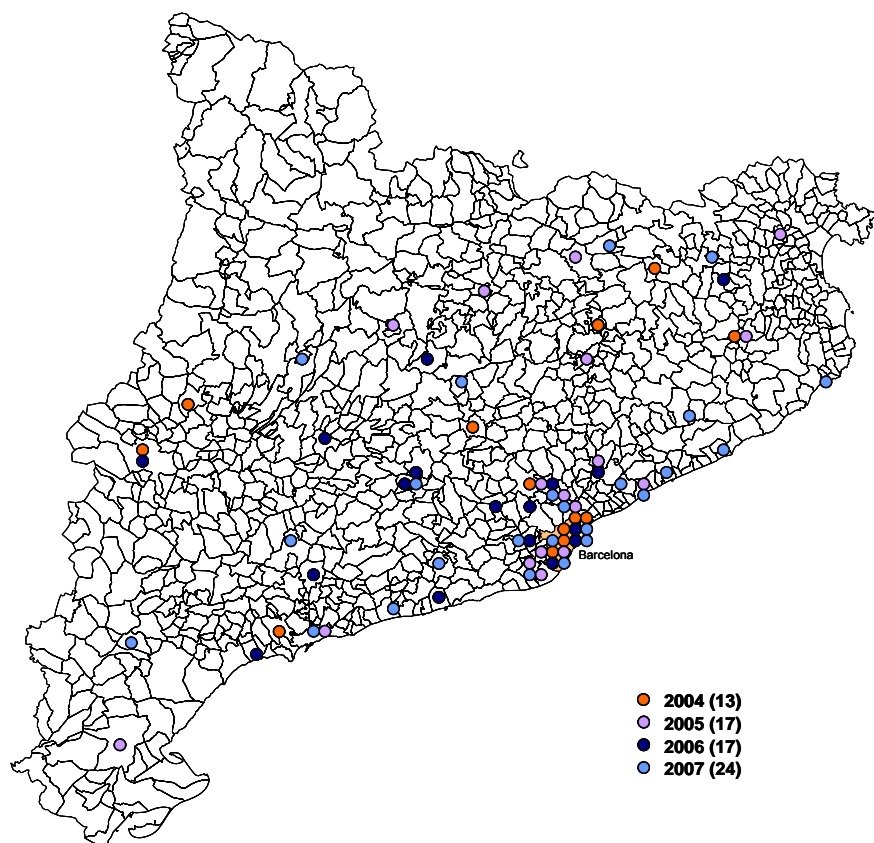
Despite it is too early to evaluate the results of the Programme, it can be said that the reception by the municipalities has been enthusiastic. Some key aspects can be pointed out as the responsible of this initial success.

First, the integrated conception of the whole programme, through the inclusion of different topics to be considered in the projects, but also because its capacity to involve different agents, from the private sector to other departments of the Catalan regional government or other administrations. Thus, some other complementary programmes have been implemented by the ministries of Housing, Health or Employment following and linking their activities to it

Second, the combination of local initiative and regional leadership. Being closer to the local level, local administrations are usually the first to detect any small-scale problems within their scope of action and, therefore, the ones that are more concerned with solving them. They, however, may find important difficulties, mainly arising from their limited capacity to act from a spatial, competence or a financial point of view. In this sense, the regional approach to urban regeneration becomes very useful, since it allows overcoming the limitations imposed by strict municipal administrative borders and, at the same time, it guarantees a proximity to local reality that the state administration would find hard to achieve. Regional administrations have also proved to have great capacity to gather and coordinate any requests from local administrations, as well as to act as an intermediary between these administrations and higher-level organisations such as the State or the European Union. This conception or the relationship between local and regional when tackling urban regeneration policies was well understood by both the responsible of the Catalan government and the local authorities. The regions assumed the responsibility on the initiative, design, financing, support or the follow-up of the programme, but left the initiative of developing their project, according to their own criteria and specific interests, to local actors (particularly to municipal administrations).

Third, the interest of promoting participation of as many agents as possible. This participation involves economic and social actors, as well as people and entities of the different areas where the projects are to be developed. This participation process sometimes makes the project more complex and difficult to be carried out, but, at the same time, enriches its quality and guarantees its acceptance and success

**Location of projects undertaken within the Catalan Urban Districts
Regeneration Programme, 2004-2007**



2.3.2. Spatial planning²

While urban development process described above was at its highest intensity, progress in the field of spatial planning for the territory as a whole was very limited and modest. In view of that situation, the Government of Catalonia decided, in January 2004, barely a month after coming into office, to create its Spatial Planning Programme, thus ending the long period of neglect in supramunicipal planning, both in its territorial and its urban-development facets.

It could be countered that if social and economic modernisation have arisen despite the absence of spatial planning, those instruments were perhaps not so necessary after all. But it must be said that the costs of those trends are very high, and if they persist they could undermine the potential for development of the territory and of Catalan society from the environmental, economic and social point of view. It is evident that the trends towards dispersion, specialisation and segregation are driven by underlying trends that are clearly supralocal, and it is very difficult for municipal-level planning to respond adequately to such trends. That is why any spatial policy seeking to harness those trends in accordance with the

² An extended explanation about the new Catalan spatial planning policy can be read in: Oriol NEL·LO: "Catalan's New Spatial-Planning Policy". The Spanish version of the article can be found in Joaquín FARINÓS & Joan ROMERO (eds.): *Territorialidad y buen gobierno para el desarrollo sostenible. Nuevos principios y políticas en el espacio europeo*. Universitat de València, 2007.

objectives of sustainability, efficiency and solidarity requires planning instruments on a higher level: the territorial level.

Working on the basis of those premises, the Government of Catalonia has made a commitment to producing spatial plans for the territory of Catalonia as a whole during this term of office (2003-2007). This entails drafting or reviewing seven spatial plans from scratch and the General Spatial Plan for Catalonia, since those Plans have both proved to be scantily operational.

The content of these spatial plans focuses on three subject areas, the intention being to offer strategic and regulatory guidelines on the basic territorial structure through them:

- a) The open-space system (land for agricultural, livestock and forest pursuits, areas of natural interest, biological connecting corridors, and other protected areas).
- b) The settlement system (the urban network, land for residential, industrial and tertiary uses, and urban rehabilitation and remodelling).
- c) The infrastructure system (the layout and service-provision of infrastructures for mobility – the road and railway system, ports, airports and logistics areas).

Clearly, this demarcation of subject areas leaves spheres of great territorial significance out of the plans – the water cycle, energy, waste, shopping facilities, health facilities etc. This restrictive approach comes in response to criteria of disciplinary and administrative prudence: disciplinary prudence since it would appear unrealistic to seek to regulate in a single planning initiative every aspect impinging on territorial transformation, particularly since, as we have seen, scant prior experience is available in Catalonia in matters of planning work; and administrative prudence since authority in the specific issues listed is held by diverse departments and bodies also possessing planning capacity of their own. Thus it was decided to define a basic territorial ground-plan for subsequent elaboration through sector-specific planning.

As regards the planning method, it must be stressed that the plans are not designed as rigid documents in which the content as a whole is geared towards a visualised target outcome, as in the past. On the contrary, the spatial plans now in the pipeline form a set of strategic orientations, territorial links, administrative actions and financial commitments aimed at attaining the established collective objectives through a process based on reaching consensus. Accordingly, as can be seen in the draft projects already unveiled, the plans are intended to be specific, rigorous and useful documents using a set of components – a report, maps, regulations and an economic-financial study – to set out the commitments made by the authorities and the rights and duties of private parties, all within a sound legal framework.

Having decided upon the thematic scope and the approach, a framework of reference was then added to ensure that it all comes across coherently. Certain spatial-planning *Criteria* were drawn up to begin with, criteria which are set out in the form of fifteen sections on the open-spaces systems, settlements and mobility infrastructures, and which spell out in detail the principles of compactness, complexity and cohesion for the territorial model as explained above. Their headings are as follows :

- a) Concerning the Open-Spaces system
 - 1. Encouraging territorial diversity, maintaining the territory's bio-physical matrix as the point of reference.
 - 2. Protecting natural, agricultural and non-building areas as an essential component of spatial planning.
 - 3. Conserving the landscape for its value to society, as a legacy, and as an economic asset for the territory.
 - 4. Restraining land consumption.
- b) Concerning the Settlements system
 - 5. Encouraging social cohesion and avoiding spatial segregation in urban areas.
 - 6. Protecting and boosting the urban legacy that brings structure to the territory.

7. Encouraging an effective housing policy, one that is well integrated in urban-development terms.
8. Encouraging the peaceful coexistence of economic activities and housing in urban areas, and rationalising the locations of industrial and service-sector estates.
9. Bringing in regulatory and spatial-guideline measures for second homes.
10. Encouraging new developments to be compact and continuous.
11. Reinforcing the nodal structure of the territory through urban growth.

c) Concerning the Mobility-Infrastructure system

12. Organising mobility more as a right than as an obligation.
13. Facilitating the deployment of public transport by making the settlement pattern polarised and compact.
14. Paying particular attention to road systems that bring territorial structure to urban developments.
15. Integrating Catalonia in the urban and transport networks of Europe.

The second point of reference embraced by the planning programme is the socioeconomic scenarios that are common to the territory of Catalonia as a whole and are intended to establish demographic-growth and employment-trend forecasts over a twenty-year time-scale (2026). By doing so, land and housing needs can be quantified from them for each sphere of the planning work.

Making sure that the forecasts for population trends and economic-pursuit trends in each planning area are coherent with environmental and energy-related factors is the third point of reference in the planning programme.

The fourth aspect of the framework for coherence in the spatial-planning work is the regulatory system for drafting, processing and approving it.

Efforts in spatial management at the territorial level must go hand in hand with urban-development action. Such action has a laudable technical and professional tradition in Catalonia, though it lacks policy guidelines, a regulatory framework and territorial engagement, and thus has all too often proved unable to counteract the detrimental aspects of the urban-development process referred to above.

To remedy this situation from the administrative standpoint, a boost has been given to the resources available to the Directorate General for Urban Development and the municipal authorities for drafting, processing, approving and implementing urban planning. To that end, changes have been made to the working methods of the Territorial Urban-Development Commissions.

From the standpoint of the contents of municipal planning, the definitive reorientation of urban-development schemes will not be reached until local-scale planning has been fully adapted to the provisions of the new urban-development legislation and to the provisions of the new spatial planning, discussed above. In order to tackle those situations without delay, the Government of Catalonia has started drafting a number of Urban Development Master Plans aimed at orienting and organising the development of certain areas.

In the evolution of the distribution of the Catalan population around the territory the population has tended to gravitate towards the coastal areas. This has led to major transformation and urban-development along the coastal areas, boosted decisively over recent decades by the phenomenon of tourism and by the increasing numbers of second homes. Hence nearly half the Catalan seaboard has now been developed. In view of this situation, the Urban-Development Master Plan for the Coastal System (PDUSC) is aimed at protecting and valorising the coastal areas that are still free of occupation and preventing, where possible, their urban development.

2.3.3. Links between urban regeneration and spatial planning

There are not links between the two main policies described above. Despite both of them are carried out by the same administration, up to date they have been following two separate ways. This dissociation between these two important policies, together with the acknowledgment of the importance of bringing them together aimed the Catalan government to undertake Nodus project.

2.3.4. Main problems

Related to the experience on urban regeneration, two main problems have been detected during the implementation process. First, the low technical capacity of some of the local authorities, especially those of the smallest towns, for the elaboration of some integral projects. It is for this reason that some technical guides have been elaborated and a program of expert assistance has been developed. Second, the difficulty to obtain objective indicators to evaluate the level of necessity of the different areas to be attended. The lack of information in some fields or the difficulty to obtain the data separately for a neighbourhood forces sometimes to a more subjective analysis.

Emilia Romagna, Italy

2.1. The administrative structure

2.1.1. Administrative levels

With an area of 301,230 sq. km, Italy has a population of 60 million inhabitants.

Italy has been a parliamentary republic with a two-chamber and constitutional system (Congress and Senate) since 1948, after World War II.

According to Article 114 of the Constitution, “the Italian Republic is constituted by Municipalities, Provinces, Metropolitan cities, Regions and the State. Municipalities, Provinces, Metropolitan cities and Regions are autonomous bodies with their own statutes, faculties and functions according to the principles set by the Constitution”.

The country is divided into 15 regions and 5 autonomous regions with special statutes. The Emilia Romagna region belongs to the first category.

Regions are divided into provinces (110 provinces in the whole country). Nine of them belong to Emilia Romagna: Piacenza, Parma, Reggio Emilia, Modena, Bologna, Ferrara, Ravenna, Forlì-Cesena and Rimini.

The basic administrative unit is the Municipality (comune). There are 8.101 municipalities in Italy, and they are very different in terms of size and population.

With an area of 22.124 sq km Emilia Romagna region has a population of 4.276,013 inhabitants, a density of 191/sq Km and 341 municipalities.

2.1.2. Recent changes

In Italy the approval of the 142/90 Act “Reform of Local Autonomies” signed a new way of working in public administration and a new role for provinces and municipalities. In this act a division of competence between various levels of government following the subsidiary principle and the abolition of the hierarchical one can be found.

This new formulation went together with a new structure of traditional government bodies.

By Law 59/1997, Regions and Local Authorities have received administrative power on territorial governance, widening powers’ transfer started with regional law system. Competencies’ distribution among State, Region and Local Authority hasn’t yet found a stable asset.

Regions started to make laws on building and urban planning and to plan actions on territory without a proper financing transfer.

The following reform of the V chapter of the Constitution gave exclusive competences to the State, some exclusive competences to regions and others matters with concurrent competences State-Region. The issue of the division of the competences is one of the main elements of the transition towards the federalist system.

Administrative levels in Italy: Regions (NUTS 2) and Provinces (NUTS 3)



ESPON

Basic data

Administrative units		State (NUTS 0)	Region	City
Name		Italy	Emilia Romagna	Bologna
NUTS 2	Regions	20	1	
NUTS 3	Provinces	107	9	
LAU1 (or similar)	-			
Municipalities (or similar)	Municipalities	8.101	341	1
Districts (or similar)				9

Main figures		Italy	Emilia Romagna	Bologna
Area (sq. km.)		301.230	22.124	141
Population	2007	59.620.000	4.276.000	371.217
Density (inhab./sq. km.)	2007	198	191	2.638
GDP (M€ in current prices)	2007	1.194.936	114.227	-
GDP per capita	2007	20.455	29.480	-

SOURCES:

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2.2. Competences in urban regeneration and spatial planning

2.2.1. Urban Regeneration

Within the urban and regional development policy, two programmes, implemented by the Ministero dei Lavori Pubblici since 1994, stand out: the “Programma di Riqualificazione Urbana” (PRU) and its successor, the “Programma di Riqualificazione Urbana e Sviluppo Sostenibile del Territorio” (PRUSST). Both programmes offer support to the development of local plans and try to link national representation and local views in this field.

Thus, municipalities prepare programmes that are later gathered and evaluated by means of indicators preestablished by the Ministry. The proposals in the plan generate a large quantity of excellent information that can be also incorporated into national policies in order to improve them. The fact that both the PRU and the PRUSST affect spatial areas beyond the cities’ administrative borders allows for a flexible view of the territory and makes intervention easier when it comes to endogenous development processes. Thus, it is a system that relates national policies and objectives to local planning.

This fundamental experience has contributed to develop within local administrations an adequate “project culture”, meant as organisational and complexity management skills and manage evaluation and decision process according to public policies on different issues concerning territory. In the same period Regione Emilia-Romagna issued an act of Law 19/98 through which the Region promotes urban quality acting with priorities on buildings’, environmental and social decay of urban areas. To reach this, it has been institutionalised a way to start complex intervention which through public and private operators involvement and through public evidence procedures guarantees objectives evaluation on priorities and collective advantages. Regional law foresees the use of regenerations program as an ordinary instrument for planning city’s areas which have lost their functions or have entered in a degenerative process for which is not enough to improve the PRG’s forecasts.

Regional Law 19/1998 promotes public and private subjects involvement through contributory procedures of public evidence which guarantees transparency on agreements based on Programme Agreements (“Accordo di Programma”).

Urban regeneration policies, born with Regional Law 19/98, went on through the innovative program on urban matters “ Contratti di Quartiere II” (Quarter’s contracts) which, by tender of September 2003, fund around 82 millions of euros through State and Region.

The Program integrates buildings-urban and social-occupational issues concentrating on goals of city areas regeneration and reduction of housing discomfort made heavier by missing services and low environmental quality. After a preliminary phase which have brought to the approval of funding proposals, the program has been actuated by the agreement’s signature (Accordo di Programma) on the 15/12/05 which have stated the deadline on April 2006 to present municipalities’ definitive project’s.

A new Program called “Programma di riqualificazione urbana per alloggi a canone sostenibile” is start to begin after its publication on G.U. on may 17th 2008.

This program promotes by Ministry of Infrastructure is realised with the cooperation of Region and Municipality. The aim is to increase the offer of flats for social housing and to improve the infrastructures of the urban degrade area.

2.2.2. Spatial Planning

With an unchanged national law (1942), regions start to adopt their own urban acts. The Emilia Romagna Region Act, approved in 2000 the Regional Act n. 20, issued on 24th march 2000 “General Discipline on territory’s Protection and Use”, which changed procedures from his previous act n. 47/1978.

The essential element of this reform is the inclusion of two planning levels: on the one hand, the provincial or metropolitan level (for the planning of large and landscape areas) and, on the other hand, the municipal level (for urban planning). Within this new framework, the regional government must watch over socio-economic development rather than spatial planning. It must also ensure that state policies and local decisions are connected, and develop a Territorial Plan for Regional Coordination". Provinces gather and coordinate proposals from municipalities in order to adapt them to the economic, spatial and environmental programmes for the region. The Province also prepares and adopts the Territorial Plan for Provincial Coordination" that defines the spatial planning guidelines adopted by the Provincial Council.

Town Planning works through three main tools:

1. Municipal Structural Planning ("Piano Strutturale Comunale" – PSC) gives strategic guidelines for the territory's assets and sustainable development.
2. Town Building Regulation ("Regolamento Urbanistico Edilizio"- RUE) rules type and procedures for interventions on building heritage.
3. Operative Municipal Planning ("Piano Operativo Comunale" – POC) is the operative town planning tool which establishes interventions to carry out in five years, which correspond to an administrative mandate.

Before territorial discipline updating, on regional planning it is started the complex programme's phase, starting from the integrated programme of intervention and soon afterwards the urban regeneration program.

