



# USEAct

## Urban Sustainable Environmental Actions



Third Meeting | Implementation Phase

Istanbul | Turkey

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AN URBACT II PROJECT

INTERVENTIONS ON “REUSE” OF URBAN AREAS:  
MANAGEMENT, PARTNERSHIPS, FUNDING, FUNCTIONS I



Connecting cities  
Building successes



## USEAct Istanbul Third meeting Report Urban Sustainable Environmental Actions



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The report written by the thematic expert **Pauline Geoghegan** refers to the seminar work, with contributions of Gaetano Mollura Lead partner, Vittorio Torbianelli Lead expert and USEAct partners that attended the meeting. Anna Arena, Maria Luna Nobile and Vincenzo Fusco, Lead partner team contributed to the editing of this report.

Cover picture:

Istanbul life around Galata Tower

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All the photos are taken by the USEAct Team. And images are taken by the ppt presented during the seminar.

NB. this report  
Should be read in  
conjunction with the  
**Power Points**  
presented  
during the meeting,  
which you can  
download [here](#)

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# THIRD MEETING IMPLEMENTATION PHASE

INTERVENTIONS TO “REUSE” URBAN AREAS: MANAGEMENT, PARTNERSHIPS, FUNDING, FUNCTIONS |

## Third meeting participants

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## 1. INTRODUCTION AND CONCEPT PAPER

### 1.1 Introduction

The USEAct meeting that took place in Istanbul brought the partners to a city which, unlike many European cities, is in full development: with a population of almost 14 million (which has grown from 1.5 million in 1965) the question of urban growth management is crucial. Placed at the intersection between Europe and Asia, where the Bosphorus Strait binds the two continents together, the city is a key cultural and economic interface, with at its heart a unique and fragile cultural heritage which has to withstand, and coexist with, the demands of a modern city.

Partners learnt how the city is encroaching on surrounding green areas, the ‘lungs’ of the high density city centre, and how this expansion is being tackled by the city authorities. Among many initiatives that render the city centre more attractive

to residents and visitors alike is the modern transportation system which facilitates movement throughout the city, unlocking formerly isolated neighbourhoods, and allowing car free access to the many attractions of the city of world heritage status. On the specific focus of this event, that is Interventions to “reuse” urban areas: management, partnerships, funding, functions, the USEAct partners not only shared their experience and good practices, but also benefitted from inputs on urban growth in the USA (The Metro Portland), growth management initiatives in Germany, and public-private partnerships (PPP) in urban regeneration interventions in Catalonia, presented by Guest Expert Adolf Sotoca of the Universitat Politècnica de Catalunya. Iván Tosics, URBACT II Programme Thematic Pole Expert, shared his expertise on governance aspects of steering suburban development in European metropolitan areas, notably through the Functional Urban Area approach. USEAct partners added case studies from their own cities. As they move forward with their Local Action Plans, USEAct partners now have a wealth of international experience on which to draw to tackle the challenges of urban growth. The partners also heard the latest update on the programme and its future, and a timely reminder of the outputs expected by the URBACT community. Melody Houk, Capitalisation Manager of the URBACT programme, pointed out that the meeting occurred at an important point in the life of the network, at the midpoint of the project. In order to ensure that the remainder of the work within USEAct comes as close as possible to the initial objectives of the project and its partners, the programme secretariat has put in place a Mid Term Review, which all the partners are invited to take part in. As well as providing pointers to the best ways to complete the programme, the Review can also lead to changes in the allocation of the project budget to better match with the reality on the ground.

## 1.2 Concept Paper

*USEAct Lead Expert, Vittorio Alberto Torbianelli*

**Developing urban reuse integrated within policy for Urban Growth Management requires sound management and the capacity to deal with extremely complex and varied Public Private Partnerships (PPPs) in order to effectively carry on "urban recycling" interventions.**

Literature dealing with PPPs often highlights that the role of public administrations in encouraging and managing the partnerships is absolutely

fundamental, even if different contexts require different strategies.

The philosophy and the outcome of the interventions vary not only in relation to the physical, economic and social features of the area, but also according to the "balance of power" and the interaction between the public and the private sector. During the Istanbul meeting the USEAct partners were invited to focus on this fundamental "operational" issue, sharing experiences and ideas about designing, managing and funding successful PPPs (with proactive community participation), and improving the public administration's ability to control and manage "high quality" and "sustainable" reuse interventions. Through case studies and lectures, the thematic meeting was the occasion for discussing different PPP approaches and models, understanding the different roles played by different actors within the governance framework, identifying the features of the contractual and non-contractual relationships between them and the distribution of the risks. Organizing the meeting in a fast-growing metropolitan city, such as Istanbul, also provided the occasion to discuss "Urban Growth Management" issues for very large and developing global cities.

## 1.3 Introduction to the topic of the meeting

*USEAct Lead Expert, Vittorio Alberto Torbianelli*

Istanbul is a very fast growing city, so the USEAct theme is all the more relevant in this context. The focus is on Public Private Partnerships – (but not only!). It is difficult to define strict rules. It also depends on the ability and capacity of the municipality to manage the Public Private Partnerships. With reference to the urban development/ regeneration sector, there is some ambiguity in defining Public Private Partnerships, since many (and very different) forms of Public Private Partnerships are possible. Each situation has its own distinctive area of scope, its drives and the expected outputs. In spite of a widespread rhetoric of the Public Private Partnerships (presented as an innovative tool universally suitable to support PA for reaching targets and reducing the public financial burden), many real urban re-development “PPP experiences” are not so satisfactory from the “outcome” point of view. In many cases Public Private Partnerships structures are set up without meeting the EU “basic requirements” for Public Private Partnerships, such as adoption of project financing methods, the relevant role of the economic operator, or an adequate share of risks between public and private partners. The meeting aims to examine how to tackle the issue based on experiences drawn from across Europe and from the United States.

## 2. THE HOST CITY: ISTANBUL

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### 2.1 Welcome by the Hosting City

*Metin Canci, Assist.Prof.Dr., Advisor of General Director, BIMTAŞ IMP Metropolitan Planning & Urban Centre of Istanbul Metropolitan Municipality*

Reflecting the importance of the topic of the USEAct network for the City of Istanbul, participants were welcomed to Istanbul by Metin Canci, Assist.Prof.Dr., Advisor of General Director, BIMTAŞ IMP Metropolitan Planning & Urban Centre of Istanbul Metropolitan Municipality, on behalf of Yakup Demirhan, Director of Transportation Department of the Istanbul Metropolitan Municipality. USEAct Lead Partner Gaetano Mollura expressed his warm appreciation of the welcome by Istanbul, hoping that Istanbul will continue to take an active role in the network, building on the participation of the city in previous URBACT projects.

### 2.2 Metropolitan Growth Management Strategies in Istanbul: A Decade of Interaction via Planning

*Ulas Akin, City Planner, MSc, Chief, International Projects, Istanbul Metropolitan Municipality, BIMTAS/IMP*

The city is focusing on growth management. Located between Europe and Asia it is close to the earthquake epicentre on the Sea of Marmara. The surrounding hills and water systems have been historically important, and geographically unique. It is one of the oldest metropolises in the world with archeological sites recently discovered in Yenikapi up to 8,500 years old.

**The key question for the city is to reach a vision.** That is by preserving natural, cultural and historical assets; to transform its economy from industry based to service sectors by enabling sustainable development framework with its environmental, economic and societal dimension to increase quality of life. The challenges are the population growth, managing the water resources, earthquake resilience, urban regeneration and renewal. **The ambition of the vision** is to become a world city, with a focus on culture and tourism, with efficient

FIRE (producer services including Finance, Insurance and Real Estate), sports & entertainment and a logistics hub. Many projects are addressing these major **challenges**. Location is very important with that respect. The international private sector has pressed the government to focus on finance. Istanbul has hosted major events, and is aiming to host the Olympics.

One of the **key challenges** to be tackled is the **superposition of Planning Regions** with different authorities. At National Level there are NUTS2 and NUTS3 Regions, Environmental Plan Regions, Regional Plans by Development Agencies (NUTS2), and Metropolitan Municipalities (current and forthcoming following the March 2014 elections). Central government is still reorganising the structures, with a strong decentralisation policy, and at the same time fostering centralisation. At the Istanbul scale, before 2004 there were lots of municipalities that were quite independent, with no overall controlling body. The first administrative reform was expanding Metropolitan Municipality responsibility to the provincial boundaries, and the second focusing on minimizing the number of different types of municipalities into unified districts. Istanbul is not stable: it is expanding, and an urban region is emerging. The real estate development trends represent a further challenge: local structures, but with an international interest. Big interest groups put pressure on individual landowners; traditionally shares go to children, and it is difficult to sell a small parcel. The local culture is that people still want to own a house. Planning is traditionally seen as a 'cost' for business parties, so planners and architects need to know the playing field; this would create realistic debates, where without taking account this reality planners were delegitimized with insufficient argumentations.

**Governance typology:** changes were introduced in 2007 a metropolitan (*municipality*) authority, dealing with planning, transport, waste management and other urban services, *governance* as the arm of the central government responsible for coordination within public sector and among private and NGOs., *Special Provincial Authority* serving with elected councillors for the entire province, and elected mayor and councillors of 39 *district municipalities*, and the local level (neighbourhoods and forest villages). This is based on the French administrative system evolved and still evolving in time with the influence of various factors. In recent years new regional development authorities introduced the notion of programme to link plans and projects via programmes. Regional plans are still not always connected needs feedback loops.

The next step would be to abolish Special Provincial Authority by March 2014 local elections, and to have only one council responsible for whole area rather than to have two provincial authorities. There are 16 metropolitan governments in Turkey and to be 29 in by April 2014.

The legal framework for financing structures stated in the Metropolitan Government Act. The real estate tax is collected by local government but transferred to the central government, then sent to the local authorities, based on population size.

**Planning typology:** There are three types of planning; corporate, sectoral and spatial plans. *Corporate* literally called 'strategic' plans have to be prepared by local government, public sector institutions including local government bodies such as special provincial authority, metropolitan authority, district municipalities (39). *Sectoral* plans are national development plans, sectoral policy documents at the central level, regional plans/NUTS2 at regional level.

*Spatial plans* could be categorized as *macro*, *micro* and *special* plans. Special plans are area or sectoral based (the Bosphorus, site management, transportation, earthquake, conservation, tourism, coastal zones). Micro plans are for master plans at 1/5,000 and implementation at 1/1,000 scales, and Macro plans are at provincial level.

The phrase 'On paper there is lots of planning, in practice there is no planning' refers to need for more feedback loops among those in order to have much more sense making mechanisms.

**Procedures and actions** involve changing administrative boundaries, adapting EUROSTAT standards as NUTS classification, changing the Census data collection system, setting up new departments for urban projects and planning, investing in building international relations, creating a comprehensive Planning Agenda (Environment, Transport, Coastal Zones, Tourism, Logistics, etc.), urban regeneration and renewal projects fostered by Central Government with a new legal framework. These plans include the Metropolitan Plans 1980-2009, and the Istanbul Environmental Order Plans by 2006 and 2009. The latest plan that was an Environmental Plan is a hybrid of statutory and strategic planning, area-based versus plus location-based: a mixture of two planning schools.

**Big regional infrastructure projects:** the Northern Marmara Highway with Third Bosphorus transit (Bridge for motorway and Railway line), the Kanal Istanbul Project that would link the Black Sea

and Sea of Marmara, the Marmaray Tube Railway and Eurasia Tube Tunnel for motor vehicles both pass the Bosphorus, the Golden Horn metro bridge (just opened), the Metrobus (Bus Rapid Transit with special bus lanes), the Bay Area Bridge as inter-city connection, a third international airport, and an international financial centre, competing with to Dubai, Moscow, Warsaw, and Dublin supported by international business with central government.

**Tools are needed to strategise the city:** a real estate development monitoring system: the number of transactions every day is moving very fast, with the picture always changing, so more realistic tools are needed, including a strong planning system. Transactions are taxed, but not at a very high rate. Plans should show the future, not the past! a sensitive 3D urban model might be a supportive tool. Efficient and smart way of communication inter regions (e.g; transport) and inter plans (master plan, transport plans, corporate investment for each of the 39 municipalities) is essential. There are currently too many GIS systems, too difficult to coordinate. Interactive decision making support tools and interfaces, innovative participatory methods, coordination investment with different planning, and integration with planning and land management are all needed.

There is a need to integrate the capacity building strategy for local governments and wider stakeholders within planning strategies. The city owns more than 20 companies for urban services such as bus, innercity railway, natural gas delivery, technology development, landscape, sports, health, etc. There is an agenda for privatization, for example a Scottish/ Turkish consortium recently bought the seabus company.

Currently the majority of the existing buildings are not built according to earthquake standard. After the Marmara Earthquake in 1999, standards and measures tightened in construction law. If one person in an apartment building requests it, authorities can demolish and rebuild it. Designers and contractors 'create value' by creating extra space, or increased value, based on the quality of design. Building Density is regulated by the local Master Plans. Shopping centre caused 'congestion' is now taken into account in by the new generation transportation plan.



## 2.3 Yenikapi Transfer Point and the New Urban Vision for the Historical Core

Murat Vefkioglu, Architect-Urban Designer, MSc,  
Former Head of Urban Design & Competitions,  
BIMTAS/IMP

**Istanbul Metropolitan Planning Office IMP aims to participate with people: associations with land owners, to solve problems, without moving them. It has organised architectural competitions and workshops with authorities at national level and also with media etc.**

The city of Istanbul faces South to the sea: the North is a green area, giving air to the south. It is also divided in two, between east and west, by the Bosphorus. Southern winds create a problem for the city, whilst winds from the North make people more comfortable. From the 50s onwards, urban sprawl developed towards the North.

Byzantium left churches and landmarks, and the old port was filled in and became a market area, then a dumping ground. It lost its functions in the 13th century. In 1453 the city was conquered by the Ottomans, and in the 20th century has taken on new functions. Sea connections are important for the city, especially for its good relations with the Black Sea countries. The Sea of Marmara could be more used. The identity of the city is based on water, which should be valorized more. The question is how best to use the waterfront.

*“Yenikapi Transfer Center is one of the most important points of the transportation system of Istanbul. Once having arrived in Yenikapi, one will be able to reach every point of our city by rail and public transportation systems. Thus the work of reviewing and renewing the urban functions and relationships in the territory has begun. The new centralization brought on by an increase of accessibility in Yenikapi has the potential of influencing the seaway, airway and highway dynamics of the metropolis as well as urban development and renewal at a metropolitan scale.*

*Being an area which will include a multitude of rich functions and relationships, Yenikapi will serve as the “new gateway” of the metropolis in the exact sense of the word. To this end, we are working to bring forward urban vision and design proposals by considering the future impact of centralization incurred by the increased rate of accessibility on a metropolitan scale, and to plan the process which*

*will realize the potential of such an important area in both urban, functional and historical terms providing the best outcomes for Istanbul and its citizens.”*

*(statement by the mayor of Istanbul, Dr Kadir Topbas)*

‘Marmaray’ on the European side to Gebze on the Asian side of Cyclic continuous, has been modernized as a commuter rail system. 76 km of the main structures that line the immersed tunnel, three new underground stations, an overground station. 27 years ago, in 1985, the first feasibility study started and route determination studies were conducted. In 1998 these studies were completed. In 1999 Turkey signed financing agreements with the Republic of JBIC-Japan Cooperation Bank. This formed the basis of the immersed tunnel and covers 35% of the total cost. In 2002, the selected consultant Eurasia Consult started preparing project tender documents. In 2002, geotechnical and bathymetric surveys began. In the fall of 2004 the suburban railway system was adopted in principle, with an overall length of 76.3km, of which 19.3km on the European side, and 43.4 km on the Asian side of the Bosphorus, and a speed of 100km/hr. The Immersed tunnel length is 1.4km. The depth of the immersed tunnel below the Strait is 56.0mt. Existing commuter transport carries 10,000 passengers, and the improved commuter transport will carry 75,000 passengers, with a capacity of 1.7 million passengers in 2015. The transition to a commercial operation is planned in 2010. -Archaeological excavations were targeted in 2013 as a result of the transition to commercial businesses. Work was started, but in 2002 36 sunken ships were discovered, as well as 70 000 items from the Byzantine/Ottoman period. So this becomes not only a transfer point, but also an ‘Archeo park’: not a museum.



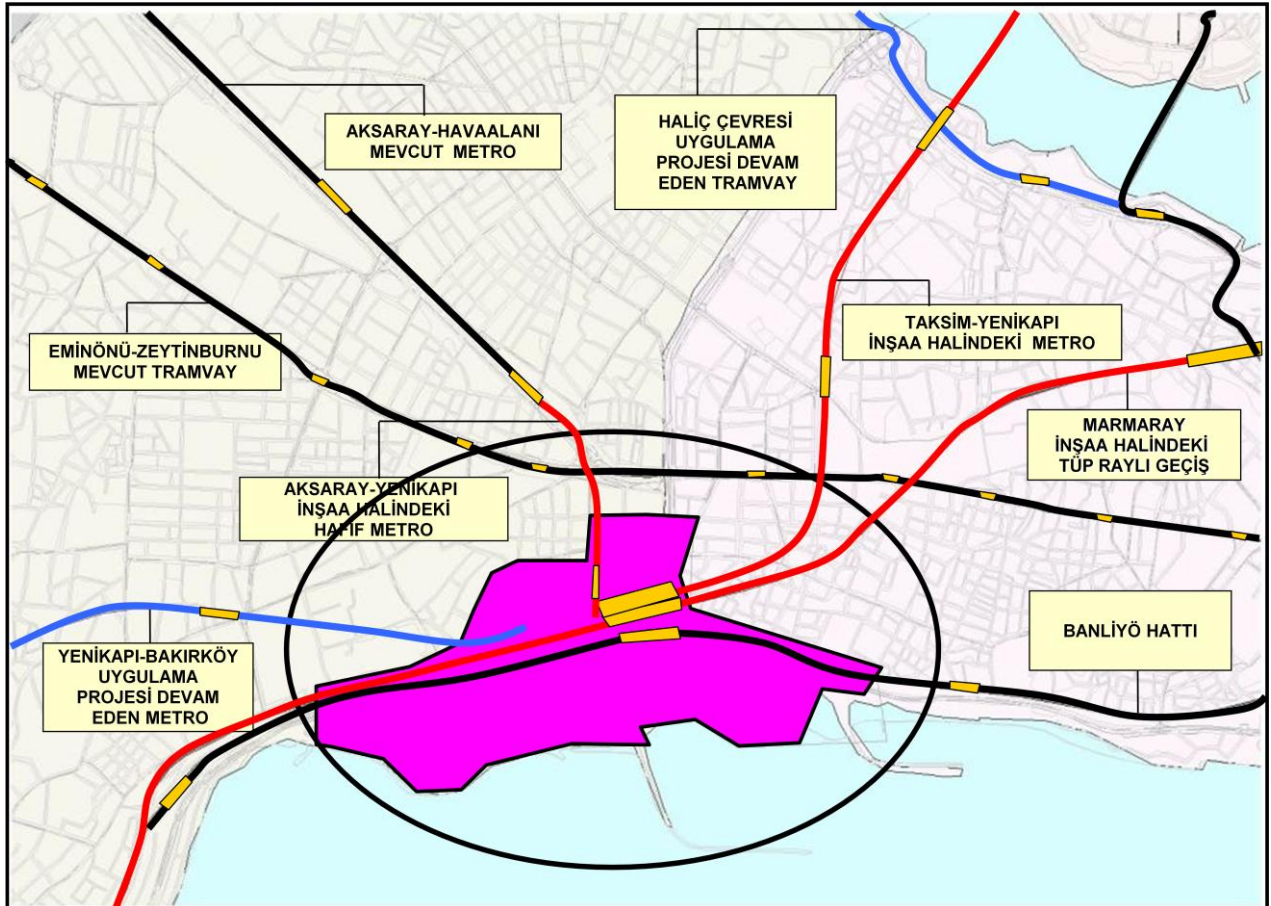
**The Yenikapi Archaeo park and transfer** area is located on the Marmara shores of the historical peninsula. The area of the site is 27 ha. The objectives of the project are to design an archaeological park where about 20 sunken vessels

were found, together with an transportation transfer node composed of two railway stations, a seabus station and a bus terminal.

**Urban Vision :** the following items determine whether the process is open to the participation of different factors: the potential of the entire area to establish smooth relationships with the urban character and the fragmented structure in the vicinity; the programmes with which it is equipped with as a public space, its flexibility to allow momentary/spontaneous activities, thus its potential to host diverse and unplanned/surprise events; organization of open areas and their relationship with the coast and the dense urban fabric in the background; whether there is a memorable image of the entire area and the relationship of that image with the Historical Peninsula as a whole. In this sense, the design will have an interlocking three-layered structure: an "Urban Vision" study which positions Yenikapı in both the historical peninsula and Istanbul; an "Urban Design" study explaining the organization of the entire area as a

public space (location and program) and the relationships with its immediate surroundings; an "Architectural Project" illustrating the richness of the program, organizations of locations and architectural characteristics in relation to the Transfer Center and City Archive buildings.

Marmaray will assume the function of an "urban spine" running parallel to the coast of the Marmara Sea. This horizontal spine which spans the city from one end to another will be connected to the vertical axes (boulevards/roads) in the station points and these axes will gain importance. Whilst the vertical axes connecting to the intersection points of the stations with other public transport systems and basic urban equipments will constitute the main arteries of the city, the immediate surroundings of the stations will constitute the new centers of the city. The foreseeable transformation scenario of the current city macro form in the years to follow can be summarized as such. Whether this transformation will lead to speculation or a sustainable city model will be determined according to the priorities of today's urban policies.



Undoubtedly, the most important station will be Yenikapı: The intersection point of the Marmaray, Büyükdere-Taksim Metro Line, the Light Rail System, the Suburban line and IDO, also the excavation site of the unique findings, dating back 8500 years into the deep history of Istanbul which enlightened the civilization history of the

Mediterranean culture basin and the location of the City Archive which will host them. Yenikapı Transfer Point will soon become a huge intersection point through which an average number of 1700.000 people will pass daily. Mustafa Kemal Boulevard, being the vertical axis to be connected to it, is one of the main arteries, perhaps the most

important one which will connect the most significant centers of the city (Sishane, Tarlabası, Taksim, Sisli, Mecidiyeköy, Zincirlikuyu, Büyükdere, and Maslak) to the coastal road. Considering its position within the Historical Peninsula and ease of accessibility to the airport, Yenikapı will undoubtedly become the “new gateway” of the global Istanbul. From this point of view, the design and building processes of Yenikapı Transfer Point and its surroundings will form a model with regards to the new backbone of the city and how this backbone will transform the city. A competition has been held, jointly for Turkish and international architects; 30 000 people consulted the website, leading to 110 entries, of whom 7 were selected, on the basis of their track record, their vision and their ability to problem solve. Three were selected for the first prize. Many saw this as an opportunity to work in, and with, the city of Istanbul.



## Discussion

*Comments by other Istanbul architects: The difficulty of making strong decisions; there is little integration: plans need to communicate with each other!*

*Immigration into the city from outside is one of the greatest difficulties, along with transportation issues. At the same time this is an historical city, with many historical sites, which cannot all be conserved in the historical peninsula, plus there are important historical and national areas along the Bosphorus, which cannot all be conserved either.*

*It is agreed that politicians can take decisions, but there is*

## 2.4 The "Istanbul Metropolitan Municipality, Information Centre for Investment and Services".

On the third day of the Istanbul meeting participants visited the "Istanbul Metropolitan Municipality, Information Centre for Investment and Services" located at the Golden Horn. The center is frequently visited by large groups from different Istanbul neighbourhoods, journalists, foreign guests and Istanbulites that are curious about ongoing projects in their city. The mission of the Center also includes presenting information on completed, ongoing and future projects in an integrated fashion under the same roof.

## 2.5 The "Istanbul Metropolitan Planning & Urban Design Center" of BIMTAS.

On the third day of the Istanbul meeting participants visited the IMP, "Metropolitan Planning & Urban Design Center" managed by BIMTAS. Within this very short visit, participants were briefly informed about the activities of the company, and the competence of LASER scanning technology application for preparing projects for cultural heritage management and sensitive 3D urban models to be completed in the following months.



## 3. THE USEACT ISSUE: INTERVENTIONS TO “REUSE” URBAN AREAS: MANAGEMENT, PARTNERSHIPS, FUNDING, FUNCTIONS

### 3.1 Lessons from the World: Urban Growth in the USA: From tracing boundaries to complex management. The Metro Portland case study

*Adolf Sotoca, Universitat Politècnica de Catalunya. BarcelonaTech, USEAct Guest Thematic Expert*

Urban sprawl occurred in the US 40 years before Europe. The focus then was mostly on physical planning, and a lot of reports were produced, such as “Drosscape”, and “The end of the suburbs”. US planning policy is mostly decentralized. In Oregon there were real policies: the metropolitan area is considered as a whole. In the 70s the Metropolitan area covered two states, and seven counties. However the two states work independently.

A “green” boundary was defined in the 70s, allowing no action outside the boundary, by preserving farmlands outside the boundaries. But the area inside the boundary needed to develop, with limited extension of the boundary. 1M people live within the boundary, over approx 1000 square kilometres. The urban boundary is revised every five years, and must foresee the extension of the city over the following 20 years. In the late 90s it was decided to address the question of inner growth.

**Complex organization:** Competences are at state level (the constitution does not enforce the union with urbanism competences). However there are some legal constraints, bills and specific laws and programmes that affect urban planning (environmental laws). States organize differently. In general, they are extremely decentralized. Most of states enforce municipalities to manage their own urban planning. The character of land (buildable or not) defined at municipal level by a Master Plan. Zoning defines uses but in a generic way (by zoning

ordinances or amendments). Oregon (together with Hawaii and Vermont) has its own authorities or agencies in charge of planning: the “*land conservation commission*”, origins in 1973.

Oregon is the state where urbanism is most regulated, with licences, on-site reviews, conditional permits, public audiences and information, for variations, conditional permits, and greenways session.



#### Portland Case-Study: Urban Boundary

The **urban boundary** controls urban expansion onto farm and forest lands. Land inside the urban growth boundary supports urban services such as roads, water and sewer systems, parks, schools and fire and police protection that create thriving places to live, work and play. The urban growth boundary is one of the tools used to protect farms and forests from urban sprawl and to promote the efficient use of land, public facilities and services inside the boundary.

The Oregon Metropolitan Authority is responsible for managing the Portland Metropolitan area’s urban growth boundary and is required by state law to have a 20-year supply of land for future residential development inside the boundary. Every five years, the Metro Council is required to conduct a review of the land supply and, if necessary, expand the boundary to meet that requirement. This is called the urban growth management process. When undertaking this review, Metro also considers needs for future jobs in the region during this same 20-year period. The current urban growth boundary encompasses approximately 400 square miles. As of 2012, about 1.5 million people lived within the urban growth boundary.

**The history of the urban boundary:** The Columbia region association of governments, the Metro's predecessor, engaged in a complete planning process and proposed an urban growth boundary for the region in 1977. When Metro was created by voters in 1979, it inherited the boundary planning effort. A year later, the land conservation and Development Commission approved the boundary as consistent with state-wide planning goals.



The location of the Metro urban growth boundary involved more than simply drawing a line on a map. The plans and growth projections of Washington, Multnomah and Clackamas counties, along with 25 cities and more than 60 special service districts, had to be accommodated. The initial urban growth boundary was based on a projection of the need for urban land as well as the land development plans of individual property owners.

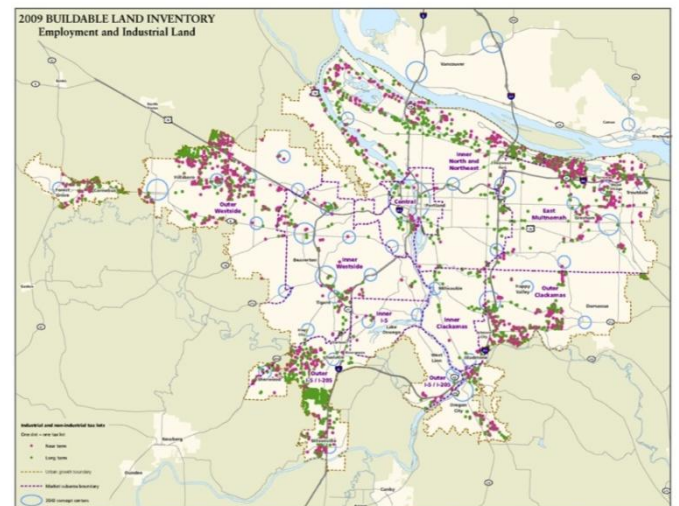
The urban growth boundary was not intended to be static. Since the late 1970s, the boundary has been moved about three dozen times. Most of those moves were small – 20 acres or less. There have been other times when the Metro Council approved larger, legislative additions: in 1998, about 3500 acres were added to make room for approximately 23000 housing units and 14000 jobs. Acreage included areas around the Dammasch state hospital site near Wilsonville, the Pleasant Valley area in east Multnomah, the Sunnyside Road area in Clackamas County, and a parcel of land south of Tualatin.

In 1999, another 380 acres were added based on the concept of "subregional need." An example of "subregional need" would occur when a community needed land to balance the number of homes with the number of jobs available in that area. In 2002, 18867 acres were added to the urban growth boundary to provide 38657 housing units and 2671 acres for additional jobs. This action also created regional policies to support neighbourhoods, protect

industrial areas and enhance regional and town centers. These expansions represented an increase of only about 9 percent, even though the population has increased by about 17% since 1990. In 2004, 1956 acres were added to the boundary to address the need for industrial lands identified as part of the 2002 planning process. In 2005, the Metro Council added 345 acres of land for industrial purposes which will complete the 2002 planning process. In 2011, the Metro Council added 1985 acres to the boundary to help address the anticipated 20-year need for new housing and jobs.

**The revision of 2009:** first strategies involved industrial refill (redeveloping plots, providing big plots for big companies), residential refill, diversification and phasing, and others (industry cluster, community based development, employment policies). The first action involved the optimization of existing urbanized land, the mapping tax lot, short and long term, the awareness of ineffective use of urbanized land. Two different strategies were planned: the urban refill of existing already built plots and the optimization of empty large plots and putting them onto the real estate market. On small plots different floor ratios within three different zones are defined: central, corridor etc... For big plots smaller plots are put together to prepare for bigger plots. Land is 100% private. Infill is to increase ratio, and replace buildings.

**2009 buildable land inventory (employment and industrial land)**  
Source: Metro, FCS Group, based on local review, 2009



**Expected effective refill:** the first type of capacity is zoned capacity inside the current Urban Growth Boundary that is market feasible (by the year 2030) with no change in policy or investment trends. Finally, half of the capacity in new urban areas (land brought into the urban growth boundary since 1997) is deemed to be market feasible by the year 2030 and will be counted towards meeting the region's

20-year employment demand. This capacity is the capacity that can be legally counted towards meeting the region's identified 20-year residential demand.

**Potential refill:** the second type of capacity is zoned capacity inside the urban growth boundary that is likely to require changes to policies and investments to make it market feasible by the year 2030. Policy and investment actions can increase FAR System (Federal Acquisition Regulation System), increase the refill rate and increase the market feasibility of developing vacant land. An example of these types of actions is targeted infrastructure investments. The potential result of these actions is taken at the local or regional level. This capacity requires documentable local or regional action to count towards meeting the region's identified 20-year residential demand by the end of 2010. The complete range of capacity over the next twenty years includes key assumptions that influence the low and high ends of the supply range.

Despite the fact that FAR increase is not required according to the demand prognosis for 2030, the FAR is increased for the 2040 scenario and in order to provide additional growth that will avoid an eventual lobby on land management. Supply-side FAR assumptions in most instances exceed today's market-based (demand-side) FAR assumptions. Zoning regulations have been found to be ahead of the market and thus provide plenty of regulatory "headroom" to allow additional density and growth to be accommodated in the near term as well as long-run time frame (2040). These FARs describe an average of maximum zoning densities permitted by local zoning codes:

- MUR: Mixed Use Commercial and Residential: FAR varies by location.
- CC: Central Commercial: allows a full range of commercial typically associated with CBD's and downtowns. More restrictive than general commercial in the case of large lot and highway-oriented uses, this encourages higher FAR uses including multi-story development.
- CG: General Commercial: larger scale commercial districts, often with a more regional orientation for providing goods and services. Businesses offering a wider variety of goods and services (including large format retailers) are permitted in this district and include mid-rise office buildings and highway and strip commercial zones.
- CN: Neighbourhood Commercial: small-scale commercial districts permitting retail

and service activities such as grocery stores and neighbourhood service establishments that support the local residential community. Floor space and/or lot sizes are usually limited to between 5 000 to 10000 square feet.

- CO: Office Commercial: districts accommodating a range of low-rise offices; supports various community business establishments, professional and medical offices; typically as a buffer between residential areas and more intensive commercial districts.
- MUE: Multiple use employment: an employment district that accommodates a broad range of users including offices, retail stores, warehouse distribution, and light industrial including manufacturing, fabrication, and assembly.
- IL: Light Industrial districts permit warehousing and distribution facilities, light manufacturing, processing, fabrication or assembly. May allow limited commercial activities such as retail and service functions that support the businesses and workers in the district.
- IH/RSIA: Heavy Industrial districts permit light industrial and intensive industrial activity such as bottling, chemical processing, heavy manufacturing and similar uses with noxious externalities.

**The process of definition:** supply side FARs. The FAR assumptions are derived from local zoning ordinances and represent the maximum regulatory capacity. These FARs were utilized in the preliminary UGR to estimate both the industrial and commercial building square foot capacity from vacant buildable land. Applying these FAR values to the buildable land inventory (vetted by consultants and reviewed in part by local governments) resulted in a set of building supply estimates for industrial and commercial building space capacity. Using the regulatory or supply-side FAR values allowed for an estimate of the regulatory capacity of the buildable land to accommodate a variety of industrial and commercial building formats and types. Conversion from acres of supply to building density capacity estimates allowed policymakers to compare how regulations and not just vacant land can be utilized to accommodate realized and potential capacity demand in the future.

However, a shortcoming of using supply-side or regulatory FAR values is that many zoning ordinances are well ahead of building densities that the market can feasibly build in the next 5 to 20

years. In some instances, the FAR values were unrealistic given prevailing and expected market conditions. As a result, this revised employment analysis employs expected market-based FAR projections. This approach provides less potential capacity than the regulatory FARs but is more reflective of market conditions. These demand-side or market-based FAR values have been vetted with local governments and a variety of trade and business organizations as well as by the Hovee consultant team. The demand-side FARs are also consistent with Metro Scope scenario results reflecting current policies and trends.

**The Revision of 2009: Industrial refill. plot grouping. vacant buildable large lot map:** it is likely that many future large parcel needs will need to be accommodated on vacant buildable land rather than refill. Refill would appear to be a more likely source of capacity for smaller lot needs. The buildable land inventory for employment uses was amended by metro's regional partners to incorporate local knowledge of available land.

There are three lots in the large lot inventory that have questionable buildable acreage values reported by the jurisdictions that amended the vacant lands inventory. Two lots in the 25 to 50 acre range reportedly have more buildable acres than total acres. The total acreage for each of these lots is in the 25 to 50 acre range, so they are assumed to be 100% developable and are included here. One lot over 100 acres appears to have been previously developed but the full tax lot area is reported as buildable acres. This lot might more properly be identified as a redevelopment opportunity than a large vacant lot; however it is still included here.

It is common practice to assemble multiple tax lots. A number of the large lots (over 25 acres) are adjacent to one another. In addition there might also be opportunities to assemble smaller lots that are already under common ownership into parcels of at least 25 acres. The comparison of supply and demand begins with the large lot supply as it currently stands before addressing the possibilities of tax lot assembly to meet projected large lot demands. It is likely that many future large parcel needs will need to be accommodated on vacant buildable land rather than refill. Refill would appear to be a more likely source of capacity for smaller lot needs. The buildable land inventory for employment uses was amended by Metro's regional partners to incorporate local knowledge of available land. There are three lots in the large lot inventory that have questionable buildable acreage values

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#### **Revision of 2009. Residential refill. Refill rate.**

The "refill rate" is the percentage of new dwelling units that are built on land that is already considered to be developed, instead of on vacant land. It is important to note here that we are comparing the number of refill units to the total of all new units built over a particular time period. So the refill rate is a proportion of new development, not a proportion of some land base. Multifamily developments accounted for about 39% of new dwelling units built from 2001 to 2006 while single family dwellings made up 61% of new residential units. The refill rate for multifamily dwelling units was much higher than single family, at 46% compared to 25%. Accordingly, the overall residential refill rate is sensitive to the proportional distribution of multifamily developments and single family development. If the long term share of multifamily dwelling units compared to single family dwellings were higher in the future than that observed over the study period, we could expect a higher overall residential refill rate. If the multifamily share were lower, we would expect a lower overall residential refill rate over the long term.



The strategy is to promote multifamily housing so that future urban policies (not only refill) will have a wider impact in a smaller territory. All new developments where the Metro is participating are multifamily. Multifamily dwelling (MFD) refill rates are generally expected to increase across the

region, potentially reaching an overall MFD refill rate of nearly 70% for the region given current policies. The reasons for this are the lack of infrastructure on newly urbanized land within the projected time (intentional shortage of public investment in those areas) and increasing demand for dwelling units closer to the city center and other concentrations of jobs, retail and services.

Accordingly, new dwelling units in these areas must be created through refill development, and multifamily dwellings are particularly well suited for this purpose. Oregon City – Milwaukie is the only subarea where the future MFD refill rate is expected to fall in comparison to the historical data. However, since so little MFD development occurred for the subarea from 2001 to 2006 the estimated historical MFD refill rate of 87.8% should be interpreted with caution. The MFD refill rate is expected to increase dramatically in the Lake Oswego – West Linn area, from 21.9% to 79.9% since the model is anticipating no new vacant land for MFD development in this area by 2030.

**Revision of 2009. Diversification and intentional fragmentation of urban extensions:** In January 2008, Clark County added approximately 19 square miles of urban growth areas. A portion of the 19 square mile expansion was overturned and was appealed at the Washington State Superior Court. Scenario assumptions for Clark County urban growth boundary expansions are based on the Superior Court decision.

**Portland case-study: urban boundary revision of 2009 phasing and timeline:** sequences of prospective UGB expansions are assumed for this scenario, including the aforementioned areas that have been added to the UGB since 1998. New enlargement of the urban boundary is only considered when previous extensions are already developed.

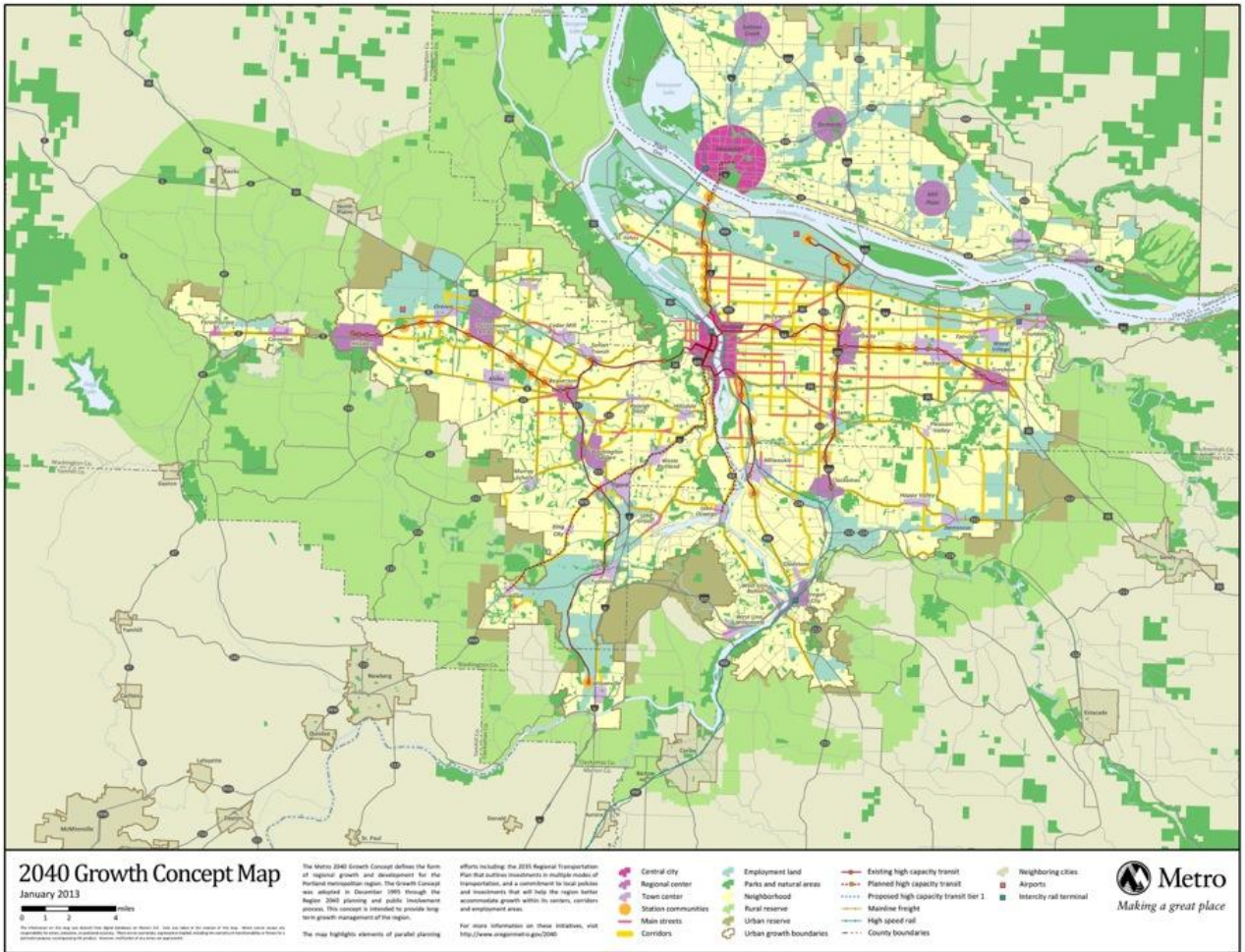
**Urban growth concept 2040:** from 1992 to 1994, Metro used urban development analysis tools and forecasting technologies to study different growth management strategies. A wide range of possible approaches were identified and analyzed for impacts to the region's neighbourhoods, transportation system, natural resources and key urban services. This intensive study, originally called Region 2040, allowed Metro to focus on a number of options to prepare for local jurisdictions and the public to review. Metro ultimately tested four scenarios for how the region could grow. Each option was analysed for its effects on: land consumption, travel times and distances, open

spaces and air quality, and various urban landscapes. The four options, called "growth concepts," presented different philosophies about how the region should actively manage growth. In September 1994, a new idea emerged. Drawing from the best features of the different approaches – the 2040 Growth Concept won the unanimous support of local government partners on the Metro Policy Advisory Committee. The Metro Council adopted the 2040 Growth Concept in 1995. Land-use decisions are aimed to: encourage more efficient use of the land in cities, business centers on "main streets" and on major transit routes, protect natural areas, parks, streams and farmland both inside and outside the urban growth boundary, mobility diversification, by promoting a transportation system that includes all types of travel, such as bicycling, walking and using mass transit, as well as cars and freight, metropolitan scope work with neighbouring cities just outside the region, such as Sandy, Canby and Newberg, to keep the separation between communities, and promoting diverse housing options for all residents of the region.

**Spatial hierarchization** is based on **multimodal structure** involving central city, regional centers and town centers; an **axial structure**: main streets (retail commercial), transit corridors (transportation axis) and station communities (TOD), and **areas of homogeneous identities**: neighbourhoods (existing, preservation; new, more density), neighbouring cities (green belts instead of urban continuum) and rural reserves (preserved areas).

**Strategies: redevelopment Transit Oriented Development (TOD).** In considering **walkability**, the street pattern in the surrounding area determines not only whether residents and workers can access rail and bus transit, but also whether they can access the shopping, jobs, and services that might be located in their immediate neighbourhood (if these uses are even present). Non-work trips continue to grow as a share of Americans' travel patterns, making local walkability a critically important component of building vibrant communities. Block sizes are a good proxy for the walkability of a neighbourhood, and small block sizes have a demonstrated correlation with reducing vehicle miles travelled. While central Portland has the smaller block sizes associated with increased pedestrian connectivity, there are notable walkable areas throughout the region. However, block sizes are less consistent, and often not directly connected to light rail or bus transit in communities outside of central Portland, making it more challenging for nearby households to reduce their auto use.





**Impact on the real state land value:** new development is a fundamental way to improve the vibrancy of station areas and corridors, but the potential to attract private investment is clearly predicated on both neighbourhood market conditions and regional market demand for more compact housing types. The land value and historic real estate market transactions are both indicators used to understand local market strength, in the absence of the ability to do a detailed market analysis for every transit community in the region. Additionally, with the current real estate downturn, it is important to gauge the long range potential demand for compact development, including multifamily ownership and rental housing, town homes, and smaller single-family detached units.

During the last housing market boom, downtown and other neighbourhoods at the region's core, such as the Pearl District, absorbed a significant share of new regional growth, much of it in compact housing types including apartments and condominiums. Frequent bus corridors in Portland's inner east side also saw significant infill housing development, including three to five-story apartment and condominium buildings, many with limited or no on-site parking. Outlying suburban station areas and frequent bus corridors have thus far been less successful at attracting compact apartment and

condominium development. Future market potential for new high-end multifamily housing will clearly be impacted by the current surplus of condominiums in the core of the region, but to what extent did the most recent strong market cycle absorb longer term demand for all multifamily development?

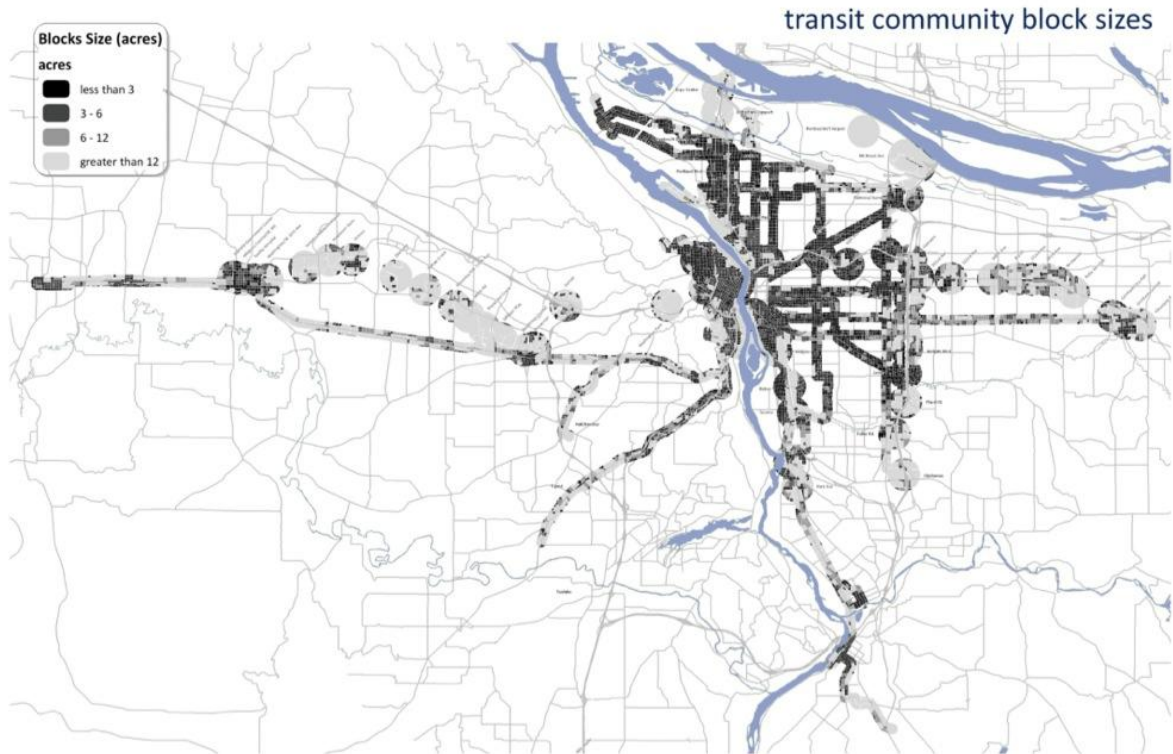
260 000 sq feet have been developed for mixed-use development, 580 000 transit trips/year, 2324 affordable housing (652 for 60% median income, 704 for 80% median income).