2.3. Experiences in urban regeneration and spatial planning

2.3.1. Urban regeneration

Regione Emilia-Romagna has led his experience through the Regional Law 19/98 regarding Regeneration Programmes (PRU) and *Contratti di Quartiere*.

- PRU is an urban planning tool that involves a multiplicity of functions and typologies of intervention. It is supported by public and private funds. In the last five years almost 60 Pru has started with the contribution of Regional funds (100 millions euros) and an overall investment of about 1.000 millions euros.
- *Contratti di Quartiere* issue is to improve quality of living in towns renewing social housing and increasing urban vitality and public services in residential districts. Innovation goals of *Contratti di Quartiere* are: save energy and natural environment and increase accessibility and sustainable mobility inside urban areas

A research on the experiences in urban regeneration is arising now. The research is intended to answer a series of demands in a more complex way than the simple statement that PRU have reached their expected results and so in a more useful point of view for future policies and work on the city, in the present age.

- a. What added value has been produced in terms of urban quality by the methods of complex programming?
- b. What degree of integration and cooperation has been reached between different levels and sectors of the Public Administration?
- c. What new organisations of the administrative technical-structure have been experimented with and then become part of present practice?
- d. What benefits have been obtained by the "public city" by the implementation of urban transformation?

- e. What benefits have been obtained by private players involved in the processes of regeneration?
- f. Have the regenerated areas proved a 'magnet' for new centres generated inside the re-consolidated city?

2.3.2. Spatial Planning

The Regional Territorial Plan (PTR) is the most important act for a region, through which a strategic design is set to map out the way for the coming years. A Plan which is used not only as a synthesis of existing programming tools, but especially as a means to propose a sole vision of "the region we want to become"³.

To build a new vision of development and change and to reinforce social cohesion: these are the two challenges ahead of us, and Emilia-Romagna brings to them its strong background, with past achievements that today secure for it a leadership position in many ways, in an international context and especially in Europe.

The programmatic effort this new vision entails calls for deep strategic innovation in the territorial development of Emilia-Romagna, in such a way as to go to the core of the very identity and perception of the region.

We must leave behind our current existence as a cohesive assemblage of local groups and institutions and embrace a new makeup as a region that will take it on itself to draw all the different local components into a comprehensive network, passing from polycentrism to the region as a system. We must also recognise that success in working towards this goal will only come if we seize on the different strengths and experiences specific to each component of the group.

- The New Challenges

The PTR sets out the priorities for the work ahead of us over the next few years:

- Working on innovation, sustainable development, and environmental issues;
- Positioning our region in the new context of European enlargement, all the while expanding relations with the Mediterranean countries, Eastern Europe, and Asia;
- Reorganising our public institutions, especially with a view to creating a region-wide framework and building an integrated system of relations that will take us beyond polycentrism and concerted action.

In economic terms, this transformation will require a sizeable investment to increase productivity, the real problem now facing the Italian economy: this will mean bringing innovation to products and production processes, advancing scientific and technological research, training the workforce to attain better human resources, by promoting creativity and talent, protecting the environment, and working to improve logistics, communication networks, and the services necessary to open up to international markets. It will require further modernising of administrative government as well, so as to endow its public institutions with greater efficiency and decision-making ability.

In social terms, there are two basic trends we should keep in focus: first, an ageing resident population, with the complex issues this change is giving rise to, and second, the increasingly strong immigration we are seeing throughout much of our territory, in a process that is changing the face of our cities. We must govern these patterns with good judgement and skill, innovating social and health-care policies, reinstating our basic values, keeping an open mind and forward-

³ See: REGIONE EMILIA ROMAGNA: *Guidelines for the Forthcoming Regional Territorial Plan (PTR)*

looking attitude on the delicate issue of identity, and reasoning on multiculturalism as both an enrichment of our social capital and an accretion for society at large.

Lastly, the environment is also becoming a factor of competitiveness and social cohesion never more so than today has the look-and-feel of our cities – their design, architecture, and landscape: the immediately observable features of the urban environment - played such an important role in forging identities and attracting investment.

- A European Dimension for the Region

The main engines driving the growth of the network of medium sized cities and areas, such as Barcelona and Lyons in Europe, have been urban renewal and the emerging supply chains generated by the development of the new technologies. These two forces now make up our main tool for extending this network to our own cities, first among them Bologna, conceived as one of the new European capitals of innovation.

The European Union is placing greater and greater emphasis on those views that base competitiveness on a networked polycentric model of territorial organization, aimed at developing urban areas and regional systems outside the so-called “pentagon” of the economic capitals of Central Europe. The policies enacted for these “competitive poles” are prompting some European governments to develop territories even beyond the main metropolitan areas, looking to set in motion processes creating and reinforcing regional systems for innovation, through a close interchange between businesses, research centres, and local government administrations.

The location of Emilia-Romagna give it a unique vantage point: as an “economic region” which has a substantial overlap with the “administrative regions” of northern Italy, and at least some overlap with those of central Italy, Emilia-Romagna will be able to seize opportunities for development deriving from its functioning as a node connecting the strong areas of south-central Europe, the Mediterranean basin, and the Adriatic-Danube area. This will, however, require on the part of the region an ability to organise itself as a functional network of urban and territorial areas.

- From Polycentrism to a Regional System

How should Emilia-Romagna set itself up within this macro-region? There has been recent talk of an outstretched “boundless city,” with reference being made to the conurbation that has been formed along the foot of the Alps, as a way to underscore the new polarisations and spatial and economic arrangements driven by globalisation.

What in particular lies at the core of these transformations is the powerful push of the “intangible economy,” this expression meaning a service economy which puts out streams of information, knowledge, and relations, and which mediates between these elements, engaging an interchange that ends up rearranging the traditional makeup of urban space, housing, development, and organisation.

In the first place, the urban framework around Bologna consists of medium sized cities, and they form a tighter network in this area than in neighbouring areas.

In second place, we should consider the vital force that Bologna exerts within this network: the city’s calling for innovation and its productive dynamism in leading sectors of industry ensure a solid presence of metropolitan functions.

Polycentrism as a choice has been of great importance in accompanying the long period of growth spread over the territory, that we have experienced. Not only in terms of infrastructure or services for local citizens, but also by contributing in an authoritative way in the creation of a network of cities and territories, emphasising however a limit, which has been to succeed in not defining the role of a capital in this region, whilst all the most advanced systems in Europe are

composed of two elements: a capital and a cohesive and recognised territorial system capable of producing wide-spread effects.

Today however we need to look beyond this polycentric model, moving on from a network approach to a system approach, achieving this improvement in quality which will be capable of emphasising the various "excellences" and talents of our territories, promoting specific vocations within a unique vision which can be perceived and aimed at the new global scenario.

- Urban Systems and Sustainability

The complexity through which social and economic relations unfold in cities and territories results in the first place in a disconnection between the places where we live, produce, and consume. It brings about a crisis that undermines public transport, creeps into the fiscal system, and affects social and urban life and organisation at large, and these are creaks and crises that must be governed and overcome. But how? By reinstating cities in their role as engines of innovation and development.

The challenge will be to support network synergies and economies of scale and knowledge, without which the economic and social resources of the individual territories would rapidly dwindle in both size and force.

This makes it an urgent matter to set up a system consisting of a "federation of cities and territories", a strategy growing out of an institutional activity that in the past decade has defined and strengthened the roles of the provinces and municipalities.

This will require cooperation among urban systems, and we can appreciate this particularly if we look at how the knowledge-based economy is developing, with traditional manufacture getting displaced by competition from countries with a ready supply of cheap labour. This suggests that we must invest in innovation and top-quality production, building new lines of research, production, and services for only in this way will it be possible to maintain a competitive edge in a global market that is becoming increasingly dependent on the production of intangible goods.

Another way cooperation amongst urban systems can benefit us is by making it possible to improve our environmental infrastructure, after decades of wear and damage caused by urban sprawl which must motivate us today to more seriously reflect on the use and consumption of the territory.

An improvement in quality is required, this means taking a long term and decisive view on the regeneration of the areas, applying the following two principles:

- the quality of our cities and their urban texture also through the reclamation of spaces and places which are remodelled for use by local citizens;
- solidarity, by intercepting the requirements of the various components of the population of the region, especially the most vulnerable, who need to have access provided for in the urban texture to spaces suitable for their needs and at the same time assuring both their social and personal safety.

Reviving this community spirit is an essential part of the effort to advance social cohesion, and cohesion, in its turn, forms a basis by which to foster stronger social and productive relations, thereby making the possibility to work together increasingly complex and evolving varieties of skills, expertise, and needs. So there is also a side to this vision that calls for investment in productive capacity.

Establishing a cooperative scheme among urban systems will also make it possible to improve regional logistics. We have to reorganise the mobility system for the transport of persons and goods, promoting multimodality all the while protecting the environment. In this sense, logistics are construed as a way to govern territorial relations, increasingly characterised by the flow of mobility and information.

Similar improvements will have to be made to trade fairs, transport, infrastructure, energy, online communications and the production of culture. The task here is to build local and global

networks that move beyond efficiency and embrace research, and at the same time we have to reinforce the urban environment, giving it a wider spectrum of functions and specialisations, thus making for a plural territory.

2.3.3. Links between urban regeneration and spatial planning

The link between urban regeneration and spatial planning is very strong in our experience and becomes more and more important in the aim of the Regional Territorial Plan. In this Plan infrastructures and public transport facilities, sustainable development, and environmental issues are the priority for a wide action increasing the quality of our cities and their urban texture, also through the regeneration of deprived areas and buildings for public spaces and housing.

2.3.4. Main problems

The most important problem found is relation with some unexpected results of the Urban Regeneration Programme of the Region. This Programme has encouraged local municipalities to save new territory in rural areas and to concentrate new initiatives inside urban areas, to increase both quality and vitality. However, after ten years of this policy, we lost 20% more of the ground around the main towns for new residential developments. At the same time, many centres of towns are declining and suffering for urban security.

This leads to a need of a new strategy with a stronger link between local programmes and wide area planning in order to increase urban quality and infrastructure together. This is the main issue of the PTR (Regional Territorial Plan) which Guidelines.

Amsterdam, The Netherlands

2.1. The administrative structure

2.1.1. Administrative levels

- The Netherlands

The Netherlands are the European part of the Kingdom of the Netherlands, which consists of the Netherlands, the Netherlands Antilles and Aruba in the Caribbean. The Netherlands are a parliamentary democratic constitutional monarchy. The Dutch government comprises over 1.600 organizations and bodies, including 13 ministries, 12 provincial authorities and 443 municipal authorities. It also includes autonomous administrative authorities, such as police regions and chambers of commerce, and public bodies for industry and the professions, such as the Water Commodity Board. Many organizations that might be considered part of government are in private hands. They include health insurance funds, boards of private schools and benefit agencies.

Within the government sector, we distinguish between bodies that are directly elected and those that are not. Municipal councils, Province councils, Water boards and the House of Representatives are directly elected by the people, whereas mayors, police commissioners and ministers are not. However, all government authorities are ultimately accountable to the public for what they do. There are three tiers of government: central, provincial and municipal.

- Amsterdam City Region

The Amsterdam City Region is a partnership between 16 municipalities in the Amsterdam region. These municipalities work together in the on spatial development, traffic and transport, economic affairs, housing and youth welfare. The City Region focuses on direct results for participating municipalities in the form of improvements to quality of life, accessibility and economic development.

The City Region encourages cooperation between municipalities and promotes the interests of the region at upper government level. The City Region also strives towards an efficient and customer-oriented way of working.

Total number of inhabitants of the 16 municipalities in the City Region as of 1 January 2004 is 1,343,346.

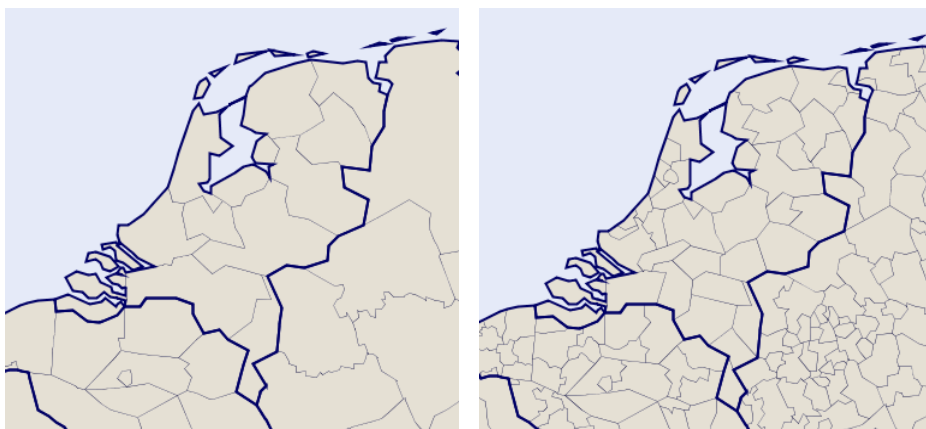
The highest body within the City Region is the Regional Council; it has 56 seats. The administrative bodies of the City Region municipalities choose their own representatives for this council. The council convenes four times a year.

The Executive Committee comprises aldermen and mayors from the Amsterdam region. The chairperson is the mayor of Amsterdam .

The Portfolio Holders Councils comprise aldermen or mayors from the municipalities. There is a Portfolio Holders Council for the Physical Environment (spatial development, economic affairs and housing), Traffic and Transport, Youth Care and General Affairs. The Portfolio Holders provide important recommendations to the Executive Committee.

It also has several Advisory Committees (chosen from the Council), e.g. for the Regional Housing Policy, Regional Economic Development Strategy, Regional Traffic and Transport Plan and Youth Care.

Administrative levels in The Netherlands: provinces (NUTS 2) and NUTS 3



ESPON

Basic data

Administrative units		State (NUTS 0) The Netherlands	Region City Region Ams.	City Amsterdam
NUTS 2	Provinces	12	-	
NUTS 3	COROP Region	40	1	
LAU1 (or similar)		-	-	
Municipalities (or similar)		443	16	1
Districts (or similar)				14

Main figures	Year	The Netherlands	City Region Ams.	Amsterdam
Area (sq. km.)	2007	41.500	1.003	220
Population	2007	16.500.000	1.343.346	750.000
Density (inhab./sq. km.)	2007	398	1.339	3.409
GDP (M€ in current prices)	2007	-	-	-
GDP per capita	2007/2001	36.715	-	38.900

Provinces in The Netherlands (NUTS 2) Amsterdam Metropolitan Region



The City Region has set out its work programme in the Regional Agenda for 2006-2010. This comprises activities such as:

- Deployment of the regional development programme
- Improving accessibility and deployment of the Regional Traffic and Transportation Plan
- Formulating and deployment of a regional economic development strategy
- A regional housing policy
- Maintaining the quality of the landscape and reinforcing the urban "green structure"
- Drafting a regional social agenda, including youth welfare

The City Region has a number of statutory tasks such as implementing the suburban housing policy, acting as a commissioning authority for public transport, subsidizing regional infrastructure and organizing youth care.

It is also dedicated to the acquirement of investment grants. The harmonization of municipal plans helps a greater willingness on the part of the national and European government as well as the business community to invest in the region.

When participating municipalities so require, the City Region can play a role in partnerships with other authorities or social organizations.

- The City of Amsterdam

Amsterdam is run by a City council and a board of aldermen. The council is the highest authority in the city and is responsible for all-important decisions (such as the city's annual budget). The council consists of 45 seats, which are contested by the various political parties. Council members are elected every four years by residents of the city of Amsterdam.

The day-to-day running of Amsterdam is the task of a government made up of the mayor and six aldermen. Aldermen are elected by and from the council and each alderman has his own area of responsibility. This board has to prepare the resolutions to be adopted by the council, and implement the resolutions once they have been adopted. The council may also reject a proposal of the board concerning juridical and financial matters.

The mayor occupies a special position in Amsterdam. He is not elected by the city's residents, but is appointed by the Queen. He chairs the city council and the board of aldermen and can vote in the board but not in the council. The mayor also has various responsibilities of his own: he is head of the police and responsible for maintaining public order in the city. To a large extent he also embodies the position of Amsterdam in the international place.

Most of the proposals that come at the city council are first discussed by advisory council committees. They are made of members of the city council who specialize in a particular area of policy. In Amsterdam there are six committees, which usually meet every third week and are mostly open to the public.

- The districts

Amsterdam's first city districts were established in the early 1980s. "Amsterdam-Noord" and "Osdorp" were the first to have their own authorities with extensive independent powers, with their own budget and team of civil servants. The idea was that neighbourhood authorities like this would contribute to more efficient and effective decision-making, and that people would feel more involved in local government. The experiment in Amsterdam-Noord and Osdorp was successful and in the years that followed the number of city districts councils increased to fifteen. Fourteen of these have their own neighbourhood councils.

City districts are run by city districts' council, which are elected every four years by the voting residents of the neighbourhood. The number of seats on a city district council depends on the population of the neighbourhood and the chosen form of government.

Like the central city government, each neighbourhood has a day-to-day administration involving a number of (district) councilors and a neighbourhood chairman. At first sight, a neighbourhood chairman appears similar to a mayor, but there are important differences: A neighbourhood chairman is not appointed by the Crown, but is elected by the neighbourhood council. Also, a neighbourhood chairman has fewer powers than the mayor, for example over the police.

The composition of the day-to-day administration varies from one city district to another: in all neighbourhoods the members of the day-to-day administration are elected by and from the neighbourhood council. Once appointed, these day-to-day administrators remain members of the neighbourhood council, so they can still vote at neighbourhood council meetings.

The tasks and responsibilities of a city district council are to some extent similar to those of any local authority with a similar population. For example, a neighbourhood council is responsible for the management of public spaces - ensuring that domestic waste is collected, roads repaired on time, streets swept and parks, playing fields and cemeteries properly maintained.

A neighbourhood council also formulates development plans and to a large extent defines policies relating to the arts, sport, recreation and social issues. A sub-committee also has the financial resources to support certain policies with subsidies. Residents can apply to the neighbourhood office for virtually anything to do with registration (passports, driving licenses, birth certificates etc.) or for permits (planning permission, tree-felling permits, catering licenses etc.).