Metro's resources in the TOD program are quite limited, and investments should work with the market and leverage private investment with targeted public investments. We see two major roles for the programme: the first of these would be what can be referred to as "proof of concept" investments, supporting projects that test and hopefully demonstrate market support and achievable pricing for a targeted development form. Examples of this type of intervention would be the crossings at Gresham station and north main village in Milwaukie, both of which demonstrated that a significant premium could be achieved for untested urban development forms in these markets. The second type of investment would be related to increasing the attractiveness of a center, thereby generating a marketable premium that would be

reflected in higher achievable pricing. This could include infrastructure investments (quite expensive), common area improvements (parks, plazas, streetscape), and active support for targeted “urban infrastructure” that have a demonstrated positive impact on achievable pricing (specialty grocers,

theatres, etc.). An example of an investment type that this analysis would support would be providing funding to assist in the renovation and possible expansion of a theatre, a restaurant, café, or bookstore within a centre.

Figure 4: Block sizes in transit communities



**Revitalization of downtowns:** Downtown and the Pearl District include significant amounts of employment and businesses and an expanding housing stock. The area is the primary tourist destination in the region, boasting multiple theatres, museums, restaurants and high-end retailers. The area has a population of 16 316 residents and a total of 79 750 employees, highlighting its primary function as the regional employment centre. The area includes a substantial amount of housing stock in the form of urban-style condos and apartments, allowing for many to live and work within the district.

Downtown and the Pearl is considered a 24-hour activity center, with daytime uses that include office jobs, high-end and speciality retailers, grocery stores, farmers markets, museums and many limited-service restaurants. Nighttime’s activity includes fine dining restaurants, coffee shops, theatres, bars and nightclubs. Within the area there is a wide range of businesses, especially restaurants, coffee shops and specialty clothing stores, with additional businesses that include:

bakeries, dry cleaners, fitness gyms, and childcare and book stores.

Residents, workers and visitors can easily access the area through a variety of transportation options. The area is served by multiple light rail and bus lines, a streetcar system, multiple bike routes, and pedestrian-friendly streetscapes based on an urban-style small grid network and narrow streets. Additionally, this center serves as the central hub for all bus lines in the region, meaning most major bus routes stop in this district at some point. Auto access is prevalent with access to several major highways and thoroughfares that further support the area’s accessibility to others from outside the region. Land values in this center allow for the strategic placement of structured parking throughout. Large, mixed-use parking structures and underground parking are prevalent. In addition, surface parking lots can be found in key locations along the edge of the district. Various forms of public transit and walkable streetscapes help make the car a secondary choice for transportation into and out of the district. Parks are found in abundance

throughout the district, and are utilized by workers, residents, and tourists alike.

The Clackamas Regional Center is located directly adjacent to Interstate 205 and serves as the retail hub of northern Clackamas County and much of East Portland. Located in unincorporated Clackamas County, the center is home to a large regional mall and many destination shops and services. It is the final southbound stop on the newly opened MAX Green Line. This MAX station is also home to a 750-space park-and-ride facility, which allows for extended transit service to 10 bus lines. The regional center is part of an active urban renewal district and contains abundant surface parking. The center has 5 227 residents, 12059 employees and 2680 dwelling units.

The Lake Oswego Town Center covers the majority of downtown and land along the Willamette River waterfront. The town center is serviced by three separate bus lines that connect to Portland and eastern Washington County. Highway 43, an ODOT facility, serves the center. The center has 2194 residents, 2054 employees and 1429 dwelling units.

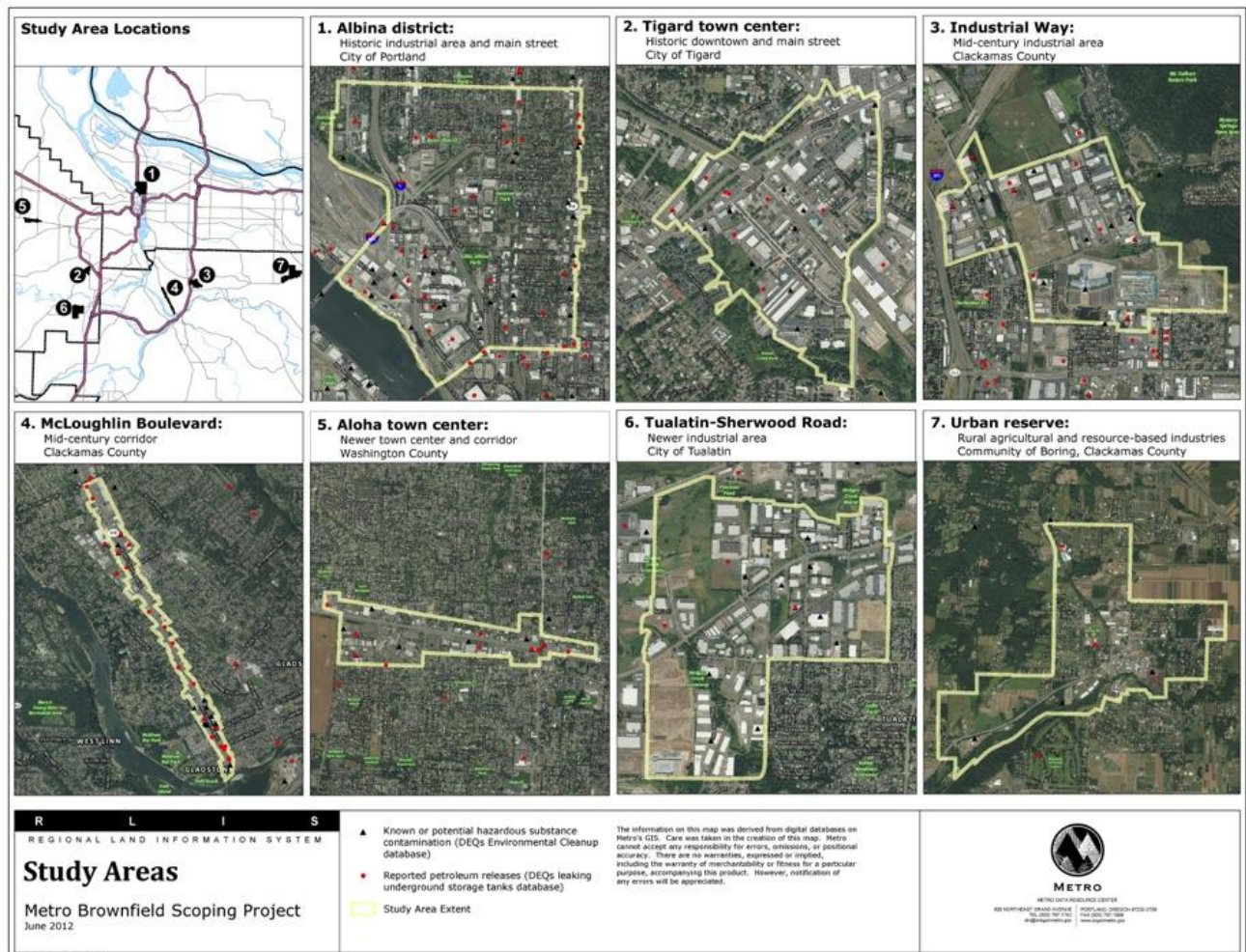
**Restructuring brownfields:** brownfield properties are typically located in older neighborhoods with a longer history of industrial and commercial uses. It is interesting to note that the reported sites in the DEQ (Oregon Department of Environmental Quality) database tend to be concentrated in the older parts of the metropolitan area, near the Willamette River and Columbia Slough. Many of the candidate sites that are suspected brownfields are located in the more recently developed areas of the metropolitan region, typically along transportation corridors and in industrial and agricultural hubs. Approximately 50 percent of the DEQ sites are in, or within 1000 feet of, sensitive environmental areas, such as wetlands and streams, as designated by Title 3 and Title 13 of the region's Urban Growth Management Functional Plan. Over 200 brownfields are within a quarter mile of a community garden, and 50 are within 200 meters

#### **Brownfield typologies:**

- type 1: **small commercial sites.** Common historical uses were gas stations, repair shops, and dry cleaners, characterized by small parcel size and located along highways and arterials, and in commercial centers, including main streets and small

downtowns. These properties are commonly redeveloped for commercial, office, multifamily, and mixed uses. The small size of these sites can be a challenge to redevelopment, because they often cannot generate enough value to balance remediation costs. this typology represents approximately 80 percent of the number of brownfield properties in the metro region, but only 20 percent of the acreage. These types of sites are typically located in centers and corridors, and scattered in employment areas.

- type 2 **industrial conversion sites:** these properties range in size and are historically found in areas that have transitioned from industrial to office, retail, and mixed-use centers. Change of zoning and location often drives redevelopment of these properties. Sites in highly attractive, high-density areas, such as the pearl district, often are redeveloped by the private sector.
- type 3 **ongoing industrial:** these properties are located in areas with an industrial past that continues today, particularly through regulatory controls such as metro's title 4 requirements and local employment sanctuary overlays. The types of historical uses vary, but they share constraints on land value and future use that can be a challenge to redevelopment opportunities. These properties are typically large; while they represent only approximately 14 percent of the number of brownfield parcels, they encompass nearly 60 percent of the acreage. Difficult intervention due to the sensitive issue of job numbers.
- type 4 **rural industry sites.** These properties are associated with rural natural resource extraction industries and agriculture. They are typically large and located on the edge of the UGB, especially within urban and rural reserves. Structural economic changes can make these properties difficult to redevelop. There are relatively few of these types of brownfields in the Metro region and its urban reserves, but they individually can occupy large areas and can have significant regional impacts. Environmental issues at regional scale



**Restructuring brownfields a prioritization in public investment.** Brownfields are also highly likely to be located in a community designated by Metro's Equity Composite (conducted originally for the Regional Flexible Funding Allocation) as underserved, an analysis that highlights areas that simultaneously have a high underserved population (nonwhites, elderly, low-income, non-English speaking, youth), a low density of essential services (food, essential retail, health, civic, financial/legal), and low proximity to non-auto transportation. 19% of all DEQ sites are in underserved communities, but these properties represent a much smaller proportion of all land in the region. When normalizing by acreage, every brownfield in a non-underserved area represents 1.7 brownfields in an underserved community. Sixty percent of the brownfields in underserved communities are also located in the region's designated centers and corridors.

**Restructuring brownfields: policies and tools** include creating tax incentives (all mean statutory change and legislative action: long term) tax credit for remediation; tax abatement (extend duration of tax abatement in infill and remediation areas); control tax assessment valuation rules in time (discourage mothballing); tax increment

financing in brownfields; building capacity (all legislative, mid-long run); public land bank; public clean up tax; integrated planning; community based complementary actions, guidebooks (non effective); regulatory framework (short term, municipality, effectiveness); deregulation; interagency funding coordinated by municipality to promote brownfield restructuring; transfer rights and duties (not innovative, dangerous); GIS, database (non effective); guide books (non – effective.

There are still some differences regard the European context: preservation of natural land by specific regulation, limiting urban growth and lack of attention to individual urban structures. Engaging people is a key element.

**Conclusions and lessons are: strategic floor area increase, typological organisation (from single to multifamily units), land readjustment (new uses), stakeholder diversification (no big blocks), land extension (limiting extension till all land is in use), metropolitan scale, Spatial ... densification. Tax treatment can also be useful.**

## 3.2 Interventions on “reuse” of urban areas: management, partnerships, funding, functions: Public Private Partnerships and governance models in reusing European Cities

### 3.2.1 The Stuttgart “Inner-development vs external development strategy” and the “Sustainable management of Building areas” programme

*Vittorio Torbianelli, USEAct lead expert*

The municipality of Stuttgart launched a strategy of “Inner Entwicklung” (**Inner development**) in 2001: full exploitation of the building potential of public and private areas deemed “suitable for building” in the urban plan, and as such avoiding further urban expansion.

**National and «Regional» targets:** German federal government : reducing land consumption for new settlement and transport-related areas from about 115 hectares in the year 2002 to 30 hectares per day by 2020”; Regional government of Baden-Württemberg : “zero growth” as early as 2016, setting specific goals to tackle a worrying trend in land use.

**Working with an «urban model».** The general reference framework for the containment policy is the Stuttgarter Innenentwicklungsmodell” (SIM). It defines the needs and the general qualitative and “social” goals of the city in terms of housing (and its qualitative and “social” characteristics), land uses with related policies of urban fees and reinvestment. It defines target of containment of urban expansion through densification, “mixed use”, valorisation of the land (including changes of urban uses where appropriate), and reduction of infrastructure.

The main target of the “Nachhaltiges Bauflächenmanagement”, NBS “**Sustainable management of building areas**”, programme is the the development of “building potential” in areas that are already categorized as “suitable for building” is the key goal of the programme. The target areas of the NBS programme are two types of zones with an unexpressed building potential: single areas greater than 2000 sq.m, categorized in the “Urban Uses Scheme” as “suitable for building”, and Interstitial spaces in building areas. In 2011, the building areas not yet developed amounted to only 6% of the total potential of development in the urban areas categorized as suitable for building.

The NBS programme is integrated with other different projects developed by the Municipality of Stuttgart, for example the Cobraman project, a European-funded project dealing with the revitalisation of brownfield sites, and “Klima” certification, which assesses the microclimate effects of the building, with a “certification” programme of the microclimate of new buildings. It involves around 80 people in the Municipality of Stuttgart, and is based on a strong collaboration between the municipality departments (urban planning, economic development, property, and environmental protection). It is implemented through the creation of a working group, with its own administration, headed by the mayor, which meets every three months. The three main components of the programme are: data acquisition and development of an up-to-date catalogue containing all existing potential developing areas, data management, and strategies and concepts to activate, in particular, privately owned areas for potential development.

**Operational Targets** of the Working Group are the development of a “data platform” of the areas with exploitable building potential, the implementation of PR and communication, the management of development processes of the sites, and the exchange of information on procedures between the offices, in order to facilitate processes.

The main **database** is dedicated to areas (public and private) greater than 2000 sq.m with exploitable construction potential. The database is updated continuously. In 2011, the database reported around 350 sites totalling 500 ha. with access to the «public» section (60% of the areas) of the interactive tool.

Since 2007, the NBS has been integrated in the **Geographic Information System** of the City dedicated to polluted sites (ISAS). ISAS is the municipal information system of contaminated sites of Stuttgart. In fact, the database includes areas owned by the city of Stuttgart (17% of the total), by private individuals, by other public institutions and “mixed” (the city of Stuttgart and private).

**Appraising potentials and feasibility:** the areas are “categorized” according to macro-categories: unused areas, underused areas, interstitial zones, areas with potential for changes in current urban use, and areas for “new buildings” (not yet developed).

**Evaluating the time-horizon:** the NBS management programme also carries out, for every

area, an assessment of the degree of “readiness” of the areas for possible development interventions. The degrees of potential temporal development are three: short term (possibly within three years), medium term (possibly within six years), and long term (possibly after six years).

**Risk factors:** the degree of availability takes into account factors such as: probable delays in procedures to be complied with (e.g. characterisation areas for pollutants), presence of hazardous waste and the need for recovery, ongoing requests for different uses of construction, difficulty in identifying owners, and current owners not willing to collaborate.

In 2011, the “short term” developable areas accounted for 22% of the total and the “medium” totalled 38%.

«**In-between areas**»: there is another separate information system, for the “interstitial” spaces between buildings in built-up areas. 85% of these areas are owned by the municipality (including road infrastructure). Between 1999 and 2013, around 920 of these spaces have been recovered (providing 5260 residential units in total). The total potential is estimated at about 10 000 housing units. The NBS programme has also in the case of these interstitial areas, supported the owners of private areas through “mediation” and advice to facilitate the access to funds and participation.

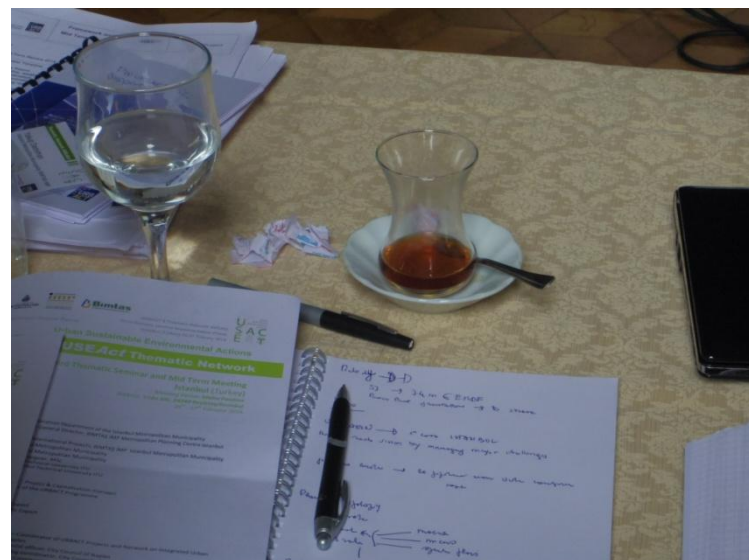
**Integration with the urban policy:** the programme is closely integrated with policy decisions: based on available data and “feasibility” assessments provided by the programme, the municipality selects the areas for priority focus for the projects. The municipality has highlighted some high priority “pilot projects”, with important social and environmental effects, coordinated amongst them. Alongside the pilot projects, different smaller projects have also been developed.

**Small incentives to enhance trust...** The municipality plays an important role also in the management of recovery processes: it offers private areas support and advice for pollution analysis and recovery. A special fund was also set up for this purpose, an overall modest figure (40 000 Euros per year) to encourage analysis by the owners in the areas. The fund, despite its almost symbolic scale, has been successful as an “attention stimulator” and as a vehicle for the objectives of the project.

In conclusions... lessons to be learnt: strong integration with national and regional objectives of landtake reduction; integrated approach, based on the knowledge and management of data related to areas with unexpressed potential builders via information platforms integrated with the GIS; very strong frameworks of political support and management, based on the involvement of top level (mayor in the working group); interdisciplinary integration of the municipal offices and external consultants where necessary; strong orientation towards public communication, the visualisation of area potential (internet platform), involvement of stakeholders and support for the collection and use of funds; high capacity for integration of different projects and funds.

## Discussion

Questions for the partners: Which partners do manage similar tools or could imagine doing it? What the main problems/constraints?



### 3.2.2 Appraising and shaping PPP for urban regeneration: a Leipzig case study

*USEAct Lead Expert, Vittorio Alberto Torbianelli*

In Leipziger Oste, two urban regeneration pilot projects were launched, in two nearby neighbourhoods (“International Quarter (IQ)-Ost” und “Gründerzeit Erleben”) within the framework of a nation/regional government programme called “Districts with particular development need – the Social City”. Compared with Leipzig as a whole, the districts are characterized by higher rates of housing vacancy/immigration/low-income people/subsidized housing. In 2000-2006, 19m Euros were invested (10.5 in urban renewal projects, 7.5 in Economic and Employment projects, 1.15 in Social projects, 0.062 in information participation and management. Different sources of financing were integrated: ERDF and other various national support funds.

**The pilot projects were aimed at: re-establishing, at a district level, a dynamic economic structure, improving the attractiveness and the social vitality of the quarter through intervention (refurbishment/rebuilding) in the building stock, attracting “small” businesses, implementing marketing/communication and “community involvement” strategies and providing «planning» confidence.**

The “toolkit” used in the Leipzig Project Pilots include integrated planning documents and action plans (e.g. General Re-development Plan, Conceptual District Plans, etc.), getting sufficient elements for detailed feasibility studies and marketing measures. In particular, an informal “Conceptual District Plan” (containing priorities and targets to provide investors planning confidence) has been produced by the Municipality.

The target “units” are the building blocks and their inner courtyards. These spaces are owned both by private owners and by the municipality housing association (LWB). The interventions are aimed at reinforcing the attractiveness of the blocks and courtyards in terms of specialized retail/business potentials (e.g. development of ethnical retail area). Many possible project partners are identified, both of public sector and private sector: the City of Leipzig, Leipzig Local Authority (ASW), LWB (municipal housing association, wholly owned by the City of Leipzig, but not incorporated into the local

administration), “District management”, “Quarter Management”,

Investors, operators, and users/tenants. For each block specific questions must be answered: diagrams describe potential Public private Partnerships for the site. Every possibility for building a partnership is appraised, and then formalized to let possibilities emerge.

A key measure by the ASW (municipality) is the implementation of “**District Management, DM**” and “**Quarter management, QM**”. The D/Q management teams, whose target is to reduce the distance between administration and local players, is directly integrated into the ASW and subjected to its directives. Its primary aim is to activate local residents (developing the district image, to soothing conflicts, supporting local business people). The not “neutral” role of the Municipality through the “Quarter Manager” as facilitator and “moderator” could be a point of discussion...

Further partners are individual owners (e.g. owner-occupiers) that must be involved in the restructuring of the blocks, project developers, which can vary in terms of the features of risk and process involvement, investors (long-term owners) which can be the same flat/space owners, operators, that in this case, is in charge of marketing and managing the “areas”, as “block manager” (marketing management, technical management, infrastructure management, commercial management, potential users and tenants, e.g. small business (e.g. high-quality multicultural services), and retailers (multicultural retailers, residents).

The Municipality of Leipzig developed a managerial framework (“PPP guidelines”) aimed at designing and appraising different “scenarios” of PPP for urban regeneration projects. For each project, a formalized multi-step appraisal and a suitability test (based on a “polarity profile evaluation”) for alternative PPP structures are foreseen. Once the general economic sustainability of the project is confirmed (required turnover, potential spending power, etc.), different scenarios of project management structures and, consequently, of PPP are proposed and discussed.

Scenario-diagrams that support the decisional process describe: the roles of the possible players (with possible contractual relationships) and the possible “timing” of the actions – e.g. if it is better to start with “step by step” refurbishment or to renew the entire block. Possible (alternative) contractual forms concern rent levels, financial support tied to specific conditions, sale of the areas or

authorization, agreement for the transfer (or use) of the courtyards, “management” of the courtyards. Further relationships with players are also evaluated (e.g. institutionalized “associations” with the owners, etc.).

The feasibility study and the evaluation of the scenarios includes a (rough) economic impact study, from the point of view of the different stakeholders (e.g. owner and occupiers). Rents and costs, with a dynamic income/expenditure occurring at different times, are calculated (for a 20 years horizon) on the basis of “comparable” assets. The finding from the studies should result in a firm decision being taken to continue or abandon the project.

Possible **incentives structures** are evaluated: financial compensations, binding “scope for ideas” – e.g. ideas competitions -, and “inside” information from which participants would be able to gain advantage. If the project is sufficiently attractive, this commitment can eventually secure the institutionalization of the partnership (e.g. associations of retailers or owners).

The public sector can provide a risk buffer to boost the project: assumption of risk shares as incentive (e.g. sureties, interest subsidies), but also reliable “public investment” assurances by the local authority (e.g. preliminary improvement of public amenities to valorise private properties) can play an important role. In general, a short implementation time is an essential aspect.

All these risks and opportunities are appraised within the “suitability test” of the PPP different scenarios. For each case a feasibility study is required, then these steps are formalised in the municipality guidelines.

## Some questions to USEAct

**partners:** *do you have any formal framework to generate PPP scenarios and to appraise them? Do you have «quarter managers» to support the PPP community? Could there be room for a quarter manager?*

**Discussion:** *in Spain this is not possible: need a lot of money and also need to expropriate. This is supported by the fact that a large proportion of housing is owned by the public authority.*

*Energy companies could get involved: energy saving companies as block managers? A good potential... in US 'solar roading' is turning roads into a solar panel: could turn noise reduction panels into solar panels... and generate profit!*

## 3.2.3 The municipality-owned real estate development company as key “PPP control platform”: three cases from Germany

*USEAct Lead Expert, Vittorio Alberto Torbianelli*

**1) Stuttgart «Im Reiser»** concerns the change of use of a former military base, to provide affordable “middle-class housing” for young families. The Municipality of Stuttgart purchased the “Im Reiser” area from the German State, then issued “Calls for ideas” for urban designers and architects, aimed at providing a general preliminary scheme for the site and proposals for “affordable family friendly buildings” to be located in different zones of the site. Working together with the Municipality offices, several “winners” shape housing project proposals (for the different zones of the area), the last ones differentiated in terms of design although harmonized to common criteria (e.g. maximum cost for each housing unit was established).