The Amsterdam city council has thus transferred (or decentralized) many of its powers to the city districts, but not all of them. It retains powers which:

- Cannot be decentralized for legal reasons, such as adopting the city budget and city accounts;
- Are better not decentralized for practical reasons. For instance, matters affecting the health of all citizens (the City Health Authority) or the supply of clean drinking water (the City Water Authority), public transport (the City Transportation Board) and the maintenance of Amsterdam's highways (major thoroughfares), social security benefits and the maintenance of public order (police and fire brigade). These are matters which cross neighbourhood boundaries or which affect Amsterdam as a whole;
- Are necessary to preserve the cohesion of the city. With the establishment of the city district, the central city administration acquired another responsibility: it has to ensure not only that central government funds are shared fairly among the neighbourhoods, but also that the cohesion and structure of the city are maintained. The existence of fourteen neighbourhood authorities ought not to lead to the fragmentation of Amsterdam into fourteen 'islands' operating entirely separately from one another. Therefore the central authority has to oversee all this.

Thus, the city government of Amsterdam is held at two levels:

- The central city government level: there are forty different departments that set up general plans and policies orientation for the global development of the city.
- At a local level, the city is divided into fourteen city districts, with their own officials elected each four years. The city districts implements the policies in their delimited territory.

2.1.2 Recent changes

With more than 750 000 inhabitants, Amsterdam is the largest city of the Netherlands. Amsterdam enjoys the position of "capital" of the Netherlands despite The Hague being the government seat. The city is run by various central departments, but the implementation of policies is held at city districts level.

Amsterdam is subdivided into 14 boroughs, a system that was implemented in the 1980s. The boroughs are responsible for many activities that previously had been run by the central city.

The idea is to bring the government closer to the people. All boroughs have their own council, chosen by a popular election. Local decisions are made at borough level and only affairs pertaining the whole city (like major infrastructural projects), are delegated to the central city council.

In the 1990's the Amsterdam City Region was formed - consisting of 16 municipalities surrounding Amsterdam – based on a national regionalization law to improve regional coordination on matters of housing, employment, infrastructure and public transport. The city region council consists of 56 delegated members from the 16 municipalities. The city region decides on all regional and local public transport. Also the central government delegates more and more tasks to the city region council in the field of spatial planning, housing and economic affairs. Because larger neighboring cities do not participate in de Amsterdam City Region a new alliance is formed called the Amsterdam Metropolitan Area which is based on a informal agreement to join forces on economic and spatial matters.

2.2. Competences in urban regeneration and spatial planning

2.2.1 Urban regeneration

Urban renewal in The Netherlands is an integrated policy aiming at enhancing the living standard of citizens. This policy acts by tackling economical and social issues through physical restructuring.

In the Netherlands, the urban renewal policy is formulated at the central state level, but implemented and detailed at a local level (city, borough and neighbourhood).

Three main structural central budgets are available for economic, social and physical reform for a period of five years. The budget given to Amsterdam for restructuring comprises €228 million paid in advance. In return Amsterdam shows performance on a series of indicators agreed on with the State such as housing production, housing renewal, renewal of public spaces etc. After five years the goals are measured and when not met subsidies might be returned. So coordination on urban renewal resides at central state level by subsidization. Setting of local urban renewal goals is done in a bilateral agreement between the central government and the city. Urban renewal operations are a city and borough responsibility.

Three different central policies combine the urban renewal process in Amsterdam: (1) Urban restructuring, (2) Big City Policy and (3) the Neighbourhood approach.

- Urban Restructuring (1997-2009)

In 1997, the ministry of Housing (VROM) published a White paper on urban renewal, which was the start of a new housing policy involving demolition, upgrading or selling off rented dwelling. The government's aim was to introduce a social mix in the most deprived neighbourhoods in order to solve the spatial concentration of low-income households and ethnic minorities. The restructuring of the housing stock was the lead measure of this policy but was critically discussed.

- Big Cities Policies (1994-2009)

This policy is our equivalent of the French “politique de la Ville”. It aims at reducing unemployment and increasing the liveability, the public safety and entrepreneurship in cities and specifically in the worst neighbourhoods of the cities. The philosophy is that concrete area-based integrated measures (physical environment, social infrastructure, local economy) will lead to better living condition. Since 1999, this policy is run parallel to the urban restructuring policy, which concentrates mainly in physical restructuring. Cities which are part of the Big Cities Policy (31 cities) sign covenants with the Minister of Big Cities Policy (within the Ministry of Interior).

- *Neighbourhood approach (2008-2018)*

Because the integration of urban restructuring and big city policies has been a struggle, at local level the central government selected 40 neighbourhoods with extreme social-economic and physical problems for special treatment. Special measures and additional money is available to create an area based integrated program mainly consisting of social (participation) and economic measures.

2.2.2 Spatial planning

The Ministry of Housing, Spatial Planning and the Environment is responsible for the national spatial structure and coordinates the implementation of projects of national importance. The ministry gives other governmental levels and the private sector the freedom to be able to take their own responsibilities. 'Local where possible' is the motto of the National Spatial Strategy. The ministry provides the legislative tools and powers for this purpose. With the new Spatial Planning Act which will come into operation on 1 July 2008 the municipalities, provinces and central government now have the tools in place to be able to fulfill their roles in spatial development.

Spatial policy is considered at different levels in which every layer of government has its own responsibilities. An important criterion in the organisation of spatial planning is that powers have to be exercised at the right level - preferably the lowest - where all the effects of a particular decision can be overseen. This would require less supervision and give local authorities more freedom to interpret policy to their best ability. In some situations, central government and the provincial executives will, however, still have to take control.

Important policy drawn up by the central government and the provincial executives must be implemented smoothly and quickly. There are various ways to do this. Because key planning decisions and regional plans do not clearly distinguish between political statements and statements that are legally binding, it is difficult for other government bodies to see what the central government and the provincial executives really think is important or what they are empowered to or obliged to do themselves. As a result, a proposal has been put forward to separate strategic policy documents issued by the central government or provincial executives from legally binding key planning decisions or regional plans. A policy document outlines the main ideas and intentions of the government whereas key planning decisions and regional plans contain legally binding recommendations, which follow a more intensive procedure. This makes the contents of plans and proposals clearer to third parties, helps accelerate the realisation of politically supported vision and focuses much more on the steering function of key planning decisions and regional plans.

In addition to the possibility of a separation like this, various instruments that can be used in specific situations have been put forward for improving the way policy is implemented.

In the first place, central government and the provincial executives can decide to carry out large investment projects that are important in a national or provincial sense. A procedure is currently being prepared that will allow the central government to take charge of specific projects from the start until they have been completed so it can work independently from provincial executives and local authorities. The new procedure will supplement the present Infrastructure (Planning Procedures) and Aviation Acts. A proposal has been made to implement a similar procedure for provincial executives. These measures will complete the parts of the system involving the decision-making process for projects.

In order to accelerate the implementation of policy elements that are legally binding, the setting up of a selective plan hierarchy has been proposed. Until now, no provisions have been made in this respect or for the situation after a concrete policy decision has been implemented. It will mean that provincial executives and local authorities will be obliged - under the threat of sanctions - to bring their own policy on physical plans in line with key planning decisions and regional plans within a prescribed period. In addition to this, central government and the

provincial executives will be allowed to lay down their own important policy in the physical plans. Lastly, it will be possible for the central government and the provincial executives to make preparatory decisions. This will mean that undesired developments in a particular region can be stopped immediately.

2.3. Experiences in urban regeneration and spatial planning

2.3.1. Urban Regeneration

Amsterdam has set up organizational structures to implement urban regeneration efficiently and effectively as possible. The city has introduced specific budgets to fund the plans. In Amsterdam the city districts are responsible for the actual development, planning and implementation of the regeneration measures. In urban regeneration, as in many other areas, Amsterdam sets out a central municipal policy, and city districts are free to operate only within the bounds of that policy.

Within its urban renewal policy, Amsterdam has defined a large number of measurable objectives to be achieved within a five-year period. The ultimate goal, however, is to prevent deep social divisions from developing in the city and to ensure that Amsterdam can provide a home to people of all kinds. Basically, the structural quality of the entire Amsterdam housing stock is fairly good. There is no neighbourhood where demolition can be justified solely on the grounds of the poor quality of the dwellings. However, some neighbourhoods do have high concentrations of households with a low socioeconomic status, and that has motivated the municipal government, and the city districts in its wake, to restructure entire neighbourhoods in the hope of generating more diversified residential environments that are safe and pleasant to live in and to visit.

In Amsterdam intensive attempts are being made to prevent the emergence of segregated neighbourhoods and to eliminate those that already exist. Segregation in Amsterdam is mainly ethnic segregation. The social groups with the lowest socioeconomic status now consist mainly of immigrants. Amsterdam has historically been a city where many unskilled and low-skilled workers have settled, and that explains the broad and sustained political support over the years for the realization of large quantities of low-rent social housing. Today, many of Amsterdam's unskilled and low-skilled workers are from immigrant backgrounds. In other words, current segregation patterns are quite comparable to those several decades ago, but segregation is now more conspicuous because of the non-western background of many of the immigrants. This heightened visibility of social divisions may have formed a motivation to put the fight against segregation on the political agenda.

The high numbers of low-cost rental dwellings in the housing market of Amsterdam are a cause of high outward mobility. Only the low-income households have no choice but to stay in the city. Higher-income households often bid the city farewell after a few years. The Amsterdam city government would like to call a halt to this 'unhealthy' mobility. Building more dwellings for owner occupation, creating more expensive, higher-quality rental dwellings, and making more parking spaces available are some of the key ingredients in its strategy to enhance the attractiveness of the city and thereby combat social divisions. Holding onto its middle- and higher-income households and attracting new ones is one of the prime objectives that Amsterdam has set for itself in the coming years.

In total there are 27 urban renewal projects spread all over the city but mainly situated in the North, West and South East. Steady progress is made and all urban renewal project have started visible reconstruction. This is a success, but some people see a lack of interest for the people who live in the houses that are demolished. This calls for a different approach with a stronger involvement of private partners and the need to organize processes more bottom up involving the current people of the neighborhoods. This as the key element of the new enforced Neighborhood Approach of the current Minister for Urban Renewal.

It must be said that there are some debates going on about the present practices of urban regeneration. Thus, the State allocates every 5 years the money for (co-)financing urban renewal in the biggest cities of Holland, including Amsterdam. This system started at 2000 and the end of the second period will be in 2010. This 'natural momentum' is used to discuss how to continue after 2009. The same as we do now? Completely different? Or slight changes? Less public money but how much less?

One year ago Holland started up the so called 'neighbourhood approach'. The basis of this approach is more bottom up, more focus on social-economic problems and more private investments in spatial topics (housing, real estate, public areas, etc.). The relation between urban renewal and this new introduced policy is still so far a bit unclear.

2.3.2. Spatial Planning

The Spatial Planning practice in The Netherlands is constituted according to the following pillars:

- *Spatial Planning and Spatial Development*

The Netherlands are a small country that is continually changing in a globalizing world. Spatial policy has to respond to that situation. It is important to look to the future from the baseline of the past and present when developing plans for land usage. Spatial policy helps ensure strong cities and vibrant rural communities. Government policy must safeguard important national and international values like nature, landscape and cultural history and increase public safety while at the same time allowing "space for development".

- *Role of the DG Spatial Policy in the coming years*

The Directorate-General of Spatial Policy advises the Minister of Housing, Spatial Planning and the Environment in fulfilling responsibility for establishing and implementing cohesive government policy for the Netherlands's spatial development. The DG monitors and strengthens the quality of the country's spatial organization. The National Spatial Strategy is the pivotal policy product of DG Spatial Policy and sets out policy up to the year 2020. The document includes an implementing agenda that is amended from time to time. Similarly, the Spatial Planning Act and land usage policy are subject to revision. Another responsibility of DG Spatial Policy is the evaluation of spatial policy coupled to accountability to the Lower House of Parliament.

- *National Spatial Strategy: basis for developing spatial policy*

The National Spatial Strategy has shifted the emphasis in the policy of DG Spatial Policy from "imposing restrictions" to "promoting developments". The ability to develop is the central consideration. It translates into less detailed regulation by central government, fewer barriers and greater latitude for other levels of government, members of the public and market parties. This approach is anchored in the National Spatial Strategy. Working together from the start on an integral spatial vision for a particular area makes it easier to deliver quality and achieve an equitable distribution of costs and benefits. Members of the public, government authorities and companies at local and regional level will be in a position to ensure strong cities and vibrant rural communities.

- *Implementing agenda*

The National Spatial Strategy includes an implementing agenda. The agenda is a new instrument to link the objectives contained in the policy document to current and planned implementation tracks. The matters addressed in the agenda include central government's investment priorities, the effects of policy on local planning and zoning schemes and the use of implementing instruments. The agenda is an overarching way

of giving integral form and substance to the implementation of plans. More than ever before, this kind of approach is essential because of the growing importance of and need for co-operation between different stakeholders in addressing spatial issues. A central theme is the integral development of supra-local areas. Areas must be developed through 'development planning'.

- **Program**

Central government faces complex spatial issues in the northern and southern wings of the Randstad (the highly urbanised western part of the Netherlands), in the country's 'Green Heart' and in southeast Brabant. Various ministries are tackling these issues. For each area the Cabinet is producing a programme that brings together the principal issues and couples them to investments by local governments and private sector parties. Government-wide co-ordination, harmonisation and decision-making are being handled by central government. A government minister or state secretary has been named to take charge of each programme, including responsibility for good harmonisation of the projects in the preparatory and implementation phases.

- **Area development**

Members of the public, companies and community organisations take initiatives every day to improve spatial quality. DG Spatial Policy wants to provide more scope for such initiatives by creating good conditions for developing areas. This will align spatial policy more closely to society's wishes and allow their earlier fulfilment. Provincial governments, the Ministry of Housing, Spatial Planning and the Environment and other stakeholders will undertake model development planning projects to show the way forward.

- **Knowledge roadmap**

The refocused philosophy for controlling spatial policy requires local governments to make extra investments in knowledge and skills. DG Spatial Policy wants to play a facilitating role by developing a knowledge roadmap. The first place on the map is a front office for exchanging knowledge on the website of the Ministry of Housing, Spatial Planning and the Environment. The knowledge roadmap is based on the wishes of local governments.

- **Organisation of DG Spatial Policy**

Since 1st August 2004, DG Spatial Policy has consisted of three policy departments and one services centre.

- Vision, Design and Strategy ('VOS')

VOS looks into the future to identify developments and trends in society, public administration and science. Where such developments cause bottlenecks or produce opportunities for spatial policy, the department translates them into spatial concepts, visions, instruments, investment strategies and governmental arrangements. The focal points of the department are north-western Europe and the main spatial structure in the Netherlands.

- National and International Policy ('NIB')

NIB develops integral national/international spatial policy. Besides giving substance to policy, the department develops related instruments like legislation and promotes the spatial qualities of projects. The department is responsible for evaluating policy and co-ordinating its implementation.

- Implementation and Development ('REO')

REO is the linking pin between central government, regional authorities and the market sector. The department knows the regions and has ways of contributing to projects of national importance and of setting up programmes that help fulfil national spatial policy.

- Office of the Director General

The office supports the leadership and directors of DG Spatial Policy by providing advice on political and governmental matters and by managing secretariats (including RPC/RROM) and department-wide operations.

If one looks at spatial planning the discussion about how to be Metropolitan in 2040 is a big issue. The current region is not the region. The so called 'Noordvleugel' is much more important in this respect. The idea is to enlarge Amsterdam in a theoretic way to realise an economic spin off for the region as a whole. The discussion about the Metropolitan Area of Amsterdam has been just started. It is obvious that there will be a close link between this and spatial planning.

2.3.3. Links between urban regeneration and spatial planning

The whole spectrum of urban renewal has a relationship with spatial planning. Most obvious is the restructuring of existing neighbourhoods. But also economic programs (restructuring local shopping streets) and social programs (neighbourhood centers) have influence on the spatial organization and therefore spatial planning.

In urban renewal projects there is no larger consideration of existing spatial laws or boundaries than in normal spatial projects. In all cases projects must comply with the general spatial recommendations such as ecological requirements, noise reduction, height restrictions and so on.

2.3.4. Main Problems

Also because spatial planning policy which concerns local projects is set on city level through zoning restrictions the integration of spatial planning and urban renewal in Amsterdam is not a problem.

Mazovia, Poland

2.1. The administrative structure

2.1.1. Administrative levels

Poland has four levels of public administration: national, regional, sub-regional and local. Mazovia is one of 16 Polish regions (województwo – voivodship). Poland have also 379 counties (sub-regional unit - powiat), and 2478 municipalities (local unit - gmina). Territorial self-government exists at regional, sub-regional, and local levels.

Regional authorities consist of a regional council (sejmik), which is directly elected by inhabitants of region every 4 years, and marshall (marszałek) who is a head of executive body of regional self-government. Marshall is chosen and approved by the regional council. There is also a governor (wojewoda) who is a central government representative appointed by the Prime Minister. His/her main responsibility is to supervise the activities of the regional council whether all decisions are correct from the legal point of view. Nevertheless, the ideas for and concepts of development and development management is the responsibility of the self-government. What's more regional authorities are responsible for management and allocation of EU funds.

At the subregional level there are county councils, also chosen by inhabitants of county in general and direct elections for every 4-year period, and starosta, who is the head of executive body selected and approved by the county council. Likewise at the local level there are municipal councils (directly elected by citizens for 4 year period) and heads of executive body called prezydent (president) in cities with more than 100000 inhabitants, burmistrz in smaller towns (mayor) and wójt ("village – mayor") in municipalities. However, in case of municipalities they are also elected directly by citizens.

There are two legal categories of counties: rural (powiat ziemski) and urban (powiat grodzki), and three legal categories of municipalities: urban (gmina miejska), rural (gmina wiejska), and mixed – urban-rural (miejsko-wiejska). Counties and municipalities are ascribed to specific categories based on their social and economic characteristics. Competencies and powers of different categories of counties as well as municipalities are the same. Obviously, the tasks and challenges related to development planning depending on the size, location and other specific features of these units.

2.1.2. Recent changes

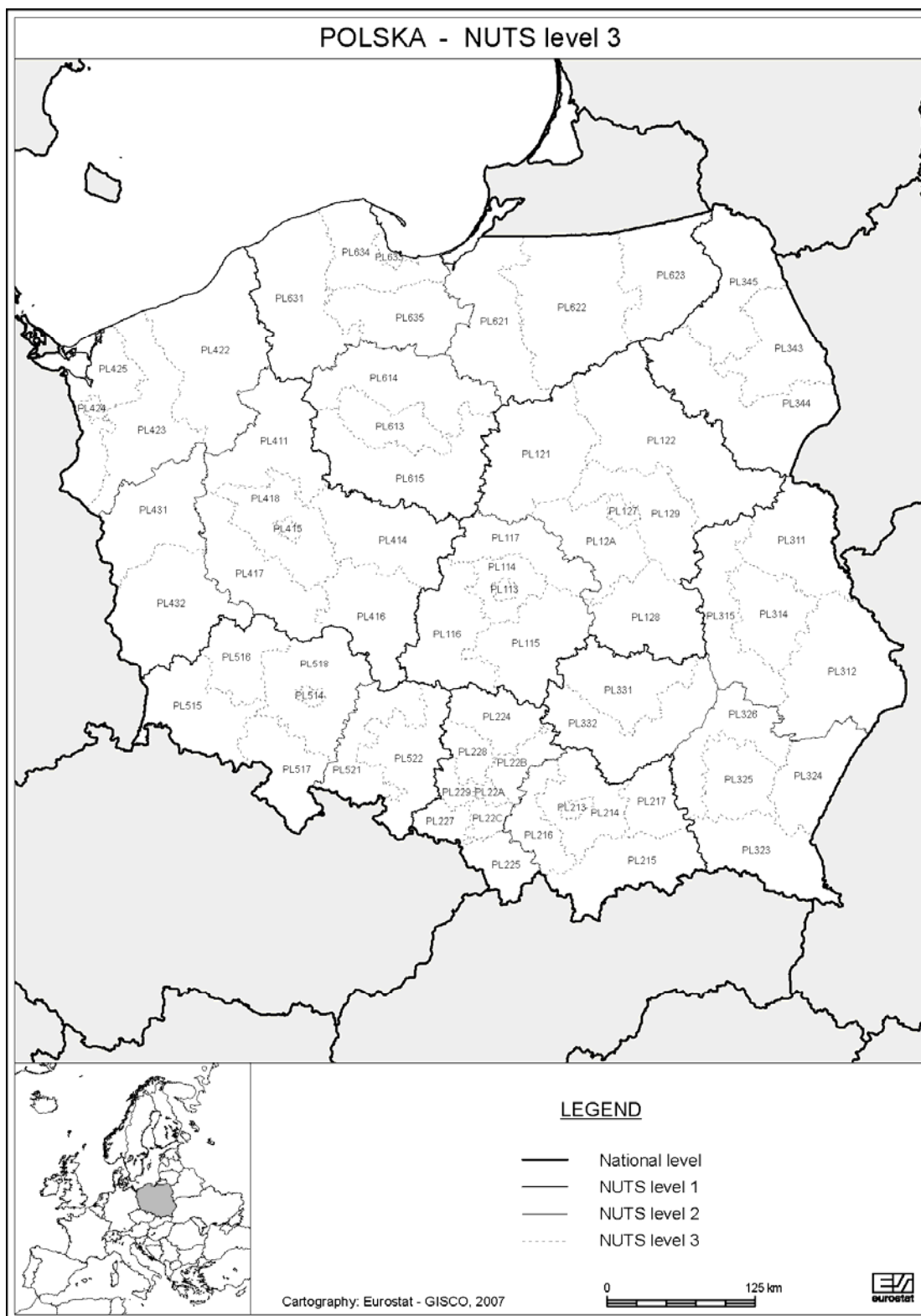
In 1990 the first democratic elections in the post- Second War history of Poland took place. It was also the year of re-birth of self-government, which was firstly established at the municipal level. Additionally, administrative subdivisions of Poland changed in 1998: old and relatively small regions (49) were replaced by 16 new ones. In this year also sub-regional level of self-government (counties) was established.

Thus, to sum up, from the 1990 serious changes in governance can be observed at all levels, displayed in sequence by:

- establishment of self-governments (especially municipalities) at 1990's,
- establishment of 16 regions at 1998,
- permanent process of decentralization of competences, strengthening of self-governments position, consolidation of governance system within them.

From few years permanent process of decentralization have taken place and it has been displayed by handing over of many competences from national/central level to regional and local self-government in such fields as for example:

Administrative levels in Poland: Voivodships (NUTS 2) and Sub-regions (NUTS 3)



ESPON

Basic data

Administrative units		State (NUTS 0)	Region	City
Name		Poland	Mazovia	Warsaw
NUTS 2	Voivodships	16	1	
NUTS 3	Sub-regions	66	5	
LAU1 (or similar)	Poviats	379	43	
Municipalities (or similar)	Gminas	2.478	314	1
Districts (or similar)				18

Main figures		Poland	Mazovia	Warsaw
Year				
Area (sq. km.)	2007	312.679	35.558	517
Population	2007	38.115.641	5.188.488	1.706.624
Density (inhab./sq. km.)	2007	122	146	3.301
GDP (M€ in current prices)	2005	244	52	32
GDP per capita	2005	6.405	10.144	19.138

SOURCES: Central Statistical Office (2007). Eurostat (2005)

- development policy,
- protection of environment, ex: new project of legal act, changing Act of environment protection 2004, according which regional self-government will be responsible for preparation of protection plan of landscape park and also local authorities will establish protected landscape area,
- land-use policy - in 2006 governor (wojewoda) passed to marshal (marszałek) his competence about changing of land-use – from rural or forest use to other, mainly urban, use.

Another change, which have great impact on Polish self-governments, was the accession of Poland to EU in 2004, especially that regional authorities are responsible for management and allocation of EU funds.

The major effects of all changes, mentioned above, are:

- liberalization of city development,
- growth of people mobility and international contacts,
- improvement of living quality,
- shortage of new areas for development,
- intensified city regeneration,
- European funds – spiritibus movens for development.

Moreover, nowadays heated debate takes place on national, regional and even local level concerning development and governance of metropolitan areas. Ministry of Interior and Administration prepared at the end of the May 2008 draft of new legal act about cities development and metropolitan areas which will have great impact on regional development and spatial planning. The aim of this act is to define the way of metropolitan areas delimitation in Poland and also methods of management and development which will be the same/similar for each Polish metropolis. This draft version of new metropolitan act is unfavorable for regional authorities due to marginalization of their role in spatial planning and management within metropolitan areas.

2.2. Competences in urban regeneration and spatial planning

2.2.1. Urban Regeneration

- National level

The greatest competence of central government from the regeneration viewpoint is to create legal framework for this actions and create all sectoral operational programs concerning distribution of EU funds.

- Regional level

Main role of the region is to create legal framework for regeneration and to allocate the funds from European Union for local projects and initiatives. Therefore, Marshall Office have to prepare and implement regional documents which have some influence on regeneration policy in region and cities, such as: Development Strategy of Mazovian Region and Spatial Development Plan, Regional Heritage Protection Program and Regional Operational Program – the document which define for what purposes Mazovian authorities spent EU funds.

- Local level

It should be strongly underlined that local authorities are driving forces of regeneration and main responsibilities concerning this task belong to them. Therefore, it is up to municipalities to prepare and implement local regeneration programs and projects.

2.2.2. Spatial Planning

The main legal instrument of spatial planning in Poland is the Spatial Planning and Land Management Act of 27th March 2003. This Act regulates formulation of spatial policies and preparation of land use plans, and also divides powers and responsibilities among different level of administration. Moreover, it regulates the way of solving possible conflicts between citizens and local government authorities. According to this Act spatial planning takes place at the national, regional and local levels.

- National level

At the national level central government agencies are responsible for preparation of main strategic and planning document called the Concept of National Spatial Development (Koncepcja Przestrzennego Zagospodarowania Kraju). This document define structural changes in the country and it should be prepared in participatory way (cooperation with self-governments and other entities including sectoral interest groups).

The main objectives of the document are:

- To formulate principles, objectives, and guidelines connected with economic, social, and spatial development;
- To establish the principles of the spatial system of settlement and infrastructure;
- To balance the development of regions;
- To establish the base for sectoral and regional public purpose programs.

- Regional level

Regional self-government is responsible for preparation of Development Strategy of Mazovian Region, Spatial Development Plan of Mazovia Region and Spatial Plan for Warsaw Metropolitan Area. All these documents must be coherent and are being reviewed and evaluated periodically and amended if it is necessary. Regional development programs must result from the Development Strategy of Mazovian Region and be coordinated with the guidelines incorporated in the Spatial Development Plan of Mazovia Region.

Spatial Development Plan formulates the spatial policy of the region, especially it indicates settlements, location of regional roads and shape of other infrastructure networks, location of investments serving the regional public purposes, protected and closed areas with their buffer zones, metropolitan areas, so called “problematic areas”, and other areas of specific nature e.g. terrain in risk of flood or deposits of minerals.

It should be said that spatial development plans for metropolitan areas are being prepared in Poland for the first time in the history of Polish planning; and plan for the Warsaw Metropolitan Area is currently under preparation.

- Sub-regional level

Sub-regional level has no competences concerning spatial planning. However, counties may prepare development strategies which usually are documents of very general nature presenting concepts of economic development in sub-region.

- Local level

Municipalities play crucial role in spatial development. It should be underline that specific location of functions, intensity of land use, scale and forms of constructions depend on decisions made by local authorities.

Municipalities prepare two spatial planning documents: *Study of The Conditions and Directions for the Spatial Development* and *Land Use Development Plan*. Municipalities also work out the third document - Local Development Strategy which is related to economic and social development and is regarded as a tool for development management.

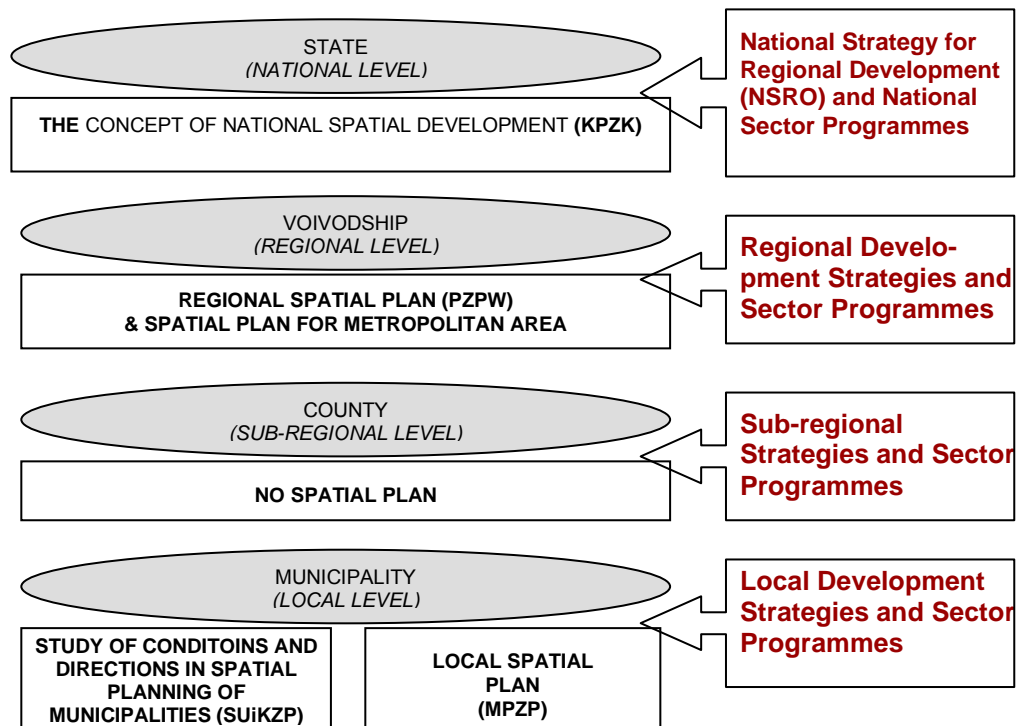
The *Study...* determines spatial policy in municipality and rules of spatial management within it. It is an obligatory but not legally binding document, prepared for whole municipality area.

The second document - the *Land Use Development Plan*, define requirements of development and is regarded as an implementation of planning policy (from *Study...*).

Nevertheless, municipality can function without a plan. In the absence of it local authorities can manage spatial development through ordering two kinds of administrative decisions: Planning Decision and Planning Decision about Public Investment.

The Plan could be prepared for a part or for the whole municipality area. The plan is a legal base for the detailed spatial management.

Planning system in Poland



Source IRM Krakow 2006

2.3. Experiences in urban regeneration and spatial planning⁴

2.3.1. Urban regeneration

- *National level*

The Cabinet and Parliament - issuing ordinances and passing legal acts

Ministry of Culture and National Heritage - Elaborating strategic documents like National Development Strategy of Culture 2007-2020

Ministry of Regional Development - Elaborating strategic documents like Concept of National Spatial Development or Operational Program – Infrastructure and Environment (one of implementation tool of National Cohesion Strategy) where some priorities concerns also regeneration.

⁴ For further information, see:

- M. Grochowski, PLUREL – “Analitical Framework. Planning system. Research focus. Stakeholder participation. Warsaw case study.” Warsaw, February 2007
- Development Strategy of Mazovia Region (actualization), Warsaw 2006,
- Spatial Development Plan of Mazovia Region, Warsaw 2004,
- Regional Heritage Protection Program, Warsaw 2004
- The Spatial Planning and Land Management Act of 27th March 2003
- <http://www.mswia.gov.pl/portal/pl/2/5641>

- Regional level

Regeneration on regional level is supported by Regional Operational Program 2007-2013 due to two priorities:

5. *Strengthening of city role in regional development*
6. *Using of natural and cultural values for tourist and recreation development*

Thanks to these statements project concerning regeneration will have greater chance for getting EU funds.

Moreover, regeneration programs of municipalities should be coherent with statements of:

- Development Strategy of Mazovian Region,
- Spatial Development Plan of Mazovia Region,
- Regional Heritage Protection Program.

The statements of Regional Strategy, concerning natural and physical environment and creation of regional identity which have importance and influence on regeneration aspects in region, are as follows:

- Stimulation of Warsaw metropolitan functions, especially by stoppage of spatial chaos in and around Warsaw thanks to regeneration of degraded urban post-industrial and former military areas and also technical, functional and social modernization of unattractive downtown areas,
- Promotion and improvement of region tourist attractions based on cultural and environmental values.

Spatial Development Plan defines such direction of spatial development as:

- Supporting the development of selected settlement centres,
- Development of infrastructure and transport systems,
- Improvement of natural environment,
- Protection and using of cultural values,
- The policy of preventing excessive developmental disparities.

What's more Regional Heritage Protection Program define specific tasks of maintenance, regeneration, protection and promotion of cultural, architectural, urban and rural values. Funds for these task have came from national, regional and local budgets, EU funds and also private funds.

- Local level

Municipalities are responsible for preparation of Local Regeneration Program that is a basis of application for EU funds on regeneration projects. These programs are elaborated in order to identify areas and objects which are socially and economically degraded and should be regenerated, especially these which are post - industrial and post - military. The major mission of each program is to coordinate selected municipal policy within regenerated areas and support regeneration actions. In other words, this is main management tool of regeneration process in municipality. Therefore, it also include a list of regeneration project which are planned for realization in the nearest future.

2.3.2. Spatial planning

- National level

As it was mentioned before government, i.e. minister responsible for spatial planning, have to prepare the Concept of National Spatial Development (see point 2.2.2. Spatial Planning, National Level). This document is under preparation right now.

- Regional level

Marshal is responsible for preparation of Development Strategy of Mazovian Region, Spatial Development Plan of Mazovia Region and Spatial Plan for Warsaw Metropolitan Area. Mazovian authorities, i.e. Mazovian Office of Regional Planning, elaborated:

- Development Strategy of Mazovian Region 2020 (actualization) in 2006,
- Spatial Development Plan of Mazovia Region in 2004.

Spatial Plan for Warsaw Metropolitan Area is still under preparation. However because of difficult legal situation (see point 2.1.2. Recent changes) it is hard to say when it will be ready.

- Local level

As it was mentioned in point 2.2.2. Spatial Planning, Local Level, each municipality have to obligatory elaborate *Study of The Conditions and Directions for the Spatial Development*. If needed it also should prepare *Land Use Development Plan* or Planning Decision and Planning Decision about Public Investment.

2.3.3. Links between urban regeneration and spatial planning

Spatial planning policies at all levels mostly refer directly or indirectly to the regeneration issues.

At national level the Concept of National Spatial Development has to do with issues which range more than one region and concern also some topics that somehow refer to the regeneration of space. For example, this document indicates main directions of spatial development through defining:

- protection requirements of environment and historic heritage,
- location, construction or modernization of transport system and technical and social infrastructure,
- “problematic areas” which need special attention – it means elaborating of proper analyses and/or plans of development.

Also regional Spatial Development Plan refers to the regeneration issues. As it was mentioned before it is legally binding to indicate in this documents location of regional roads and shape of other infrastructure networks, protected areas (ex. important from cultural or historical point of view) or so called “problematic areas” (ex. degraded areas). That is why Spatial Development Plan formulates directions of spatial development such as:

- Supporting the development of selected settlement centres,
- Development of infrastructure and transport systems,
- Improvement of natural environment,
- Protection and using of cultural values,
- The policy of preventing excessive developmental disparity.

Planning law ordered that both documents at local level should concern regeneration issues. In *Study of The Conditions and Directions for the Spatial Development* areas which need modernization, regeneration or reclamation have to be indicate and proper planning policy also should be formulate.

Land Use Development Plan have to define requirements of:

- protection of cultural and historical heritage,
- modernization or/and construction of infrastructure and transport systems.

If necessary, it also can define areas which need:

- regeneration of infrastructure or/and housing,
- modernization or reclamation.