In the **first phase**, the process managed by the municipality includes: vision and macro-definition of the “contents” to be developed in the area (with target “criteria”), demolitions, rehabilitation of the ground/soils, definition of the lots, and the sale of the area. The site-development is contracted out, without any tender, to a private subject (WHS). The Project Management function is allocated to a single person from the Municipality (department for urban renewal), in charge of internal and external communication and of coordination of the several departments of the municipality.

The **second phase**, which is privately managed, follows: four building companies are selected (2001), (WHS was one of these) through a tendering process. Within a contractual framework agreed with the municipality, these four developers/builders are required to: gather resources to purchase the “four sectors” of the area, to provide a detailed design of the houses, agreed with the architects previously designated (the “winners”) by the municipality and building the housing units; and to market/sell the houses, embracing the “rules” defined (for instance about the “purchasers’ profile) by the public administration.

**Working «through the market»:** The amount earned by the public administration through “selling” the areas to the builders was used to support families interested in buying the housing units at market price (as a direct “social housing” incentive, about 45% of the total price). 30% of the houses sold resulted were “subsidized”.



**2) Hamburg – Commercial Courtyards** : old vacant factory buildings, many of the located in Hamburg's inner city quarters (listed monuments), are being renovated and managed through a consortium of public and private partners, after a rehabilitation process managed by a public-owned company. These "industrial/commercial courtyards" can provide new spaces for small and medium companies, as a part of a wider "middle class business" support policy. In 1976/7, the municipality of Hamburg founded the HaGG, A "specialized" organization aimed at supporting brownfields redevelopment and facilitation of the reuse of vacant properties in well equipped locations for business uses compatible with adjacent neighbourhoods. HaGG is today a consortium of public shareholders as well as members from the business and trade communities (60% municipality-owned - through a municipal "Holding", HGV; 40% is owned by the chambers of commerce/craft).

**Renting, selling, engaging.....**In the Hamburg courtyard case, HaGG played the role of buyer/re-developer/renter of the spaces, and gains rental incomes from the activity, being this way economically independent. In some cases, HaGG also attracted private investors to join the project development company and to buy shares of the commercial courtyards (consortium). The private sector is therefore involved in the case with different possible roles and on different levels. Another public limited company (Sprinkerhof AG, 100 people employed), owned by the city, has been involved into the operation. This company is the main real estate company of the City of Hamburg and has a general lease for the commercial property, but it is not specialized in "industrial" real estate. So far, in this case, it transferred its real estate (industry courtyards) to HaGG.

**Quarter Management for business.** The redevelopment of the commercial courtyards has been integrated with a strong and dedicated "quarter management" strategy, specific for business. Consulting experts were "offered" locally to provide services on location, give advice to start-up business, or on business enlargement or relocation, to select the most apt spaces for the business, to speed up authorization procedures and networking the companies in order to share knowledge about financing and funding opportunities, and in general, to improve the return of the commercial business.

**3) Hafen City Hamburg:** the objective is the re-development, in Hamburg, of the so-called "Hafen City" (around EUR 2.4 billion, of which approx. 1.5 billion revenue from the sale of land; around EUR 8

billion of private investments), a former port area to be transformed in a multi-activity urban area. Hamburg GmbH is a 100 percent subsidiary of the "City of Hamburg" and develops Hafen City at Hamburg's behest. The supervisory board of Hafen City Hamburg GmbH – chaired by the first mayor – consists of members of the city senate.



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**Contracts for quality....**The Municipality strongly controls the redevelopment process.....the relationships with private subjects are mainly of a "contractual" nature (e.g. selling the areas)...but a strong "cooperation-oriented" PPP approach exists. To guarantee quality standards and sureness about the outcomes, it is necessary to attract investors and developers willing to cooperate in setting high quality standards and to respect the timetable of the project.

**The Exclusive Option Period:** Whatever the type of land uses, the necessary ratification by the Land Commission is followed by an "exclusive option period" with an obligation to plan. The investor/user (previously selected by the municipality following "reliability" criteria) then has to proceed, in conjunction with the City of Hamburg, with an architectural competition, may commission site surveys (it gets an "access right" to the site), and has to prepare for building approval. Throughout this process, Hafen City Hamburg GmbH, the authorities and the buyer remain in constant dialogue. The advantage for the "private" sector is: financing of the "purchase price" is postponed until after the building permit is granted; thus it has time to enhance the quality of its product, secure finance and perhaps acquire additional users. The city retains its ability to ensure the building's quality by intervening during the development process which lasts for one and a half years after award of the option, thus ensuring that the originally submitted use, concepts and time schedules will be adhered to, since the purchase cannot go through until the building permit is received.

**General conclusions:** The case studies highlight the role that a long long-lasting "in-house" approach

(municipality-owned real estate company) can potentially play in urban reuse. However, further conditions are needed: a sound and market-oriented asset-play capability (selling/renting, etc.) also to reinvest the earned money into the project, contractual PPP frameworks able to guarantee the desired quality, through specific tools such as the “exclusive option period”, effective “local” support, e.g. within a “quarter management” framework., in particular in case of numerous private (small) players to be engaged.

### 3.2.4 Public-private partnership in urban regeneration interventions. The 22@ technological district in Barcelona, 2000-10

*Adolf Sotoca, UPC Universitat Politècnica de Catalunya. BarcelonaTech*

The district concerned is a former industrial site, which had many owners. The role of the public administration has been very important, along with private investment. The area is located within the Barcelona grid plan. In 1990 a plan was implemented for the east of the city, with a high speed train corridor, and other infrastructure. Barcelona had no possibility of expanding, being located between the sea and the mountains. Manufacturing took place South West of the city, with the residential areas located to the North east of the centre.

**A sustainable model:** the **22@ principles** are heritage & urban identity, mixed-use development, including residential and productive activities and flexibility. It has been a ten year process, and ten more are still needed to complete it. The aim is a balance between what is intended and what is on the ground.

Regarding heritage and urban identity, local communities aimed to maintain historical buildings, including 19<sup>th</sup> century factory buildings. Mixed use is achieved by allocating 30% for public housing. Constant flow, to avoid empty spaces. All public housing is subjected to an architects' competition, so the best quality housing in Barcelona is public

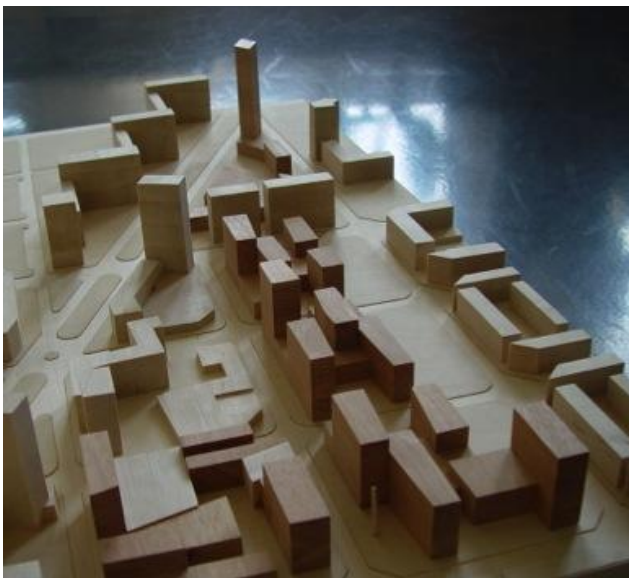
housing. Productive activities aim to attract the headquarters of big Spanish companies. Public space is very important: a continuous flow of space: the streets re the ‘skeleton’ and the areas in between the ‘muscles’! These spaces have been the subject of international competitions, e.g. won by Jean Nouvel.



Public spaces: for every 100 sqm, developers must provide 22 sqm of public spaces, and public facilities are located in either new or refurbished existing heritage buildings. There are communal heating systems and refuse systems. High quality ICT, supported by service galleries underground.

**The making of 22@:** planning foresees specific areas with specific plans: 6 public initiative plans, promoted initially by the public authority: 37% of land, 47% already completed, 16% approved plans but not yet completed. There are also plans of 100% private initiative, but controlled by the city. A catalogue of buildings of architectural heritage has been drawn up: though not proposed initially this

arose from a strong demand from local residents. Through urban management it has been possible to gain an increase in land use of 22, 5 m<sup>2</sup>/100 m<sup>2</sup> floor increase (of which 15 m<sup>2</sup> public spaces).



**The role of the 22@ offices** to achieve land use readjustment: at the end of the process developers obtain benefits. They provide 50% of the land and get 50% of the benefits, and are charged 50% of the infrastructure costs. The three main pilots of this transformation are: byelaws, infrastructure plan, and the role of the public administration. The main tasks of the public administration are: setting goals, physical plans, assigning benefits, planning and implementing infrastructure, accompanying the

process and monitoring. The area is now a functioning part of the city.

The monitoring system involves the local community, together with economic indicators and infrastructure optimisation. The office was created in 2000 with 22 people; officials in the city council are good, especially as it is important to have the political will to develop in a continuous way. Whilst in many cities staff are not strong enough to face up to strong private players. In Barcelona some of the people working in the city council were formerly politicians, so practitioners and politicians are often closely related. Key 'orchestration' is needed between the private and public sectors. 22@ used private sector knowledge in public sector management. The success was partly due to the political will of the then mayor of Barcelona, Juan Clos.

The innovation is in the infrastructure; on the other hand social participation was not so successful at the start, but they learnt ways of participation: it has taken five years to get citizen participation. Initially 50% was for housing, now it is at 30%. All housing is price-controlled, 'protected' public sector housing, subsidised by the public authority. Owners cannot sell within 20 years: otherwise they have to return the increased value, to avoid speculation. Developers are willing to develop 'social housing' because there is less risk involved. The quality of the open space ensures no ghettoisation/ marginalisation.

### 3.3 Governance aspects of steering suburban development in European metropolitan areas

*Iván Tosics, URBACT Thematic Pole Manager*

Functional urban areas are generally twice as large as the city bodies. To what extent should USEAct deal with governance? The target of the project is urban sustainable environmental actions "detecting how to achieve opportunities for people and businesses to settle, in a sustainable way, in existing urban areas, without further "land take". This target is expected to be met through integrated policies and tools aimed at improving the "urban growth management" planning framework, coupled with implementable, sustainable urban "interventions" for the re-use of underutilized, vacant or abandoned areas of land and existing settlements, both in historic districts and more recently built areas.

Negative consequences occur if territorial governance is fragmented : if the administrative city is much smaller than the morphological area, or if the functional urban area is uncoordinated, no

governance structure exists: weak economic performance (decisions taken below optimal spatial level), environmental problems (urban sprawl, uncoordinated services), social polarization and exclusion (unequal allocation of public funds leading to concentration of the poor areas and of the free-rider rich suburbs).

**A spatial view: Europe is a bunch of grapes:** "... you have big grapes, you have small grapes, you have sweet ones, you have tiny ones, you have growing ones, you have flourishing ones, others are suffering and shrinking ... each grape is one of our metropolitan regions..." (Klaus Kunzmann)

**ESPON** research: ESPON 1.1.1 has identified in the enlarged Europe 1595 FUA-s with over 50 thousand population, 149 groups of FUAs and 64 Metropolitan Growth Areas, which are categorized as follows: Global nodes: 2 (Paris and London), European engines: 13 (Munich ... Stuttgart) Strong MEGA's: 10 (Stockholm ... Gothenburg); Potential MEGA's: 23 (Lyon ... Bratislava), Weak MEGA's: 16 (Naples ... Valetta). ESPON results suggest that there are in the wider Europe some 120 metropolitan FUAs with 500000 or more population in contiguous urban areas.

#### **Evidence from URBACT on metropolitan**

**governance issues: CityRegion.Net** concerns the fair sharing of costs and burdens between the cities and their neighbouring municipalities, role of city-regions; **Net-Topic** covers the case of intermediate urban areas around large core cities – towards policentricity with daytime and multifunctional medium cities; **NODUS** concerns how to steer interventions into neighbourhoods from the city-region level; **LUMASEC** is about strategic land-use management from city-region level to address supra-local challenges; **Joining Forces** concerns how to handle complex challenges in large-scale metropolises crossing regional and national boundaries and **EGTC** is about how to manage cross-border metropolitan areas with efficient governance models.

#### **OECD delimitation of functional urban areas:**

polycentric cores and the hinterlands of Functioning Urban Areas are identified on the basis of commuting data, including all settlements from where at least 15% of the workers commute to any of the core settlement(s). OECD defined four categories (total functional urban area): small urban areas with a population of 50 – 200 000; medium-sized urban areas (200–500 000), metropolitan areas (500 thousand – 1, 5 million); large metropolitan areas (above 1, 5 million populations).

The OECD concluded that in European OECD countries there are 659 functional urban areas (29 large metropolitan areas and 88 metropolitan areas).

**Functions and institutional forms of cooperation on metropolitan level: Euro cities „Metropolitan Areas in Action”** research (across 40 European cities) mapped different cooperation arrangements around the core city. Analysis of the results on the FUA level (OECD) showed types of content/functions of cooperation (from loose talks through single or more functions till strong joint multi-functional planning), types of institutional form of cooperation: from no form through weak delegated council to a strong (elected or delegated) council.

#### **Difference between the metropolitan area and the economic cooperation area:**

Metropolitan (day-to-day cooperation) area: transport, sewage, garbage; economic cooperation area: business relations, cultural links, leisure-tourism. There are big variations, whether real cooperation exists in formalized way or at least informally on these levels. In most cases neither the metropolitan nor the economic cooperation area coincides with the administrative boundaries (county, region).

If cities want to strengthen the cooperation (especially on metropolitan level) some types of administration or organization(s) are needed to be established.

These must constantly be revised taking the dynamism of reality into account.

The present structures of governance at the **Helsinki region** are no longer good enough when solving the sub-regional challenges. A metropolitan body for the 14 municipalities should be created. ... Efficient and sound development of community structures, housing, transportation and environment can only be secured by creating co-operation structures which bind each municipality in the region." ; in **Malmö** a bottom-up developed voluntary association covers the FUA, 0,66 million. It works in terms of sharing information/best practice in common issues, regular meetings between civil servants and politicians. However, in terms of reaching the goals of the collaboration the results are rather small.

**Three models of Metropolitan governance:** stable metropolitan organization (French urban communities, Italian metropolitan cities), programme-oriented metropolitan cooperation

(Polish ITI associations) or flexible metropolitan cooperation (German metropolitan regions).

**The French 'urban communities'**: created by the French Parliament in 1966 as compulsory settlement associations in metropolitan areas of Bordeaux, Lille, Lyon and Strasbourg. In 1999 the Chevenement law: strengthening the roles of settlement associations (while keep them voluntary to create) in order to achieve cooperation and joint administration between large cities and their independent suburbs. In 2009 there were 16 urban communities in France with a combined population of 7,5 million inhabitants. All urban areas in France over half million inhabitants are urban communities, except for Paris. Urban communities are voluntary in their creation. However, if created, broad range of compulsory functions and single business tax regime are compulsory. On the level of the urban community a Council is formed, with **delegated members** from all municipalities (Lille 85, Lyon: 55). The council (i.e. all the mayors, that is, for example, 85 in Lille) makes decisions and some **important functions** (planning, transport, housing) are compulsorily transferred to that level. Some years ago the **local business tax** has been **equalized** by law among settlements. As a step towards indirect democracy (democratizing the delegated system), **communal councillors** will be identified on the basis of **direct elections**, as people during normal elections have to identify which one candidate they want to see as representing the municipality in the urban community.

**The new Metropolitan Cities in Italy**: the città metropolitana ("metropolitan cities") is an Italian attempt to reform local authorities, bringing together large core cities with their smaller surrounding towns regarding economic activities and essential public services. The Law 142/1990 was amended by 1993, 1995, 1997, 1999 and 2009 provisions. However, the system never worked, none of these administrative authorities has been activated. A new attempt is the Law of November 2012 ("frozen" with the Stability Law 2013) concerning establishment of 10 Metropolitan Cities. They replace the provinces, regarding also the territory. In addition to the functions of the Provinces, the MC-s are entrusted with **specific functions**: general land use planning and infrastructure networks, structuring coordinated systems of management of public services, traffic management and mobility, promotion and coordination of economic and social development of the area. The metropolitan councils will consist of elected mayors and municipal councillors delegated by the municipalities. The metropolitan councils will be small (between 10-16 members), in sharp

contradiction with their broad tasks. As an important change the provincial capital will play leading role in the MC council. Examples of other cities were studied (e.g. Berlin, Paris, Stuttgart). The Italian legislation is very flexible, and easy to change. The 10 cities might have different solutions, e.g. Genoa will establish a permanent conference of mayors with advice and proposals to the 10 person metropolitan council (which is considered to be too small in size).

In **Poland** EU Structural Funds are used as a carrot to create cooperation: the Government requires ITI (Integrated Territorial Investment) associations to be formed between the 16 regional capitals and the municipalities belonging to their functional urban areas. The Government provided lists of settlements – at least half of the settlements should become part. The municipalities within the FUA, which do not join the ITI, will have a more difficult access to EU funds in fields, where the ITI will have projects. The association creates a Board (to be headed by the mayor of the core city) which has to prepare integrated strategy. The carrot EU funds in the form of an ITI seems to be efficient in the Warsaw Functional Area. The results of the survey to the communes (July 2013): 33 Municipalities answered, all are ready to join; 28 preferred the legal form of an agreement between municipalities. Economic development, urban regeneration and digitalization of schools and transport infrastructure are the main topics for cooperation; 2/3 of municipalities accept participation in management costs; 4/5 support the coordinating role of Warsaw; 151,8 mio Euro for the Warsaw Function Area within the Regional Operational Programme.

The aim of the **German Metropolitan regions** is to **enhance economic development** of urban areas around large cities towards better European competitiveness. From 1997 the first 7 regions were established, and since 2005 the number increased to 11 approved regions. A wide variety of governance solution exists across the 11 regions, from task-oriented associations till looser cross-border cooperation. Most of the metropolitan regions are far smaller in size of the administrative Länder and will never approach their political power. MR-s are much larger and much more oriented towards win-win type cooperations than the French compulsory urban communities. MR-s are weak in political sense, do not address everyday problems and are not linked to the people of the area. They contribute to the further development of already developed areas. MR-s fulfil important role in marketing, solving traffic problems and increasing scientific-economic links.

**The functions of the Metropolitan governance models** are strong cooperation, able to deal with urban sprawl problems: stable metropolitan organizations (French urban communities, Italian metropolitan cities), and also weaker cooperation, mainly for win-win functions: programme-oriented metropolitan cooperation (Polish ITI associations), flexible metropolitan cooperation (German metropolitan regions).

#### **The idea behind Rhein-Neckar Regional**

**Governance:** the region crosses three länder, which now have a joint vision. Three organisations are in place: the Verband (mayors), the Zuker (advisory board) and GmbH, to carry out concrete projects; not creating new administrative levels but establishing new forms of cooperation; overcoming administrative borders; flexible constellation of actors from economy, science, politics and administration “flexible geometry”; various forms of governance arrangements: different regional conditions, historical development and socio-cultural factors require different organisational structures.

**Summary: metropolitan areas can do better :** the good performance of metropolitan areas is the key for future integrated urban development; however, cooperation in functional areas is not self evident and is still rare in many EU countries; EU supported programmes (URBACT, ESPON, Interreg, FP research, Eurocities, METREX,...) and the OECD have produced much useful knowledge; The EU, the national governments and the municipalities all have their tasks to initiate better governance in metropolitan areas; Government and governance .

**Who should do what?** In the EU countries EU Funds can be used to initiate programme (and not project) based integrated planning, supporting FUA level planning and programming. National policy regulations towards metropolitan area planning are of crucial importance in initiating integrated urban development across policy sectors, in functional areas and across levels of policy making.

**What should cities do?** Large cities should lobby the EU (Cohesion Policy regulation) and the national level (Framework contract, national policy) and be pro-active in their FUA. The involvement of the private sector and public participation are crucial: on metropolitan area level the trade-off between efficiency and democratic control has to be handled.

The best model is to create strong democratic legitimation on metropolitan level. If this is not possible, transparent indirect governance is needed

(even more transparent than the normal government in a city). Functional Urban Areas are key to the fight against urban sprawl, for the densification of an area. The role of the public sector and of public-private partnerships is key to this.

**USEAct and the role of the public sector and of public-private partnerships: the topic of USEAct is complex, needs integrated policies and tools aimed at improving the “urban growth management” planning framework, coupled with implementable, sustainable urban “interventions” for the re-use of underutilized, vacant or abandoned areas of land. USEAct cities should start from coordinated strategy to organize PUBL and PPP actions on different spatial levels (city, functional urban area, larger economic zone).**

#### **Discussion:**

*in ITI in Italy provinces are to be substituted by metropolitan areas; it is difficult, for example the mayor needs a new election; national frameworks are most important. Maybe need a 'common window' so we can all go in the same direction?*

*Ivan: cities should map their relationship with their surrounding communities. If a public assembly can raise the demands, the assembly will need to respond.*

*In the past in the UK business built facilities etc; now in the UK there are changes; the challenge will be to understand how the interface of public and private can address issues of competition.*

*Financial tools are needed. In a meeting in Brussels the question was raised as to why FUAs cannot be funded by URBACT? There is no reason why not to include them in the LSG in any case; partners in Urbact need to be legal entities, as is the case with the French urban communities. In the past some FUAs have been involved, through the main city concerned, and included in the ULSG.*

## 3.4 Case studies from the USEAct partners

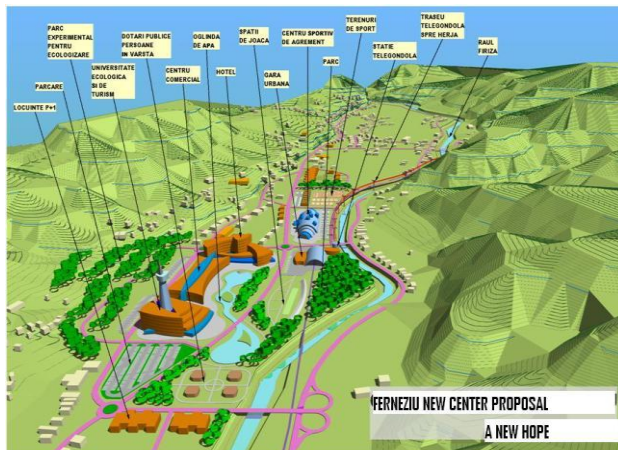
### 3.4.1 Baia Mare Metropolitan Area Association: Land Use Management for Sustainable European Cities – L.U.M.A.S.E.C.

*Marius Ecea – USEAct ULSG local coordinator*

#### Context

Baia Mare (starting in 2007) developed an Integrated Urban Development plan in order to access European Funds for the 2007 - 2013 programming period. In the field of urban/ territorial planning the Municipality had no land use strategy, but has been using the tool of Urban Plans to regulate land use in its administrative area: the general Urban Plan, Zone Urban Plans, and Detailed Urban Plans.

The project area chosen in the context of LUMASEC was the area of Ferneziu in the north-eastern part of the city. The Local Action Plan proposed for the Ferneziu neighbourhood was an area based Urban Strategic Plan, which aimed to give to the Municipality of Baia Mare policies and tools to regenerate environmentally degraded industrial areas and recover them for the benefit of the community, transforming brown fields into a tourist, landscape and cultural corridor.



**The key challenges** were eliminating pollution (lead/soil, water and air contamination) and transforming a closed mine into a mining museum complemented with accommodation, in order to maintain the landscape's beauty and launch new local economic, cultural and social activities.

The **LUMASEC Local Support Group** was composed by local communities and associations, local architectural offices, private investors interested in the area, international experts in town

planning, and of course local politicians and civil servants. Core members included the Strategy director – Baia Mare City Hall, the Technical director - Baia Mare City Hall, the Head of urbanism and territory arrangement department - Baia Mare City Hall, the Head of International financed project department - Baia Mare City Hall, the Director of Baia Mare Urban System, the Local development director - Baia Mare City Hall, the Head of communication department - Baia Mare City Hall, Towns and regional planners – URBACT thematic experts and SC Architel.