2.3.4. Main problems

Cities:

- Lack of coordination of actions and planning of development within metropolitan area
- Shortage of city plans and law enforcement
- Unregulated reprivatization process of national properties
- Low quality of the arrangement and maintenance of public spaces in the cities
- No legible district centers
- Urban chaos in the metropolis
- Urban sprawl
- High number of blocks of small flats, constructed in the 1960's – 1970's
- Housing construction industry mainly relies on private developers
- High municipal apartment maintenance costs
- Limited possibility to organize international events and conferences in Warsaw
- Increasing problem of social segregation
- Undeveloped city infrastructure (ring-roads, metro/public transport system, sewage system)
- Lack of good quality roads

Region:

- Threat to rational region development policy
- Urban sprawl
- Problems of green areas maintenance
- Development entering green sites
- Deteriorating environment of suburbs
- Occupation of large areas against rational land management rules
- Functionally inefficient settlement structures, depending on private cars
- High public costs of chaotically developed site equipment
- Road congestions
- Lack of good quality roads
- Need to expand infrastructure
- Lack of new airports
- Strong international competition
- Lack of important international institutions
- No social awareness to spatial chaos

Katowice, Poland

(Since the contents of the sections devoted to the description of the administrative structure and competences in urban regeneration and spatial planning are very similar –if not the same- in the case of Katowice and Mazovia, this section here gathers only the topics specifically related to the city of Katowice)

Basic data

Administrative units		State (NUTS 0)	Region	City
Name		Poland	Sielsia	Katowice
NUTS 2	Voivodships	16	1	
NUTS 3	Sub-regions	45	4	
LAU1 (or similar)	Poviats	380	36	
Municipalities (or similar)	Gminas	2.489	167	
Districts (or similar)				
Main figures		Poland	Silesia	Katowice
Area (sq. km.)	2007	312.679	12.331	164
Population	2007	38.115.641	4.654.100	310.205
Density (inhab./sq. km.)	2007	122	379 (2006)	1952 (2005)
GDP (M€ in current prices)	2005	244,4	32,4	n/a
GDP per capita	2005	6.405	6.909	n/a

SOURCES: Central Statistical Office (2007) □ Eurostat (2005)

Katowice Revitalization Programme was approved by the City Council of Katowice on 29 October 2007 (XVII/324/07) and the new amendments are being prepared. The main aims of the programme are following:

1. to bring back the lost functions of the city centre
2. to preserve historical and cultural heritage of the oldest city districts
3. to revitalize devastated parts of the city
4. to revitalize post-industrial and post-military sites

Local Development Strategy was approved by the City Council of Katowice on 19 December 2005 (Annex to resolution No LII/1068/05). The document assures holistic and sustainable development, by defining priorities, strategic aims, directions and projects in five strategic fields of an equal importance: Metropolitanism, Life Quality, City Centre, Entrepreneurship, Transport & Logistics. The “Life Quality” area includes the direction which constitutes the foundation for revitalization within the city: “Reclamation and revitalisation of areas degraded by mining and industry”.

The document referring to all the spatial aspects of the city, corresponding with the Strategy is the Study of Conditions and Directions for the Spatial Development.

Alba Iulia, Romania

2.1. The administrative structure

2.1.1. Administrative levels

Romania is a country located in South-East Central Europe, North of the Balkan Peninsula, on the Lower Danube, within and outside the Carpathian arch, bordering on the Black Sea. Almost all of the Danube Delta is located within its territory. It shares a border with Hungary and Serbia to the west, Ukraine and the Republic of Moldova to the northeast, and Bulgaria to the south.

Romania has the 9th largest territory and the 7th largest population (with ~ 22 million people among the European Union member states).

The Constitution of Romania is based on the Constitution of France's Fifth Republic and was approved in a national referendum on 8 December 1991. A plebiscite held in October 2003 approved 79 amendments to the Constitution, bringing it into conformity with the European Union legislation. Romania is governed on the basis of multi-party democratic system and of the segregation of the legal, executive and judicial powers. The Constitution states that Romania is a semi-presidential democratic republic where executive functions are shared between the president and the prime minister.

The country's entry into the European Union in 2007 has been a significant influence on its domestic policy. As part of the process, Romania has instituted reforms including judicial reform, increased judicial cooperation with other member states, and measures to combat corruption.

Romania's administration is relatively centralised and administrative subdivisions are therefore fairly simplified. According to the Constitution of Romania, its territory is organized administratively into communes, towns and counties. For statistical purposes, Romania is also divided into:

- eight development regions (which are not administrative divisions per se but rather exist to co-ordinate regional development);
- 41 counties and one municipality (Bucharest, the national capital);
- 211 cities and 103 municipalities (for urban areas), and 2827 communes (for rural areas). Municipality status is given to larger cities; municipalities have a more decentralised administration than cities.

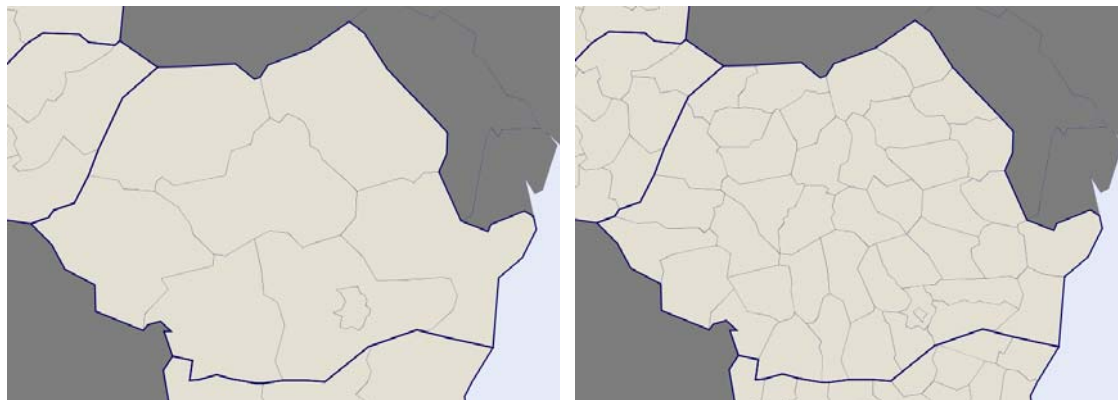
Beyond the communal and city or municipal level, there are no further administrative subdivisions. However, communes are divided into villages (villages having no individual administration and hence not being an administrative division). There are 13,092 villages.

An exception to this structure is the Municipality of Bucharest, which is a secondary division (rather than a tertiary division like other municipalities) and is officially divided into six sectors, each sector having a local government and console.

The public administration authorities through whom the local autonomy is achieved in communes and towns are the local councils of the communes and towns, as deliberative authorities, and the mayors, as executive authorities. The local councils and the mayors are elected under the terms stipulated in the Law on local elections.

The local councils and the mayors are functioning as authorities of the local public administration and solve the public matters in the communes and towns, under the terms of the law.

Administrative levels in Romania: Regions (NUTS 2) and Counties (NUTS 3)



ESPON

Basic data

Administrative units	Name	State (NUTS 0) Romania	Region Centre	City Alba Iulia
NUTS 2	Development Regions	8	1	
NUTS 3	Counties	42	6	
LAU1 (or similar)	Not used			
Municipalities (or similar)	Municipalities and towns	265	57	n/a
Districts (or similar)	Communes	2.686	357	5

Main figures	Year	Romania	Centre	Alba Iulia
Area (sq. km.)	2005	238.391	34.100	104
Population	2005	21.623.849	2.530.486	66.642
Density (inhab./sq. km.)	2005	91	74	639
GDP (M€ in current prices)	2007	122.322	14.914	n/a
GDP per capita	2007	5.100	8.066	n/a

SOURCES: www.insse.ro, www.cnp.ro, www.adrcentru.ro

A county council is constituted in each county, as the authority of the local public administration, for the coordination of the activity of the communal and town councils, aimed at the carrying out of public services of county interest.

Alba Iulia is part of Alba County and is situated in Centre Development Region which has a total surface of 34,100 sqkm (14.31% of the country's surface), and is formed by Alba, Braşov, Covasna, Harghita, Mureş and Sibiu counties.

The urban network is well structured, many of the small and medium towns having mature and well developed urban structures. The largest towns, with population over 100 therefore have a mosaical development and correspond to the commercial and productive interest points on traditional economic change routes.

Through governmental programmes in Centre Region there have been financed areas affected by the restructuring of the mining industry which led to the increase of unemployment and the worsen of the socio-economic situation. These programmes concentrated in Harghita, Covasna, Alba şi Sibiu. The total investment level (until 2003) was of 1259668.3 mil lei and 3221 jobs were created.

Alba is a county (judeţ) of Romania, in Transylvania, with the capital city at Alba Iulia. The county has 4 municipalities (Alba Iulia, Aiud, Blaj, Sebeş), 7 towns and 67 communes.

This county has a total area of 6,242 km², with mountains occupying about 59% of its surface.

2.1.2. Recent changes

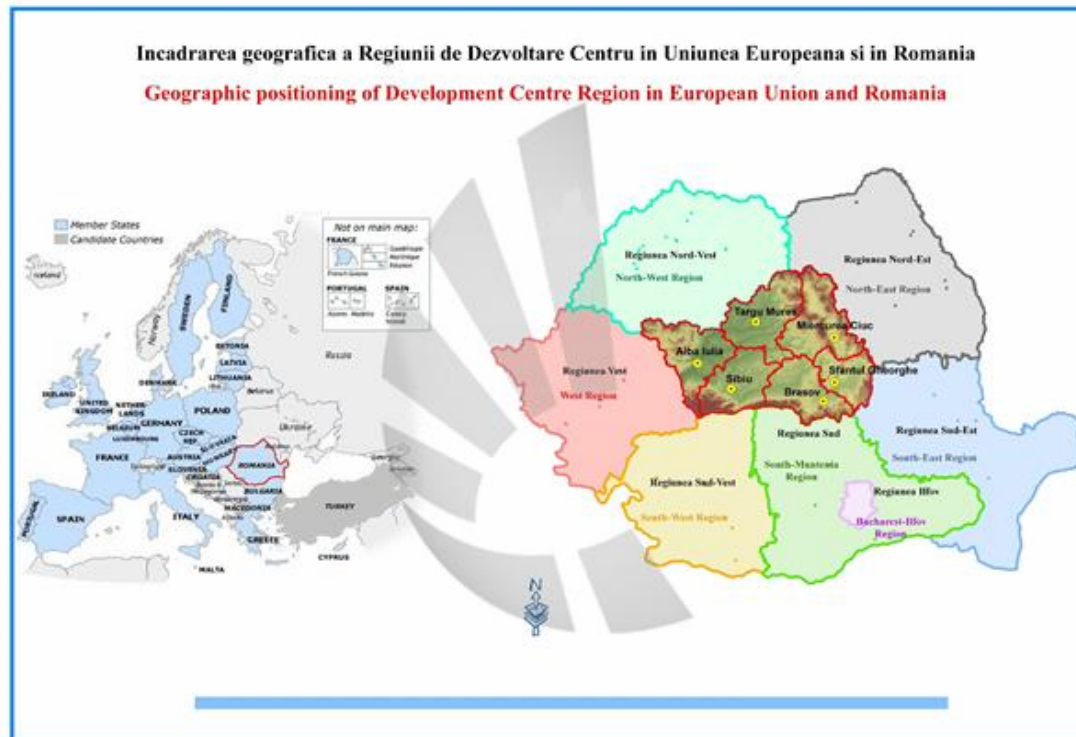
In Romania, eight development regions (specific territorial entities without administrative status or legal personality) have been created by voluntary association. The development regions represent the framework for collecting specific statistical data, according to the European regulations issued by Eurostat for the Nomenclature of Territorial Units for Statistics (NUTS) II territorial level. According to the Emergency Government Ordinance No 75/2001 on the functioning of the National Institute for Statistics, eight Directorates General for regional statistics have been created and together with the 34 county directorates for statistics, aim at developing regional statistics.

The legal acts regarding Romania territorial division define the current territorial structure, similar to NUTS, as follows:

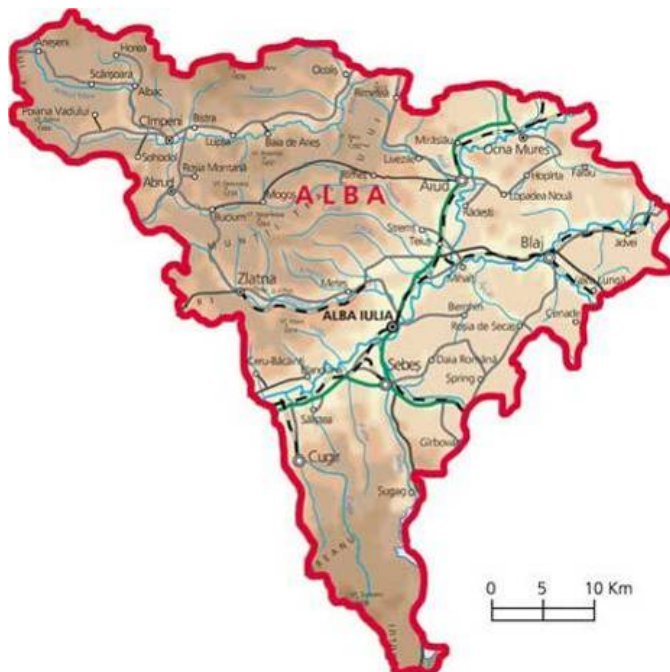
- NUTS I level: 4 macroregions (macroregiune in Romanian)
- NUTS II level: 8 development regions with an average population of 2.8 million inhabitants
- NUTS III level: 42 counties, reflecting Romania's administrative-territorial structure
- LAU I level: not used, as territorial units associations have not been identified yet;
- LAU II level: 265 cities and towns;
- 2686 communes with 13,092 villages, reflecting the administrative-territorial structure of Romania.

According to the Romanian National Commission of Statistics (NCS), the Romanian territory is divided into eight regions, each consisting of six counties (administrative units) located in the same geographical area and having about the same population density. The eight regions are North-East, South-East, South, South-West, West, North-West, Centre, and Bucharest. Bucharest is the only region that includes just one county, Ilfov. The criteria used by NCS for delimiting the regions is a combination of geographical location and homogeneity based on population density.

Geographic position of Centre Region



Alba County



2.2. Competences in urban regeneration and spatial planning

2.2.1. Urban Regeneration

2.2.2. Spatial Planning

The context for urban development planning in Romania refers to the national, regional and local policies and also to the socio-economic situation of urban areas within the national and international perspective.

According to the Law no. 350/2001 regarding the Territorial and Urban Planning, the spatial administration of the country territory is compulsory, continuous and for a long term, being managed for the communities' interests, according with the society's values and aspirations and with the requirements for integration in the European Union.

The territorial administration is achieved through territorial and urban planning, which comprises complex activities of general interest, contributing to a balanced spatial development, to the protection of buildings and natural environment and also to the improvement of life conditions in urban and rural areas.

According to the provisions of Law no. 350/2001, the central and local public administration authorities are responsible for the territorial and urban planning activities. The relationship between the central and local government has strong implications for the nature of planning and its degree of local independence.

At national level, these activities are coordinated by the Central Government that establishes priority programmes, directives and sectorial policies. The specialized authority of the Central Government is the Ministry for Transports, Constructions and Tourism.

According to the law, the territorial planning documentation is: the National Plan for Territorial Planning, of which until now the following sections had been approved: Section I – Communications Network, Section II – Water, Section III – Protected Areas, Section IV – Settlements Network, Section V – Natural Risk Areas; to these five sections Section VI – Tourism and Section VII – Rural Development will follow The Zonal Territorial Planning Plans; The County Territorial Planning Plans.

For zonal specific problems of some territories – such as inter-communal or inter-urban territories, (comprising basic administrative-territorial units - towns and communes), inter-counties (comprising parts or whole county territories) and regional (comprising several counties) – distinctive documentation for Zonal Territorial Planning would be elaborated and approved.

At local level, the Local Council is the public administration authority that coordinates and is responsible for the entire activity of urban planning carried on the administrative-territorial unit area. The Councils ensures the compliance of the provisions included in the approved territorial and urban planning documentation, in order to work out the urban development planning programme for the component localities.

In this respect, the local public administration authorities remit the Urban Certificate. This is a compulsory informing act containing the juridical, economic and technical building conditions and the necessary terms for investments, immobile transactions etc.

The urban planning documentation refers to the urban and rural localities and regulates land using and the conditions for building on the plots of land. The documentation issued by the local government regarding the urban planning activities is:

- The General Urban Plan (Master Plan) is the main document for the locality and has to be updated every 5-10 years, being the legal base for all the programmes and actions for development.
- The afferent Local Regulations for Urban Planning comprises and details the provisions of the General Urban Plan.
- The Zonal Urban Plan that ensures the correlation between urban development and the General Urban Plan of a defined area in a city, being compulsory for the central and protected areas. The afferent Local Regulations for Urban Planning comprises and details the provisions of the Zonal Urban Plan.
- The Detailed Urban Plan that is worked out only for the detailed settlements of the stipulations from the General Urban Plan and the Zonal Urban Plan.

The Local Council approves all types of urban planning documentation.

The local authority cooperates with and it is supported by the County Council in the territorial and urban planning activities. In order to work out the urban development planning programme, the Local Council cooperates with other institutions, companies, bodies and non-governmental organizations that are of national, county or local interest.

The territorial and urban planning activities are financed from the local budgets of the administrative-territorial units and also from the central budget through the Ministry for Transports, Constructions and Tourism (30 %) and also by companies or persons interested in a locality or area development.

Thus, due to the local authorities' efforts and with important support from the central authority, both financial and logistic, more than 80 % from the country localities and 100 % from the important localities presently have approved General Urban Plans, essential instruments for a coherent and rational spatial development.

Following the national policy, local governments must organize and coordinate the development of cities through a better management of the resources and creating a framework for a harmonious integrated sustainable development, balancing the actual demands and needs with the long term objectives and durable development.

2.3. Experiences in urban regeneration and spatial planning

- *Alba Iulia. Case study*

Through NODUS project we want to tackle built protected zone, **focuses on the fortress area** (see *Fig. 2*) and its immediate neighbourhoods, approaching in an integrated manner the land-use of the site and inner traffic policies (see *Fig. 3*) and the intercomunitarian relations with rural areas that surrounds our community. This is the reason for which the pilot-study is considered a good example, even it is not possible to speak yet of implementation, due to specific circumstances, such as the recent changing of the juridical status of the fortress, previously occupied in a great proportion by military functions and owned by the Ministry for National Defence.

The local authority tries to valorise in a durable and qualitative manner the heritage and its potential, preserving and developing the value and the status of the buildings. The Zonal Urban Plan approaches refer to the central area of the citadel (CZ), with relative continuous fronts and a higher degree of occupation of land, the inner adjacent zone (IAZ), comprising mostly free plots, others than those belonging to the Vauban fortifications and the external adjacent zone (EAZ), comprising free plots belonging to the external fronts of the citadel, now cultivated by the residents and the backyards of the individual dwellings oriented to the surrounding streets. The total area of the studied zone is of 94.14 ha, of which CZ is 21.063

ha, IAZ is 17.753 ha and EAZ is 55.321 ha. Each zone had been divided in reference territorial units (UTR), analyzed from the point of view of character of urban tissues, major compositional axis, architectural guide marks of cultural, historic and symbolic value, urban function, alignment of existing buildings, height, open spaces and vegetation, accesses and revaluation of the potential.

In the area, representing an important part of the total area of the city, there are around 2,000 residents occupying the dwellings located within the fortress.

The analysis highlighted – among other problems – specific access and traffic aspects (see *Fig. 4*), especially for the supplying transports and in connection with the outer neighbourhoods. Thus, for the CZ, the regulations stipulate keeping car traffic on those streets not particularly mentioned in the study and forbidding it between 06.30 and 07.30 – except for the residents; while on this streets it is no more necessary to separate car-traffic from pedestrian traffic. The regulations also refer to replacing the existing pavements with specific materials to facilitate walking and relaxing, installing lamp posts, benches and flower stands. It is also forbidden to locate even provisory individual constructions for garages and the collective garages and parking should be provided with accesses designed not to interfere with the general traffic. For the IAZ, the regulations specify that access should be ensured for emergency interventions (firemen cars, ambulances, etc.) and recommend intensive usage of the basements for parking.

Based on the analysis, the proposed regulations refer also to: permitted activities (public administration, services – offices, hotels, banks, small trade, restaurants and bars, university, culture and religious, *loisir*, housing and complementary activities), forbidden activities (industry and other activities not related with the permitted activities generating air pollution, noise and overloading of networks, storage and en-gross trade, parking, camping, storage of recycling materials etc.), protection of the built framework and historical heritage, conditions for the location, equipment and conformation of the buildings (characteristics of the plots, the location of buildings relative to the alignment, location of the buildings relative to the lateral and backyard limits, location of the buildings within the same plot), absolute and relative height of buildings, equipment (water supply, domestic sewerage, pluvial sewerage, gas distribution network, garbage disposal), façades: general rules, rules regarding the restoration and maintenance of the existing buildings, specific rules for trade activities, fences (only transparent permitted), open green and free spaces, and maximal land occupation.

A study contains a Regulation regarding the green and open spaces (see *Fig. 5*), subscribed to the vision of a **“A Great Garden in Motion”**, structured in two parts: *Natural flow, controlled accesses* and *Strictly regulated areas*. For the first part, the concepts applied are: the Upper Gardens, Open Corridor, Folies, Belvedere, while for the second part, they are: the Vegetable Gardens, Guard Walk (Promenade), Shop-window Gardens, Inner Green Spaces, Special Connections. This Regulation details the concept for each area, setting access conditions during the daytime, public lighting, differentiated to increase the visual effects (see *Fig. 6* in Annex), traffic and activities restrictions.

The pilot-study on the Management of the operations for the functional re-conversion of the built protected zone aims to formulating the criteria for the selection of the appropriate functions in order to increase the value of the site and its attraction, also identifying:

- The Institutional Plan: structure, the administrative form of coordination, the management of the heritage,
- The financial management, programmes and projects,
- The Marketing Plan: objectives, structure, promotion policies, programmes and projects,
- The Communication Plan: objectives, participating groups, categories of activities on participating groups,

the Development Plan: audit, development trends, SWOT analysis, vision, strategic objectives, development policies regarding the spatial development, site preservation, urban design, public spaces, economy, cultural development, education and training and housing.

The fundamental issue of the last 18 years in Romania – the revitalisation of old urban centres – requires the finding of methodology elements and of global approaches for them, and, therefore each city could contribute to this. The Case Studies – as per the one for the Alba Iulia Citadel and City become a capital of knowledge and methods that allow a reflection on the urban practices.

The evolution of the « heritage protection» concept has also been made in the case of Alba Iulia City from particular to global, starting with the protection of the buildings, building ensembles (from which the Citadel is part of), and the districts and of the city itself.

The development in time of the city tends to erase many of the “marks” of the previous ages, and their reading is not always accessible to its inhabitants. The protection of the urban heritage and also its future development implies the studying of the existing forms, visible or hidden or lost but which by accumulation and joining had created the city.

A clear urban image represents for the city’s inhabitants and for the local communities a re-discovery of the bench marks of the “urban landscape”, the affiliation to a space with historical and cultural identity which can socially favour the balance and the integration feeling of some populations with different cultural origins.

The relation to old terrestrial or river communication ways of the small settlements adjacent to the main settlement allow the connection of the citadel/city to the routes and communication means and with the topography or hydrography of the site.

The most important lecture instrument is the cartography documents (maps, engravings), also the pictures and the manuscripts.

The urban analysis becomes a step with an obvious scientific character both on economic and also on social or cultural plan:

- Which is the influence of the site on the turning up and then on the urban development?
- How can we analyze what the initial urban nuclei represented and the impact on the today’s city?
- How can we re-encounter the axes and the routes of the past in the texture of some streets within the ongoing change, and especially, how can we distinguish the secondary elements from the fundamental permanent components of the urban space?

The observation system of the city’s features is the first step necessary to implement the type of analyses that precede the protection, preservation, restoration and rehabilitation actions of a central historical urban area. The following analyses are important:

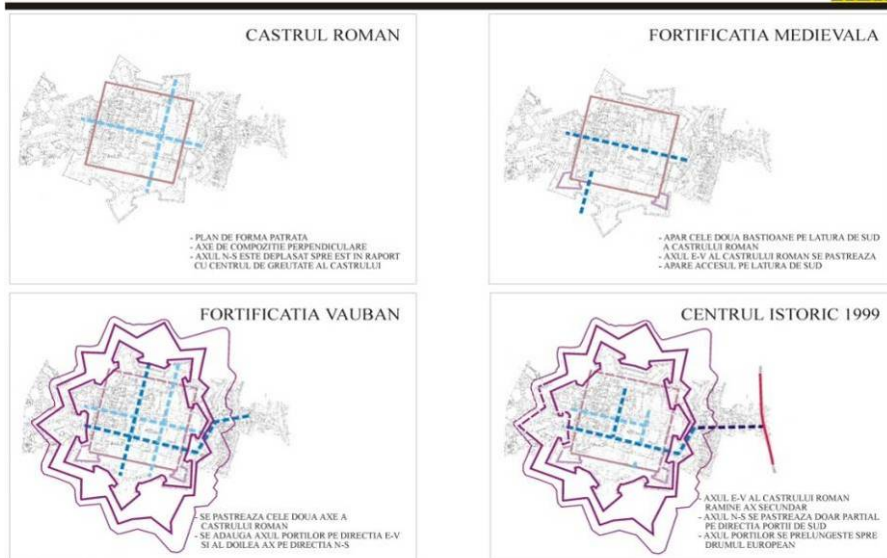
1. The report site – urban settlement;
2. The land – a testimony of the development (with a special attention paid to the archaeology) but also of the relief, of the natural and built routes;
3. The defining and the study of the urban shapes (free and built spaces, the perception elements of different elements – streets and buildings);
4. Building typology and public and private spaces;
5. The evolution of the street textures.

From hereon result the cause of the site position, the logic of its evolution and the main principles of its plan.

Alba Iulia. Citadel's projects



CENTRUL ISTORIC - ALBA IULIA - PROGRAMUL MILENIUM



CARTOGRAMA NR.12



- Project Milenium

The Project MILENIUM – or the integration of the Alba Iulia Citadel within the European Circuit. In January 2000 at Alba Iulia took place the International Seminary “Alba Iulia – Milenium”. The first stage of the Milenium program was presented - THE STUDY FOR THE REHABILITATION AND UTILIZATION OF THE ALBA IULIA HISTORICAL CENTER FOR THE INTEGRATION WITHIN THE EUROPEAN CULTURAL ITINERARIES by the specialists from Alba Iulia and Bucharest.

Having a long period in which studies and research projects for the citadel's heritage have been drawn up, the next important step in recognizing the European value of the Citadel of Vauban type was its integration within the ITINERARIES OF MILITARY FORTIFIED ARCHITECTURES OF VAUBAN TYPE which includes fortresses from the Western, Central and the Eastern Europe, Alba Iulia Citadel being the eastern one and well preserved from this geographical area.

The Program was launched in Alba Iulia on February 1999, in the presence of the Director of the EUROPEAN INSTITUTE FOR CULTURAL ITINERARIES OF THE EUROPEAN COUNCIL, Mr. MICHEL THOMAS PENETTE, of the local authorities and of the specialists. Within the campaign of the European Council: "EUROPE, A COMMON HERITAGE", a transnational project, the Ministry of Culture, the National Service for Sites and Historical Monuments of the Grand Duchy of Luxemburg chose, due to the importance of the presented projects, Alba Iulia, to collaborate for the development of the cultural itinerary.

Presently, only a part of the Vauban Circuit from Alba Iulia, stage 1, is used and offered to the Tourist Circuit through the development of arranging works, placing information panels. THE ITINERARY INCLUDES MAJOR OBJECTIVES OF CITADEL-CITY.

The opening of a new cultural itinerary “THE ITINERARY OF THE THREE FORTIFICATIONS” financed by the United Nations Development Programme within the project “BEAUTIFUL ROMANIA” was another major step.

Through Governmental funds the following have been restored: the NATIONAL MUSEUM, the UNION HALL, and the APOR PALACE and ongoing works are maintained for the CITADEL'S GATES, which are unique as Baroque military architecture.

Another major moment was the establishing of new collaborations with similar bodies from FRANCE.

On October 7 , 2002 was signed the Romanian - French Co-operation Agreement regarding the protected areas, for a period of five years, between the MINISTRY OF CULTURE AND COMMUNICATION - FRANCE and the MINISTRY OF PUBLIC WORKS, TRANSPORT and HOUSING – ROMANIA. And, the MCC and the National Association of Cities and Lands of Art and History from FRANCE financed together with MPWTH and the local public authorities from ROMANIA, a series of studies and programs for the rehabilitation and revival of the protected built areas.

The common program includes:

- STUDIES 2002 – 2007:
 - FUNCTIONAL RE-CONVERSION OF THE SPECIAL AREAS (MILITARY) SITUATED IN THE PROTECTED BUILT AREAS;
 - APPLYING THE DRAWING UP AND CONTENT – FRAMEWORK METHODOLOGY OF PLANNING DOCUMENTS FOR PROTECTED BUILT AREAS;
 - THE MANAGEMENT OF THE FUNCTIONAL RE-CONVERSION OPERATIONS FOR THE PROTECTED BUILT AREAS;
 - ZONAL PLANNING AND THE PLANNING REGULATION;
- Seminary, Workshops at ALBA IULIA, TARGOVISTE, SIBIU..;

- Staff training: “mediatoire du patrimoine”, Architect Counsellor, craftsmen;
- Advertising.

The Area for which the ZP was drawn up is limited within the Historical Zone of Alba Iulia Municipality by taking into account the influence of clearing up the spaces occupied by the Ministry of National Defense, and the necessity of reconverting these special areas entering inside the protected area, and the operational criteria and the implementation of the results of the Pilot Study – the Management of the operations for a functional re-conversion of the protected built areas (draw up by IHS Romania, client MTCT/July 2003).

The Citadel maintains, besides the historical and architectural values, also, planning values which are represented by fragments of urban array (street texture, lots, etc.) and elements of major urban operations from successive historical ages. The area includes the most part of the sites, the monuments and the ensembles enlisted in the Historical Monuments of the Alba Iulia Municipality, and outstanding elements for cultural, education, health and worship grounds, and also military buildings and housing. The value of the area consists of the coherence of the built area, its perimeter offering a pedestrian itinerary that includes different historical periods whose succession and capitalization confer uniqueness and diversity.

The Zonal Planning and the relevant Regulation have as general objective the facility of an integrated urban development process by maintaining the historical character and the identity of the Citadel, and through spatial re-conversion proposals of the free buildings and spaces. At the basis of the documentation's provisions was the general intervention principal of using the city's land and buildings for outstanding functions simultaneously with capitalization of both the historical zone as well as of the buildings with historic monument value. Considering the requirements relevant to a contemporary central historical area, it has been followed the reconstruction of the urban structure in the de-structured areas and to capitalize the public spaces and the valuable existing urban ensembles.

The provisions of the Regulation comply with UTR1 –ALBA – IULIA HISTORICAL CENTER made of 3 areas defined by the analysis of planning organization and conventionally named THE CENTRAL AREA OF THE CITADEL (CC)-ZIR1, THE ADJACENT AREA TO THE CENTRAL AREA (INNER'S CITADEL) (AIC)-ZIR2, AREAS ADJACENT TO THE CITADEL (OUTER'S CITADEL) (AEC)-ZIR3 and 8 sub-zone.

A new and future component is the landscape.

Will the landscape include new concepts and interventions in the approach towards the CITY? As in the case of the heritage, the connection between elements, the created or existing context that must be preserved, is far more important than the singular items. The capitalization of the landscape has the capacity of connecting different actors involved in the development of the site so that the different point of view are useful to the ensemble and to exist a dialogue within the global dynamics of the project in order to determine which are the elements that will bring changes.

The heritage is not only built but natural, and the tendency from the urban practice is of re-balancing the use conflict – between live and inert or between elements of urban practice (pedestrian, cars. etc.).

It is important to underline that the urban practice – and particularly in the historical centres – speaks both to the expectations of the local government as well as to the future users: the Project must not be only an image but also a translation of a political will of approaching and settling the disputes. The landscape becomes a road that needs to be explored as an aesthetical bearer of values within the interventions on the historical centre.

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- Proiect Alba S.A. & Urbe 2000 S.R.L. (2003), Functional re-conversion of special zones located in built protected areas, Pilot Study – Alba Iulia Fortress
- Institute for Housing and Urban Development Studies – Romania (2003), Management of the operations for the functional re-conversion of the built protected area, Pilot Study – Alba Iulia
- E. Harda, C. Enache, N. Triboi & C. Preda (2003), Functional re-conversion of special zones (military) located in built protected areas, Pilot Study – Alba Iulia
- www.urbact.eu
- www.guv.ro
- www.apulum.ro
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- <http://www.legislationline.org/upload/old/20fe61792d723a1bd6d25c0f882219f0.pdf>

2.3.3. Links between urban regeneration and spatial planning

Romania does not have a national policy dedicated especially to urban regeneration or neighbourhood management. As it was mentioned above, spatial planning and urban regeneration are treated in separate legislative frameworks, but mostly as part of larger responsibilities allocated to public authorities. It is obvious that between these two domains exist links and of course practical connections. Physical level of urban regeneration could not be implemented without proper spatial planning.

The problems appear when local authorities implement or allow the implementation of urban policies and public/private investments that do not fit very well with inhabitants needs and their major concerns and expectations. Every part of urban regeneration project should be planned respecting not only the architecture of the site, and legislative framework, but mainly the citizens' options and needs (collectively). Urban regeneration implies a changing of attitude and mentality of inhabitants. These aspects could not be drawn on table, but could be determinate through very pertinent and well oriented/fitted urban regeneration policies, which were very well planned (urbanistic).

2.3.4. Main problems

After 1990, in the new context created by the radical political changes, economic decline, industrial restructuring, privatization, large social disparities, etc. For example, the situation of the LHE has worsened to a great extent, displaying negative aspects in many respects such as: dwellings decay in neglected urban areas accompanied by significant cases of economic, social and ethnic segregation, the absence of energy-efficient technologies, wasteful water management systems, etc.

These problems have been addressed in a larger framework created by the new housing policies. They focus on the allocation of land for private housing construction, the provision of urban infrastructure, the establishment of adequate financial instruments.

In general, national government and local authorities aim to reduce their participation in housing financing at the same time with maintaining their influence on the market through appropriate regulations. They also support the development of housing market by ensuring the availability of construction materials, technology, credit, and encouraging household savings for mortgages, etc. (Hegedus et al., 1996).

The main problems in Alba Iulia Municipality and within AIDA:

- The lack of a Urbanistic Development Plan for AIDA;
- The intense urbanisation of rural areas, which surrounds Alba Iulia municipality;
- Lack of coordination of actions and planning of development within intercomunitarian zone;
- The lack of professionals in urban planning and regeneration policies;
- Urban sprawl;
- A very fragile and inconsistent legislation dedicated to urban regeneration and the relation between urban development poles and rural areas that surrounds them;
- High costs of housings and terrains;
- High costs for edilitary infra and superstructures;
- High number of blocks of small flats, very inefficient from energetic point of view.
- Tehnicoe-dilitary investments and roads do not precede the housings constructions;

- Bio architectural problems, insufficient of green areas, their maintenance, management
- Housing development affects green sites
- Road congestions and problems with traffic management
- Lack of good quality roads, especially in neighbourhoods and rural areas that surrounds Alba Iulia
- Low quality of the arrangement and maintenance of public spaces in AIDA areal

Dobrich, Bulgaria

2.1. The administrative structure

2.1.1. Administrative levels

Bulgaria is divided into 6 planning regions according to NUTS II, and Dobrich Municipality is situated in the Severoiztochen (North-East) Planning Region. Each planning region includes several Districts (4 or 5 in each region) managed by District Governors who are being appointed by the Government. There are 28 districts in Bulgaria which have in total 256 municipalities on their territory. Dobrich Municipality is the administrative centre of Dobrich District which includes 7 other municipalities. Dobrich District is situated on 4719 sq. km land which is 4,94% of the Bulgarian territory, inhabited by 208 462 people (at August 2007). In comparison with the other municipalities in the district, Dobrich Municipality is significantly bigger – 103 945 (for comparison the second biggest municipality in the district has 25 155 inhabitants). Here is the moment to mention that Dobrich Municipality is unique – it covers just the town within the Circular, all the adjacent villages belong to the second biggest in the District – Dobrichka Municipality which is a separate item. All Mayors are eligible every 4 years, the last elections were held in November 2007.

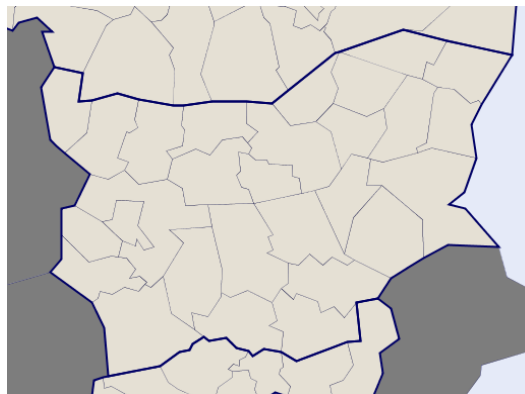
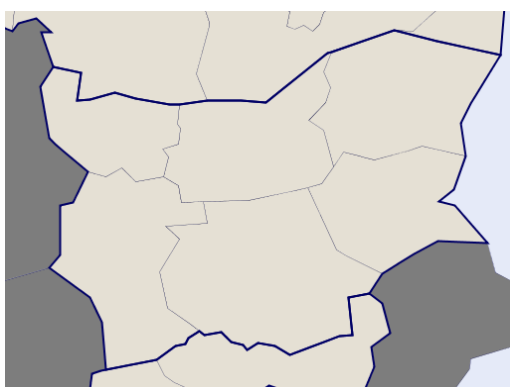
In the 1980s Dobrich has been cut into two parts it is more correct to say that Dobrichka was administratively differentiated: before 1989 there was Dobrich Municipality and Dobrich District that included Dobrichka in its area but not as a separate municipality. After 1989 Dobrichka Municipality obtained status of a Municipality, all the territories behind the circular road were given to Dobrichka municipality, which is a totally independent entity with own elected mayor and council (the seat of Dobrichka municipality is on the territory of Dobrich... where its administrative building and all administrative staff are located). Dobrichka municipality includes only a number (68) of villages. The two municipalities, Dobrich and Dobrichka are totally independent from each other, which means that Dobrich can not influence any decisions which are taken outside its borders in Dobrichka.