The key aim of the LUMASEC Local Action Plan was to try to have a land use strategy as a pilot to be used and integrated in the city's approach, especially in the context of a new General Urban Plan which has to incorporate some main topics, as stated in the Strategic Manifesto for Baia Mare. Topics of the Manifesto were environment, mobility and Public Space, education and training, social actions, labour force, and touristic and cultural heritage.

**Procedures and actions.** Urban strategic planning is a continuous process in Baia Mare. This planning process began in 2000 when the Agenda 21 started with the support of UNDP. It then continued with the project CIVIC (Creativity, Initiative, Volunteer, Integration, Communication) involving the Baia Mare local major communities in a continuous dialogue on the following topics: culture and art, architecture, media, religion, education, business, NGOs, health, sports, youth, tourism, economic, and of course planning. There are some key concepts that found strategic choices in Baia Mare.

**Stakeholders' involvement:** an Urban Plan has been developed in a step-by-step cooperation with a project and with a strategy. Actually the Zone Urban Plan (which is the bone of our LAP) has been developed in a dynamic way linked to the project. The involvement of the citizens had increased after seeing that the Local Authority is ready to fight with all necessary actions and tools in order to assure a healthy environment for the city. The tools utilised were CIVIC meetings, about 14 such meetings, but also several meetings with the Maramures Architect Order.

**Project results – the Local Action Plan:** Ferneziu Area has been one of the most contaminated area in Baia Mare because of the presence of Romplumb, a metallurgic factory working in the minerals transformation (lead processing). The Local Action Plan, designed through a participatory process, is, in its final version, based on a new

**Zone Urban Plan (ZUP).** The Zone Urban Plan elaborated aims to structure a new approach for the infrastructure of the district's old center, and as a result of LUMASEC project, the Municipality decided to add an additional area, including the objectives of LUMASEC – the two polluted area, occupied by the Lead factory “ROMPLUMB”, and the closed Mine “Herja”. The Ferneziu area corridor will be characterized by a system of mixed functions proposing places for tourism, research and training, sport and a neighbourhood centre. A strategy of sustainable development for the Ferneziu Area, as proposed by the Municipality of Baia Mare, must be the base of the local government, thus being both a process and a tool of a partnership with the entire community (based on an innovative way of using an Urban Observatory, focused on districts rather than on the entire city) and resulting in real public policies.

**LUMASEC impact at local level:** the main achievement through the URBACT initiative, and the Local Action Plan was that the city council definitively took the decision to close the ROMPLUMP factory, a very pollutant factory, a heritage of the communist and industrial era, no longer easily convertible, and not suitable for the new sustainable development strategies pursued by our Municipality. In the past, Baia Mare worked on land use, but only on the detail and zone level within the city. The Local Action Plan has allowed the Municipality to develop a transversal approach and to think on the urban scale (in an integrated way) and at regional scale. It was the first time that we discussed the land use topic related to economic development, housing, or nature preservation. This dimension of integrated approach was inexistent before. A former state company now owns the site, and is now fighting to do things in an environmentally friendly way.

**Weaknesses:** the main problems to be addressed in Romania, in launching this kind of regenerative projects, are determined by all those external conditions that define the meanings of economies in transition. The main difficulties in launching these initiatives are mainly linked to obtaining the financial capital to make these changes, especially when there is high soil contamination determined by pollutants that are difficult to remove. Moreover, the low demand of the real estate market and the lack of private investment must be taken into account, especially in these last years of economic crisis. The idea for financing this project is that of involving all the actors of the LUMASEC Local Support Group, the local (in terms of municipal, regional, national) possible forms of financing, but also as a decisive

idea to propose the project to the attention of the European Union.

**Transferability of the case study to different contexts:** the methodology and the positive lessons of our case study could, maybe, be transferred to other Eastern Europe cities also having a relevant number of brown fields (and environmental pollution) remaining as a heritage of the communist industrial ways of production. LUMASEC helps to consider the problems in a more territorial integrated way.

### 3.4.2 Barakaldo City Council: Restoring agent-entrepreneurs (ESC) and the public private partnerships: alternative public financing models, joint ventures”. The Spanish PPP models and recent changes.

*Álvaro Cerezo Ibarro – Useact Barakaldo Ulsg Coordinator - External Expert*

**Setting and Key questions.** The challenges are the legal changes that imply specialized legal-technique knowledge, development under entrepreneurial or trade freedom, assumption of private sector models and granted economic viability (benefits guarantee).

**Handicaps to urban regeneration interventions** are the lack of funds and financial capability, the non viability of the public subsidies plan on a short or medium time span (due to public administration budget stability requirements), urban intervention mechanisms and traditional interpretation of their results, public conception and management of the PPP models and instruments (power and control of the public urban intervention entities), and the chronic paralysis of urban regeneration.

**Procedures and actions:** in this Case Study, we made a research and debate process, due to the lack of new examples of European models of Public Private Partnerships in Spain, because the recent legal changes made on the economic stability policies. We looked at previous Spanish PPP models and instruments, analysis contractual and institutional PPP models and previous Public Private Partnership models of urban regeneration interventions.

“PPPs describe a form of cooperation between the public authorities and economic operators. The primary aims of this cooperation are to fund, construct, renovate or operate an infrastructure or the provision of a service.”



COM (2004) 327, green paper on public-private partnerships and community law on public contracts and concessions. The Green Paper distinguishes two types of PPP:

- *PPPs of a purely contractual nature.* In this case, the partnership is based solely on contractual links and may fall within the scope of European Directives on public procurement; it concerns public works or services concessions, operating and finance leases, competitive dialogue, Private Finance Initiatives (PFI), services sold to the public sector, DBFO (Design, Built, Finance and, Operate), and free Standing Projects. Variations occur according to the French, German and Italian legal systems.
- *PPPs of an institutional nature* involve cooperation within a distinct entity and may lead to the creation of an ad hoc entity held jointly by the public sector and the private sector or the control of a public entity by a private operator: Joint enterprises (institutional, with major public participation), investment companies (with public minor participation), Public Private Associations (APP/BID), and/or Joint Ventures or Public Private Consortiums.

The following elements normally characterize PPPs: the relatively long duration of the relationship, involving cooperation between the public partner and the private partner on different aspects of a planned project; the method of funding the project, in part from the private sector, sometimes by means of complex arrangements between the various players. Nonetheless, public funds - in some cases rather substantial - may be added to the private funds; the important role of the economic operator, who participates at different stages in the project (design, completion, implementation, funding). The public partner concentrates primarily on defining the objectives to be attained in terms of public interest, quality of services provided and pricing policy, and it takes responsibility for monitoring compliance with these objectives; the distribution of risks between the public partner and the private partner, to whom the risks generally borne by the public sector are transferred. However, a PPP does not necessarily mean that the private partner assumes all the risks, or even the major share of the risks linked to the project. The precise distribution of risk is determined case by case, according to the respective ability of the parties concerned to assess, control and cope with this risk. Recent legal changes in Spanish public administrations concerning budget stability regulations have affected public funding and subsidies policies, debt management, and public administration entities on urban regeneration

interventions: due to a Constitutional amendment and Organic Law on public administration and public sector budget stability. EU regulations on local administration affect debt accounting and government deficit management; local administrations will have to balance their budgets or make a profit, therefore no debt accounting is allowed; the institutional or joint enterprises (public major participation) debt is part of the local administration debt, therefore, no debt is allowed in these instruments. Only the debt in the Investee companies (public minor participation) does not count on debt accountancy.

**New PPP models, examples and instruments of PPP on international scale, valid for urban regeneration interventions** include American and UK Business Improvement Districts (BIDs), Town Center Manager (UK), local Commercial and economic revitalization agencies, USA Empowerment Zones Program and USA CDCs (Small Community Development Corporations).

**The challenges and problems for the creation and further development of the type of instruments.** Since 1956, in Spain, we have had an "alternative way" of PPP (the Public Administration defines the project and the private owners manage, finance and develop, under the supervision and collaboration of the public administration). This PPP model is based on the remuneration to the private developer through the assignment of a building potential (roof sqm meters per plot sqm meters), with no cost to the public administration on what budget accounting is concerned. This PPP model has been used in new urban development interventions, but not so much on urban regeneration and renewal interventions, because precisely in these operations potential increased value of the building, compared to the intervention costs, made the operation less interesting. Compared to other urban interventions, regeneration operations have specific characteristics for the PPP model developments. On urban regeneration interventions, the interest of the private owners in the area prevails over the general or public interest or even the restoring companies interest (construction, restoration and urban construction companies). Citizens "Tax Compact" is identified as another key element for the urban tissue sustainability and maintenance. The actual urban tax-charges do not cover the cost of the public urban services deployed, so this gap is covered with some other taxes and incomes. There is a lack of awareness of the citizens on relation to the urban public services deployed and their costs.

**Lessons learned and utility.** In urban regeneration interventions any PPP model is doomed to failure if we not change the focus and the way of intervention on the existing urban tissue. For us, the Anglo-Saxon PPP (European) model is not useful on a legal, social and cultural basis. Our citizens do not understand or share the idea. Theoretically, the urban regeneration interventions should be mainly a private initiative, but our heritage and precedents make impossible to get rid of the actual urban intervention model (based on subsidies and direct public intervention). The only possible urban regeneration intervention is the one that comes bottom-up (with the primary private owner's involvement in all meanings), where the public administration helps to manage, to take decisions and to ease the management (does not invest any public money or if it does, no more than a 10% of the total expending of the intervention). We need a cultural and mental change. Being an owner implies more than paying a mortgage, it implies assuming the duties of maintaining private and public elements, in which the citizens should be the primary interested party.

**Questions remain** as to whether urban regeneration interventions should be a public administration's economic initiative? Or should they be a private owner's initiative? Is there a public interest on urban regeneration interventions or is it a private interest, no matter we are dealing with the public space? Who has more interest? Are there any other related interests? As long as compulsory participation is defined by law, is there any public duty? According to the new legal regulations, if the urban regeneration interventions are mandatory (through the urban planning instruments), how are European PPP instruments related? Isn't it contradictory to define a compulsory urban intervention and to expect public funding? Aren't we miss-educating the citizens in their duties?

## Discussion

*lots of pedagogy is needed to make change! The final choice comes down to money: not only define the problems, but accompany the solution with finance.*

**Buckinghamshire Advantage : The establishment of an Urban Development Company to create a public-private partnership for delivering appropriate development in the locality, High Wycombe, Buckinghamshire.**

*Jim Sims, USEAct Project Coordinator, Buckinghamshire Business First*

High Wycombe is a small urban area, part of the polycentric area of London. The background is that the London area housing market is overheating, due to lack of space. This may lead to the development of up to two garden cities, maybe in Buckinghamshire. The challenge is how to manage this natural resource. The development system is now broken, and there is a lot of dependence on local authorities.

**Setting and Key questions. Challenges** are a complex regulatory environment, lots of actors in the system (private sector, land use planning authority, transport authority etc.), potential disconnection between Leaders, Officers, Private Sector and Residents, pressure from central government for more growth, difficult land supply issues, and the need for a 'Chinese wall' between planning function and development functions in the public sector when promoting development, assembling land etc.

**Procedures and actions:** a joint venture 'Urban Development Company', Buckinghamshire Advantage has been established. Five Local Authorities and Buckinghamshire Business First are the members of the company. Each of the member organisations can appoint one Director and there is a minimum of six or a maximum of 12 Directors. The Members acting jointly would appoint a further 5 private sector Directors and the Managing Director of the Company. Each Member can also appoint a representative "observer" to attend Board meetings in a nonvoting capacity. Board resolutions are decided by a majority vote. The Board Chair does not have a second or casting vote - matter with no overall majority will be referred to the Members for their approval. It is proposed that the Leader represents the local authority at the Member Organisation level and that the Chief Executive will be the Director appointed to the company.

**Lessons learned and utility:** securing appropriate development, particularly in tight financial conditions, requires public – private sector collaboration on delivery; delivering effective development outcomes can sometimes require the need for mechanisms which bring together different layers of the public sector to come together; 'deadlock company' – protects the members interests; asset lock: retains any surpluses to enable them to be reinvested.

**Weaknesses** are the potential neo-liberalist, elite urban development model, which weakens democratic processes? State-led gentrification?

### 3.4.4 Dublin City Council: Vacant Lands Levy Initiative

*Patricia Hyde, Civic offices, Dublin City Council*

The background to the Vacant Lands Levy Initiative is the Lord Mayor's Task Force on Vacant Land. Vacant sites are a poor reflection on Dublin's image, with 66 acres of derelict land identified in the city centre. The levy is being discussed with government.

**Procedures and actions:** a research paper was drafted by the Lord Mayor's Task Force and submitted to Dept of Finance for consideration. City Council Planning Officers have started surveying all vacant and derelict sites in the inner city (currently ongoing). A site brief template has been agreed for each site which includes a site reference, map, photographs, zoning designation, planning history, ownership details and an overall site description, and all the sites are collated onto a GIS System. A Local Support Group has been set up to support and monitor progress. This is an opportunity to engage with stakeholders, as many sites are close to the city centre. It also can lead to greater interdepartmental co-ordination/ collaboration

**Lessons learnt and utility.** This is an ongoing pilot project. A significant proportion of the sites have been identified, categorised and a site brief has been completed. Results are not yet conclusive... however some noticeable observations arise: no particular use class is prevalent, and a certain ambiguity regarding the classification of a vacant or derelict sites; the logistics of implementing a levy on potentially unwilling stakeholders are still unclear, especially as many sites are owned by the City Council; confusion remains regarding land ownership and the mapping of sites/land on a GIS System.

Regarding local taxation (rates) owners of used buildings pay rates, if they are standing but derelict owners pay 50% tax, whereas owners of vacant sites pay nothing, so there is a need to incentivise. The City should also pay the tax on its vacant sites. At present people are holding onto land, waiting for the economic situation to take off again.

### 3.4.5 Dublin: The Art Tunnel

*Patricia Hyde, Civic offices, Dublin City Council*

For the Art Tunnel an Inner City site was chosen.....close to transport network, schools, and mixed uses. The aim is to relieve the public realm of

depressing eyesores. Access and private ownership issues have been overcome, to provide a local haven for citizens and biodiversity, by engaging with local residents and businesses, and providing a precedent for similar type development.

**Procedures and actions:** Support was gathered from the local community, including politicians and the City Council. A cost free 3 year lease was negotiated with a supportive landowner. Following deliberation followed with all relevant parties, and relatively cheap and durable materials were chosen to "dress up" the site. Building works commenced in March 2012, with planting of native and colonising plants and remedial action to the façade of the site. There was a quick turnover... the Art Tunnel opened in July 2012. Space was made available for art exhibitions and installations. Links were created with artist networks, local schools, local community groups and projects, and a monetary contribution was received from local government.

**Lessons learnt and utility:** the Art Tunnel developed into an exhibition space, a platform for expression. The site has become a product of its inhabitants...not just of planners, architects or developers, which acts as an example for similar type misused or underused space. It promotes cultural diversity and intercultural dialogue through various local community networks. Local support from business and community is vital to the project's continued survival. The need is to "evolve".....social entrepreneurs and crowd source funding mechanism. A key lesson is that the project has now been over for two years, proving that short term projects such as this can end successfully.



### 3.4.5 Østfold County: Partnerships to reuse urban areas in Moss

Linda Iren K. Duffy, Local Coordinator Østfold County Council

**Moss** has 30 000 inhabitants, and is a regional center for approximately 60 000 inhabitants, where there has been a steady growth in population. It is the most densely populated municipality in Østfold. Situated by the Oslo fjord, it is surrounded by lovely coastal and agricultural landscape. It is approximately 65km from Oslo, with good connections by motorway and train, and is close to an airport. There has been a decline in the job market, and the town is moving from industry to accommodation for commuters. A former paper mill has left a lot of land available for development. Moss has a nice city center, but there is hard competition from car-based shopping centers in the surrounding area. There are 19th century industrial buildings, currently owned by a development company. Tax income is low, and there is no large scale public housing, with 90% home ownership. There is also high social capital.

**Strategies for PPPs in Moss.** The local planning system consists of a municipal master plan which is coordinated with a zoning plan, for the public sector with private owners (Hoerd Company). Now Public Private Partnerships are being used to re use the city centre: using the planning system to join the ideas of the private investors with the overall goals for the Moss society; interventions aim to reduce risk for the private investors when they choose alternatives that comply with public development strategy, for example the private sector developed buildings, with a reduced risk by moving public functions into private buildings, such as a library; this also is creating ownership and enthusiasm for development projects in the general population: politicians are influenced by a public 'City lab' on the main street.



### 3.4.6 Trieste City Council: "The tools of the new General Town Plan for reducing soil consumption"

Beatrice Micovilovich, Useact Local Coordinator, Municipality of Trieste, and Ileana Toscano, Useact ULSG Coordinator, Municipality of Trieste

Trieste is the capital of the autonomous region of Friuli Venezia Giulia, with a population of 211 184 inhabitants. It is a medium-sized port city located, on the border between Italy and Slovenia, with a service based economy, facing an increasing ageing of the population, weakening of the traditional economic activities and a large part of abandoned building heritage. For these reasons the city decided to focus the new General Town Plan on land use reduction.

**Context/setting:** the new General Town Plan aims to achieve sustainable development, by reducing land consumption, recovering, rehabilitating, recuperating functions to the existing estate, promoting the quality of the environment and landscape and encouraging sustainable mobility. The Plan aims to enhance the local economy by reducing road traffic, and to valorise the cultural and the scientific aspects of the city.

The **key problems** addressed are: the large abandoned and under-utilised areas to be upgraded; lack of energy efficiency in the historical and modern buildings; absence of ecological corridors between environmental areas; increased risk of fire because the agricultural buffer is disappearing between rural villages of the upland and the city; a lack of normative references for the development of new design tools.

**The key challenges** to draw up a plan including surroundings and territory beyond the boundary. The proposed plan is designed without using the traditional "zoning", but rather using a mix of functions, working with topic systems: environmental and landscape system, productive system for business, research, tourism and maritime activities, settlement system, mobility system, facilities and community spaces system and areas of great transformation. For each of these systems, a tool is to be developed, "Soil reduction tools".

**Enhancing environmental and landscape resources:** the first step is an assessment/mapping of Green open spaces in the Carso highland, coast and city. The second step covers them main elements of "Environmental and landscape system": reactivation of ecological corridors, mosaic pattern/fragmentation of green areas, elements

contained in the “Charter of Values”, such as terraces, dolines, caves and trails. For reducing land consumption, create an agricultural buffer zone protection around rural villages to prevent the risk of fire; create the ecological corridors between the highland and the sea; stimulate local agricultural production - locally grown produce. Buffer zones around Carso highland villages; terrace areas which connect Carso highland and sea/coast; turn free green areas to original use, agriculture.

**Settlement system: Reusing of large vacant areas and buildings / regeneration of the existing heritage:** the first step entails the assessment/mapping of urban areas. The second step: Main elements of “Settlement system”:- Heritage restoration /architectural conservation of historical buildings and areas, - “Areas of rehabilitation and transformation” (the city of objects, the city of gardens and the city of vegetable gardens):

Rehabilitation and transformation of urban areas with low quality architectural features provide an opportunity for city transformation even for open public spaces both for private spaces; modifying urban and building standards, coherence with contemporary urban needs; reducing the built surface in relation with open spaces (permeability index, tree density).

The General Town Plan is drawing up rules by which you can make radical replacements of existing buildings and entire city blocks and areas of rural villages in the Carso highland, through **demolition and reconstruction** encouraged by the simplification of procedures. For improving energy standards, giving more facilities such as open spaces or public services. A volumetric award will be provided for green roofs built. Upgrading of urban areas with energetic incentive application of "volumetric awards for improving the energy efficiency" has the aim to restart the construction sector. In particular the plan is oriented to rehabilitate buildings in the historical heritage areas built in the Sixties and in the Seventies.

**Mapping abandoned areas and buildings** involves the “Old Port”, Ezit area, abandoned Military areas. The owner of these areas is the State.

In “**Areas of great transformation**”, the urban regeneration occurs through a process of building and land re-use and redesign of urban spaces to turn them into new urban centers for social, economic and cultural city enhancing, even to

guarantee new spaces to scientific organizations inside the city. The Local Action Plan site specific project is an area of great transformation in an abandoned military district.

**Empowerment of economic sector building cooperation and synergy among different local economic activities and actors:** the main elements: support for sustainable development of main economic resources through the upgrading the access and the connections with the city and other economic activities; reinforcing the connection among “city of science”, “productive city” and “logistic city” for new economic developments; support for the tourism sector with the rehabilitation of Barcola seaside and the connection with locally grown produce; synergies between the economic system and urban functions. It also includes building jetties and rafts systems, starting from the idea to not build up/extend the coast line, the Plan gives an ecological answer for increasing the space for the seaside.

Key challenges also include the **mobility system:** Management of urban mobility by re-using the existing railway lines, for reducing land consumption: urban mobility system with the re-using the existing railway lines, using small and fast urban transport both for railways and roads, for the connections among the “areas of great transformation”, the city center and the new city of gardens.



**Procedures and actions:** the listening stage for the plan building process was structured in public sessions held directly in the local districts, together with a delivery of questionnaires. Technical meetings were held with the same groups involved in the drafting of directives, specific thematic groups and a technical committee on energy, planning and building parameters issues. Seven meetings were

held in the seven Municipality districts, over seven weeks of work. 2500 questionnaires were distributed, resulting in 1500 questionnaires filled on line, and 8000 web site accesses. 28 representatives of business activities worked on the 3 technical working groups. 155 stakeholders from Local Authorities, associations, non profit organizations were involved in the topic groups. Many suggestions came out from participatory process, such as the tools for environmental protection for the green areas and the volumetric awards for improving the energy efficiency with the aim of restarting the construction sector.

**Lessons learnt and utility** have been: thinking of the new General Town Plan as an innovative instrument, which starts from environmental, social and economic sustainability, re-using abandoned and underutilized areas for reducing land consumption and, at the same time, restarting the city economy, is a positive experience which could be shared with other cities with similar features. Discussion on the adoption of the new plan is currently being held, so things could change before the final adoption. There are now volumetric incentives to move to other parts of the city where you can increase capacity without damage.

**Positive elements** are: the careful survey of the existing settlement systems, analyzing not just the urban aspect but also the social, environmental and economic present situation, so that the plan can design the new vision of the City of Trieste till next

10 years. The city plan proposes four strategic scenarios: 1. the polycentric city, 2. the city of knowledge production and logistics 3. The city of tourism and free time: between karts and the sea, 4. the sustainable city; the simplification of procedures implementation tools; good suggestions coming out by technical focus group with key stakeholders.

**Negative elements** : these include the lack of a normative reference framework because the regional plan is very old; absence of regional landscape plan; difficult management of the project with higher-level institutions; lack of citizens participation in the listening phase, for this reason other instruments closer to the citizens will be used for community planning.



## 4. URBACT AND THE LIFE OF THE USEACT NETWORK

### 4.1 URBACT II state of the art and next activities: URBACT III

*Melody Houk, Project & Capitalization manager, URBACT Secretariat*

URBACT is most grateful to Istanbul for hosting the USEAct meeting: the USEAct network is important for URBACT because it addresses key issues that are important for many European cities, firstly because of the topic: reusing urban areas can be a key solution for sustainable solutions in European cities: Istanbul is literally expanding by the minute! Also USEAct is the only network working with a non European city. It is intended to include such partnerships in the proposed new URBACT 3 programme.



**The state of play in the URBACT programme:** 15 ongoing networks were approved under the 3rd call. Within these networks 150 partner cities are working on urban challenges & designing Local Action Plans. Partners from completed networks are now implementing their Local Action Plans. Out of the projects under call 1, 1 year later 90% declare that their Local Action Plan is being implemented. Out of call 2 networks, 3 months later 75% declare Local Action Plans are being implemented. Last month new types of networks were piloted: Pilot Delivery networks, for cities implementing integrated action plans, and Pilot Transfer networks, for cities re-using a good practice.

**What's next?** Networks are carrying out a Mid Term Review between February and May 2014: this involves a self-assessment exercise, involving a collective and reflective process involving all partners, and leading to possible reprogramming (activities, outputs, finance): questions arising will be how to improve the programme and future projects, but also how to support those cities which may be lagging behind.