2.1.2. Recent changes

The Districts in their current status were established in 1999. Before that there were districts that were approximately as big as the Planning Regions at the moment. This change was initiated by the Government. The municipal reform radically decreased the number of municipalities, which is now 264. Villages below 150 inhabitants population (last amendment 03 August 2007; in 1995 the threshold was 500 inhabitants, in 1999 – 100 inhabitants, in 2003 – 250 inhabitants; as you can see, amendments to the Law have been made before every Local Elections) do not even have mayor, only appointed “proxy”. The status of the proxy is described in the Law of Local Self Government. Proxy is being appointed by the elected mayor in accordance with the relevant Municipal administrative structure for the mandate time being.

The last amendments in the content of the Planning Regions were made just a few months ago – some districts were joined to different Planning Regions after requirements on behalf of Eurostat. There is an ongoing implementation of governmental strategy for decentralization that is expected to give first results in 2 years. The change is initiated by the government and will give more choice and independence in decision making at Planning Region level. There is a national committee whose members have different background, including 5 District governors.

Administrative levels in Bulgaria: Planning regions (NUTS 2) and Districts (NUTS 3)



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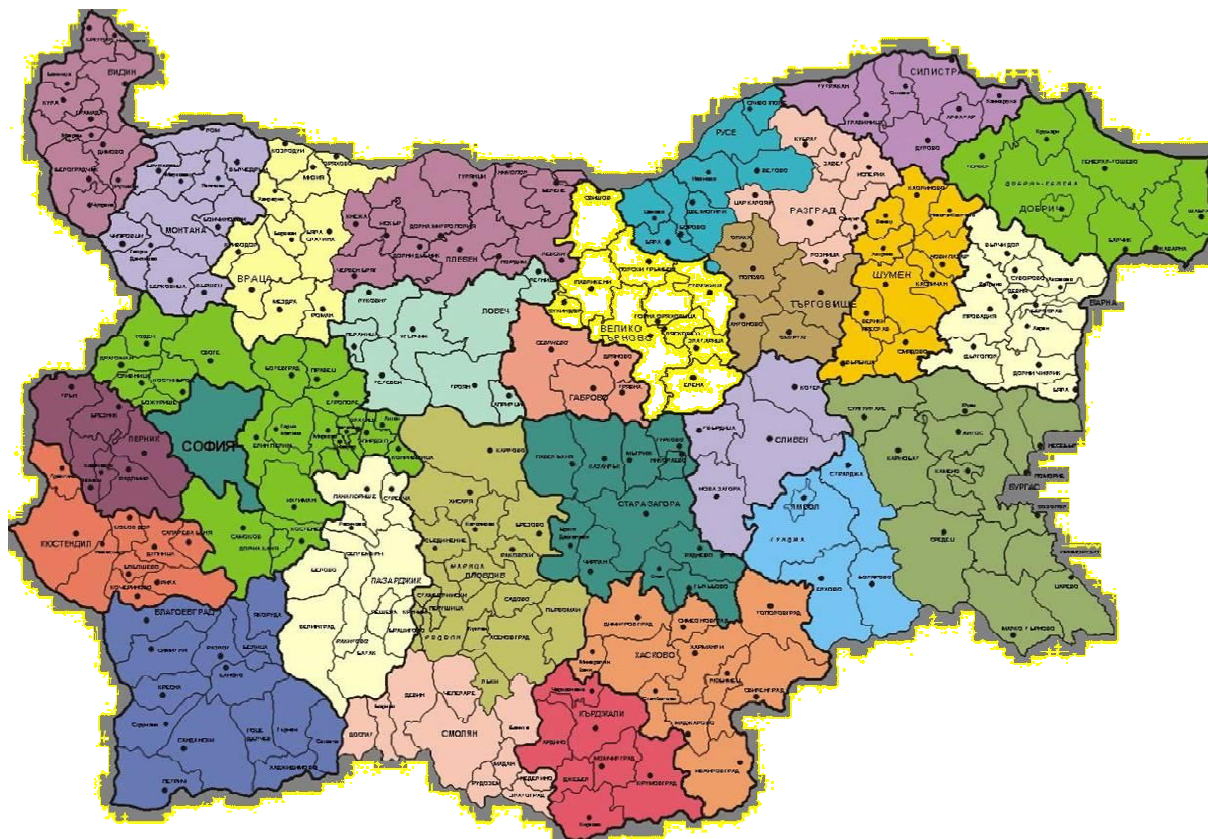
Basic data

Administrative units		State (NUTS 0)	Region	City
Name		Bulgaria	North East Planning Region	Dobrich
NUTS 2	Oblast	28	4	
NUTS 3	Obshtina	236	35	
LAU1 (or similar)	N/A	-	-	
Municipalities (or similar)		-	-	-
Districts (or similar)				-

Main figures	Year	Bulgaria	District Oblast Dobrich	Dobrich
Area (sq. km.)		110.910	4.723	109.018
Population	2007	7.640.238	203.138	93.850
Density (inhab./sq. km.)	2007	69	43	861
GDP (M€ in current prices)	2005	42.797	845	n/a
GDP per capita	2005	5.529	4.099	n/a

SOURCES: National Statistical Institute; Dobrich District Administration

Municipalities in Bulgaria



2.2. Competences in urban regeneration and spatial planning

2.2.1. Urban regeneration

All competencies in urban regeneration reside on Municipal Council level. Local authority and various agencies and ministries have the power to plan on different levels. There are applied mechanisms for communication and coordination at different levels written in various Directives and Regulations in accordance with the relevant issue. In general, it is the municipal council that conducts the urban planning and, if necessary, coordinates it with higher level authorities.

2.2.2. Spatial planning

Dobrich is part of the North-East Planning Region, which is only administrative region, doesn't even have a seat (centre city). The planning region is not a strong level, the Regional Development Plan 2007-2013 has been prepared by the Ministry, which is also the Managing Authority (the planning regions do not even have their Managing Authorities). Before the North – East Planning Region Strategy was developed, all the Municipal and District Plans in the country were elaborated. Those plans were taken into consideration to develop it.

The District has also development plan (District Strategy for Regional Development, 2005-2015). However, this is not a strong level; they cannot stop any decisions of the municipalities (only if they are unlawful).

Urban spatial planning is in the competencies of the Municipal Councils. General Structure Plans at Municipal level are being coordinated with the Ministry of Regional Development and Public Works, which has, amongst others, priorities for establishment of preconditions for balanced regional development and efficient use of public investments and EU financial means.

All those policies are laid in the relevant programmes for development at national, regional, district and municipal level.

2.3. Experiences in urban regeneration and spatial planning

2.3.1. Urban regeneration

Dobrich Municipality is the responsible institution for urban planning on local level. All capital investments and interventions are imposed by the most urgent needs. In general, the measures for urban regeneration are sporadic and they reflect the lack of coordination between the various actors in urban regeneration and planning. Dobrich Municipality recognizes the problems and tries to introduce GIS for the needs of the urban maintenance, management and planning (it had deposited project at the European Economic Area Financial Mechanism, expected results at the end of 2008).

As a result of housing privatization the housing property has almost totally become private. There are just a few buildings that were returned to their owners from before 1944. No detailed housing policy concept exists in Dobrich, and this is considered to be the task of the owners themselves or is expected from the State to have such policy. There is no housing shortage but there are homeless persons (for other reasons). Most minorities are well integrated, except for the Roma, which are living in separated areas which belong to the most deprived areas of the city. There are also some other deprived areas such as old buildings, old areas with underdeveloped infrastructure and prefab housing estates. No integrated redevelopment plans exist for these deprived areas. In the Dobrich Municipality Town Structure Plan are laid the principals for town development, there is no separation on undeveloped or developed areas. All town areas have got their own Detailed Structure Plan.

The most relevant policies and programmes for urban regeneration are aimed at:

- Regeneration of the existing and building up of new infrastructure;
- Interventions for the environment protection and for developing utilities and facilities connected with this.

2.3.2. Spatial planning

As a Municipality, Dobrich has various experiences regarding the processes of conducting of territorial and spatial planning. They are mostly connected with elaboration of General Structure Plans and infrastructure regeneration and development.

Dobrich has an urban development plan which was updated in 2007. There is a difference between Dobrich Municipality Development Plan 2007-2013 (which is the integrated strategy for the town priorities in each field – social, economical, territorial, etc.), and the Dobrich Municipality Town Structure Plan (which includes development of the territory only and regulates the territory, the building density, intensity, etc). All interventions are based on property items (a property might be on several Municipalities' territory; in this case coordination is necessary). This does not deal with the regeneration of residential buildings, because

practically all buildings are in private ownership. Therefore the urban development plan deals mainly with infrastructure, public spaces, etc.

2.3.3. Links between urban regeneration and spatial planning

In theory, urban regeneration and spatial planning policies are connected completely, and this coordination is regulated by law. Those processes are being viewed and considered before every intervention, but in practice there is little coordination. There is an information exchange between the 8 municipalities of the Dobrich district when it is needed, e.g. a joint association was formed in waste management as this was required to get access to EU funds.

2.3.4. Main problems

The most important and urgent problems related to the urban regeneration and spatial planning are connected with the transport infrastructure (communications), improvement of the water cycle, development facilities for environment protection (separate waste collection, facilities for waste management, recycling and processing). Dobrich Municipality has taken steps to introduce Spatial Data Infrastructure on its territory. Another issue that we have to address is the fast growth in the business sector; Dobrich Municipality is working on expansion and improvement of the existing Business Zones, and on establishing new ones.

3. Synthesis: a more precise definition of NODUS

The most important aim of the preparatory phase was to make the original idea behind NODUS more precise, taking the remarks and expectations of the project partners into account and also making a use of the exploratory study prepared by the lead expert. Moreover, the agreed agenda for the remaining 20 months' work had to be partitioned into smaller work packages in the form of a detailed work plan.

The discussions about the aims of NODUS took various forms, such as full project meeting, two rounds of questionnaires sent to the project partners, individual clarifications of some points in personal meetings and in the form of telephone calls. In the course of this process step by step also the expectations towards the Local Action Plans became clarified and parallel to this, the composition of the Urbact Local Support Groups has been further developed by the project partners.

3.1. Aims and objectives

3.1.1. The initial aim of NODUS

The initial objective of Nodus, as expressed in the “Declaration of Interest for Working Groups” delivered to Urbact Secretariat in February, was

“to develop a series of recommendations for the improvement of the coordination of area-based urban regeneration policies and regional or metropolitan planning, taking into account the relationships between urban regeneration and those sectorial policies with a spatial impact designed at a regional or metropolitan level, such as housing or transport infrastructures, and the fact that these different policy elements are defined by different agencies often belonging to different administrative levels”.

The Working Group was, thus, defined as

“focused on the links between urban regeneration and spatial planning elements that influence regional development and spatial segregation. The WG aims at studying how spatial planning reckons with urban regeneration policies and projects -when it does- considering that spatial planning, related sectorial policies and urban regeneration policies are often determined by different administrative agencies or levels. The objective is to define recommendations to improve the coordination of regeneration policies and regional or metropolitan spatial planning, to help technicians and decision-makers to foster positive feed-back effects and to balance urban development at a supralocal level”.

3.1.2. The discussions and debates about the aims of NODUS

The main idea of NODUS, i.e. that of linking together different policy areas (that of planning and urban regeneration) and different territorial levels (that of sub-local/regional and local) was very well accepted by all project partners. In the course of the debates, however, important modifications were suggested.

Regarding the content, partners suggested a broader definition of those policy areas which should be analysed according to their links to area-based urban regeneration. Besides the originally meant spatial planning the more general level of strategic planning was mentioned (provided that the strategic plan does not remain on general, theoretical level, i.e. it produces spatially relevant ideas, especially regarding urban development plans for spatially defined areas). Moreover, as an important additional aspect, the government/governance structure has been brought forward as a crucial dimension (precondition) for the steering of all spatially relevant regeneration activities. Both for the regional administrations and for the core municipalities (the two types of partners in NODUS) it is very important to clarify these relationships in their territory, getting a clear picture what kind of institutions, formal and/or informal organizations exist between the levels of the administrative city and the administrative region.

Regarding the approach, the partners acknowledged the mainly methodology-oriented interest of the lead partner. However, strong arguments have been raised to enlarge this scope with contextual aspects, such as the collection of good practices about how to link in practice the regeneration activities of the different actors in multi-level government systems. This means that some partners are definitively more interested in learning about the content of area-based interventions than about making the methods more precise – acknowledging, of course, also the importance of the methodological issues. Even the methodological aspects have been asked to be interpreted in a broader sense, including e.g. the discussion about the size of intervention areas – which, as the theoretical overview pointed out on the basis of the debates about the usefulness of area-based interventions, is one of the important aspects through which the efficiency of public interventions could be improved.

It is clear from the composition of the NODUS group that partners are on different levels regarding their experiences in integrated urban regeneration. To avoid the total split between the more and the less experienced partners, NODUS should be able to produce new information and knowledge for both groups. In the course of these efforts, of course, also the large differences between the availability and preciousness of statistical, technical and cartographic information across the partner countries has to be taken into account.

3.1.3. The modified aims of NODUS

The debates in the preparatory phase among project partners can be summarized as follows: it is important to pay equal attention to the governance and planning policy issues, the area-based approach has to be evaluated more critically as originally meant and the contextual and methodological aspects should get a more balanced weight throughout the work of NODUS.

On the basis of this statements and the results of the detailed exploratory work (summarized in the theoretical chapter of the State of the Art section of this study) the new challenge for NODUS can be phrased in the following way:

to explore those elements in the governance system and in the supra-local planning policy of the metropolitan area, on the basis of which area-based regeneration can content-wise and methodologically be further improved, leading to better re-integration of the public interventions regarding balanced urban development on higher territorial levels and in broader functional sense.

Thus during this 'second integration' of area-based interventions important goals have to be achieved, that of

- territorial balance (a selection process organized from the higher territorial level should ensure not only that the worst areas are selected but should also deal with the links of these areas with each other and with opportunity areas and should address the likely problems of external effects)
- functional balance (large enough areas have to be selected to include significant share of problem households, and also external aspects from outside the areas should be taken into account).

With this approach NODUS aims to find potential answers on those critical remarks against area-based interventions, which emphasized the too strong belief in relationships within narrowly defined neighbourhoods, despite the facts that in reality social life and social interactions are less and less tied to the narrow neighbourhood level. NODUS might help to find the new role of and the new methods for integrated urban policies under the new conditions that social opportunities are decreasingly neighbourhood-related and the support of the social mobility of individuals and households must be addressed also with less area-based tools – of course, in co-ordination with the still necessary area-based integrated interventions.

To operationalize this briefly described complex approach, the following four stages are to be elaborated in a consecutive way by the project partners:

- to discuss and identify the supra-local area (province, metropolitan area, county, ...) which might give the administrative basis for the development and integration of area-based urban regeneration projects with the help of regional spatial/strategic planning policies
- to work out the methodological details of the approach, including the definition of deprivation (indicators to be used), the size of the areas to be selected and the method to identify the most deprived areas within the wider area
- to determine the content of the interventions which are to be done in the selected neighbourhoods (first, internal integration)

- to discuss how to assure and control the required balanced functioning of the interventions over the whole area from territorial and functional points of view (second integration).

The biggest achievement of NODUS would be to raise some first hypotheses how these new challenges can be addressed in European urban areas.

3.2. A proposal for the content of the work

The project (and the final report that will reflect the results and describe the process followed to achieve them) will be structured into three main blocks.

The first one is dedicated to what can be called 'The frameworks'. There are two main sections in this block. The first is devoted to the state of the art on the link between urban governance, regional spatial planning and urban regeneration (see chapter 1 of this Baseline Study) which will be further developed during the implementation phase of NODUS. The second (see chapter 2 of this Baseline Study) is devoted to the administrative framework of the regions and cities involved in the project which also have to be further developed and made more precise.

The central part of the project will be the development and application of a complex approach aimed to facilitate the integration of urban regeneration projects with regional spatial planning and governance.

The details of this complex approach can be found in the four stages described in the previous section. This means that project partners have to work in a consecutive way on the following issues:

- the identification of the supra-local administrative level
- the methodological factors to determine deprived areas
- the content of the interventions to be done in the neighbourhoods
- the control to assure territorial and functional balance over the whole area.

Thus, after answering questions of the type of "Do regions and cities have experience in identifying deprived areas from a regional or city level?", or "How do they do it?", "If not, how could they do so?", a complex tool will be created.

In the first part of this process the first two stages will be elaborated, focusing on governance issues and exploring, evaluating statistical and cartographic data. The different experiences (but also the limitations) will be taken into account to select the potential areas for the integrated interventions.

Having proved the usefulness of this approach, chapter 6 focuses on the last two stages, on the actions to be undertaken by the different cities and regions in the designed areas. The process here is quite similar to that followed in chapter 5. It starts by collecting and comparing the different experiences to extract the common elements that can be redefined to be applied for many other cities and regions in general.

Thus, at the first section of the chapter some fundamental questions must be answered: "Do cities and urban areas act upon the identified areas?"; "Do they act using governance aspects and spatial plans?"; "Are regeneration projects/programmes linked with spatial plans?"; "Are their actions focused in a mainly regional impact –for example, a strategic project for the region- or in a local impact -for example, actions addressed to prevent social inequalities-?"; "What kind of difficulties do they find?"; "How do they overtake them?".

After having collected all these answers, the establishment of some criteria to act upon deprived areas will be based in the experiences of several and diverse cities and regions. Next, the proposing of actions to specific deprived areas in every region will configure the implementation phase.

The project will finish with some conclusions and recommendations, which, together with the specific tools developed to identify the deprived areas, will become the real added value of the project.

Contents

FRAMEWORKS

1. Theoretical framework (State of the art)

- 1.1. The role of regions, metropolitan areas and cities in Europe (governance)
- 1.2. European experiences of regional and local spatial planning
- 1.3. Urban regeneration policies

2. Administrative framework for the regions and cities

- 2.1. The administrative structure
- 2.2. Competences in urban regeneration and spatial/strategic planning
- 2.3. Experience in urban regeneration and spatial/strategic planning

PRACTISE

3. Delimiting supra-local areas

- 3.1. Administrative constraints
- 3.2. Functional evidences
- 3.3. Identification of the supra-local areas

4. Defining the concept of Deprived area

- 4.1. Differences in the elements behind deprivation
- 4.2. Differences in the standards of deprivation
- 4.3. Towards a definition of deprived areas

5. Identifying deprived areas

- 5. 1. The experience of regions and cities I
 - 5.1.1. Responsible administration
 - 5.1.2. Concept of deprived areas
 - 5.1.3. Spatial units for the analysis
 - 5.1.4. Variables
 - 5.1.5. Available data
 - 5.1.6. Outputs
 - 5.1.7. Monitoring and updated process
- 5.2. Developing a methodology I
 - 5.2.1. Spatial units
 - 5.2.2. Indicators
 - 5.2.3. Statistical treatment (weights, ...)
 - 5.2.4. Suggested infographic tools

5.3. Implementation I

6. Acting upon the identified areas

- 6. 1. The experience of regions and cities II
 - 6.1.1. Responsible administration, partnership and participation
 - 6.1.2. Characteristics of policies, programmes and projects
 - 6.1.3. Implementation mechanisms
- 6.2. Developing a methodology for interventions in neighbourhoods
 - 6.2.1. Topics to be considered
 - 6.2.2. Strategies
- 6.3. Developing mechanisms to evaluate and control the territorial and functional balance over the metropolitan (regional) area
- 6.4. Implementation II

CONCLUSIONS AND RECOMMENDATIONS

7. Conclusions

8. Recommendations

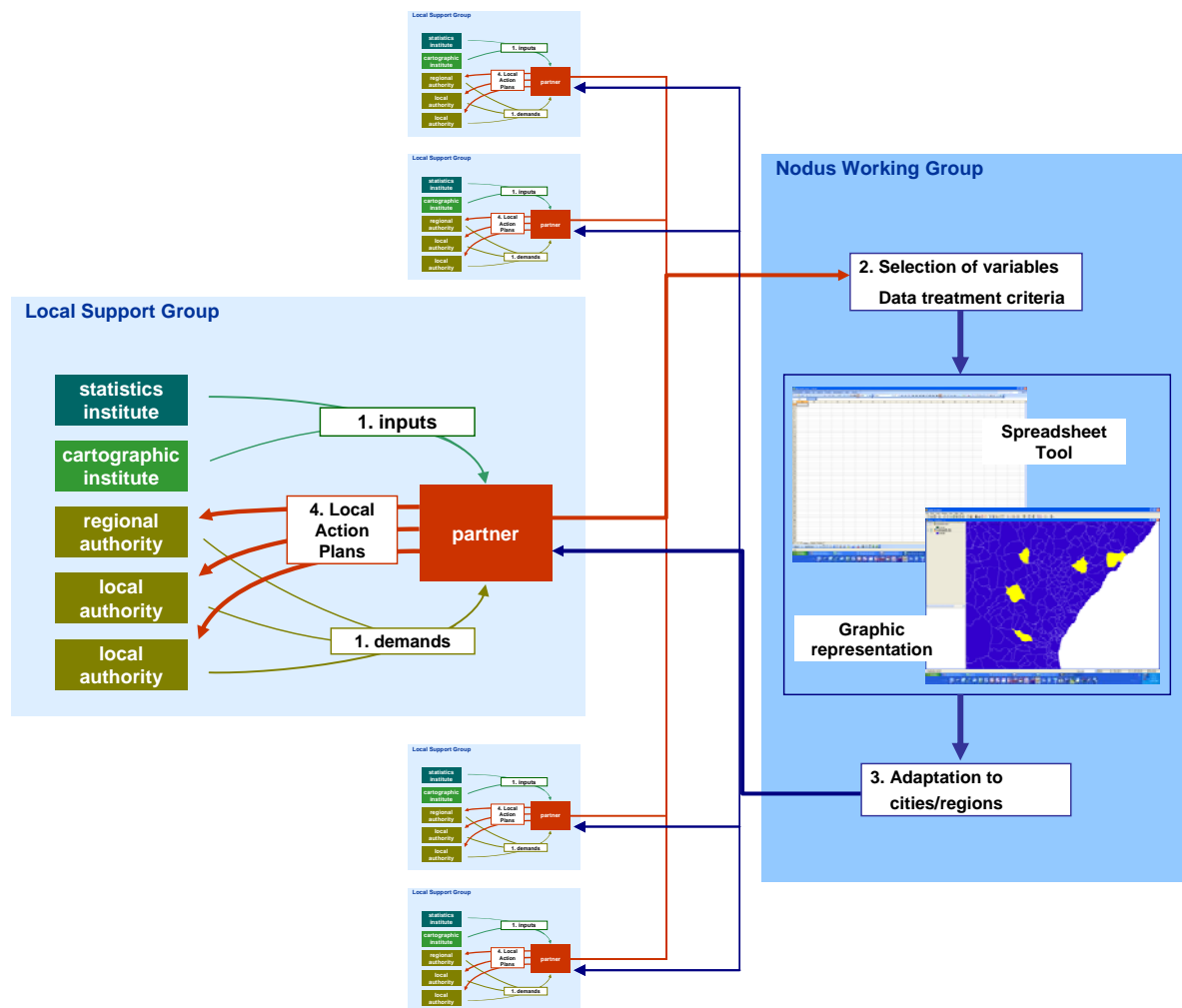
3.3. The Working Plan

As it has been explained above, through this Baseline Study NODUS has already started to develop two initial frameworks. These two chapters will be chapters 1 and 2 in the foreseen final report of NODUS.

Since the contents and the methodology of these two chapters seem to be clear enough, this section focuses only in the main part of the project: the two chapters which form the main part of the Study (the conclusions and recommendations do not need to be described here in detail).

3.3.1. Exploring the governance level and determining the deprived areas

In order to achieve the objectives of this first step in the linking of urban regeneration to the governance system and regional planning practices, the following working plan has been designed. As it can be seen in the following diagram, in an effort to integrate the different tasks to be done by every single partner, there are links established between the local support groups and the NODUS working group as a whole. A first identification of the way how Local Action Plans will be developed has been included as well.



Though Local Action Plans (LAP) and Urbact Local Support Groups (ULSG) will be described further on, one can say here that ULSGs are responsible to transmit to the NODUS partner the methods to survey the governance system, the necessary information to develop the area-identification tool as well as the requirements and necessities from the territorial and spatial planner points of view. This information is collected by every partner in its ULSG and transferred to the NODUS Working Group, who, after gathering and critically analyzing all the contributions, will start to develop the common frameworks for the identification tools.

According to the preliminary ideas these tools will include the different spatial data and their cartographic representations. This means that all the available statistical data as well as the cartographic information of the specific cities and regions will be needed as input.

The development of the tools will be the task of the NODUS working group. In any case, all the informatics tools used will consist on standard and/or open source software. The products designed as the output tools will always be easy to use.

After developing these tools, every partner will ensure that the testing and use of the tools should become part of their Local Action Plan. Thus, some of the agents initially involved in the ULSG – especially the ones who elaborated the demands – will now apply the tool they have contributed to create.

3.3.2. Elaborating the interventions in the neighbourhoods and developing control mechanisms on the larger area level

Having identified the higher governance level and the deprived areas in each NODUS partner urban area, the second objective of NODUS is to be able to suggest the potential approaches how to act on these areas.

This is not, of course, an easy work, since having the definitive solution to solve the problems affecting the most deprived areas in any territory has become the objective of many policies and programmes for years. The aim of NODUS at this point is to develop the frameworks, on the one hand, for the integration of interventions within the deprived areas (ensuring the first integration) and, on the other hand, for the controlling mechanisms to assure territorial and functional balance over the whole area.

3.3.3. Calendar

Working Plan	What?	How?	Who?	When?	month	month
			LE LP partner	EA	1 2 3 4	5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24
			CA ER AM MZ AI DB KT		1 2 3 4	5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24
FRAMEWORKS	1. Theoretical framework (State of the art) 1.1. The role of regions and metropolitan areas in Europe (governance) 1.2. European experiences of regional spatial planning 1.3. Urban regeneration policies	Collecting experiences and literature Writing the synthesis				
	2. Administrative framework for the regions 2.1. The administrative structure 2.2. Competence in urban regeneration and spatial planning 2.3. Experience in urban regeneration and spatial planning	Proposal of an outline with the basic points to be developed Agreeing the outline/questionnaire with the partners Answering the questionnaire Writing a synthesis				
PRACTISE	3. Delineating supra-local areas 3.1. Administrative constraints 3.2. Functional evidences 3.3. Identification of the supra-local areas	Proposal of an outline with the basic points to be developed Agreeing the outline/questionnaire with the partners Answering the questionnaire Writing a synthesis				
	4. Defining the concept of Deprived area 4.1. Differences in the elements behind deprivation 4.2. The concept of deprived area 4.3. Towards a definition of deprived area	Proposal of an outline with the basic points to be developed Agreeing the outline/questionnaire with the partners Answering the questionnaire Writing a synthesis				
	5. Identifying deprived areas 5.1. The experience of regions 5.1.1. Responsible administration 5.1.2. Concept of deprived areas 5.1.3. Spatial units for the analysis 5.1.4. Available data 5.1.5. Available data 5.1.6. Outputs 5.1.7. Monitoring and updated process	Proposal of an outline with the basic points to be developed Agreeing the outline/questionnaire with the partners Answering the questionnaire Writing a synthesis				
	5.2. Developing a methodology I 5.2.1. Spatial units 5.2.2. Indicators 5.2.3. Statistical treatment (weights, ...) 5.2.4. Suggested geographic tools	Selecting spatial units & indicators Justification Defining the outcomes Agreeing the outline/questionnaire with the partners Building/suggesting the infographic tools				
	5.3. Implementation I 5.3.1. The experience of regions II	Collecting data Writing the methodology Writing an evaluation report				
6. Acting upon the identified areas	6.1. The experience of regions II 6.1.1. Responsible administration, partnership and participation 6.1.2. Characteristics of policies, programmes and projects 6.1.3. Implementation mechanisms	Proposal of an outline with the basic points to be developed Agreeing the outline/questionnaire with the partners Selecting cases Answering the questionnaire Writing a synthesis				
	6.2. Developing a methodology II 6.2.1. Topics to be considered 6.2.2. Strategies	Selecting main topics to be considered Defining strategies Agreeing the outline/questionnaire with the partners Agreement with the partners				
	6.3. Developing mechanisms to evaluate and control the territorial and functional balance over the metropolitan (regional) area					
	6.4. Implementation II	Selecting areas Applying the methodology Writing an evaluation report				
CONCLUSIONS AND RECOMMENDATIONS	7. Conclusions 8. Recommendations					

Meetings

Each partner works on its own region

● Meetings
■ Each partner works on its own region

3.4. The Local Action Plans

According to the rules of URBACT2, every partner of NODUS is asked to design its own Local Action Plan. This should include all the four stages of the process, taken into account the specific characteristics of its city or region and, of course, according to the contents of the project and to the guidelines designed to follow them.

These initial proposals of Local Action Plans have to be developed in the course of the NODUS project and may, of course, be changed according to the experiences gathered in the implementation phase of the project.

Local Action Plans are seen as basic documents for the NODUS partners to 'translate' the innovative four-stage process of developing integrated area-based urban regeneration programmes which aim to pay special attention to the governance and regional planning links and to ensure balanced outcomes from territorial and functional point of view. As an important part of this complex agenda, the LAP can also be considered as an instrument to check and implement the methodologies developed by NODUS. The aim is not just to obtain the identification of deprived areas but also to familiarize the regional and the local authorities with the use of this tool, and make them see the necessity of using the complex procedure whenever developing their planning activities. Besides, of course, also the second objective of NODUS, the search of solutions to act upon the identified deprived areas, will be included into the Local Action Plans which will aim on the checking of these possible solutions in their specific case.

3.5. The composition of the Urbact Local Support Groups

Urbact Local Support Groups are conceived as the instruments both to help in the definition of the contents and the involvement of interested agents in the implementation of Local Action Plans.

Taking into consideration the characteristics of the analysis, Urbact Local Support Groups should be made up of all necessary agents to fulfil all the parts of the complex approach. That means that the presence of the following institutions is needed:

- For the inputs:
 - The institution dealing with research and analysis of metropolitan level dynamic processes (job market, housing market, urban mobility, ...)
 - The institution responsible of the generation of statistical information and of cartographic information;
- For the demands:
 - The institutions responsible for Urban/Regional spatial and strategic planning
 - Institutions representing the wider urban scale (region, province, county, metropolitan area)
 - Institutions representing the territory at a local scale (municipality, district, etc).
- For the implementation of Local Action Plans:
 - The institutions responsible for Urban/Regional spatial and strategic planning, to check the proposals on their territories;
 - Institutions representing the territory at the wider and the local scale in order to check the proposals on their territories.

In this framework, the communication among the members of the ULSG would be interactive: institutions representing local and regional authorities and those responsible for spatial and strategic planning, should express their expectations and needs, while research, statistical and cartographic institutes should elaborate on the availability of the needed types of information.

During the development of Local Action Plans, the ULSG should work as a forum for the exchange of information about the results of the implementation, the difficulties they have faced and the alternatives to overcome these limitations.

For the second objective of NODUS, the search of solutions to act upon the identified deprived areas, the ULSGs will reduce their number of members, since the presence of Institutes responsible of providing information will not be longer needed.

3.6. The potentials of the diverse partner structure of NODUS

It is well known that there is a large diversity in Europe regarding government and governance systems (allocation of competences) and strategic and spatial planning approaches. Moreover, there is a wide variety of different theoretical ideas and models existing about the role the public sector (and its different levels) should play and about the way how this role should be executed.

The diversity of the partners in NODUS, the different regions and cities, representing well developed competitiveness areas of Europe, as well as convergence areas which are currently on their way to catch up, will allow us to examine the very different circumstances and our open debates will hopefully help us to develop new answers on the dilemmas of urban development.

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Annexes

NODUS

Linking Urban Renewal and Regional Spatial Planning

Questionnaire for the Baseline Study

This questionnaire aims to collect information from the partners to complete chapter 2 of the baseline study of the NODUS project. The objective of this chapter is to offer a presentation of those characteristics of the regions and cities involved in the project that can be of interest for a better understanding of the contents to be developed during the second phase.

As you already know, we do not have much time to complete the baseline study. Therefore we ask from you a short and direct contribution. The answers given to this text-oriented questionnaire will directly be incorporated (after editorial amendments by the lead partner and the lead expert) into the report as your contribution.

Chapter 2 of the baseline study will have three sections. Please write your answers in full sentences following the indicated marks. We ask you to give all your answers in detailed form to be able to include your text into the baseline study.

The information collected will be discussed in the first full project meeting (on 16-17 June 2008. in Barcelona) and will become part of the baseline study to be prepared by August.

1. The administrative structures from the national to the local level

- Please describe the administrative structures (regions, counties, municipalities, etc.) of which your region/city is part of. For each level specify the number of units in the country, their average size in population and territory and the type of the leading authority on the given level (elected or delegated).
- Please describe the major changes in the last decade and any currently relevant attempts or plans to change the formal multi-level administrative system (e.g. regionalization, decentralization, ...). By whom are the changes initiated, what is the aim, what are the most probably outcomes of these attempts?

2. Competences in urban regeneration and spatial planning

- On which administrative level/institution do competences in urban regeneration reside? In the case that two or more administrative levels

have competences on the subject, is there a mechanism to coordinate them?

- What is the situation with the competences for spatial planning?

3. Experiences in urban regeneration and spatial planning

- According to the competences described above, which are the most relevant policies and programmes of urban regeneration undertaken by any of these administrations?
- What are the experiences in spatial planning?
- Are the urban regeneration and spatial planning policies linked somehow?
- What are the most important problems of your region and city in general and more specifically, related to the urban regeneration and spatial planning topics?

Partner regions and cities are requested by **13 June** to collect the information and send it to the Lead Partner (LP) and the Lead Expert (LE).

The success of NODUS depends to a large extent on the enthusiasm and work of the project partners. We hope that despite the short notice you will be able to collect the requested information, contributing with that to the good start of the project work.

Barcelona and Budapest, 29 May 2008.

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NODUS

Further requests to the project partners

26. June 2008

In order to be able to finalize the Partner profiles section of the Baseline study, more detailed information is needed from our partners. The questions below can be considered as an extension of the first questionnaire.

3. Experiences in urban regeneration and spatial planning

- 3.1. Are any discussions, debates going on about the present practice of urban regeneration (or about the lack of it)? What kind of ideas have raised to improve the situation?

4. Your main problems with urban regeneration and your expectations towards NODUS

The purpose of the Baseline study is to create a common understanding of the project among the partners; it must be a tool for reflection, as well as a first chance for cities and regions involved to think about what they want to obtain.

For this reason it is especially important that the needs of the participating cities and regions are precisely identified, together with the expectations they have from the project. For that, please specify the following:

- 4.1. What are your main problems regarding which you would like to get help through the NODUS project?
- 4.2. How would you modify the aims of NODUS to get the most useful answers on your questions?
- 4.3. What type of Local Action Plan do you see realistic to approve by the end of the project?
- 4.4. How would you set up the ULSG to ensure that all important partners are included?
- 4.5. What are the main problems/limitations you can foresee during the NODUS project (e.g. data available, knowledge/experience, commitment of local partners, etc)

The deadline for the partners to answer this additional questionnaire is 9 July.

By that time please send also any material which you would consider as important contribution for the State of the art.

Guidelines to set up the ULSG

Besides the general Urbact guidelines (see the LE presentation of the Barcelona meeting and also on the Urbact website) the special NODUS requirements are as follows:

- Include the other major public partners from the multi-level governance structure (regions should include the representatives of the major city and vice versa).
- Include the "critical" actors, i.e. those organizations, institutions who criticize the present practice of urban regeneration.

For convincing the planned stakeholders about the advantages to become member of the ULSG, prepare a short memo (on the basis of the LE presentation).

Further steps

Please specify the days which would be convenient for you between 15-18 July for a telephone conversation with the LP and the LE.

The draft baseline study is to be finished and to be sent by the LP and the LE to the project partners for revision around 23-25 July with a short deadline for answers.

Thanks in advance for your work!

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