Capitalisation during 2014-2015 focuses on how to draw experience from the networks, to draw lessons for the future, and share the results with the outside world beyond URBACT. In 2013 they drew good practices and experience from URBACT and other sources. It is hoped that a new round of projects in 2014-15 will focus on local urban economies, more & better jobs for young people, social innovation, sustainable regeneration of urban areas and a sharing economy. The next stage will be the transition from URBACT II to → URBACT III. It is expected that the URBACT III programme will be approved by the end of 2014.

A second round of National Seminars was held in November and December 2014, and an URBACT Conference is planned for May 2015 to present the URBACT III programme, and to showcase the URBACT II results.

**Orientations for URBACT III** are still subject to approval: URBACT III will promote « the exchange of experience concerning the identification, transfer and dissemination of good practice on sustainable urban and rural development » (Article 2 (3) b) ETC regulation). The budget will be increased, from 53m€ to 74m€ of ERDF. Over 50% of the budget will be committed to exchange activity led by cities, through networks. The remaining budget will go towards indirect support to cities through expertise, capacity building, capitalisation and dissemination.

**The core objectives of the draft UIII programme** are to improve the capacity of cities to manage sustainable urban policies in an integrated and participative way, to improve the design of sustainable urban policies in cities, to improve the implementation of sustainable urban policies in cities, and to ensure that practitioners & decision-makers at all levels have access to knowledge and share know-how on all aspects of sustainable urban policies, for example through national URBACT information points for example (as exist already in Germany, France and Italy).

**URBACT III thematic coverage** is defined in consultation with Member States: 70% of the

exchange budget to be dedicated to 5 Thematic Objectives, subject to confirmation: strengthening research, technological development and innovation (TO1), supporting shift towards low-carbon economy in all sectors (TO4), protecting environment and promoting resource efficiency (TO6), promoting social inclusion and combating poverty (TO9), promoting employment and supporting labour mobility (TO8). The remaining 30% will be available for all other themes based on a bottom up approach.

**The timeframe for the Operational programme:**

first complete draft: February 2014; open ongoing consultation via the URBACT website until the end of April 2014; submission to the European Commission in June 2014; final approval by the Commission during the last quarter of 2014; URBACT III information days at the end of 2014; first call for projects in February 2015; URBACT conference in June 2015. An overview of the programme is currently being drawn up, with the main lines: a more operational document will be available by the end of 2014, and a wide consultation process will take place.

## 4.2 The USEAct Thematic Network: update of the programme and outline of network activities

*Gaetano Mollura, City of Naples, USEAct Lead Partner*

**Reminder of the USEAct Themes and Subthemes:**

- 1) Planning tools and planning governance for Urban Growth Management and reusing urban areas
  - 1.1 Implementing UGM at different administrative levels and scales
  - 1.2 Planning tools to manage land property fragmentation for integrated "reuse" interventions
  - 1.3 Taxes and financial tools for promoting and funding integrated "reuse" interventions
  - 1.4 Improving social awareness towards the positive effects of Urban Growth Management, renewal and densification and involvement of communities
  - 1.5 Transportation and planning for Urban Growth Management
  
- 2) Interventions to "reuse" urban areas: management, partnerships, funding, functions
  - 2.1 Designing, managing and funding successful Public Private Partnership and proactive community participation
  - 2.2 Improving public administration ability on controlling and managing "high quality" and "sustainable" reuse interventions
  - 2.3 Inducing "local added value" in reuse interventions

3) Refitting and regenerating inhabited buildings and areas

3.1 Integrated, "regeneration-oriented" public strategies through refitting and maintenance of existing buildings in the urban fabric: residential blocks in central areas and historic centers

3.2 Involving flat-owners to join refitting integrated strategies through energy efficiency improvements

**USEACT Life.** Transnational activities carried out so far: on May 27th and 28th 2013 the City of Viladecans (Spain) hosted the first meeting of the Implementation Phase of the Thematic Network. On October 1st and 2nd 2013 the City of Nitra (Slovak Republic) hosted the second meeting on the theme of planning tools and planning governance for an Urban Growth Management / Reusing urban areas.



Activities ongoing and planned are the continuation of transnational exchange and learning, plus additional activities, i.e. the «bilateral and trilateral meetings» (BTM), when partners in small groups can work jointly to focus on specific «practical features» of the Use-Act themes that are of immediate interest of the partners. The Lead Partner and Lead Expert support this «focused» work. The proposed timetable is described below.

The third Call Networks meetings for lead partners and lead experts in Paris on 30 31 October 2013 covered:

- Peer Review models: presentation of methodology, expected results and exchange of experience from EUniverCities. Discussion on transfer of knowledge and practice methods in URBACT cities.



- Steps after the Summer University: de-brief, discussion on tools and methods learnt, what works, additional/alternative tools and approaches, maximizing use within the networks
- Funding opportunities for Local Action Plans: Input on available funding opportunities and discussion about partners in quest of money for LAP implementation.
- “15’ of project glory”: the USEACT network presented its theme, expected learning, work structure.
- Co-creating knowledge, capitalisation 2014-2015: update on workstream themes and discussion on process, contribution from network partners/Discussion on synergies/collaborative options among networks; USEACT is included in the following capitalisation framework “Sustainable regeneration of urban areas” (with the involvement of 9 URBACT Networks).
- Mid-term review: Presentation of the core elements per work package and process.
- URBACT III: Update on URBACT 3 (budget, toolset).
- Surgery: Exchange on projects’ implementation challenges ULSGs, MAs, LAPs, Partners.
- Update on programme activities: ULSG activities: ULSG toolkit, National Training scheme; ULSG database ; Studies pilots, elected officials training;
- Reporting round and reprogramming

The next meeting for 3° Call Networks will be in Paris on 14<sup>th</sup>, 15<sup>th</sup>, 16<sup>th</sup> May 2014

**URBACT national training** (second round of meetings). Local support group members from the USEAct network attended as follows: for Italy and Switzerland in Naples (Italy) 25-26 November 2013, with 51 participants (of whom 15 from Naples) representative of the Italian cities involved in the Urbact Networks; Dublin (Ireland) in London (U.K.) on 18,19 November 2013; Riga (Latvia) in Riga (Latvia) 9,10 November 2013; Ostfold (Norway) in Copenhagen (Denmark) 12,13 November 2013; Nitra (Slovakia) in Bratislava (Slovakia) 11,12 December 2013; Baia Mare (Romania) in Alba Julia (Romania) 13,14 November 2013; Viladecans and Barakaldo (Spain) in Madrid (Spain) 25,26 November 2013.

The **Mid Term Review Objectives** are: to stimulate a process of reflection within the network at the mid-term stage, to assess progress in each work

package, to agree with all partners an improvement plan to achieve quality results, to check and adjust the work plan, methods, etc. if needed and to feed into the re-programming exercise in 2014.

At partner level: 1. a questionnaire survey for all partners to complete, based on the Work package structure. This can be done on paper or online (eg on survey monkey). 2. Two self-assessment tools on the ULSG and LAP (from the URBACT LSG Toolkit). The ULSG to be completed by all partners (mandatory) and the LAP tool where possible and appropriate (voluntary). 3. A re-programming request form at network level includes an analysis of the partner responses, and a form for proposals for re-programming based on each Work package.

### 4.3 URBACT National Training Scheme, the last round: experiences and outputs

*Melody Houk, Project & Capitalization manager, URBACT Secretariat*

**URBACT Capacity Building Activities:** URBACT is promoting an integrated and participatory approach. The need for a capacity-building programme was identified with partners from Call 1 & 2. Since the programme is demanding, the aim is to provide methods and tools to support cities in developing integrated approach & participatory action-planning when dealing with local challenges. The capacities within cities were in many cases not sufficient to develop such an approach, so the round 3 networks have benefitted from the capacity building programme for ULSG members. The focus is not so much on specific policies but more on the methodology of participatory planning. This is taking place through National Training Seminars, the URBACT Summer University, Pilot Training for Elected representatives, and Guidance, for example the Toolkit for ULSG version 2.0.

All 15 networks were represented at the **URBACT Summer University**, with 262 participants from 27 countries, of whom 22 were USEAct delegates, from 121 cities, of which 8 USEACT partner cities. There was a low participation of NGOs.

**National Training Seminars 2013** : 2 rounds of seminars were held in 14 countries covering 25 Member States: 400 participants for each round (150 new comers for 2<sup>nd</sup> round). There was an increasing participation of USEACT partners: in

Round 1 17 persons had taken part, from 8 partners, and in Round 2 34 persons attended from 8 partners. The main added-value includes concrete

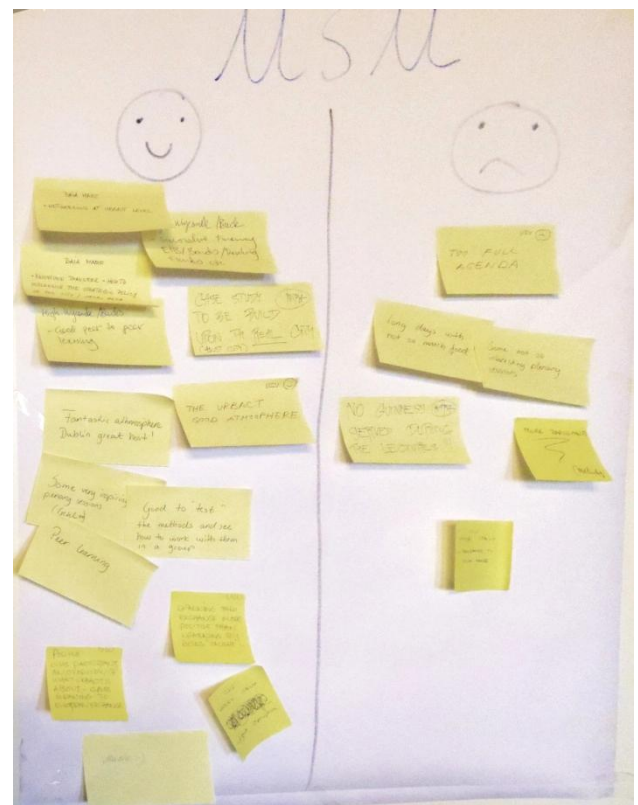
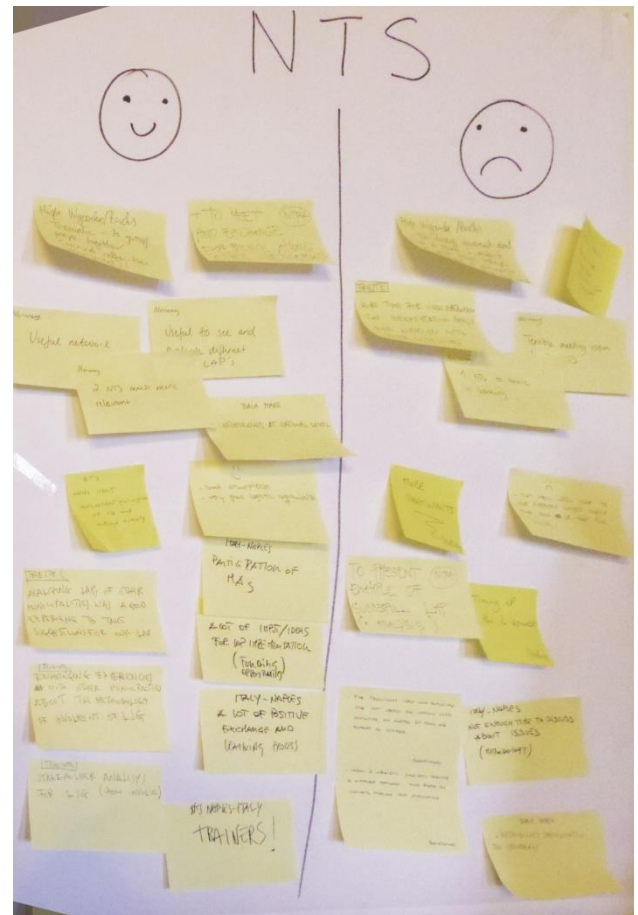
tools to develop the participatory process and integrated approach, networking at national level/ across networks, dialogue with national authorities and Management Authorities and a better understanding of the programme. A “3rd round” of national seminars is scheduled for Nov-Dec 2014, with the aim of exchanging on Local Action Plans and funding opportunities, sharing Network results & Capitalisation results, plus an information day on URBACT III open to a wider audience.

**USEAct partners provided their feedback to their experience:** what would they need/expect from a 3rd round of national seminars, and suggestions for URBACT III?

The response to the **Urbact Summer University** is mainly positive: a learning process, learning by doing, not being ‘taught’, peer learning, a good atmosphere, logistics, and venue, the organisation, plus networking opportunities, a better overview of Urbact, a source of inspiration on content, process and engineering. To be improved: the timing was too dense, more time needed for informal exchange, and methods to work on a real case, and some of the plenary sessions could be improved.

Regarding the **National Training Seminars**, the response is more patchy, linked to different experiences of trainers and of Managing Authorities. Positive: networking and meeting Managing Authorities, a way to get ideas for Local Action Plans, how to evaluate Local Action Plans through a ULSG approach, stakeholder analyses, good organisation and quality of trainers and atmosphere. On the other hand it was considered by some as too ‘generic’: there is a need to find a way of ‘marketing’ the National Training Seminars. There was some negative feedback concerning the timing in relation to the programme and project timing; the level of content was not fitted to all levels of expertise, and difficulties translating techniques to expertise/citizens... “Need to speak in politicians’ language”.

For the future, the USEAct partners propose: fundraising information, more involvement of Managing Authorities, visualisation tools, inviting more good experts/methodology trends, communications, more informal, and opening the possibility to create new partnerships.



## 5. USEACT PARTNERS' PROGRESS: LOCAL ACTION PLANS AND LSGS: THE STATE OF THE ART AND NEXT STEPS

### 5.1 Baia Mare Metropolitan Area association

*Paul Pece – Executive Director Baia Mare Metropolitan area Association*

**Local Action Plan:** Baia mare is a small metropolitan area, but wishes to develop the metropolitan concept. It aims to coordinate the Local Action Plan within a metropolitan plan for the next programming period, particularly through developing a land management policy. The metropolitan association is trying to generate an integrated approach to the area, by promoting intercommunity programmes and projects and attracting European Funds to develop the infrastructure and the economic development of the area. A specific concern is represented by the correlation of urban and metropolitan projects (under implementation or in preparation) and of the strategic vision regarding Baia Mare city and the metropolitan Development Corridor.

According to the Baseline Study, the Local Action Plan for Baia Mare will focus on two major themes: a **land management policy** to better enhance the potential of metropolitan development areas, in which to preserve their existing function, increasing their potential through urban renewal and building refitting or the development of gentrification policies, and **“sustainable redevelopment” of brownfield areas**, following the decline of the mining industry and underused or degraded lands. These areas do not currently contribute to the attractiveness and competitiveness of the city, but they could be transformed into attractive focus points.

The **Local Support Group** is organized on two levels: the technical support group – local experts on urban planning/ economic development field/ project implementation field, and the political support group consisting of the Board of Directors of Baia Mare Metropolitan Area Association.

The expected **outcome** of the **Local Action Plan** is an analysis of the land structure/ problems/ facilities

in the metropolitan area (industrial / agricultural land; Greenfield/ Brownfield), with a focus on the 1st development area; analysis of the land use policies of the member localities in the intercommunity development association and proposals to harmonise the different policies & regulations, and an efficient land use policy regarding the 1st metropolitan development area and on the perspectives of creating an industrial park, as a result of a better use of the area, which is now underused.

**Local Support Group - core members** are the Executive Director of Baia Mare Metropolitan Area Association; the Chief Architect of Baia Mare City; the Chief Architect of Seini Town (locality member in the metropolitan association); the Secretary of Tautii Magheraus Town Hall (city's neighbour locality); the Secretary of Dumbravita Town Hall (city's neighbour locality); the Inspector of urbanism from Grosi Town Hall (city's neighbour locality); the Executive Director of the Strategy, programmes and projects Department, Baia Mare City Hall; specialists from the Strategy, programmes and projects Department, Baia Mare City Hall; the head of the building permits department, Baia Mare City Hall; specialists from Recea Town Hall (city's neighbour locality); specialists from Baia Mare Metropolitan Area Association, on project management, legislation.

The Local Support Group has held 4 **meetings**: on 12<sup>th</sup> September 2013, a political ULSG meeting (The Board of Directors of the metropolitan association); on 24<sup>th</sup> September 2013 – a technical ULSG meets; on 7<sup>th</sup> February 2014, a technical ULSG meeting; on 21<sup>st</sup> February 2014, a political ULSG meeting (The Board of Directors of the metropolitan association).

**The 1<sup>st</sup> Local Support Group Meeting** (Technical ULSG meeting) on 24<sup>th</sup> September 2013, took place in the Millennium III Baia Mare Business Center and brought together the core members of the local support group. Discussions were held on the Local Action Plan that will be elaborated within the project. ULSG members discussed the efficient use of the land situated in the metropolitan 1st development area and the perspectives of creating an industrial park, as a result of a better use of the area, which is now underused. As planning tools, the stakeholders identified the Zone Urban Plan regulating the studied area, elaborated in 2008, which declare the area as an industrial development area.

**The first USLG technical meeting** (on 24.09.13) concerned the **Metropolitan Industrial Park-legal frame**. Law no. 186/2013 regulates the creation and functioning of industrial parks in Romania, and

presents the steps necessary to be followed in order to obtain the industrial park certificate: the interested organisations (public or private) shall establish a company that will be considered the industrial park administrator; the industrial park administrator shall be a legal entity registered for this scope; the administrator shall manage the industrial site and must have among its founders the owners of the land. By studying the possibility of increasing the land use efficiency of the 1st development area and by preparing to realize one or more metropolitan industrial parks, the local community shall benefit of an increase of life standards, better jobs and sustainable development of the area. In particular industrial Parks will support the economic development of the area, facilitating the attraction of investors and the creation of jobs; accessibility within industrial parks will be ensured through the modernization and expansion of the ring road; labour mobility will be ensured by creating the metropolitan transport system that will optimize the flow of people. Possible facilities for investors are: tax incentives for the agricultural land transformed in industrial area only after obtaining the industrial park certificate, tax incentives for technological & industrial park development offered by the local councils from the metropolitan area, advantages offered to investors by the local administration, by facilitating land procurement or rental, and other public facilities legally offered by local administration.

**2<sup>nd</sup> Local Support Group Meeting, Technical ULSG meeting** (7<sup>th</sup> February 2014). The Municipality is updating the General Urban Plan for Baia Mare – a document containing regulations for the area concerned; LSG members studies the category of the land (green field, brown field, occupied land, underused land) and the land use efficiency of the area; in cooperation with the neighbour localities of Baia Mare City LSG members studied the ownership of the plots, due to the fact that one needs compact plots in order to develop an Industrial Park / Business facility structure. In the south west of the city, some of the plots belong to the local community as pasture, generating a complicated situation, because it is almost impossible to build on such plots, due to very strict law specification (one can build only agro-industrial capacities related to agriculture). Taking into consideration the plots belonging to public administration (in neighbouring localities) in the administrative area of Baia Mare City, in order to include these areas in the figured Industrial Park, the Local Councils will address an official request to the metropolitan association.

**Second USLG technical meeting** (07.02.14), **concerning detailed Area of Intervention-South Industrial Area of the Baia Mare City**: the existing situation is: total area surface= aprox. 400 hectares; fragmentation of the land property between many owners; 3 Communes, 2 Associations, several private companies, the Orthodox Church indaba Mare City; different land use categories in the cadastre register: agriculture, industrial and forestry.

**Local communications activities** have included project presentations (goals, outputs, activities) for the Association's General Assembly, Board of Directors and Technical ULSG; the USEAct project related articles in the e-newsletter, edited in the Romanian language, are posted on the website and disseminated to stakeholders; meeting reports are posted on the website.

## 5.2 Barakaldo

*Alvaro Cerezo, Project and ULSG Coordinator, City of Barakaldo*

**The Local Action Plan** focuses on regeneration strategies and instruments for no soil consumption, inside an ongoing development and adaptation process to the existing city interventions opportunities. Barakaldo's Local Action Plan will progressively establish the analysis and definition of specific intervention areas within the Municipal General Plan. Right now, Barakaldo is focusing on one of these regeneration areas, the Burtzeña neighbourhood. Taking into account this specific area, the Local Action Plan will follow the following guidelines: urban tissue analysis; urban regeneration, combining the definition of the existing elements interventions and the introduction of new uses, under no soil consumption strategies; the economic analysis and viability of the intervention under the new legal instruments; having the possibility of defining the Burtzeña intervention area through a specific Masterplan; the enhancement of citizen participation and decision processes with the different agents involved (neighbours, citizens, associations, entrepreneurs and developers). With this Local Action Plan we expect to apply and check the new urban intervention tools on the existing city, to define a valid pilot case for future urban intervention areas definition and to establish an alternative public participation model, based on shared decision-taking and responsibilities strategies.

**Local Support Group** membership consists of the Basque Country Construction Cluster, ERAIKUNE, University researchers (from Deusto University), the Basque Government Energy Corporation, EVE, the

ULSG core group (Barakaldo urban planning officers) and USEAct Barakaldo Coordinators (Project & local).

**Meetings** have involved the Basque Country Construction Cluster, Eraikune, University researchers (Deusto University), the Basque Government Energy Corporation, EVE, the ULSG core group (Barakaldo urban planning officers) and the USEAct Barakaldo Coordinators (Project and local).

As a reminder **the topics for the Local Action Plan** remain as follows:

Topic 9. cost sharing and profit distribution mechanisms in Urban Regeneration Interventions: economic viability according to the new legal changes on urban regeneration interventions, and proposals for cost sharing among owners.

Topic 11. "Restoring agent-entrepreneurs (Energy Service Companies, ESC) and Public Private Partnerships: alternative public financing models, joint ventures, European PPP models and accounting regulations, and visualization of the future regeneration interventions according to the European PPP model.

With the LAP idea in mind and the future themes of the transnational meetings, we still keep to our initial working scheme, which will be progressively adapted to our development possibilities and the interest of the bi-trilateral meetings partners.

The list of the **ULSG themes** is:

1. Urban Regeneration Intervention: definitions, interventions and examples.
- 2 Studies and analysis on the definition of the Urban Regeneration Intervention: Urban, social and economic indicators.
- 3 Urbanism vs. integral intervention framework: Social, economic, cultural and urban infrastructure programs.
- 4 The "right to participate" and the duties of the Urban Regeneration Interventions.
- 5 Definition of planning parameters on urban areas: Planning standards, transfer of land ownership, flexibility and land value.
- 6 Quality standards of the urban environment (existing building and urban area).
- 7 Regeneration actions and mechanisms for the added-value generation: Energy efficiency, accessibility, underground uses, urban equipment maintenance, building maintenance and public services.
- 8 Public housing, new ways to access the "right to housing".

9 Cost sharing and profit distribution mechanisms in Urban Regeneration Interventions: Techniques equidistribution of benefits and burdens, reparcelling, alternative ways of sharing, other ways of cost weighting.

10 Economic and value added public contributions: Public Investments and reinvestments, local administration budget, payback period, local taxes and permissions, tax relieves and subsidies.

11 "Restoring agent-entrepreneurs (Energy Service Companies, ESC) and the Public Private Partnerships: Alternative public financing models, Joint ventures.

12 Citizen Participation: Process stages, identification, tools, feed back and level of satisfaction

**Useful techniques used for brainstorming and problem solving** have been LinkedIn and Drop box utilities. All members have been really collaborative.

**Difficulties experienced:** apart from the ULSG thematic discoordination with the proposed international meeting topic there has not been any problem.

Two **National Training Seminars** have taken place (06.06.2013 and 25.11.2013). The first was on practicing participative planning (using the URBACT Methodology approach). The second Seminar was on participative planning challenges definition (ULSGs and LAP integration); LAP core definition (context, focus, objectives, finance and development); Working group; Previous LAP analysis (failures and successes); LAP development tools (Key ideas, Human team, Critics); Sustainability, finance strategies and self diagnosis (Urbact proposal, other examples and fundraising). Conclusions are that they were pretty general and not so useful for urban regeneration interventions participation processes, due to the specific characteristics.

**Outputs:** during a Congress on 11<sup>th</sup> and 12<sup>th</sup> of November 2013, organized by the Basque Institute Public Administration (IVAP), related to the New Urban Regeneration Law, the USEAct project was presented to a highly qualified audience, among which there were regional and local representatives and urban experts from the Basque country. The ULSG Coordinator and some ULSG Core members took part in the different lectures where the developed work and study cases were highly appreciated and recognized, as a very interesting and challenging effort defining the urban regeneration intervention tools and processes.

## 5.3 Buckinghamshire

*Jim Sims, Useact Project Coordinator,  
Buckinghamshire Business First*

The general context is a complex planning system, for example some District Council plans are not accepted. However there is no money, so District Councils and the County Council are both now interested in development, and so are looking at how to develop housing schemes. Residents are interested. The challenge is how to get communities of interest to come to an overview.

They are trying to get a common vision, concerning housing, transport etc.. However there is no coherent growth plan at present. Local Authorities came together to tell the story of where they saw the opportunities are. It was decided that they needed an urban development company: hence "Buckinghamshire advantage". The government has now asked for a delivery and implementation plan. They are also working with the natural environment organisations, trying to get them to come together, develop tools, referring to the politicians' four year time frame, figuring out 'how to play the game', e.g. how to do the financing.

**The Local Support Group membership includes** the Development Community, transport Planners, the private sector and Development Agencies. 14 LSG Meetings have taken place and a further meeting is planned on 27/02/14. Useful techniques used for brainstorming and problem solving have been SWOT, PEST, Mind-mapping, Decision Trees etc.

**Difficulties experienced** are different language, different perspectives, brinksmanship, power, control and authority, history and relationships...

**Next steps** will be the implementation and Delivery Plan, improve working with NEP, developing a Visualisation Tool, and Projects – REIT, Funding etc

Participation in the **ULSG National Training Scheme**: not impressed! "Nobody wants to know about the process when you are in the process".  
**Communications** have been limited to date; all process – quite difficult; visits by the project partners are likely to generate more interest, including web opportunity?

## Discussion

*concerning actions which have been done differently in the context of the Local Action Plan: sustainable development has become more important, as well as the communities of interest.*

*Also working towards a more interactive tool for everyone (at present Buckinghamshire has fragmented policies), and aiming at Horizon 2020.*

*The 'green business plan': includes a natural environment partnership to debate land policy issues. The project has enabled the business agenda to work more closely with the environment agenda.*

The objective is not to create a new structure instead of existing groups, but rather to get people to come together, egg as with the de Bono hats... all coming from the same perspective; find out the 'areas of comfort' of the different parties. They are using the project to give energy to an idea, drawing on experience from other cities.

## 5.4 Dublin Luas Red Line corridor

*Paul Kearns*

The LUAS Red Line crosses a marginal area of the North Inner City, "Dublin's Underperforming City Centre ". The corridor' concerns the length of the LUAS (tram) running one block away from the river Liffey, from Heuston Station to O'Connell Street (Abbey Street Station). On its route it passes by Collins Barracks, (Ireland's seventh most important tourist destination), and the renovated Smithfield market, in the heart of the city.

However the tourist experience... the visual experience from the LUAS... with 17 million annual passengers... is more like a 'Grey' Luas line!

At the same time LUAS is building on the success of urban regeneration of the city centre: between 1991 and 2011, the population along the Red Luas line has increased by 256% compared the of the city centre which has increased by 10%, and the state by 30%.

The hidden investment is the 'hope value'! Successful regeneration has already begun on the "HARP" tax designated sites, and a vacant sites survey has been drawn up. The public realm, the public domain, and public animation... It is about enhancing an everyday street walking experience.

**The challenges and opportunities** are *Broadening* 'Local' Community Participation, *supporting* Development Opportunities and *improving the* pedestrian Experience, to become "liveable, quality, attractive, streets....". This also means promoting integration, and unlocking city living, with creative solutions. 54% of the population is foreign born.

Moving forward involves a ten point plan:

1. Communicating the story: vacant sites amount to 90000c sqm of "LostCity Development", equivalent to 4 Million annual lost Business Rates (tax), or 1 000 Apartment Homes. Treat this as an opportunity rather than a social and economic cost?
2. Find solutions to the hoardings that line the LUAS route.
3. Proliferation of signage: extend a Pilot Project on shop signage.
4. Successful Enforcement... Supports the "good guys"... "It supports business".
5. Unlocking the " Residential And Business Community" to support 12 000 residents, deal with Dublin City Council derelict sites, using EU programmes such as USEACT programme and the TURAS Project, as well as the UN Safe City programme.
6. "Greening Options on the Street – Grey Luas Line?" Temporary Solutions can be considered as "Prettification" – and why not?
7. Unlock City Council Resources, for example by improving the area around the fruit and vegetable retail market.
8. Engage Government, for example the plan for a "Freedom Park?" for 2016.
9. Engage local resources by creating links to the National Design Museum.
10. "Opening Minds": find out what is possible? For example create a link to Phoenix Park: Big Impact and Low Cost.

**Next Steps** are to progress the 10 points, create inaction Plan, and deliver on the Ground..... Small, Big, Short Term, Long Term, Temporary, Permanent solutions: all are about communicating HOPE.

## 5.5 Naples

*Gaetano Mollura Useact Lead Partner – Coordinator of URBACT Projects and Network on Integrated Urban Development Policies, City Council of Naples*

**Key issues** are to improve rehabilitation of the private properties of the inhabited city centre "UNESCO site", avoiding gentrification and to promote strategies to attract investors for the realization of new architecture in the historical centre, reducing the energy consumption.

In Naples the Action Plan is proposed in the light of the political agenda. **Expected outcomes of Local Action Plan** are to map the "abandoned buildings" and degraded heritage in the city centre and the tools to attract economic investors, to launch a Call for Proposals for new architecture and requalification of the sites, to monitor bottom up processes with the objective to improve the investments in the consolidated city, and to connect the Local Action Plan actions with the ERDF Funds 2014/ 2020 opportunities.

The **methodology entails the identification of the public administration priorities** : requalification of the UNESCO world heritage site (80% private housing); avoiding gentrification, since most of the UNESCO World Heritage Site is inhabited by weak sections of the population; reuse of abandoned areas/ruins as opportunities for economic development and realization of modern "smart" buildings in the consolidated city; follow and strengthen investment initiatives in the consolidated city to promote through a "listening process" the mapping of the most interesting bottom-up initiatives (associations, investors, private) and identification of the areas on which to implement integrated and shared actions. Porta Medina LAB - Porta Capuana LAB - Porta del Mercato LAB.

The **objectives of the LAP** are to promote strategies to attract investor for the realization of new architecture in the historical centre, reducing the energy consumption, the rehabilitation of the private/public housing giving new functions to the real estate assets of the UNESCO historical centre – environmental infrastructure interventions, and to promote economic and social development.

**Local Support Group membership**: as the target areas will be selected, property managers and tenants will have a primary role within the Local Support Groups, as promoters of bottom-up initiatives. The core group is composed by the following bodies: the City Council of Naples elected representatives, the City Council of Naples

Departments/Offices, Campania Regional Administration (Managing Authority), the University of Naples "Federico II" – Department of Architecture, CNR the National Centre for Research, ACEN Building contractor Associations, ANEA Naples Agency Energy and Environment, WWF Association / Legambiente/ Italia nostra, the Professional association of Architects, the Board of trade Napoli/ BIN Sr.I (Borsa Immobiliare di Napoli), CNA - Napoli - National Confederation of Crafts and Small and Medium Enterprises, Confcommercio Napoli - Dealers Association and Napoli Holding srl (Public Company for Transports).

The **Local Support Group** for the **Porta Medina Area** consists of the City Council of Naples / Municipalità 2, University of Naples "Federico II" Department of Architecture, Arciconfraternita dei Pellegrini, a religious foundation, Associazione culturale Montesanto - Q.I Quartiere Intelligente - urban regeneration project, Parco sociale Ventaglieri - social association and Le Scalze – coordinamento di salita Pontecorvo, socio-cultural workshops for active citizenship.

The **Local Support Group** for the **Porta Capuana Area** consists of the City Council of Naples / Municipalità 4, the Associazione "I love Porta Capuana", Aste e nodi – an informal local development agency, Lanificio25 – contemporary arts lab, Made in Cloister, project for the promotion of innovation and traditional craftsmanship with the preservation of the architectural heritage, the Cooperative SIRE, AMIRA, Il Quadrifoglio - social associations, Curia di Napoli, University L'Orientale, Department of Humanities and Social Sciences, Keller architects, Association of Architects and the Directorate General of the Ministry of Justice.

**Local Support Group** for the **Porta del Mercato / città bassa** consists of the City Council of Naples / Municipalità 2, Consortium "Antiche botteghe tessili", Consortium "Antico Borgo Orefici", Naples Port Authority and schools.

The second **ULSG National Training Session** was held in Naples at the Palazzo delle Arti di Napoli PAN, with 20 participants from the ULSG in Naples.

**Local communication activities** include 2 Newsletters in Italian Language (Nov/Dec 2013), articles in National Newspapers (on the local meetings) and articles and interviews on the NTS held in Naples. Web coverage includes: the website of the Project and local activities and News on the City council portal, social networking (local fb account). Next activity will be the Website of the

LAP/blog. A dissemination event was held in November, meeting the professional association of architects. A further dissemination event will be the next EnergyMed conference.

## 5.6 Nitra

*Štefan Lančarič, Useact Project Coordinator, Municipality of Nitra, City architect Department, Conception of City Greenery and Miroslava Hanáková, Useact USLG Member, Municipality of Nitra, City architect Department*

The city centre includes the Upper City with the medieval castle and the seat of the Bishopric, and the Lower City with a mix of functions: retail, administration, services, culture, leisure and housing. There are many "spatial reserves" in the centre.

The focus of the LAP is the centre of the city, where a number of problems have been identified: the Centre as such is not functioning, small number of residents, no tempting services offer, small number of paying customers..., Bad connection between Upper and Lower City, lack of parking options, almost every structure/building is in private ownership, hence low influence of Municipality, the owners and renters/shopkeepers are different bodies – so there is low interest to upgrade the site, the main square is a result of large scale clearance in the late 70ties, and plenty of buildings are under Monument board protection.

The **Nitra ULSG** consists of public bodies (the Regional Monument board office in Nitra, the Municipality of Nitra and the Ministry of transportation), NGOs (ARTUR, Naše Dvory), retailers (Na Kupeckej), elected representatives (deputy mayors Mr Štefek and Mr Vančo), private enterprises and associations (Slovak Association of construction entrepreneurs, San – HUMA '90 Atelier of Architecture/Creator of General plan) and universities (Slovak university of Technology, BA Dep. of Management and Spatial planning, Slovak university of Agriculture, NR and the Faculty of Economy and Management).

Three **ULSG meetings** took place on: 10.09.2013: Introduction of the project, URBACT II program, Urbact II method, introduction of the ULSG purpose, LAP; 28.11.2013: Definition of the pilot site area, definition of the problems within, partial analysis of the problems according to the professions participated in ULSG /transport, urbanism, socio-economical aspects, community planning...;18.02.2014: Problem tree analysis, spatial and functional potential of the pilot site,



contribution of the ULSG members towards the analytic part of the Local Action Plan.



**LAP Challenges/Expectations** are to achieve a functional City Centre for residents and visitors alike. The main goal is avoiding the further land take by searching for the spatial reserves in existing fabric of the urban area of the City Centrum.

**The current state of progress:** definition of the pilot site borders, linking to the other city districts/value, influence, territorial context, problem tree analysis, ULSG expertise contribution.

**Next steps** are collecting the data and working out the external expertise in the field of: housing, spatial reserves in urban area, transportation, historical values of the site, retail and services, quality of public spaces, public involvement methods and funding schemes.



**Expected results** are short time span solutions and actions – public involvement, low costs, immediate effect – partial increasing of the City Centrum qualities, and long time span solutions and actions – City Centre PR, integrated approach to the solutions by stakeholders' involvement, funding schemes, political support...

Other activities have been dissemination and promotion (webpage and logo).

## 5.7 Østfold

Linda Iren K. Duffy, Local Coordinator Østfold County Council

**The expected outcomes of the Local Action Plan** are to create a toolkit for densification and transformation for use in all of our municipalities, using the cases as examples of how it can, should or should not be done, and to create an active city-development network in Østfold. The master plan is restrictive, and has a veto on municipality plans. The aim is not to 'reinvent the wheel' but rather to find out what tools are being used, concerning participation, cooperation, and development plans, so that they can understand what others are doing.

**The Local Support Group** includes planners from the 6 towns and active politicians from Østfold county council, the Østfold county governor (national level), and the National housing bank.

As there are so many cases we want to have an involvement of stakeholders in each case, and document this in our Local Action Plan rather than as members of the Local Support Group. Other Local Support Group members can be included when this will be useful. The Local Support Group has had four meetings (in April, June, September and December), with the next on March 11. We try to visit one of the cases each meeting.

**Local Action Plan:** we have used the problem tree for defining and creating ownership of the problem, trying to have one part of the meeting as process orientated to teach and use tools, and to participate as municipalities to try out tools in their local cases. There is a need to get an overview of possible actions, and to have the «Courage to say no, creating opportunities to say YES! »

**Next steps** will be stakeholder analyses for the cases, meeting in Fredrikstad or Askim, using the assessment tool, systemizing the tools we have in our «toolkit», and spreading information about the project and the network.

**Difficulties** are making it a priority in the municipalities and finding the right format for the Local Action Plan.

Participation in the Nordic **National Training Scheme** in November, with six participants from the Local Support group, who were very positive, provided useful tools, and was useful to discuss with other Nordic projects.

**Local communication activities** are the website in Norwegian, which needs to be spread more widely, an article for the national URBACT Website, and speaking at a national miniconference about the new URBACT programme. Media coverage is on the cases not the project itself, but has in some cases been very good.

They have taken part in all the workshops, with a colleague, bringing back and discussing experiences from other municipalities, which also allows us to value what we are doing, or not. Nordic networking is 'informal'.

## 5.8 Riga

*Agnese Bidermane, USEAct Project Coordinator, Riga planning region, Latvia*

The **Local Support Group** involves local and regional level: representatives of Riga Planning Region municipalities and experts. It is not so successful at national level. However there is good cooperation, and they are waiting to see financial instruments to implement the Local Action Plan. There are still some discussions on the Operational Programme. They are working with the ministry, for example on developing former industrial zones, i.e. brownfield sites: discussions focus on the amount, but also on the criteria. They have also involved a Latvian university.

Population changes in Latvian cities and counties, 1991-2011: "lost" Latvia...since 1991 population has decreased about 600 000 or 22,5% compared with 1990. More than a half of all the population of Latvia, 53 %, lived in the Riga metropolitan area at the beginning of 2012, but the proportion of value added created in it is even larger.

**Current situation:** in 2009: updating process of development program of Riga region 2005 -2011 was begun; 2009-2010: Working out Economic profile of Riga region; 2011-2012: updated Development programme of Riga region to 2013; in 2013 - 2014: elaboration of the Development programme of the Riga region 2014 – 2020.

**Action programmes** have included:

- **the Strategy for sustainable development 2014-2030:** **Conceptual:** Green environment, Creative culture, E-space, Health industry, Knowledge culture, Community/cooperation, Housing, Logistics/mobility, Recreation and tourism, Riga metropolitan, Development centres, Social environment, Energy, Investments

and entrepreneurship, Marketing of region and Cooperation projects.

- **Development programme 2014 – 2020, extended:** Energy, Cooperation projects, Investments and entrepreneurs and the marketing of the region.

**Challenges are:** Administrative vs the Functional region/Riga agglomeration; cooperation forms oriented on target territories: Riga agglomeration, Coastal areas, rural areas; collaboration with other target groups: Entrepreneurs, Scientific organisations, Inter-regional cooperation, and international activities. Future areas of cooperation are based on common functions: education, culture, civil protection, social services, and on common interests: innovation, green energy, cultural heritage, etc.

The **Local Action Plan** entails the elaboration of Riga Planning Region development planning documents: a sustainable Development Strategy 2014-2030 and a development Programme 2014-2020; plus medium- term Action Programmes for regional marketing, energy efficiency and renewable energy and regional projects (developing industrial territories).

Theme 2 involves interventions to "reuse" urban areas: management, partnership, funding, functions; designing, managing and funding successful Public Private Partnerships; improving public administration ability on controlling and managing "high quality" and reuse interventions and inducing "local added value" in reuse innovations.

### Discussion:

*LE: focus on brownfields and the consequences of urban sprawl. Guidelines must show how to manage the situation.*

## 5.9 Trieste

*Beatrice Micovilovich, Useact Local Coordinator, Municipality of Trieste and Ileana Toscano, Useact ULSG Coordinator, Municipality of Trieste*

Trieste, a medium-sized port city located on the border between Italy and Slovenia, with a service-based economy, is facing an increasing ageing of the population and a weakening of the traditional economic activities. With the purpose of reinforcing the local development potentials and to fit the social

and environmental requirements of its community, the Municipality is concluding the process for a new General Town Plan, strongly oriented to minimize the use of new land resources, already scarce in the area. There is little 'free space' in the city, which is located between the sea and the border.

The general targets of plan are: reaching economic development; regenerating the existing heritage; re-organizing the urban mobility; gaining a more general and visible urban quality. This implies densification and reuse of existing parts of the city.

The **Local Action Plan** of Trieste has been strictly connected to the design process of the "General Town Plan". Together with the stakeholders, solutions and operational tools and schemes to locally implement the general strategies provided by the plan has been discussed (the plan adoption process is planned for the end of December 2013) and will be tested on specific areas 'of great transformation' involving the Local Support Group over the next year.

**The expected outcomes of Local Action Plan are planning and building code models** in order to minimize the use of resources and further urban growth, to promote the reuse of existing buildings and areas, greater energy efficiency of buildings, participation models; project experiences aimed to the **revitalization of the historic centre** by means of economic and comprehensive redevelopment plans; experiences and tools on **participatory processes, and citizens advocacy**.

**Members of the Local Support Group** are Municipality Departments (town planning, public works and public estate, culture, social assistance, economy, etc), the association of architects, urban planners, landscape and conservation architects of the Province, Professional associations, other stakeholders (included the key stakeholders). Their participative activities involve technical meetings, focus group and topic groups, and citizen involvement with meetings and questionnaires for participative analysis

**Site specific Local Action Plan:** starting from the "hardware" given by projects for public services (archives, museums), that have already been funded (continuity of Public Action, USEact as an opportunity to revise and complete existing plans and projects). On-going projects are not already closed and completely defined (urban project as an open process). It will continue the process of opening abandoned areas to the city, adding new public spaces and places for new economic

activities (re-use as re-appropriation of urban space by citizens): a "Great transformation area".

The **listening stage for plan building process** was structured in public sessions held directly at the local districts, together with a delivery of questionnaires. **Technical meetings** were held with the same groups involved in the directives drafting, specific thematic groups and a technical committee on **energy, planning and building parameters** issues.

7 meetings were held in the 7 Municipality districts, over 7 weeks of work, 2500 questionnaires were completed, 1500 questionnaires were filled in on line, with 8000 web site accesses. 28 representatives of business activities worked on the 3 working groups. 155 stakeholders from Local Authorities, associations, non profit organizations were involved in the topic groups. Many suggestions came out from participatory process, such as the tools for **environmental protection for the green areas** and the **volumetric awards for improving the energy efficiency** with the aim to restart the construction sector. 2 meetings were held with core LSG members for sharing the framework. At least 4/5 participative meetings will be organized in 2014 with LSG members.

Planned techniques are: the GOPP method (Goal Oriented Project Planning), round tables, focus groups, topic groups, diagrams and mapping and *European Awareness Scenario Workshop*, for the final participative workshop.

The engagement of the LGS members involves one to one meetings through interviews or small group meetings with "key stakeholders".

**Next steps:** for the general town plan a citizen support help desk will be opened for sharing the General Town Plan contents and giving information for proposals or oppositions, including a help desk for technicians. Site specific: 4/5 participative meetings will be organized in 2014 with LSG members for sharing Site Specific actions.

USEact has been very useful, especially for the agenda for participation meetings, and it is hoped to use the LSG toolkit in greater depth. For this first time they are using a participative approach. Also they organised increased meetings regarding energy efficiency. In general they would like to city to use the Local Support Group approach more generally.

Participants in the National Training Sessions (NTS) for Italy were Maria Antonietta Genovese, Mr Pietro Craighero and Mrs Piero Onrgaro: first introduction of URBACT methodology, roadmap, sharing projects ideas and targets and a first outlook on the future of the urban policies of the 2014-2020 European programme. Participants in the National Training Sessions (NTS) II were Beatrice Micovilovich and Mrs Ileana Toscano: deeping the LSG item: setting up, functioning, tools of management, focus on the different stakeholders.....

## 5.10 Viladecans

*Enric Serra del Castillo, Useact Project Coordinator, City of Viladecans*

The general context is a high unemployment rate and the banks are not giving credit a situation in constant movement. The mayor has decided to promote a (near) zero energy District, and is seeking funding from the Horizon 2020 programme.

**Local Support Group membership:** at the moment we are trying to consolidate the group. We work with 18 people. Our specificity consists of talking with entrepreneurs, investors... This fact also determines the rhythm of the LSG. 2 meetings have been held, covering our constitution, discussion about the problems (23/09/2013) and about objectives (on 20/02/2014). During the last meeting we use '6 Hats to think' which was very useful.

**Difficulties experienced:** it is difficult to propose more than a meeting for each trimester, as participants they will not attend more frequent meetings.

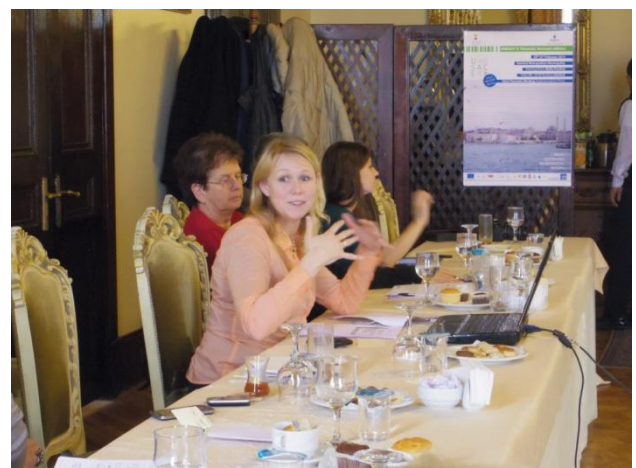
**Next steps are:** planning the LSG work, working in collaboration with the Barcelona Metropolitan Area and the Regional Government: AMB (Barcelona Metropolitan Area) will launch a funding program to support municipalities to front the refurbishing of obsolete Industrial Areas before Summer 2014; GENCAT (Regional Government) is working with 4 municipalities included Viladecans to write a "Director Plan". This a powerful tool to develop new strategies for urban planning.

**The URBACT National Training Scheme II** was held in Madrid on 25-26 November, 2013. Representating Viladecans, the following attended: Marina Jarque (Head of Communications and International Relations in Viladecans City Council), Mireia Bel (International Relations Technician in Viladecans City Council) and Abel Porcar (Architect and member of the Urban Local Support Group). The II National Training Session was held in HUB

Madrid, a cosmopolitan space where we could work in a very comfortable way. The seminar was interesting because we could know what the other Spanish projects were working in and the seminar gave us the opportunity to interact with them and shared our doubts and hopes. On the other hand, Urbact coordinators solved us some doubts about the USLG and gave us some ideas to stimulate our work team.

**Local communications activities:** Related to the external communication, the project leader (City of Naples) has prepared a digital Newsletter where all the project members have our space to explain our projects. Due to the fact that the City of Viladecans organised the kick off meeting in May, we enjoyed a privileged space at the last newsletter that included an interview with the Mayor of Viladecans. And we sent it to the LSG members. We also referred to the USLG constitution meeting in our municipal magazine.

**General reminder to partners from the Lead Expert:** *Now that 2 or 3 Local Action Plan actions are becoming clearer: actions, planning rules... we need documentation of the meetings.*



## 6. BILATERAL – TRILATERAL MEETINGS: SUBTHEMES, WORKING GROUPS MANAGEMENT, MEETINGS CALENDAR, OUTPUTS

### 6.1 Proposed Bilateral Trilateral meetings

*Vittorio Torbanielli, USEAct lead expert*

The proposed meetings are agreed. The Lead Expert and Lead Partner will anticipate specific cases studies and issues to be shared. Partners are requested to propose technical questions/problems.

- One day meeting (with round table) on the issue **"Real Estate Investment Trust For Housing"** to be organized in a very accessible site (London tbc), proposed for April 2-4 2014, for 5 partners (Buckinghamshire, Naples/Barkaldo/Nitra/Ostfold).
- A two days meeting to be organized in June 2014, in Barcelona, for accessibility purposes, divided in two different moments: a one-day trilateral meeting on the two interrelated themes: **"Real estate developments based on innovation"** and **"Differentiating interventions"**, by Baia Mare, Ostfold, Viladecans; b) a one day trilateral meeting (open to other partners in any case) on **"Urban uses and textures"** and **"differentiating interventions"**, with the participation of Viladecans, Trieste, Barakaldo and Baia Mare.
- A one day trilateral meeting on the **"visualization tools"** to be organized in Rome - Università "La Sapienza" - (or Naples?), in July 2014, with Naples, Buckinghamshire (+Riga?).
- A one day bilateral meeting in Dublin on **"new uses for heritage residential buildings"**, with Dublin and Nitra (+Riga), in September 2014.
- A one day trilateral meeting in Dublin, September 2014, on **"financing upfront infrastructures"**, with Dublin, Buckinghamshire, Baia Mare, Trieste

Organisation of the meetings, and how to exchange, must now take place. Partners concerned are asked to send to the lead partner: the reasons for their interest, what they would like to know, what can be provided to the other partners, plus the hosting partner is asked to invite someone to speak on the issue. The lead expert will send out a template for gathering this information. He will then gather this information and write a concept paper for the exchange, and propose an agenda for discussion. During the meeting good practices etc will be discussed, together with any external contributions relevant to the issue. After the meeting each partner is asked to write a brief summary of the meeting. The expert will then draft a report based on the partners' summaries. This report will then be put online.

The Lead Partner recalls that the aim is to achieve a very direct impact. Thematic framework exchanges sometimes need very specific inputs. Partners are also reminded to link the proposals for the bilateral/trilateral meetings to the Mid Term Thematic Review contents.

For each meeting we will need: logistics, venue and timing; an agreed methodology; programme; organisation (one whole day's work, e.g. travel one day, work for one day, and return the following day). First deadlines are

- March 15: First ideas for the meeting in Buckinghamshire on April 2-4
- June 1<sup>st</sup>: first ideas for the two meetings in Barcelona on June 25-28

The lead expert will also discuss the implementation of the respective Local Action Plans during the bilateral/trilateral meetings.

### 6.2 Next USEAct thematic meetings

- Ostfold 27<sup>th</sup> -28<sup>th</sup> May, arrival on 26<sup>th</sup>, depart May 29<sup>th</sup> 2014
- Riga 8-12 or 22-26 September 2014
- Buckinghamshire: December/January 2015
- Naples: April 2015

# 7. USEACT PROJECT MANAGEMENT ISSUES

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## 7.1 Mid Term Review Report

Vittorio Torbianelli - Useact Lead Expert

The URBACT Mid Term Review **Objectives** are to stimulate a process of reflection within the network at the mid-term stage, to assess progress in each work package, to agree with all partners an improvement plan to achieve quality results, to check and adjust the work plan, methods, etc. if needed and to feed into the re-programming exercise in 2014.

Activities at partner level entail a questionnaire survey for all partners to complete based on the Work package structure. This can be done on paper or online (e.g. on survey monkey) before March 15<sup>th</sup>. In addition there are two self-assessment tools (from the URBACT LSG Toolkit), on the ULSG (mandatory) and on the LAP (voluntary). The ULSG tool is to be completed by all partners (mandatory, to be annexed to the MTR Report) and the LAP tool where possible and appropriate (voluntary). N.B: Partners should involve their ULSG members in the process, especially for the ULSG self-assessment tool. The Mid Term Review should be the focus of a dedicated ULSG meeting. It should create collective spirit and ownership and help partners to understand points to be improved. Partners are invited to complete the annexes considering that the purpose of the activity is evaluating the project from a general point of view.

The framework of the Mid Term Review report covers: work packages to be evaluated, project management, transnational learning, impact on local policies and practice, communication and dissemination, general coordination, dissemination plan and proposed changes.

In future, some USEAct Local Action Plans need greater focus, especially on what are the real outputs, also clarify the links between the Local Action Plan and stakeholders. Within the self assessment forms there are indicators, which can help partners to assess their own work within the project. Actions within the Local Action Plans do not necessarily need to be completed, but must be built on documented steps, with goals etc..

Within URBACT the Local Action Plans are a mandatory process. The Review can serve as a kind of checklist of what is needed, a monitoring tool. Once partners have sent their individual reports, the

Lead Partner will send the draft report to the partners, and discuss it with each one. After this the Lead Partner and Lead Expert can propose reprogramming, since the Review can provide information on whether some partners require additional support. The Mid Term Review documents will be sent to partners via the dropbox tool.

## 7.2 Administrative and financial management issues and updates

Anna Arena, Lead Partner Financial Officer

**Latest activities carried out:** for Phase I: ERDF transfer to the Partners of the I PHASE: done! For Phase II: Signature of Joint Convention, Subscription of Audit Trails, First Level Control approvals, experts contracts. For the first Financial reporting session: 1st Payment Claim February 2013 – June 2013, 1st

### Next steps:

March 2014	2 <sup>nd</sup> Financial Reporting session <i>in progress!</i>
March/April 2014:	Mid Term review document <i>in progress!</i> Financial Re-programming procedure - <i>if necessary</i>
September 2014:	3 <sup>rd</sup> financial reporting session

**USEACT mixed financial management:** within USEAct each partner (including the LP) manages directly their own budget for direct costs. The Lead Partner also anticipates and accounts for the shared costs for the Partnership. Shared costs are the common expenses such as communication activities, outputs realization; experts' travel costs, coordination/management, centralized to facilitate the management. The Local Contribution is based on being Convergence or Competitiveness Region Partner and on the participation in I Phase. The Partners are responsible for their own assigned budget in order to guarantee the following activities:

- participation of 2 persons in 7 transnational meetings - 2 Thematic Seminars remain, plus the Managing Authorities' capitalization workshop and the Final Conference - ;
- participation in the URBACT Programme activities (next one: 3rdRound NTS in Nov-Dec 2014);

- participation in bilateral/trilateral meetings (attendance at 2 meetings for each partner - with one partner's representative in each meeting);
- hosting a USEACT seminar/workshop (4 remaining meetings);
- printing, translation and dissemination of the USEACT outputs in English/local language;
- organization of LSG meetings and implementation of the Local Action Plans;
- final Dissemination Meeting and LAPs Exhibition;
- ULSG Expertise.

For the 1st reporting session - period for February 2013-June2013 - the Payment Claim has been successfully submitted and the ERDF has been generated. The 1st ERDF quota will be transferred by the Lead Partner to the Partners by **April/May 2014**.

#### **The 2nd reporting period for July 2013 - December 2013:**

The procedure is in progress. Each partner is uploading the approved expenditures in the Presage platform. When the expenditures enter into the validation process, each partner should inform the Lead Partner by e-mail that all the expenditures have been uploaded. The Lead Partner will validate the uploaded expenditures in the Presage platform in 10 days. 2nd Round Expenditures in Certification process until now amount to € 26.666,22. The last Deadline for uploading the expenditures in the validation process is the **4th of March!**

**The 2<sup>nd</sup> reporting period deadlines:** on the 4th March the LP will receive the draft version of the certificates by First Level Controllers (you can download the draft version by generating a "pdf version" before submitting). After the quick check by the LP, the FLCs has to submit the certificate and sign three original copies (for each partner) of the certificates. On 14<sup>th</sup> March the partner will archive 1 copy of the certificate and send only 2 original signed copies of the certificate to the Lead Partner, meeting the deadline. Each partner will receive an overview of the shared costs anticipated from the LP once the FLC will certify them. The LP will produce and submit the Progress Report, the Payment claim and the Financial Contribution Summary. On 31st March the LP will send all the documents to the URBACT Secretariat.

**Let's bear in mind:** documents to be archived at the Partners' offices must include: contractual documents (incl. audit trail documents); bank statements; original invoices in order to support all

the incurred expenses; time records of personnel working for the project (including timesheets); copies of all contracts with external experts and/or service providers; documents relating to public procurement, information and publicity; proofs for delivery of services and goods (studies, brochures, newsletters, minutes of meetings, participants' list, boarding passes, travel tickets, hotel invoice, etc.); calculation of administrative costs, records of costs included in overheads. **These documents can be requested for audit (for up to 5 years after the end of the project)!**

#### **Next reporting periods:**

Period	Deadline
July-December 2013	31 March 2014 <b>in progress</b>
January –June 2014	30 September 2014
Until October 2014 (optional)	30 November 2014
July December 2014	31 March 2015
January – April 2015	31 July 2015

#### **Budget Management and possible changes:**

minor changes in the Application Form: change in contact information, rescheduling of activities (calendar), small budget deviation (within the 20% flexibility rule) at Project Level. All these minor changes must be notified to the Secretariat via the Progress Report and shall be duly explained and justified.

Major Changes in the Application Form include: change in the Partnership (withdrawal, replacement); removal or addition of objective-actions with related update of the work plan and list of expected outputs; changes in the budget categories in excess of the 20% flexibility rule at Project Level. These changes must be approved via the re-programming process.

#### **Financial issues related to the next transnational meetings to take into consideration for proposals for the possible rearrangement's (to be included in the Mid Term Review document):**

at the moment (Application Form budget), in order to organize the Thematic seminars and the MAs workshop each hosting partner at the moment has at his own disposal: 3000 Euros for "**meeting organization**" (for renting the meeting venue, catering -coffee/lunch break - working documents, working materials, etc); 600 Euros for the travel and accommodation expenditures for involving an *ad*

*hoc expert*; an extra amount (depending on the “per diem” rates and on the number of participants) to provide the dinners to be reported as “**travel and accommodation**” expenditure. NB: furthermore each partner has at his own disposal the amount to involve his own Managing Authority in the MAs Capitalization Workshop (travel and accommodation).

NB: Each partner can take into account that it is possible to shift the amounts within the same budget category without modifying the total forecasted category's amount.

**Financial Issues related to Bilateral Meetings to take into consideration for the possible rearrangement proposals (to be included in the MidTerm document):** each partner has 1500 Euros at his own disposal as “travel and accommodation” expenses for the participation in **two bilateral/trilateral meetings**. This is the reason why, for each bilateral/trilateral meeting we forecast the participation of one representative for each partner (750 Euros for the participation in the meeting for one person). Each partner will pay the accommodation for max two nights, the travel costs and the dinner – it is important that each partner considers the budget amount available. The expenses for travel and accommodation have to be reported in the Budget line “Travel and accommodation bilateral/trilateral meeting” – WP 2.1 “Travel exchange and learning meetings”. But the catering costs provided by the hosting city will be reported as “Transnational Meeting Organization”. This minor variation in the budget will be included in the MidTerm Review document.

NB: Under item 3.2 – for ULSG Expertise each partner has €10 000 to involve external experts in the LAP implementation; each partner should evaluate if they want to use this amount.

**Possible rearrangement proposals (to be included in the MidTerm document): – the main rules to comply with:** changes in budget categories are allowed as long as the maximum amount of ERDF/ Norwegian funding remains the same. This means that Partners mainly keep their budget, remaining +/- 20% within the overall planned project budget. A general programme rule fixes a maximum budget for the personnel allowed at project level. At the moment the budget for personnel at project level, including the external expertise related to the Project Management, amounts to that limit, this is the reason why the forecasted staff costs can't increase - reference: Guide to TN 2011\_URBACT Call 3- (this means it is

not possible to move travel costs to personnel costs for example, as the personnel costs budget line is already full); it is necessary to guarantee the implementation of all the activities/outputs of the Project.

Partners are asked to rethink their budget; for this it is very important for the Lead Partner to know what has been spent so far. For example if not using all the amount allocated to a specific budget category/line it may be possible to move this amount to another expenditure budget category/line.

#### **Deadlines:**

- **15<sup>th</sup> March 2014:** the Partners who want to shift amounts from a budget category to another can send the possible rearrangement proposals to the LP. In case of underused budget subcategories/lines it is possible: to move the amount from a budget categories/subcategory to another, providing reasons, or to evaluate to transfer the related underused budget amount to a partner who is spending better;
- **10<sup>th</sup> April 2014:** once the possible proposals are collected and considered, the Lead Partner will value the necessity of applying for the reprogramming session and will send the new budget proposal to the Partners;
- **17<sup>th</sup> April 2014:** Submission of Draft Mid Term Review by the Lead Partner;
- **14<sup>th</sup> - 16<sup>th</sup> May 2014:** Round 3 Projects meeting, Paris: discussion on the draft Midterm Review;
- **31<sup>st</sup> May 2014:** Approved changes in Mid Term Review can be re-programmed in Presage by the Lead Partner (in September);
- **June 2014:** Re-programming approved by Monitoring Committee.

All useful documents are available on the URBACT website. Partners are reminded that they can obtain a draft certificate to send to the Lead Partner before finalising.

## **7.3 Communication and dissemination updates of results on local and project level**

*Maria Luna Nobile, Lead Partner Communication Officer*

**URBACT II communication priorities:** it is recommended by the Secretariat to use the main communication tools adopted by the Programme on the URBACT II website [www.urbact.eu](http://www.urbact.eu):URBACT



blog, URBACT on social networks, URBACT publications/newsletter.

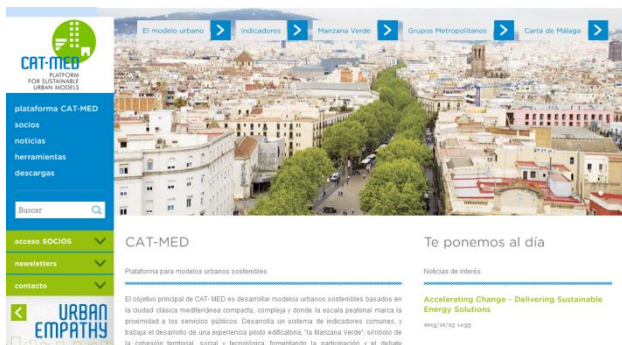
**USEAct project Communication tools:** the main web tool is the USEACT minisite of the project [www.urbact.eu/useact](http://www.urbact.eu/useact). Communication tools created for the USEAct project are the USEAct blog, USEAct on social networks, and USEAct publications and outputs.

USEAct Implementation Phase project outputs include the first USEAct Newsletter, and the first and second meeting reports. The USEAct Case study catalogue is in progress. Other outputs are the USEAct Postcards (disseminated during the Summer University), the Baseline Study, the USEAct Project Brochures and the USEAct Local Brochures. Visit our outputs page: USEAct is also on USEAct on Facebook, Twitter and Flickr.

Targets for the USEAct communications are citizens, politicians, urban practitioners and other people interested in the project. The main aim is to have a wider audience and a continuous exchange with other organizations and people interested in the theme of the project in a simple way. Updates on the network activities will be guaranteed by the USEACT Spot Life News, an email newsletter to inform by a wide mailing list about activities related to the network every two months and disseminated online through the web channels (from September 2013).

**Main results at project level:**

**Dissemination event CAT MED**



**Second Newsletter**

- SPECIAL SECTION Planning Tools in Slovakia**
- 12 A Plea for strategies of integrated land use management by Maros Finka USEAct Ad hoc Expert**
- FOCUS ON THE CITIES**
- 16 Interview to the Major of Nitra Mr. Jozef Dvornic collected by Andrej Jacovic**
- 17 Interview to the Major of Baia Mare Mr. Cătălin CHERECHES collected by Paul Pece**



**List of expected deliverables for WP3: Impact on local policies and practices**

The Local Action Plan local exhibitions a way to disseminate the result of your Local Action Plan at local level: it is an opportunity to involve politicians, media and local citizens. It is planned that the exhibition material will consist of: 2 general panels, drafted by the Lead Partner and to be translated by each partner in their own national language, describing the URBACT II Programme and the USEAct project, plus 1/2 panels for each partner describing the strategy aim and results of their Local Action Plan and Urbact Local Support Group: description of the partner's context and priorities/description of the Local Action Plan methodology, objectives through maps/photos/infographics, LSG members, and main results/actions implemented.

A common graphic code and layout framework will be proposed by the Lead Partner and agreed during the 5<sup>th</sup> USEAct seminar in Riga (September/Oct 2014). Partners prepare content for panels: text, maps, and photos. Deadline for final panel layout: January 2015 (7<sup>th</sup> seminar: Capitalization meeting in Buckinghamshire). Partners' exhibitions will be held in your own city between March and April 2015 (before the Final Conference). An Exhibition will be held during the final conference in Naples.

**APPENDIX 1  
PROGRAMME OF THE  
MEETING**

# USEAct Thematic Network

## Third Thematic Seminar and Mid Term Meeting on

*Interventions to “reuse” urban areas:  
management, partnerships, funding, functions*

### Implementation Phase

Istanbul (Turkey)

Meeting Venue Malta Pavilion

Yıldız Mh. 34349 Besiktas/Istanbul

<http://www.beltur.com.tr/malta-kosku.asp>

**25th - 26th - 27th February 2014**

### USEAct partners

**Istanbul Metropolitan Municipality**

**BIMTAS/IMP (Turkey)**

**hosting observer partner**

**City of Naples (Italy) / Lead Partner**

**Baia Mare Metropolitan Area (Romania)**

**City of Barakaldo (Spain)**

**Buckinghamshire Business First (UK)**

**City of Dublin (Ireland)**

**City of Nitra (Slovak Republic)**

**Riga Planning Region (Latvia)**

**Østfold County (Norway)**

**City of Trieste (Italy)**

**City of Viladecans (Spain)**



**24th February 2014****Arrival of participants****20:30 Informal welcome meeting – Hall of the Richmond Hotel Istanbul**

21:00 Welcome Dinner Restaurant “Richmond Hotel Istanbul”

**25th February 2014 Meeting Venue: Malta Pavilion****8:30 – 9:00 Registration of participants****9:00 Welcome of the hosting partner***Yakup Demirhan, Director of Transportation Department of the Istanbul Metropolitan Municipality***9:15 Introduction USEAct Thematic Network: presentation of the programme and outline of network activities***Gaetano Mollura, City of Naples, USEAct Lead Partner***9.30 URBACTII state of the art and next activities: URBACT III***Melody Houk, Project & Capitalization manager, URBACT Secretariat***9:45 Introduction to the USEAct issues of the Third Thematic Seminar***Vittorio Torbianelli, USEAct Lead Expert***SPECIAL SECTION – Land Use Management and Land Take Reduction in Metropolitan Areas - Lessons From The World\_ Section one: TURKEY****10:00 Introduction***Metin Canci, Ass.Prof.Dr., Advisor of General Director, Istanbul Metropolitan Municipality, BIMTAS/IMP***10:15 Metropolitan Growth Management Strategies in Istanbul: A Decade of Interaction via Planning***Ulas Akin, City Planner, MSc, Chief, International Projects, Istanbul Metropolitan Municipality, BIMTAS/IMP***10:45 Yenikapi Transfer Point and New Urban Vision for the Historical Core***Murat Vefkioglu, Architect-Urban Designer, MSc, Former Head of Urban Design & Competitions, BIMTAS/IMP***11:15 discussion with all USEACT Partners**11:30 *Coffee break***Lessons From The World\_ Section two: UNITED STATES****11:45 - Urban Growth in the USA: From tracing boundaries to complex management. The Metro Portland case study***Adolf Sotoca, Universitat Politècnica de Catalunya. BarcelonaTech, USEAct Guest Thematic Expert***12:15 discussion with all USEACT Partners****12:30 URBACT National Training Scheme, the last round: experiences and outputs***Melody Houk, Project & Capitalization manager, URBACT Secretariat***12:50 discussion with all USEAct Partner participants in the URBACT NTS**13:15 – 14:15 *Lunch break***14:15 Focus on USEAct Local Action Plans and LSGs: the state of the art and next steps***LP Gaetano Mollura, LE Vittorio Torbianelli***14:30 USEACT Local Activities WORKSHOP “LET’S SHARE ULSGS AND LAPS!”**

Partner presentations, Updating Local Action Plans and LSGs activities (15 minutes for each partner)

*LE Vittorio Torbianelli (moderator) and TE Pauline Geoghegan*16:15 *Coffee break***16:45 Jointly monitoring and reviewing LAPS****Discussion with all USEAct Partners****17:30 End of the first day meeting***Free evening /Dinner*

8:30 – 9:00 Arrival of participants

9:00 Introduction to the second day USEAct Third Thematic seminar

*Gaetano Mollura, Lead partner*

**THIRD THEMATIC WORKSHOP**

09:15 Interventions on “reuse” of urban areas: management, partnerships, funding, functions *through two Case Studies: Public Private Partnerships and governance models in reusing European Cities*

*Vittorio Torbianelli, Lead Expert*

- Discussion with the network

09:45 Public-private partnership in urban regeneration interventions. From Europe to the Catalan context

*Adolf Sotoca, UPC Universitat Politècnica de Catalunya. BarcelonaTech*

- Discussion with the network

10:15 Governance aspects of steering suburban development in European metropolitan areas

*Iván Tosics, Thematic Pole Expert - URBACT II Programme*

- Discussion with the network

10:45 Coffee break

11:00 Focus on the Third USEACT Theme and related partners case studies

*Moderator: Vittorio Torbianelli, Lead Expert (10 min will be dedicated for the presentation of each case study and 10 min for discussions and questions)*

**Baia Mare Metropolitan Area:** Land Use Management for Sustainable European Cities – L.U.M.A.S.E.C.

**Barakaldo City Council:** Restoring agent-entrepreneurs (ESC) and the public private partnerships: alternative public financing models, joint ventures”. (11th ULSG Topic). The Spanish PPP models and recent changes.

**Buckinghamshire Business First:** Buckinghamshire Advantage

**Dublin City Council:** Vacant Lands Levy Initiative

**Østfold County:** Partnerships to reuse urban areas in Moss

**Trieste City Council:** The Tools Of The New Prgc

13:00– 14:00 Lunch break

14:00 **PLENARY WORKING SESSION – Introduction to the workshops on bilateral – trilateral meetings: subthemes, working groups management, meetings calendar, outputs**

*Lead Partner, Lead Expert, Thematic Expert all Project Partners*

14:30 **PARALLEL WORKSHOPS: 5 groups /5 subthemes bilateral – trilateral meetings**

*All Partners*

15:45 Coffee break

16:00 **PLENARY WORKING SESSION - presentation of the sub-themes, groups, outputs bilateral – trilateral meetings**

*Lead Partner, Lead Expert, Thematic Expert all Project Partners*

16:15 – 17:30 **PLENARY WORKING SESSION USEACT Project Management issues**

16:15 Focus on Mid Term Review Report

*Lead Expert, Lead Partner*

16:30 Administrative and financial management issues and updates

*Anna Arena, Lead Partner Financial Officer*

16:45 Communication and dissemination updates of results on local and project level

*Maria Luna Nobile, Lead Partner Communication Officer*

17:00 Discussion with all partners

**17:15 Next steps - organization of the next seminars - Conclusion**

*Lead Expert, Lead Partner*

**17:30 Closure of the second day of the meeting**

**Departure of the partners or (optional) departure next day before or after site visits**

Free evening /Dinner

**27th February 2014**

**9.30 – Hall of the Richmond Hotel**

**10:00– 11:00 Visit on the sites:** The "*Istanbul Metropolitan Municipality, Information Centre for Investment and Services*".

**12:00 Closure of the Third Thematic Seminar/Departure of the participants**



## URBACT II

**URBACT** is a European exchange and learning programme promoting sustainable urban development.

It enables cities to work together to develop solutions to major urban challenges, reaffirming the key role they play in facing increasingly complex societal changes. URBACT helps cities to develop pragmatic solutions that are new and sustainable, and that integrate economic, social and environmental dimensions. It enables cities to share good practices and lessons learned with all professionals involved in urban policy throughout Europe. URBACT is 500 cities, 29 countries, and 7,000 active participants. URBACT is jointly financed by ERDF and the Member States.

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